

# Materials Overview: Principal Evaluation

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This section includes materials related to labor-management collaboration and principal evaluation. Materials are taken directly from districts that have successful evaluation programs in place or districts that are in the process of developing promising new systems. Interviews were conducted with leaders to shed light on each district's story of labor-management collaboration. District materials (e.g., contracts, Memoranda of Understanding, other agreements) were largely collected from public websites or through personal contacts. Specific materials include:

## **Principal Evaluation Overview.....1**

- Assessing the Effectiveness of School Leaders: New Directions and New Processes<sup>1</sup>

## **Helena School District, Montana ..... 21**

- Perspectives from Superintendent Bruce Messinger and Principal Tim McMahon
- PowerPoint on Consensus Negotiation and Professional Alternative Compensation Plan
- Montana Office of Public Instruction Survey

## **Montgomery County Public Schools, Maryland ..... 35**

- Perspectives from Administrators' Union President Rebecca Newman and Director of Evaluation/Professional Development, David Steinberg
- Administrator's Handbook (excerpts)
  - Leadership Standards, Criteria, and Descriptive Examples for Principals
  - Evaluation Process for Principals
- Administrators' Contract (excerpts)

## **New Haven Public Schools, Connecticut..... 63**

- Perspectives from Assistant Superintendent Garth Harries and Chief of External Affairs Laoise King
- New Haven-Denver PowerPoint
- Principal and Assistant Principal Evaluation and Development Process

## **New York City Public Schools, New York..... 81**

- Perspectives from Administrators' Union Vice President Peter McNally and Director of Labor Relations David Brodsky
- Principal Performance Review
- Excerpts from the Administrators' Contract

## **Other Resources to be Available for Download from [www.WestEd.org/schoolturnaroundcenter/labormangement](http://www.WestEd.org/schoolturnaroundcenter/labormangement)**

- Resources for Helena:
  - Vanderbilt Assessment for Leadership in Education (VAL-ED)  
website: <http://www.valed.com/index.html>
- Resources for Montgomery:
  - Administrators and Supervisors Professional Growth System  
website: <http://www.montgomeryschoolsmd.org/departments/development/teams/admin/admin.shtm>
  - Evaluation Form and Report Rubric
  - Professional Development Plan (PDP) Template/Sample
- Resources for New Haven:
  - Teacher Evaluation and Development Process-Teachers and Administrators Guide
  - New Haven-Principal Evaluation Overview PowerPoint
- Resources for New York: Progress Reports for New York City Public Schools
  - NYC Accountability Website: <http://schools.nyc.gov/Accountability/default.htm>
  - The Principals' Guide to the Quality Review
  - Full Administrators' Contract

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<sup>1</sup> The Wallace Foundation. (2009). *Assessing the effectiveness of school leaders: New directions and new processes*. New York, NY: Author.

PERSPECTIVE

# ASSESSING THE EFFECTIVENESS OF SCHOOL LEADERS:

## NEW DIRECTIONS AND NEW PROCESSES



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This Wallace “Perspective” is part of an occasional series that provides ideas and recommendations in the areas that The Wallace Foundation is engaged with: strengthening education leadership to improve student achievement; enhancing out-of-school time learning opportunities; and building appreciation and demand for the arts. This paper reflects the collective thinking of staff engaged with the education leadership initiative. We especially recognize the substantial contributions of Bradley S. Portin of the University of Washington’s College of Education in the formulation and drafting of this report.

Copies of this and other Wallace reports can be downloaded for free at the Knowledge Center in our website: [www.wallacefoundation.org](http://www.wallacefoundation.org).

## ASSESSING THE EFFECTIVENESS OF SCHOOL LEADERS: NEW DIRECTIONS AND NEW PROCESSES

*Since 2000, The Wallace Foundation has supported a range of efforts to strengthen leadership so that teaching and learning are improved in every school, especially those most in need. Well-designed assessment processes could be a powerful and constructive way to identify leaders' strengths and weaknesses and encourage them to focus on the actions likeliest to bring about better teaching and learning. While assessing school leaders isn't a new idea, research concludes that most assessments in use today are not as focused on learning as they should be, nor are they effective in gathering reliable facts about how leaders' behaviors are or are not promoting the learning agendas of schools and entire districts. In this Wallace Perspective, we discuss the elements of a possible new direction in leader assessment – what should be assessed, and how. We then highlight several newly-developed instruments: one designed to assess instructional leadership, and two others for more targeted purposes. Finally, we discuss the potential, the challenges and the unknowns of using assessment as a key means of promoting not only better leader performance but also systemwide improvements that benefit children.*

### I. ASSESSING WHAT MATTERS MOST

Effective leadership is vital to the success of a school. Research and practice confirm that there is slim chance of creating and sustaining high-quality learning environments without a skilled and committed leader to help shape teaching and learning. That's especially true in the most challenging schools.

As pressure has increased to have all children in every school succeed as learners, there is broad acceptance that education leaders need to be more than building managers. The challenges presented by “achievement gap” data and the federal No Child Left Behind law have refocused the primary work of principals on leading the essential teaching and learning activities in their schools. This shift from building managers to learning leaders first and foremost is well documented, and is further backed by research indicating that leadership is second only to teaching among school-based factors in influencing learning.<sup>i</sup>

While we know a great deal about what it takes to lead the learning work of a school, education has been slower than many other fields in developing and widely adopting well-crafted, reliable ways to assess the performance of its leaders. In the military, there is a long tradition of rigorous, uniform assessment to help produce and support leaders who can assume tough tasks and achieve at high levels. Many top firms use “360-degree” assessments to gather input about employees' performance not only from their supervisors, but from co-workers and the employees themselves. And in many fields, assessments are used not only to make important career decisions about salaries or promotions, but to pinpoint areas for individual improvement, shape training and continuing development, and create a culture of learning and continuous improvement throughout those organizations.

Research as well as experience in these and other fields suggest that high-quality assessments exhibit a number of traits:

- They measure what they are designed to measure;
- They are consistently applied and tested for fairness;
- They are seen as an ongoing process for professional growth, not just a “tool” or an isolated event;
- They are based on the best available evidence, often from multiple sources;
- They reinforce the organization’s core goals;
- They provide actionable feedback on what matters most; and
- They help build a culture of continuous improvement.

In the education arena, the recent widespread adoption of learning-based leadership standards has been an important step in the right direction. More than 40 states have adopted the “ISLLC” (Interstate School Leaders Licensure Consortium) standards, or some version of them, as a uniform foundation for principal assessment. Many have adopted the revised 2008 ISLLC standards that are grounded in behaviors linked to improving student achievement and that are intended to encourage principals to carry out needed changes in their schools.

Standards are meaningful only when brought to life, however, and in the area of leadership assessment in public education, there has been a paucity of instruments and processes that effectively apply the new standards. Some states – notably Kentucky, Iowa and Delaware – have begun using the ISLLC standards as the basis for assessing leaders, improving their performance, and redesigning the training programs that prepare them for their jobs. (See text box on Delaware, p. 11). But a recent review of existing assessment instruments in use in 44 districts and states for which there is sufficient documentation found that nearly half fail to give leaders clear feedback on what they could be doing more or better to improve teaching and learning, linked to a developmental growth plan.<sup>ii</sup> In addition, there are often inconsistent connections between evaluation processes and the professional development and mentoring necessary to help leaders improve once weaknesses are identified. As recently as 2000, annual performance assessments of principals were often not required. And when required, they often varied from school to school. Even if they were consistent in a district, they were not based on standards that reflected current understandings of the work of the principal as a leader of learning, first and foremost.

Why is assessment so challenging in the education arena? It should be said, first of all, that there is no evidence that education leaders are more resistant than those in other fields to the notion of assessment. The likelier explanation lies in the distinctive history, decentralized structure and widely-varying local politics of public education, along with the aforementioned changes in the field’s understanding of what leaders should be prioritizing in their schools. Unquestionably, the local control and varying contexts that characterize public education have made it harder and more contentious to arrive at field-wide agreement on what appropriate assessment should emphasize most, whose input should be sought, etc.

While acknowledging those challenges, the scarcity of well-conceived assessment processes for education leaders nonetheless raises this question: How can we expect school leaders to improve their performance throughout their careers and meet the mounting challenges of their

jobs if we aren't gathering, and acting on, the right information about the effectiveness of their behaviors and actions as leaders of learning? If we now require principals to be not only leaders of buildings, but leaders of learning, we know we can't assess them only as building managers, as important as those tasks undoubtedly are. We also have to find ways to assess whether their behaviors as leaders of learning are effective.

Against the diverse backdrop of public education, this paper does not offer a single "right" process or tool for all states and districts to adopt in assessing school leaders. Instead, we suggest for consideration and discussion a set of basic goals and criteria that research and emerging experience suggest could help promote a new, more effective direction in assessment. We then describe a newly-developed leader assessment product, the Vanderbilt Assessment of Leadership in Education (VAL-ED),<sup>iii</sup> that seeks to apply those criteria, as well as more targeted tools that focus on two specific aspects of leadership: mentoring and time management. All of these new assessments were developed with funding from Wallace as part of our decade-long initiative to promote and sustain improved education leadership.

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*How can we expect school leaders to improve if we aren't gathering, and acting on, the right information about their effectiveness as leaders of learning?*

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We conclude by summarizing the potential benefits of a new direction in assessment both for leaders and those they affect, and we raise a number of questions that remain to be answered if such a new direction is to be effectively pursued.

## II. LEADERSHIP ASSESSMENT: THE MISSING COMPONENTS

Assessing leaders is not a new practice within schools and districts. In general, however, leadership assessment follows locally determined, contract-driven review processes largely for personnel purposes.<sup>iv</sup> Typically, principals establish some set of goals through a form and process defined by their district. They then meet annually with a supervisor who determines whether or not their work has been satisfactory. Assessments are often weakly tied to leadership standards and opportunities for professional growth. And they may or may not focus primarily on the instructional aspects of a leader's performance.

The extent to which current assessment practices relate to what principals do, how and whether they relate to accepted leadership standards, and what the supervisor has as useful data besides just test scores to assess principals' performance, varies widely. The aforementioned examination of leader assessment instruments in use in 44 prominent urban systems found that fewer than half of the instruments (18) use state standards, and only 25 percent use ISLLC standards.<sup>v</sup> Leadership assessments also vary greatly with respect to how much they focus on the managerial work of schools or on learning outcomes. For example, in the critical content domain of "school and instruction" (versus "management," "external environment," and "personal characteristics") "coverage ranges from 23% to 85% of the instrument."<sup>vi</sup>

There is worrying variation in assessment processes as well, and very few have been tested for validity and reliability – essentials for achieving basic fairness. The researchers who examined instruments in use in urban districts noted that: “...assessments for principals are conducted very differently by school districts, with no clear norms or performance standards. There is little constancy in how the assessments are developed, which leadership standards are used, and if the measures are valid and reliable...few have a conceptual framework based on how leaders improve student learning, nor have they been validated for their intended uses.”<sup>vii</sup>

In short, researchers from Vanderbilt University have concluded: “there is little consensus in the field around what should be assessed;” and further, “...the content of leadership assessment is ‘a mile wide and an inch deep’; many aspects of leadership are assessed, but almost nothing is assessed in depth.”<sup>viii</sup> Too

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*There is little constancy in how assessments are developed, which leadership standards are used, and if the measures are valid and reliable.*

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often, leader assessment is seen as a single high-stakes event – a form to be completed or an interview conducted – rather than an ongoing process connected to the goal

of professional development and continuous improvement. In their comprehensive review of principal evaluation, Ginsberg and Berry concluded that, “the policymaker seeking assistance in choosing a principal evaluation system is offered little sound guidance from these [existing] sources.”<sup>ix</sup>

### III. A NEW DIRECTION FOR ASSESSING SCHOOL LEADERS

How, then, might leaders get more valid and reliable information that could help them and others know how they are doing and where they might improve? From the research and work of The Wallace Foundation and its partners, the following attributes of quality leadership assessment emerge as central to setting a new direction for assessing school leaders. These attributes fall under two critical questions:

- *What should school leaders be assessed for?* and,
- *How should they be assessed so that the process enhances their effectiveness in improving learning?*

#### WHAT SCHOOL LEADERS SHOULD BE ASSESSED FOR

##### *1. A focus on “driver” behaviors that improve instruction and promote necessary school change, anchored in standards*

Any true picture of a “day in the life” of a principal includes a long list of managerial and leadership tasks. But a key prerequisite of leader assessment is a strong focus on instruction and the behaviors most likely to drive better learning. The most important change that has occurred in education leadership in decades is the priority placed on the work that leaders do to guide and support the improvement of teaching and learning. As the National Association of Elementary School Principals recently put it:

*“Principals can no longer simply be administrators and managers. They must be instructional leaders focused on improving student achievement. They must be the force that creates collaboration and cohesion around school learning goals and the commitment to achieve those goals.”<sup>x</sup>*

Along with greater emphasis on instruction, assessment should be focused more on actual behaviors and actions, rather than on knowledge or traits. As researchers have noted,<sup>xi</sup> existing measures have tended to emphasize selected inputs such as a leader’s personality traits or school climate issues, rather than what principals actually do and the impact of those actions on teaching and learning. Indeed, it is personal characteristics (for example, popularity, the volume of parent complaints, the quality of outside relationships<sup>xii</sup> ) that often place principals on or off the radar screen of their supervisors, more so than whether their actions are improving learning.

A key challenge for leader assessment, then, is to narrow the focus on the most potent behaviors that can promote better learning outcomes, rather than peripheral concerns of daily management that continually bombard school principals. The Wallace Foundation and its partner states and districts have used the term “driver behaviors” to identify those actions. The Council of Chief State School Officers makes a similar point: “A performance assessment system that is able to change behaviors and results must be focused on a narrow and prioritized set of observable behaviors – ‘driver behaviors’ – that if improved, will have the greatest likelihood of improving the quality of teaching and learning.”<sup>xiii</sup>

Having agreed-upon standards is a crucial step to defining and prioritizing these effective leadership behaviors – and it’s also essential that the standards codify what *should* be, not just what is. The work of our schools, particularly in our most challenging urban settings, requires innovation and reform of systems and practices that have often not served students well. Schools require leaders who can drive change based on a clear, shared vision of what graduates will need to succeed. To do so, a leader needs to understand how best to deploy his personnel resources – the time and the talents of the people he manages – to support teaching and learning.<sup>xiv</sup> Leaders also need to understand how their school relates to the district, garner the support of their community, and leverage the resources of the community to meet the diverse needs of their students. A powerful leadership assessment process can direct leaders’ attention to these challenges and provide a way to pinpoint where his or her actions are effective or in need of improvement.

## ***2. Shared authority and responsibility for improving learning***

There is growing recognition that it takes more than a single heroic leader to create and sustain schools that are true communities of learning. Principals retain key instructional leadership roles; however, their work also includes the distributed practice of teams and groups.

Assessing teams without blurring the importance and performance of individual leaders is a challenge for leadership assessment. However, a critical attribute of principal assessment should be to identify how effectively individual leaders develop the instructional capacity of others (such as teacher leaders, instructional coaches and content experts) and then create opportunities for sharing authority broadly within their schools to guide the learning agenda.

The Ohio Leadership Advisory Council’s Leadership Development Framework<sup>xv</sup> provides an example of how this might be done. The Framework establishes a coherent rationale and “essential skills and practices” in six process areas: data and decision-making; focused goal setting; instruction and learning; community engagement; resource management; and building governance. As the council puts it: “A fundamental assumption underlying Ohio’s work to create a coherent and cohesive leadership development system is that the purpose of leadership is the improvement of instructional practice and performance, regardless of role. This foundational principle...lends support for the creation of new leadership models that can be used to distribute key leadership functions, and align and focus work across the system to improve instructional practice and student performance.”<sup>xvi</sup>

## HOW LEADERS SHOULD BE ASSESSED

### *1. Reliable, tested instruments*

Regardless of how leadership assessment is used – for high-stakes career decisions such as promotions, or for charting an accurate course for professional development, or both – basic questions about fairness and reliability should be addressed. Specifically, assessment should be designed to reach the same or similar conclusions if two or more leaders are evaluated in particular conditions. And it should be valid – meaning, that it actually captures what it intends to. But research has found wide variation in the topics and attributes that are assessed, the approaches and methods used, and the formats and levels of specificity in existing assessments.<sup>xvii</sup>

What this means is that critically important questions about fairness, reliability and relevance to learning go largely unanswered:

- First and foremost, is what you are measuring clearly related to the desired learning outcomes of the school?
- How can you be sure that the assessment measure is related to the desired actions?
- Would others come to the same conclusions if they evaluated the same leader?
- Does the assessment have “reach” and applicability to a wide variety of schools and contexts?

We are suggesting, in other words, that the benefits of having assessments with proven, tested validity and reliability include:

- Relevance to the most important challenges facing our schools;
- Use of the same assessment topics and observations for all principals who are assessed;
- Use of the same assessment topics and observations over different years when principals are assessed; and
- Comparisons with assessment results for large numbers of principals who have participated in the same assessment.

### *2. Adaptable to different purposes and contexts*

The role of assessment is to provide fair, reliable information for making important decisions affecting individual leaders and the organizations they are part of. Ideally, the assessment process yields information about a leader’s strengths and weaknesses that is useful and adaptable to multiple purposes and different contexts.

Assessments are commonly used for “summative” purposes such as selection, placement, retention and termination (personnel management functions). They also have a key role to play in “formative” purposes to identify where a leader needs to grow and learn (professional learning functions); or as a way to measure how a larger school or system is progressing on strategic plans (organizational improvement functions).<sup>xviii</sup>

There are inherent tradeoffs and tensions among these purposes. It’s generally easier to have a candid conversation about a principal’s strengths and weaknesses when the purpose is mainly to identify organizational or professional development needs than when a raise, a promotion or possible termination are at stake. Portin and colleagues write:

“...the impulse to render a judgment about leaders’ performance, without regard for the improvement of that performance, may compete with the desire to assemble evidence that helps leaders improve their effectiveness. The former, summative assessment is especially useful for decisions that have little to do with the leaders’ improvement trajectory over time (e.g., whether or not to certify administrators, renew their contracts, or reassign them from a current position). The latter, formative assessment is obviously more useful for focusing the leaders’ efforts on particular skills or areas of knowledge that they will be seeking to develop. The two contrasting purposes for assessment data imply different approaches to assessment that yield varied data: It is as difficult to fire someone with data suggesting possibilities for future growth as it is to change practice with school test scores alone.”<sup>xix</sup>

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*An assessment system does not tell the principal or her supervisor what actions to take.*

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Iowa’s standards for school leaders illustrate how one state is working to reconcile these tensions. The state’s established standards for school leaders say, on the one hand, that “a comprehensive principal performance review process must be intended to acknowledge strengths and improve performance...” while adding that such assessments should “... provide opportunities for personal and professional growth.”<sup>xx</sup> Iowa requires all superintendents to receive a 30-hour evaluator training course. While not a sure fix, it is a step toward ensuring that Iowa’s principal assessment system is used in a way that matches purpose and process.

Another feature of powerful assessment processes is their adaptability to different contexts while not losing a focus on the core elements of effective leadership for learning. For example, leading a large suburban high school presents different challenges from leading a small rural elementary school. One is not “easier” than the other, simply different. Depending on such contextual factors, principals and their supervisors may prioritize different leadership actions and behaviors, even if their student test scores are similar. An assessment does not tell the principal or her supervisor what actions to take. Used and interpreted well, however, it can point to the principal’s specific strengths and limitations and help prioritize different areas of leadership performance depending on the particular context and needs of her school.

Finally, assessments should be flexible enough to take different career stages into account. A novice leader has different needs from a seasoned leader, and each requires different feedback to further his or her skills. Such adaptations to different career stages don't suggest that the central work is different – but the content, timeliness, and attendant support provided should match the different needs of new and more veteran school leaders.

#### IV. NEW TOOLS FOR A NEW DIRECTION

So far, we have suggested that new principal assessment processes could powerfully catalyze and support learning-centered leadership in schools if they (1) focus squarely on the most important “driver” behaviors that improve instruction, (2) are anchored in accepted leader standards, (3) promote necessary school change rather than reinforce the status quo, (4) feature reliable and tested instruments, (5) are flexible enough to take different purposes and

contexts into account, and (6) lead to appropriate professional development that addresses any weaknesses or concerns identified by the assessment process.

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*The idea of including multiple perspectives about a leader's performance is widely accepted in business and other fields, but appears to be more complicated and politically fraught in the education field.*

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In this section, we describe a newly-published assessment process, the Vanderbilt Assessment of Leadership in Education (VAL-ED), which is among the first designed to apply all of those attributes to the assessment of school leaders. Unlike

other existing assessments, VAL-ED rests on a robust research base and underwent a three-year, multi-stage development, validation and field-testing process in a variety of schools and contexts to ensure its reliability and fairness in identifying where principals can improve, and areas for professional development.<sup>xxi</sup> The Wallace Foundation provided funding to develop VAL-ED, and a number of Wallace-supported state and district sites participated in the field tests, including: Atlanta; Louisiana; Springfield, MA; Boston; Springfield, IL; St. Louis; Louisville, and Eugene, OR.

#### THE VANDERBILT ASSESSMENT OF LEADERSHIP IN EDUCATION (VAL-ED)

To create an assessment process that focused squarely on behaviors associated with learning-centered leadership, VAL-ED's developers identified instructionally-focused practices anchored in the ISLLC standards. As the text box on the following page illustrates, VAL-ED's criteria for assessing leader performance consist of six “Core Components of School Performance” – the “what” of effective leadership – and six “Key Processes of Leadership” – the “how.”

Few existing leader assessments take into account or deliberately reinforce the ability of principals to share authority and responsibility for driving better learning with others in

their school. VAL-ED seeks to do so in two specific ways. First, it is designed to evaluate a principal's performance in promoting a particular desired result in his or her school – whether through his or her direct action or by effectively distributing authority to “designees” that could be another individual or a team. Second, the idea of distributed authority is reinforced by the opening phrase of each item in the assessment instrument: “How effective is the principal at ensuring that the school...etc.”

The VAL-ED tool was also designed to be adaptable to different purposes:

- To help pinpoint areas for improvement and professional development, it provides “norm-referenced” scores (on a scale of 1-5) that enable an evaluator to compare a leader's performance to an appropriate group of other principals – for example, comparing beginning leaders with each other – or, against the entire pool of principals who have been assessed by VAL-ED.
- It also provides “criterion-referenced” scores that show how a leader is performing against a particular standard. For example, a principal might be found to be “outstanding” in exhibiting a specific leadership “driver” behavior – that is, so consistently that he or she is almost certain to improve student learning. Such ratings are more suited to “summative” purposes such as job promotions or retention decisions that differ at various career stages.

Finally, VAL-ED is designed as a “360-degree” assessment, including observations of the principal, his or her supervisor, and the teachers in the school. Feedback on the leader's performance is gathered on the core components and key processes of leadership measured by VAL-ED, and respondents are asked to draw upon multiple forms of evidence from direct observation, documents and artifacts, and reports from others. From these assessments, leaders receive feedback on their degree of success from “below basic” to “distinguished” and receive an outline of growth areas to improve their leadership practice.<sup>xxii</sup>

While the idea of including multiple perspectives about a leader's performance is widely accepted in business and other fields, it appears to be more complicated and politically fraught in the education field. On the one hand, assessing school leaders from multiple vantage points and perspectives can help address a previously-cited weakness in many existing processes:

## DIMENSIONS MEASURED BY VAL-ED

### **Core Components of School Performance**

- High Standards for Student Learning
- Rigorous Curriculum (content)
- Quality Instruction (pedagogy)
- Culture of Learning & Professional Behavior
- Connections to External Communities
- Performance Accountability

### **Key Processes of Leadership**

- Planning – articulate shared direction and coherent policies, practices and procedures for realizing high standards of student performance.
- Implementing – engage people, ideas and resources to put into practice the activities necessary to realize high standards for student performance.
- Supporting – create enabling conditions; secure and use the financial, political, technological and human resources necessary to promote academic and social learning.
- Advocating – promote the diverse needs of students within and beyond the school.
- Communicating – develop, utilize and maintain systems of exchange among members of the school and with its external communities.
- Monitoring – systematically collect and analyze data to make judgments that guide decisions and actions for continuous improvement.

For further information about VAL-ED, visit [www.vanderbilt.edu/lisi/valed/featured.html](http://www.vanderbilt.edu/lisi/valed/featured.html) and [www.thinklinkassessment.com/corporate/valed.html](http://www.thinklinkassessment.com/corporate/valed.html)

## TARGETED TOOLS: FOR PRINCIPAL MENTORING, AND TIME MANAGEMENT

VAL-ED is designed to assess the overall performance of school leaders in promoting better teaching and learning. There are also advantages in more targeted tools that focus on particular aspects of school leadership. Two such Wallace-funded tools have been developed: one to improve the mentoring of new principals, and a second to help school leaders direct more of their time toward instructional tasks.

### **The Leadership Performance Planning Worksheet (LPPW)**

This tool was developed to structure the dialogue between new principals and their mentors around identifying and mastering leader behaviors that make up the core of effective instructional leadership, and to record progress. Drawing on the leadership development work of the NYC Leadership Academy<sup>xxiii</sup> and assessment instruments used by the states of Delaware and Kentucky, LPPW has been pilot tested with principals, mentors and coaches in over 960 schools in seven states. Early indications are that it is an effective tool for helping move mentoring away from an unfocused “buddy system” to a more systematic, learning-centered conversation aimed at identifying and addressing the greatest needs of new principals. (More information and sample pages from the worksheet are available at [www.wallacefoundation.org/KnowledgeCenter/KnowledgeTopics/CurrentAreasofFocus/EducationLeadership/Documents/LPPW%20Explanatory%20Text.pdf](http://www.wallacefoundation.org/KnowledgeCenter/KnowledgeTopics/CurrentAreasofFocus/EducationLeadership/Documents/LPPW%20Explanatory%20Text.pdf).)

### **TimeTrack**

Management duties can easily crowd out the time principals spend on instructional improvement. Studies show that principals typically spend two-thirds or more of their time on tasks far-removed from the classroom. In 2002, the Jefferson County (KY) Public Schools began a multi-faceted effort to help principals accurately gauge and reorient how they spend their time, with Wallace support.<sup>xxiv</sup> A key element of that process is called TimeTrack Analysis Data Collection. Data collectors shadow principals for five days and record how much time they spend on instructional, management or personal tasks. Principals can then use the data to create goals for increasing the time they spend on instructional leadership. The tool provides baseline and follow-up data one year later. (The most recent versions of the TimeTrack tool and user’s guide can be downloaded for free at [www.wallacefoundation.org/KnowledgeCenter/KnowledgeTopics/CurrentAreasofFocus/EducationLeadership/Documents/TimeTrack\\_Release\\_V2.zip](http://www.wallacefoundation.org/KnowledgeCenter/KnowledgeTopics/CurrentAreasofFocus/EducationLeadership/Documents/TimeTrack_Release_V2.zip).)

that they are the product of isolated interaction between principals and supervisors who may have limited day-to-day knowledge of a principal’s work and accomplishments. Teachers, for example, may add considerable depth and insight about a principal’s actions and interactions that a principal’s supervisor might know little or nothing about.

At the same time, 360 assessments are not without pitfalls. During its pilot stage, VAL-ED’s developers noted uneasiness among teachers about the anonymity of their feedback. Principals, for their part, worried that such assessments might devolve into mere measures of their popularity among teachers and others in their school, rather than an assessment of how well

the leader made tough or unpopular choices that prioritize the learning of all students. As researchers have noted, there is a risk that 360 assessments can include “perceptions of people who may not know what the principal is attempting to accomplish or who view the leaders’ actions only in terms of their own interests.”<sup>xxv</sup>

## V. IMPLEMENTING A NEW DIRECTION

This paper has argued that leader assessment is an important but largely under-developed part of the web of policies, practices and incentives needed to support our nation’s principals. When used to enhance performance as well as ensure accountability, assessment can be a driving factor in helping leaders’ develop the behaviors and skills that will improve learning for all students.

It’s significant that new directions and new processes for assessing leaders – including VAL-ED as well as efforts by states like Delaware, Kentucky and Iowa – are in the early stages of development, testing and implementation. What’s clear from these early efforts is that there is no single “right” formula for the education field to follow. Nor will better assessment automatically result in new and improved leadership. Assessment is one element of a broad systems challenge that requires state and district policies that promote better training and overall support for leaders and a clear focus by all, with learning as the ultimate goal. The new direction for assessment described in this paper can provide critical information that lends support to that objective. But in order for progress to occur, there needs to be a broader leadership context that matches expectations with resources, professional development and coaching, and aligned commitment to the learning agenda in each school.

Much remains to be learned in order to effectively implement this new direction in leader assessment. For one thing, the work of leading schools can no longer be seen as a solo act. We need to learn more about how leadership assessment can be used to provide measures of how well effective teams lead in the school. The varied contexts of leadership – urban, rural, suburban, elementary, secondary – present another challenge for thinking about better assessment. The field needs to learn more about what is gained or lost when assessment tools are applied in those different contexts and how leadership assessment processes can account for the important contextual differences stemming from local need.

## BUILDING AN ALIGNED LEADER ASSESSMENT SYSTEM IN DELAWARE

Delaware is one of a handful of states that have sought to create an aligned system of leadership assessment. The Delaware Performance Appraisal System, or DPAS-II,<sup>xxvi</sup> connects statewide leadership standards with state and district practices for the purposes of “professional development, continuous improvement, and quality assurance.” In establishing DPAS-II, Delaware provides the tools and policy provisions to ensure that clear expectations for leader practice are uniformly applied, that processes and tools are adapted to a leader’s stage of development, and that accountability for performance measures are backed up with developmental supports.

DPAS-II assesses leaders on five components, each aligned with the ISLLC standards: 1) vision and goals; 2) culture and learning; 3) management; 4) professional responsibilities; and, 5) student improvement. Leaders are assessed on the specific actions and behaviors they undertake to realize and improve each of those components: how effectively, for example, they use data to plan, implement, assess and promote their progress.

A recent evaluation summary noted both strengths and weaknesses in DPAS-II including problems with documentation and concerns about whether the process provides an accurate picture of a school’s progress. Overall, however, the work that Delaware is doing shows the potential of a coordinated, statewide system of leadership assessment.

## THE BENEFITS

This paper has argued that a new direction for leadership assessment has much more to offer than simply adding accountability measures and personnel evaluation strategies. Leading the learning work of schools for the future requires whole new sets of skills and attributes that imply continuous learning. A continuously learning organization, while not a new idea, is one that has increasing importance if our schools are to serve all students well to a high standard. In the end, it is about the core outcomes for schools – for learning, learning improvement, and educational opportunity. Everyone, from the preschool student through the teacher to the principal (and on to the district) is a learner – and learning requires feedback to know what you are doing well and where new growth is necessary.

Continuous improvement, then, is the ultimate benefit of better assessment systems – and those who stand to gain within education include but go beyond the leaders themselves:

- ***Improving organizations – schools and districts***  
School leaders' relationships with their districts are changing. Historically, the lines of communication were largely for reporting and oversight purposes. In the same way that the work of school leaders has become more finely focused on learning, the work of districts/leaders is more oriented toward supporting the learning work of schools.<sup>xxvii</sup> Yet as researchers at the University of Washington assert, the “fine detail” of learning-focused leadership still needs to be described in ways that inform practice. What are the activities and conditions that shape and support this kind of public school leadership? The researchers suggest that:

*“...first, some of these activities are embedded in the exercise of leadership itself, a second layer seeks to guide or support leadership practice, while a third layer sets broader policies not targeted to leadership per se, yet which can powerfully affect leadership practice. Separately and together, these activities create conditions that shape and support what leaders do, think to do, and are able to do, in relation to learning improvement.”<sup>xxviii</sup>*

Sound, reliable assessment processes can be used for preparation purposes. For example, in the Springfield (MA) Public Schools, an assessment system has been used for both selection and placement purposes in professional development, and as a means for gathering data on the district's efforts to establish a “culture of achievement.” In this case, the assessment system serves as a driver to align learning communities, accountability and new expectations for schools. Assessment can also be a means of determining the exact support and intervention a leader may need in order to effectively lead her school forward.

- ***Enhancing leaders' confidence by pinpointing real accomplishment***  
A strong leadership assessment system can build confidence by highlighting genuine successes in lifting learning. Indeed, one of the most important benefits of a good assessment process is the information that it can provide supervisors to get underneath test scores to pinpoint the strengths and weaknesses of principals in their efforts to

lift student achievement. Without such assessment data, supervisors may, for example, penalize principals assigned to schools with a history of low test scores that they have not yet fully turned around, even though their actions have led to significant improvements. Since a principal's day-to-day work touches on many issues, good assessments that center on learning can be particularly valuable in alerting school leaders and their supervisors about which topics have already demonstrated progress and which need more emphasis.

- *Contributing to the field of educational leadership*

Finally, the field of education leadership is both turbulent and fertile ground for incorporating new agreements about assessment. New processes and strategies have at least three areas of contribution to the field:

- They could help create a common understanding for focusing on what matters most in leadership action that can influence student learning.
- New and extensively used processes could help build new coherence between policy and practice at all levels of the system: from the state to the district to each school. This has been seen in locations such as Delaware that are aligning preparation and performance standards for school leaders statewide – from licensure policy, through preparation, to the accountability measures and assessment processes used statewide.
- The preparation of education leaders has long been criticized for clinging to past models of principals as building managers rather than learning leaders.<sup>xxix</sup> Powerful assessment processes, aligned with widely accepted standards that drive practice toward the learning work of schools, could contribute to reorienting that focus.

Assessment alone is not a silver bullet for all of the challenges facing public education. But it is one important tool we can use in tackling, as Michael Knapp puts it, “the enduring challenge ... of finding coherent, sustainable ways to join forces across jurisdictional or positional boundaries, and across levels in the system, in the service of learning-focused leadership and leadership support.”<sup>xxx</sup> If assessment can become an important means of illuminating and changing the performance of school leaders, especially in our lowest achieving schools, we may finally begin to make a serious dent in the unacceptable achievement gap that confronts this country.

## ENDNOTES

- <sup>i</sup> Leithwood, K., Louis, K. S., Anderson, S., & Wahlstrom, K., *How Leadership Influences Student Learning: Review of Research*, University of Minnesota, Center for Applied Research and Educational Improvement, 2004, p. 7., available for free at [www.wallacefoundation.org](http://www.wallacefoundation.org)
- <sup>ii</sup> Goldring, E., Cravens, X, Murphy, J., Elliott, S., Carson, B., & Porter, A., *The Evaluation of Principals: What and How Do States and Districts Assess Leadership*. Paper presented at the annual meeting of the American Educational Research Association, New York, March 2008, p. 20.
- <sup>iii</sup> The Wallace Foundation judged that the lack of well-grounded assessment systems was a significant problem for the field of education leadership, and through a competitive process selected a team of researchers to develop what became the VAL-ED assessment. The responsibility for the development and testing of Val-Ed is solely the authors’.
- <sup>iv</sup> Portin, B., Feldman, S., & Knapp, M., *Purposes, Uses, and Practices of Leadership Assessment in Education*. State of the Field monograph published by the University of Washington Center for Teaching and Policy and The Wallace Foundation, 2006.
- <sup>v</sup> Goldring, p. 22.
- <sup>vi</sup> *Ibid.*, p. 16
- <sup>vii</sup> *Ibid.*, p. 29
- <sup>viii</sup> Goldring, E., Porter, A., Murphy, J., Elliott, S. N., & Cravens, X., *Assessing Learning-Centered Leadership: Connections to Research, Professional Standards, and Current Practices*. Nashville, TN: Vanderbilt University, Learning Sciences Institute, 2007. Available for free at [www.wallacefoundation.org](http://www.wallacefoundation.org)
- <sup>ix</sup> Ginsberg, R., & Berry, B., *The Folklore of Principal Evaluation*. *Journal of Personnel Evaluation in Education*, 1990, 3, 205-230, p. 212.
- <sup>x</sup> National Association of Elementary School Principals, *Leading Learning Communities: Standards for What Principals Should Know and Be Able To Do (Executive Summary)*. Alexandria, VA, 2008, p. 2.
- <sup>xi</sup> Goldring, E., Porter, A., Murphy, J., Elliott, S. N., & Cravens, X., *Assessing Learning-Centered Leadership: Connections to Research, Professional Standards, and Current Practices*. Nashville, TN: Vanderbilt University, Learning Sciences Institute., 2007, available for free at [www.wallacefoundation.org](http://www.wallacefoundation.org)
- <sup>xii</sup> Portin, p. 25
- <sup>xiii</sup> Council of Chief State School Officers. *Leadership Issue Group on Assessing Leadership Effectiveness: Interesting Practices and Lessons Learned*, 2007 Washington, D.C.: p. 2
- <sup>xiv</sup> See, for example: Plecki, M., Alejano, C., Knapp, M, & Lochmiller, C., *Allocating Resources and Creating Incentives to Improve Teaching and Learning*, 2006 State of the Field monograph published by the University of Washington Center for Teaching and Policy and The Wallace Foundation.
- <sup>xv</sup> See <http://www.ohioleadership.org/documents/Framework%20Final.pdf>

- <sup>xvi</sup> Ohio Leadership Advisory Council. (2008, January). Leadership Development Framework, Columbus, OH: Ohio Department of Education. p. 3.
- <sup>xvii</sup> Murphy, J., Goldring, E., Cravens, X, Elliott, S., & Porter, A., *The Vanderbilt Assessment of Leadership in Education: Measuring Learning-Centered Leadership*. East China Normal University Journal/August 2007, p. 22.
- <sup>xviii</sup> Portin, pp. 4-17.
- <sup>xix</sup> Portin, p. 40.
- <sup>xx</sup> A full description of Iowa’s Principal Leadership Performance Review Process can be found at: <http://www.sai-iowa.org/principaleval/>.
- <sup>xxi</sup> <http://www.thinklinkassessment.com/corporate/valed.html>. Among the validation steps that VAL-ED has undergone, the assessment was reviewed by education leaders and researchers to ensure that all items were aligned to the ISLLC standards. The authors conducted a nine-school pilot test in a single urban school district to further test and refine the instrument and gather user feedback. Following that, teachers, principals and supervisors were interviewed about the usefulness of an online prototype, and a review committee consisting of urban district leaders screened the assessment questions for bias. In the spring of 2008, VAL-ED was field-tested nationally in more than 300 schools in 60 districts.
- <sup>xxii</sup> Porter, A., Murphy, J., Goldring, E., & Elliott, S., *Assessing Learning-Centered Leadership*, 2008. Powerpoint available at <http://www.vanderbilt.edu/lsl/valed/featured.html>.
- <sup>xxiii</sup> NYC Leadership Academy, “Leadership Performance Planning Worksheet,” created in cooperation with the Center for Performance Assessment.
- <sup>xxiv</sup> The project also includes the introduction of a new school-level position called SAM, or School Administration Manager, who is supposed to assume non-instructional tasks so that the principal is freer to concentrate more time on classrooms and learning.
- <sup>xxv</sup> Portin, p. 29.
- <sup>xxvi</sup> DPAS II Guide for Administrators. Delaware Department of Education, Dover, DE.
- <sup>xxvii</sup> Plecki, M., McCleery, J., Knapp, M. S., *Redefining and Improving School District Governance*, State of the Field monograph published by the University of Washington Center for Teaching and Policy and The Wallace Foundation, 2006.
- <sup>xxviii</sup> Knapp, M. S., Copland, M. A., Plecki, M. L., & Portin, B. S., *Leading, Learning, and Leadership Support*. State of the Field monograph published by the University of Washington Center for Teaching and Policy and The Wallace Foundation, 2006, pp. 2-3.
- <sup>xxix</sup> Darling-Hammond, L., LaPointe, M., Meyerson, D., Orr, M. T., & Cohen, C., *Preparing School Leaders for a Changing World: Lessons from Exemplary Leadership Development Programs*. Stanford, CA: Stanford University, Stanford Educational Leadership Institute, 2007.
- <sup>xxx</sup> Knapp, p. 7



## RELATED WALLACE PRODUCTS

To learn more about assessing school leaders and related topics, the following can be downloaded for free from The Wallace Foundation's website at [www.wallacefoundation.org](http://www.wallacefoundation.org):

*Educational Leadership Policy Standards: ISLLC 2008*, Council of Chief State School Officers, 2008

*Out of the Office and Into the Classroom: An Initiative to Help Principals Focus on Instruction*, an article by Holly Holland commissioned by The Wallace Foundation, 2008

*Schools Need Good Leaders Now: State Progress in Creating a Learning-Centered School Leadership System*, Southern Regional Education Board, 2007

*Assessing Learning-Centered Leadership: Connections to Research, Professional Standards, and Current Practices*, Learning Sciences Institute, Vanderbilt University, 2007

*Learning-Centered Leadership: A Conceptual Foundation*, Vanderbilt University, 2007

*A Framework for the Assessment of Learning-Centered Leadership*, Vanderbilt University, 2007

*Leading, Learning, and Leadership Support: Overview*, Center for the Study of Teaching and Policy, University of Washington, 2006

*Purposes, Uses, and Practices of Leadership Assessment in Education*, Center for the Study of Teaching and Policy, University of Washington, 2006

*A Wallace Perspective: Leadership for Learning: Making the Connections Among State, District and School Policies and Practices*, The Wallace Foundation, 2006



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# Helena School District: Principal Evaluation

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*Perspectives from:*

*Bruce Messinger, Superintendent, Helena School District*

*Tim McMahon, Principal, Helena School District*

## **Overview**

For the 2010-11 school year, 12 district administrators representing the elementary, middle, and high school levels, have piloted an online feedback process called the Vanderbilt Assessment for Leadership in Education (VAL-ED). VAL-ED was developed at Vanderbilt University using the Interstate School Leaders Licensure Consortium standards as the framework. The process was designed to provide a 360-degree perspective that includes feedback submitted through surveys from staff and supervisors to promote professional growth and development. The pilot information will be included as one component of the principal evaluation process.

## **Origins**

Helena School District (HSD) has been working to improve its principal evaluation system since spring 2009, although superintendent Bruce Messinger and principal Tim McMahon both noted that the district had been working to change the culture around educator evaluation for a decade. The recent effort, spearheaded by a group of principals and the superintendent's office, came after the realization that the district's current principal evaluation system did not facilitate useful feedback to principals. "We would hear principals regularly ask, 'Is there something I should be working on,' or 'Is there something I can do to get better?' I think we did a fair job of identifying strengths, but I certainly don't think our evaluative process was very good at identifying things to work on," Messinger said. Feedback to principals often focused on student and teacher performance, but the evaluation process was not providing principals with focused, concrete steps for improvement. Messinger remembers thinking, "There must be a better way to do this." In addition, the evaluation process was mainly constructed around principals' self-identified professional goals, but it did not incorporate teacher or student feedback. According to McMahon, "We really did not have any input from those I would consider my constituents: the teachers that I work with, the students that I serve." A growing sense of urgency to address these problems led to the decision to pilot VAL-ED as the new principal evaluation system for the 2010-11 school year.

## **Process**

HSD's process of revamping its principal evaluation system was based on a positive change in the culture around educator evaluation. Both McMahon and Messinger agreed strongly that the new climate at HSD, in which trust and communication are two of the core values, grew out of HSD's development of a Professional Alternative Compensation Plan (PACP) for teachers. The successful labor-management collaboration involved in creating PACP (implemented in the 2004-05 school year) rested on the district's use of a carefully crafted consensus negotiation process between the teachers' union and the district.

The trust and communication fostered by the consensus negotiation process was a strong factor in the decision to redesign the principal evaluation system. According to McMahon, this process “was the beginning of trust between teachers and administrators . . . and continued to build the desire to get the teachers’ voice into [principal] evaluation . . . we needed to hear ‘what do you think?’” Both Messinger and McMahon were careful to note that the process of agreeing on a new principal evaluation system was not a formal one, since the district does not have an administrators’ union. But collaboration was possible because of HSD’s commitment to a culture in which there was trust and a desire among educators to receive meaningful and constructive feedback.

## **Recommendations**

Messinger highlighted *process* as a key to successful labor management. “Process matters, Messinger said, adding that HSD’s culture of collaborative governance, along with its use of the consensus negotiation process, results in greater ownership and buy-in from stakeholders than a hierarchical decision-making process. In one stage of the consensus process, participants state the “best possible outcomes,” which helps to establish a shared priority. From McMahon’s point of view, “Once you’ve reached consensus on shared priorities [or best possible outcomes], everything else is easy, because everything else we do feeds those shared priorities.”

# **Helena Education Association and Helena Public Schools**

**Consensus Negotiations  
&  
Professional Compensation  
Alternative Plan (PCAP)**

# Introduction

Helena's Consensus Negotiations

and

Professional Compensation Alternative Plan  
(PCAP)

Dr. Bruce Messinger - Superintendent, Helena Schools

Tammy Pilcher - President, Helena Education Association

Don Jones - Trustee, Helena School Board

Larry Nielsen - Field Consultant, MEA-MFT

# History

- Bargaining History:

- Collective Gaining (late 70's to 1993)

- Traditional Bargaining (1993-96)

- Interest Based Bargaining (1996-2002)

- Consensus Negotiations (2002-Present)

- Ongoing Bargaining (2007-Present)

# District Climate / Leadership

- Low Trust and Confrontational Since 1993
- Stability of District Leadership
  - Board of Trustees
  - Superintendent
  - Central Administration
- New HEA Leadership
- Opportunity for Change
- Commitment from HEA & Board of Trustees
- High Level Risk
- District Encouraged HEA to Consensus Negotiations
- All Trustees agreed to participate

# Consensus Process

- Interviews (Occur prior to first meeting)
- Grounding
- Greeting Circles
- Review of History / Decision Making
- Worst Fears
- Best Possible Outcomes
- Strategies to achieve Best Possible Outcomes
- Closing
- Collective Statements
- Small Group Work
- Committee Work

# What Happens

- Perspectives are shared
- Relationships are built
- Commonalities emerge



# Process of Alternative Compensation

- Alternative Compensation Committee Completes Plan in Ten Months
- Compensation plan changed from an educational tiered system to a single ladder with stipends.
- Alternative Compensation Committee Plan is reviewed, revised and finalized.
- Short & Long term cost analysis conducted by District and outside source. (Augenblich, Palaich & Associates – Denver)
- Finalized plan is presented to educators and community.

# Components of PCAP

- Career Development Plan
- Professional Service Commitments
- Positive Evaluation



# Resources

## Collective Bargaining Agreement

<http://www.helena.k12.mt.us/staff/helenaed/document/index.dhtm>

## PCAP Booklet and Information

<http://www.helena.k12.mt.us/district/departme/personne/pcapinfo/index.dhtm>



## Helena Public Schools

55 South Rodney  
Helena, MT 596015763  
County Name - Lewis & Clark

2009-2010 Student Enrollment - 8148

### Teacher Evaluation

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1) Where is the formal written evaluation process for teachers defined?

**Answer** – Collective bargaining agreement

2) How often are non-tenured teachers required to receive a formal written evaluation?

**Answer** - Annually

3) How often are tenured teachers required to receive a formal written evaluation?

**Answer** - Annually

4) Check all components that are utilized in the teacher evaluation instrument. **X indicates selected answer(s)**

- Rating scale
- Evaluation rubric
- Standards based evaluation
- Teacher Reflection/self-evaluation
- Peer Evaluation
- Other –

5) Please describe how the district uses the results in making decisions relating to teacher development, compensation, promotion, retention, and removal.

**Answer** - Used for compensation, promotion, retention and removal.

6) Does the system used by the district to evaluate the performance of teachers include student achievement outcomes or student growth data as an evaluation criterion?

**Answer** - No

7) Do the district’s teachers receive an overall performance rating or level as part of the formal evaluation process? An example of performance level names would be: Ineffective, Effective, Highly Effective.

**Answer** - No

8) If you Answered Yes to question 7 above, does your system publicly report the number and percentage of teachers at each performance level?

**Answer** -

## **Principal Evaluation**

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1) Where is the formal written evaluation process for principals defined?

**Answer** - Determined by a collaborative effort of district and school leadership

2) How often are non-tenured principals required to receive a formal written evaluation?

**Answer** – Annually

3) How often are tenured principals required to receive a formal written evaluation?

**Answer** - Annually

4) Which of the following components are utilized in the principal evaluation instrument? **X indicates selected**

**answer(s)**

**X** Rating scale

**X** Evaluation rubric

**X** Evaluator narrative

**X** Standards based evaluation

**X** Principal reflection/self-evaluation

Other-

5) Please describe how the district uses the results in making decisions relating to principal development.

**Answer** - Used for principal development, retention and removal.

6) Does the system used by the district to evaluate the performance of principals include student achievement outcomes or student growth data as an evaluation criterion?

**Answer** - Yes

7) Do the district's principals receive an overall performance rating or level as part of the formal evaluation process? An example of performance level names would be: Ineffective, Effective, Highly Effective.

**Answer** - Yes



# Montgomery County Public Schools: Principal Evaluation

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*Perspectives from:*

*Rebecca Newman, President, Montgomery County Association of Administrators and Principals  
David Steinberg, Director, Administrative & Supervisory Professional Growth System*

## **Overview**

Evaluation is an integral part of Maryland’s Montgomery County Public School’s (MCPS) professional development (PD) system. The PD system for principals, the Administrative and Supervisory Professional Growth System (A&S PGS), is supported by six standards that have been adapted from the Interstate School Leaders Licensure Consortium (ISLLC) standards. One of these standards focuses on evaluation. Each standard delineates specific performance criteria including evidence of student learning and a series of descriptive examples. Principals are evaluated formally on a cyclical schedule, but they must also participate in a formative annual review on non-evaluation years. On formal evaluation years, principals receive a summative rating in the form of “meets standard” or “does not meet standard.” The A&S PGS uses multiple measures in its evaluative component.

## **Origins**

The origins of the collective bargaining agreements pertaining to A&S PGS extend back to the 1990s when MCPS first incorporated the concept of “continuous improvement” into its professional development system. Although all of the district’s stakeholders were invited to participate in the process, district officials were unsure how best to formalize the evaluation process for staff. In the mid-1990s, with support from the National Mediation Board, the district’s three major employee unions—the Montgomery County Association of Administrators and Principals (MCAAP), the Montgomery County Association of Education (MCEA), and the local Service Employees International Union (SEIU) chapter—agreed to use interest-based bargaining as their primary negotiation method. This approach led to a new era of collaboration, and in 2003 the district superintendent agreed that MCPS would negotiate salaries and benefits with all three of the major unions at the same bargaining table. As Rebecca Newman, president of MCAAP, recalled, “We looked at ourselves as 22,000 employees jointly negotiating with MCPS for the best deal for all employees.”

This collaborative climate helped lay the groundwork for successful interest-based negotiation around MCPS’s A&S PGS. The evaluative components of the A&S PGS were based on the evaluative components of the Teacher Professional Growth System (TPGS). First piloted in 1999, the TPGS relies on the district’s Peer Assistance and Review program in its approach to evaluation. The A&S PGS and TPGS were both designed to foster a “professional learning community built on trust and mutual respect” (*A&S PGS Handbook*, 3). “We all agreed that our primary focus was student success,” Newman said, “and that we wouldn’t support

underperforming employees, no matter what position, because that had a negative impact on children.”

## **Process**

Using an interest-based process designed to build trust among stakeholders and constituents, MCPS began developing the A&S PGS in spring 2002. Two task groups, a Steering Committee and a Design Team, both comprised of teachers, principals, support staff, and community representatives, constructed six standards, each with its own performance criteria and descriptive examples. During the 2003-04 school year, the Design Team continued its work in developing the six standards. According to Steinberg, every one of the nearly 900 administrators in the district was invited to weigh in on the wording. After the standards were finalized, the district then implemented the system during the 2004-05 school year.

The evaluative components of the A&S PGS were also developed using interest-based negotiation. Steinberg said, “We wanted it to be more than an evaluation system, with just as much focus on *developing* as on *evaluating*.” Newman agreed, noting that “you have got to demonstrate that you are doing everything you can to help [struggling educators] be successful, and it’s not all for them; it’s also for their peers who are watching and want to know if you are serious about supporting them.” Newman and Steinberg’s statements underscored their belief that the evaluative component of the A&S PGS depended on a commitment to high quality PD.

The summative, high-stakes aspect of the evaluation was, of course, a particularly sensitive part of the negotiations. The new “meets standard” or “does not meet standard” rating scale was troublesome for some administrators. Steinberg said, “With no middle ground, some administrators were concerned that it would be more difficult to demonstrate they were meeting the standard.” According to Steinberg, the major factor that helped resolve this issue was the addition of the “consulting principal”—a peer who was expected to support underperforming principals, and who would play a central role in the evaluative process. With peers making independent judgments about one’s performance, administrators were more likely to trust the new system of “meets standard” or “does not meet standard.”

## **Recommendations**

Steinberg and Newman agreed strongly that the first step in developing a robust and sustainable evaluation system is to reach agreement on the standards of great teaching and learning. “You need to have a common language for the features of quality work: what are the ‘look-fors’ that tell you that this is quality instruction,” Steinberg said. The next step, according to Newman, is to create structures and processes to facilitate agreement around this common language. Both Steinberg and Newman reported that interest-based bargaining has been a useful tool for MCPS in convening multiple stakeholders and reaching consensus. In addition, both cautioned against jumping directly to sensitive issues. “Do something simple before you do something really hard, like tying evaluation to student performance,” Newman said. “Don’t go there yet. Build the capacity of your teachers and the scores will come.”

# LEADERSHIP STANDARDS, CRITERIA, AND DESCRIPTIVE EXAMPLES

## PRINCIPALS

The six leadership standards that have been established for the Administrative and Supervisory Professional Growth System (A&S PGS) are further defined by performance criteria for the purpose of supporting all components of the A&S PGS. These components include attracting, recruiting, mentoring, developing, evaluating, and recognizing. Descriptive examples of what a principal might be doing in order to meet a specific standard and

its criteria are provided. The purpose of the descriptive examples is to create a sample picture of what being a principal looks like when it meets or does not meet the MCPS standards. **These descriptive examples are not intended to isolate behaviors in a checklist or to suggest that every principal is expected to be doing everything that is described.** They define a range of behaviors and are intentionally designed to reflect a high standard of performance.

## STANDARD I:

**The principal is an educational leader who promotes success for all students as he/she facilitates the development, articulation, implementation, and stewardship of a vision of teaching and learning that is shared and supported by the school community.**

### Performance Criteria

1. The principal provides leadership and facilitates a shared vision of teaching and learning that supports achievement for all students.
2. The principal ensures that the shared vision is developed, articulated, and implemented in a collaborative process that involves all stakeholders.
3. The principal facilitates the development of the leadership capacity of stakeholders to share the responsibility of the work of the school improvement process toward the realization of the vision.
4. The principal ensures that the school improvement process is aligned with MCPS strategic plan, and is based upon data.
5. The principal aligns programs, practices, and resources to support the teaching and learning process.
6. The principal facilitates an ongoing collaborative process to monitor, evaluate, and revise programs and practices based upon multiple sources of data.
7. The principal fosters a shared commitment to high standards of teaching and learning with high expectations for achievement for all.

### Examples of evidence of facilitation, articulation, implementation, and monitoring

*The principal—*

MEETS STANDARD	DOES NOT MEET STANDARD
Facilitates an annual, collaborative process for developing and refining the school's vision of high standards of teaching and learning with all stakeholders	Does not have a collaborative process in place for annual review of the vision; discourages or ignores stakeholder input
Establishes practices which keep the school's vision in the forefront in collaborative decision making; engages the community in supporting student learning	Neither establishes nor maintains practices which keep the school's vision in the forefront in collaborative decision making; rarely or never engages the community in supporting student learning
Uses relevant demographic and achievement data in developing the vision	Rarely or never uses relevant demographic and achievement data in developing the vision

MEETS STANDARD	DOES NOT MEET STANDARD
Develops a plan for clearly articulating the objectives and strategies supporting the vision to all stakeholders	Does not develop a plan for clearly articulating the objectives and strategies supporting the vision to all stakeholders
Ensures that the vision is presented to and discussed with parents and the community in a variety of ways (e.g., back-to-school night, the school's website, monthly PTA meetings and other parent and community forums, parent newsletters and other written formats)	Communicates rarely or incompletely with parents and the community regarding the vision; uses limited methods to communicate the vision
Ensures that the vision is presented to and discussed with staff in a variety of ways (e.g., pre-service day training sessions, staff meetings, team discussions, teacher conferences, staff bulletins, and electronic communications with staff)	Communicates rarely or incompletely with staff regarding the vision; uses limited methods to communicate the vision
Ensures that the vision is communicated to students in age-appropriate language and is visible throughout the school	Communicates rarely or incompletely with students regarding the vision; does not use age-appropriate language to communicate the vision to students; does not ensure that the vision is visible throughout the school
<p>Communicates key beliefs about student learning to students, staff, and parents:</p> <ul style="list-style-type: none"> <li>• Learning is important</li> <li>• All students can learn</li> <li>• We must not give up on students and their learning</li> <li>• Effective effort leads to student achievement</li> </ul>	Sends messages to students, staff, and parents that do not support student learning; communications convey that these messages are important for some groups, but not others
Works with all stakeholders to establish clear and measurable goals for student learning	Rarely or never works with all stakeholders to establish goals that are clear and measurable
Ensures that all stakeholders have the necessary knowledge and skills to develop, implement, and monitor the school improvement plan and goals	Allows stakeholder participation in development, implementation, and monitoring of the school improvement plan without providing necessary information or training to them
Convenes the school improvement process team in accordance with MCPS procedures; establishes agendas that focus on the school's vision and MCPS strategic plan	Inadequately implements MCPS procedures regarding the school improvement process; rarely or never establishes agendas that focus on the school's vision and MCPS strategic plan
Monitors, evaluates, and revises the school's improvement process plan on an ongoing basis; revises school goals collaboratively using MCPS strategic plan at all stages	Neither monitors, nor evaluates, nor revises the school's improvement process plan; rarely or never uses a collaborative process to revise school goals; pays limited or no attention to MCPS strategic plan when monitoring, evaluating, or revising the school's improvement process plan
Analyzes and presents data from a variety of sources as they relate to student achievement and school improvement	Rarely or never analyzes nor presents data

MEETS STANDARD	DOES NOT MEET STANDARD
Works collaboratively with stakeholders to develop a process to overcome the obstacles to achieving the school's vision of high standards of teaching and learning	Rarely or never works collaboratively with stakeholders to develop a process to overcome obstacles to achieving the school's vision of high standards of teaching and learning; allows obstacles to interfere with teaching and learning
Uses a variety of methods to communicate progress with stakeholders about practices and accomplishments. Monitors instructional programs regularly for alignment with MCPS strategic plan	Rarely or never communicates progress about practices and accomplishments with stakeholders. Rarely or never monitors instructional programs for alignment with MCPS strategic plan
Ensures that programs and learning opportunities are available for all students	Allows practices that inhibit students from participating in programs and learning opportunities
Uses input from staff and other stakeholders regarding curriculum implementation, schedule modifications, and other resources to support high standards for teaching and learning	Resists efforts by staff and other stakeholders to provide input regarding curriculum, schedule modifications, or other resources
Schedules time throughout the school year for stakeholders to evaluate, reflect on, and revise their assumptions, beliefs, and practices of teaching and learning	Rarely or never schedules time for stakeholders to evaluate, reflect on and revise their assumptions, beliefs, and practices of teaching and learning
Identifies and provides human and material resources, based on the school's allocation, to achieve the school's vision of high standards for teaching and learning	Neither identifies nor provides human and material resources to achieve the school's vision of high standards for teaching and learning
Provides opportunities during the school year for staff to participate in professional development specifically tied to the school's vision and MCPS strategic plan	Rarely or never provides opportunities for staff to participate in professional development specifically tied to the school's vision and MCPS strategic plan

## STANDARD II:

**The principal is an educational leader who promotes success for all students as he/she nurtures and sustains a school culture of professional growth, high expectations and an instructional program conducive to student learning and staff professional growth.**

### Performance Criteria

1. The principal demonstrates and promotes high expectations for the achievement of all students.
2. The principal promotes a school climate focused on teaching and learning.
3. The principal articulates, supports, and monitors the effective implementation of curriculum, assessment, and instruction—all of which are evidenced in student outcomes.
4. The principal leads the continuous improvement of instruction through a collaborative, data-driven analysis of student learning.
5. The principal encourages the use of adult learning concepts and professional development processes to build a professional learning community.
6. The principal cultivates a school climate that values intellectual curiosity and recognizes the diverse needs and strengths of learners.
7. The principal ensures that the professional growth systems for all staff are implemented with quality.

## Examples of evidence of high expectations for student learning and staff professional growth

*The principal—*

MEETS STANDARD	DOES NOT MEET STANDARD
Encourages all students to excel; evidence of recognition of student work and academic progress is visible in classrooms and hallways (e.g., posting of student honor roll); contributions of students from diverse backgrounds are displayed	Rarely or never encourages all students to excel; does not ensure that evidence of recognition of student work and academic progress is visible; allows contributions of only some groups of students to be displayed
Interprets and communicates MCPS assessment targets for the school and monitors instruction in support of attainment of the targets for all groups of students (e.g., racial/ethnic group membership, gender, disabilities, socioeconomic background, English language fluency)	Inadequately interprets and communicates MCPS assessment targets for the school; rarely or never monitors instruction in support of attainment of the targets for all groups of students
Creates and maintains a school climate that encourages students and staff to take intellectual risks (e.g., participate freely in discussions, offer opinions, brainstorm solutions, respect others' views)	Allows a school climate that discourages students and staff from taking intellectual risks
Uses a multiyear process to monitor the school's progress over time in meeting state and county performance standards such as attendance, graduation rates, and assessments included in the system of shared accountability	Does not have a multiyear process in place to monitor the school's progress over time in meeting state or county performance standards
Uses classroom observations and monitors formative assessment data to ensure that teachers use flexible grouping practices	Neither uses classroom observations nor monitors formative assessment data; allows teachers to avoid using flexible grouping practices
Ensures that staff meetings and other professional development opportunities focus on issues of student achievement	Allows staff meetings and other professional development opportunities to focus on topics that are not tied to student achievement
Obtains feedback from stakeholder groups in a variety of ways; uses feedback to improve school climate	Uses limited methods to obtain feedback; rarely or never uses feedback to improve school climate
Monitors staff discussions, reflection upon, and implementation of the practices and strategies of skillful teaching	Neither monitors staff discussions, nor reflections upon, nor implements the practices and strategies of skillful teaching
Holds teachers accountable for employing a variety of instructional strategies to respond to the diverse learning needs and strengths of students	Does not hold teachers accountable for employing a variety of instructional strategies to respond to the diverse learning needs and strengths of students; allows teachers to use a limited number of strategies
Exhibits skill in Observing and Analyzing Teaching (OAT) language, format, and principles in classroom observations, conferences, and monitoring curriculum implementation; provides focused feedback to teachers	Does not exhibit skill in OAT language, format, and principles in classroom observations, conferences, and monitoring curriculum implementation; does not provide focused feedback to teachers
Works with school leaders (e.g., leadership team, resource teachers, grade level/team leaders, exemplary teachers, staff development teacher (SDT), reading specialist, math content coach) to monitor curriculum implementation and provide feedback to teachers	Rarely or never works with school leaders to monitor curriculum and provide feedback to teachers

MEETS STANDARD	DOES NOT MEET STANDARD
Maximizes instructional time; limits disruptions to instructional time (e.g., announcements, visitors, assemblies, meetings, noise in hallways or outside school)	Allows announcements, visitors, or outside events to consume instructional time
Uses formal and informal classroom visits to monitor instruction, observe student behavior, and monitor student learning	Rarely or never uses formal and informal classroom visits to monitor instruction, observe student behavior, and monitor student learning
Ensures that formative and summative assessments are aligned with curriculum and instruction	Allows formative and summative assessments to be used that are not well aligned with curriculum and instruction
Monitors staff participation in curriculum-related staff development and in-service training	Rarely or never monitors staff participation in curriculum-related staff development and in-service training
Articulates to parents/community the importance of teacher participation in professional development for effective classroom instruction and curriculum implementation	Rarely or never communicates to parents/community the importance of teacher participation in curriculum-related professional development
Maintains knowledge of research on good teaching practices and how they promote student achievement	Makes limited or no effort to maintain knowledge of research on good teaching practices
Analyzes and responds to a variety of data on student progress and achievement (e.g., report card grades, formative assessments, end-of-course exams, achievement tests results) for all groups of students	Neither analyzes nor responds to data on student progress and achievement; bases analyses and responses on only limited data sources; analyzes and responds to data for the school as a whole, not for separate groups
Uses available technology (e.g., data warehouse, SIMS, IMS) to monitor curriculum implementation and student progress; holds resource teachers and team leaders accountable for understanding and using technology for data analysis	Rarely or never uses available technology to monitor curriculum implementation and student progress; allows resource teachers and team leaders to avoid using technology for data analysis
Provides opportunities for staff to analyze and discuss multiple sources of data and information to monitor student achievement and plan for improvement (e.g., professional development, staff meetings, evaluation conferences)	Rarely or never provides opportunities for staff to analyze and discuss multiple sources of data and information to monitor student achievement and plan for improvement
Shares student progress/achievement data with parents and the community, and solicits input from them regarding improvement	Shares neither student progress nor achievement data with parents and the community; rarely or never solicits input from parents and the community
Works with the staff development teacher (SDT) to provide job-embedded staff development to teachers through a variety of methods (e.g., staff meetings, peer visits with reflection, SDT training sessions, study groups, action research, professional development days)	Rarely or never works with the staff development teacher, or works in a limited way to provide job-embedded staff development to teachers
Provides opportunities for faculty discussions of and reflections on research on teaching and learning	Rarely or never provides opportunities for faculty to meet, discuss, or share

MEETS STANDARD	DOES NOT MEET STANDARD
Motivates staff to learn and pursue effective practices that focus on student learning; provides opportunities for staff to pursue professional growth	Shows little or no concern in motivating staff to learn and pursue effective practices that focus on student learning; rarely or never provides opportunities for staff to pursue professional growth; does not provide staff with information about opportunities
Ensures that mentoring opportunities are available for staff new to the school; provides support for staff in need of assistance	Does not make mentoring opportunities available to new staff; rarely or never provides support for staff in need of assistance
Solicits input from teachers and the school leadership team regarding their professional development needs and design of professional development days	Rarely or never solicits input from teachers and the school leadership team; or solicits feedback from selected members only
Makes appropriate and effective use of the Peer Assistance and Review (PAR) process in referrals and implementation; monitors the PAR process for teachers who are served by it	Makes inappropriate and ineffective use of PAR in referrals or implementation; rarely or never monitors the PAR process for teachers being served
Works with the SDT to ensure that each staff member has an appropriate professional development plan (PDP); monitors individuals' progress toward PDP goals	Does not work with the staff development teacher to ensure that each staff member has an appropriate PDP; rarely or never monitors individuals' progress toward PDP goals
Solicits input from and collaborates with special program staff (e.g., accelerated/enriched instruction, special education, ESOL) to acquire resources such as materials and model lessons to meet the diverse learning needs and strengths of students	Neither solicits input from nor collaborates with special program staff to meet the diverse learning needs and strengths of students

### STANDARD III:

**The principal is an educational leader who promotes success for all students as he/she ensures the management of the organization, operations, and resources for a safe, efficient, and effective learning environment.**

#### Performance Criteria

1. The principal mobilizes people and coordinates efforts to improve educational and support practices to achieve targeted results.
2. The principal develops and supervises efficient processes in order to maximize time for instructional leadership.
3. The principal manages human and material resources to cultivate and support a safe and healthy school environment.
4. The principal ensures that resources are aligned with the school improvement plan and the strategic plan of the school system.
5. The principal builds the capacity of the organization and staff to respond to the needs of students in a rapidly changing school environment.

#### Examples of evidence of management of processes, practices, and resources

*The principal—*

MEETS STANDARD	DOES NOT MEET STANDARD
Uses a research-based, systemic process (e.g., Framework for Teaching and Learning, Baldrige, ten-step process, etc.) with MCPS look-fors to guide continuous improvement; ensures that the process is ongoing	Plans for school improvement without attention to research or systemic processes; process is sporadic
Implements processes to supervise staff effectiveness on established performance criteria	Rarely or never implements established processes
Develops individuals or teams to handle key aspects of school management	Does not develop management skills among the staff
Delegates responsibilities to a variety of appropriate staff	Does not delegate responsibilities; delegates responsibility only to a limited few
Effectively implements established testing protocols	Inadequately implements testing protocol; inadequately addresses violations of protocol
Supports a master schedule with a balanced program of learning opportunities for all students; monitors assignment of students to classes/staff that best meet students needs	Accepts a master schedule that limits learning opportunities; does not monitor assignment of students to classes/staff
Organizes instructional teams/support groups to meet student needs	Rarely or never organizes instructional teams/support groups to meet student needs
Selects and develops instructional team leaders who have the capacity to motivate others, make decisions, and create change; cultivates leadership from within the school's staff	Selects team leaders who lack essential leadership or motivational skills; does not provide opportunities for leadership development within the school's staff
Actively participates on the school improvement team; selects representative stakeholders (balanced for diversity) to develop and monitor the school improvement plan (SIP)	Is not actively involved in the school improvement team; creates a team that does not include representative stakeholders; fails to monitor the school improvement process
Evaluates programs in the school for their relevance to the SIP; uses available data from countywide and school-based assessment as a form of continual program evaluation	Accepts programs into the school without evaluating their relevance to the SIP; does not use available data to evaluate programs
Uses technology tools (e.g., spreadsheets, scheduling software, financial software, behavior management software, the data warehouse) to manage school operations and streamline tasks	Rarely or never uses technology tools to manage operations and streamline tasks
Communicates to all stakeholders and implements clear and comprehensive attendance and behavior management processes that result in increased teaching and learning	Neither communicates nor implements clear and comprehensive attendance and behavior management processes; attendance and behavior issues interfere with classroom instruction and learning
Uses the administrative and management support services provided by MCPS (e.g., data warehouse, transportation services, food services, employee assistance, human resources, staff development)	Rarely or never uses the administrative and management support services provided by MCPS

MEETS STANDARD	DOES NOT MEET STANDARD
Develops and communicates clear expectations and responsibilities for staff in responding to school safety and student discipline matters	Neither develops nor communicates clear expectations or responsibilities for staff in responding to school safety and student discipline matters
Communicates relevant and timely information regarding school safety and discipline to students, parents, and the school community in regular correspondence (e.g., newsletters, school bulletins, meetings) in necessary translations	Communicates rarely or incompletely to students, parents, and the school community regarding matters of school safety and discipline
Ensures that emergency drills (e.g., fire, code blue, code red) are conducted in conformance with regulations provided by the Montgomery County Fire Marshal	Does not comply with emergency drill regulations
Forms, trains, and meets with an on-site emergency team (OSET); implements effective emergency/crisis plans	Neither forms, nor trains, nor meets regularly with OSET; inadequately implements emergency/crisis plans
Establishes processes for, provides direction to, and delegates responsibilities to building services and security staff (if applicable) to maintain a clean and safe building	Does not ensure that building services and security staff are clear on their responsibilities; allows building and grounds to deteriorate; inadequately monitors the implementation of safety procedures
Ensures that staff monitors immunizations, blood safety, and health regulations; communicates with staff regarding health issues	Rarely monitors implementation of health/safety regulations; does not communicate with staff regarding health issues
Ensures that staff members monitor bus schedules, loading, and unloading	Does not ensure that bus loading and unloading are consistently monitored
Maintains the integrity of designated positions (e.g., staff development teacher, math content coach)	Uses designated positions to fulfill other school responsibilities
Prioritizes funding allocations (human and material) to support the instructional program and school improvement goals	Allows funding allocations to be used for purposes that do not support the instructional program and school improvement goals
Identifies resources (e.g., grants, business partners, volunteers) to support the SIP goals	Does not pursue resources outside MCPS to support the SIP goals
Recognizes the evolving needs of the school (e.g., changes in the student population, condition of the physical plant) and plans to address these needs	Rarely or never plans to address evolving needs
Applies change theory principles to support collaborative decision making (e.g., forming task forces, identifying leadership in staff and the school community, establishing an action plan with timelines)	Rarely or never applies change theory principles to support collaborative decision making
Provides structures and processes that promote effective communication and timely resolution of conflicts; establishes and maintains regular procedures whereby students and stakeholders are able to communicate concerns	Does not provide structures and processes that promote effective communication and timely resolution of conflicts; neither establishes nor maintains regular procedures whereby students and stakeholders are able to communicate concerns

## STANDARD IV:

**The principal is an educational leader who promotes success for all students as he/she collaborates with the school staff and other stakeholder groups including students, families, and community members.**

### Performance Criteria

1. The principal ensures the involvement of staff and other stakeholder groups including students, families, and community members in continuous improvement processes and decision making.
2. The principal embraces and uses available family and community resources to provide support and achieve school goals.
3. The principal encourages and develops collaborative partnerships to strengthen programs and support school goals.
4. The principal identifies, nurtures, and includes stakeholders from diverse backgrounds and ethnicities in the work and culture of the school.
5. The principal recognizes individual and group differences and treats all stakeholders with respect.

### Examples of collaboration with school staff and other stakeholder groups

*The principal—*

MEETS STANDARD	DOES NOT MEET STANDARD
Involves professional and supporting services staff in decision-making and continuous improvement processes	Rarely involves professional and supporting services staff in decision-making and continuous improvement processes
Presents information to staff and solicits feedback through a variety of methods (e.g., staff meetings, work groups, team meetings, department meetings) prior to making changes to existing programs/processes or prior to adopting new ones	Rarely or never presents information to or solicits feedback from staff prior to making changes to existing programs/processes or adopting new ones
Solicits input from stakeholder groups through a variety of methods (e.g., focus group discussions, study circles, advisory groups, meetings with parents and the school community) to identify and solve problems and achieve school goals	Uses limited methods to solicit input
Ensures that the school improvement plan (SIP) team membership includes all stakeholder groups; stakeholders are present at meetings and actively involved; periodic reviews of the SIP contain evidence of this involvement (e.g., agendas, attendance rosters, minutes, observations of meetings)	Establishes an SIP team that does not represent all stakeholder groups; attendance of several stakeholders is limited; stakeholders who attend do not participate actively in meetings
Utilizes valid data from staff, student, and parent school surveys such as environment, Baldrige, and others to celebrate successes and engage in problem-solving with staff and other stakeholders	Does not share valid, complete data from staff, student, and parent school surveys such as environment, Baldrige, and other surveys with all staff and other stakeholders. Does not allocate time for discussion of the data. Fails to establish any process for involving school staff, parents, or students in using survey data to make changes in school structure, plans, or processes
Recruits and works toward retaining staff who reflect the diversity of the MCPS community	Makes limited or no attempts to recruit and retain diverse staff members

MEETS STANDARD	DOES NOT MEET STANDARD
Recruits and works toward retaining school leadership team membership that reflects the diversity of the MCPS community	Makes limited or no attempts to recruit and retain diverse members of the leadership team
Establishes a multi-faceted program of community relations; uses a variety of recruitment strategies to invite active participation from representative community members	Establishes a minimal program of community relations; uses limited strategies to recruit community members for school activities; relies on input from a limited number of community members
Ensures that stakeholder meetings are held at times and in locations that make them easily accessible to all	Schedules meetings at times and in locations that interfere with the attendance of all stakeholders
Communicates with stakeholders and articulates trends that affect the community through a variety of methods (e.g., networking meetings with parents, newsletters, bulletins, e-mail, web pages); provides communications in the predominant language(s) used in the community	Relies primarily on written communication; rarely or never provides communications in the predominant language(s) used in the community
Maintains high visibility in the community by reaching out to and supporting the community (e.g., via Office of Special Education and Student Services, PTA/other parent advocacy groups, other community organizations)	Rarely or never reaches out to or supports the community
Articulates a clear process for using outside resources to foster student achievement; solicits funds/ seeks grants from a variety of sources (e.g., community, civic groups, local government, business foundations) to support SIP goals and initiatives	Rarely or never communicates a clear process for using outside resources to foster student achievement; rarely or never solicits funds to support SIP goals and initiatives
Collaborates with community agencies to acquire health, social, or other services that students need; refers families to community agencies as needed	Rarely or never collaborates with community agencies to acquire services or make referrals
Establishes partnerships with business and community groups to obtain financial support, materials, and mentors for students and staff	Does not establish partnerships with business and community groups to obtain financial support, materials, and mentors for students and staff
Establishes partnerships with higher education institutions to foster professional development of staff and mentors for students and staff	Does not establish partnerships with higher education institutions
Accepts opportunities to pilot community-based programs or participate in research (if applicable)	Resists efforts by community groups to pilot programs or conduct research in the school
Invites community and business groups into the school for a variety of activities (e.g., volunteering in classes, participating in career days and speaking engagements, providing mentors for service learning and internships)	Rarely or never invites community and business groups into the school to participate in activity
Establishes parent/community groups to obtain information about family and community concerns, expectations, and needs applicable to the work and culture of the school; uses information obtained to address the needs of different groups (e.g., special education, gifted/talented, ESOL)	Rarely or never obtains or uses information from the community

MEETS STANDARD	DOES NOT MEET STANDARD
Respects all groups and their priorities; treats all stakeholders equitably; responds equitably to parent, student, staff, and community concerns	Responds to some stakeholder groups more favorably than others
Responds to community requests (e.g., resources, problem solving, use of the building and grounds)	Does not respond to community requests
Recognizes and celebrates differences in cultures through student work/displays	Rarely or never displays student work representing different cultures
Communicates with all stakeholders in a timely and open manner	Communicates with only some stakeholders; rarely or never communicates in a timely manner; communicates partial information to stakeholders
Treats all stakeholders fairly, equitably, and with dignity and respect	Displays disrespectful behaviors; displays different behaviors toward different groups

## STANDARD V:

**The principal is an educational leader who promotes success for all students as he/she models professionalism and professional growth in a culture of continuous improvement.**

### Performance Criteria

1. The principal establishes trust and demonstrates openness and respect in relationships and decision-making processes.
2. The principal seeks and uses feedback and reflects on his/her leadership and the impact it has on other stakeholders.
3. The principal establishes collaborative processes that promote cooperation among diverse groups working together to develop and accomplish common goals.
4. The principal demonstrates values, beliefs, and attitudes that inspire others.
5. The principal demonstrates commitment to continuous improvement for students, staff, and self.
6. The principal uses data from a variety of sources to assess professional growth and continuous improvement.

### Examples of evidence of modeling professionalism and professional growth

*The principal—*

MEETS STANDARD	DOES NOT MEET STANDARD
Demonstrates a personal and professional code of ethics (e.g., core values and beliefs such as honesty and integrity) in formal and informal settings	Acts regardless of common standards of ethical, professional behavior/allows personal feelings to interfere with professional code of ethics and core values
Models lifelong learning and encourages lifelong learning in others	Rarely or never seeks out opportunities to learn; does not encourage lifelong learning in others
Communicates key beliefs about student learning to staff, students, and parents: <ul style="list-style-type: none"> <li>• Learning is important</li> <li>• All students can learn</li> <li>• We must not give up on students and their learning</li> <li>• Effective effort leads to student achievement</li> </ul>	Sends messages to students, staff, and parents that do not support student learning; communications convey that these messages are important for some groups, but not others

<b>MEETS STANDARD</b>	<b>DOES NOT MEET STANDARD</b>
Establishes a process whereby stakeholder input is collected, analyzed, and used for continuous improvement	Does not have a process for collecting and analyzing stakeholder input for continuous improvement
Solicits, listens to, and acts on input from stakeholders individually and in groups (e.g., through conferences, meetings, surveys, e-mails, telephone calls)	Rarely or never solicits, listens to, or acts on input from stakeholders; is unavailable and/or unresponsive to stakeholders
Ensures the participation of all stakeholders in development, implementation, evaluation, and revision of the school improvement plan (SIP)	Rarely or never involves stakeholders in examination of the SIP; involves only some groups in examination of the SIP
Seeks out representation from all stakeholder groups to participate in the process of decision making	Does not seek out representation from all stakeholder groups
Facilitates a climate in which staff input and innovation are encouraged and valued	Discourages or ignores staff input and innovation
Establishes opportunities for departments, teams, and individuals to meet, reflect, and have input on significant school decisions	Establishes few or no opportunities for staff to meet, reflect, and have input on significant school decisions
Creates opportunities for staff to assume leadership roles in the school	Limits opportunities for staff to assume leadership or expanded roles in the school
Motivates staff toward high levels of performance	Rarely or never motivates staff toward high levels of performance
Models respectful behaviors; monitors that respect is pervasive among staff, students, and the school community	Displays disrespectful behaviors; displays different behaviors toward different groups
Protects the rights of confidentiality of individual students, staff, and parents	Violates or is careless about protecting confidentiality
Seeks out and uses feedback from colleagues and stakeholders to evaluate the impact of his/her own administrative practice; reflects on how to improve processes; identifies personal goals in a professional development plan (PDP)	Neither seeks out nor acts on feedback; seeks but does not act on feedback; sets personal goals regardless of feedback
Demonstrates dedication, openness, integrity and ethical behavior and holds others to these norms	Rarely or never demonstrates dedication, openness, integrity and ethical behavior; does not hold others to these norms
Analyzes school test data for evidence of continuous progress; identifies priorities and implements programs for his/her professional growth and that of staff	Does not analyze test data; analyzes data but implements programs for professional growth that are not connected to the data; analyzes the data but does not implement programs suggested by the data
Shares data from a variety of sources (e.g., achievement, student progress, attendance data) with staff, students, and the school community, and solicits suggestions for continuous improvement	Rarely or never shares data with staff, students, and the school community; rarely or never solicits suggestions for continuous improvement; solicits suggestions but does not act on them

MEETS STANDARD	DOES NOT MEET STANDARD
Meets professional obligations in a complete and timely manner (e.g., paperwork, deadlines)	Is often late in meeting professional obligations; submits incomplete and/or inaccurate reports
Participates in required school, cluster, and systemwide meetings; shares information obtained at meetings with school staff	Misses or arrives late to meetings; rarely or never shares information with school staff

## STANDARD VI:

**The principal is an educational leader who promotes success for all students as he/she understands, responds to, and influences the larger political, social, socioeconomic, legal, and cultural context.**

### Performance Criteria

1. The principal expands personal knowledge and develops abilities to respond to continuously changing political, social, cultural, and economic conditions that impact schools and the school system.
2. The principal develops and applies knowledge of policies, regulations, procedures, and laws.
3. The principal participates in the development of policies, programs, and budgets.
4. The principal advocates for students, staff, school community, and the school system.
5. The principal articulates the district's initiatives, influences their implementation, and participates in their continuous improvement.

### Examples of understanding, responding to, and influencing the larger political, social, socioeconomic, legal, and cultural context

*The principal—*

MEETS STANDARD	DOES NOT MEET STANDARD
Demonstrates knowledge of local, state, and national educational and cultural trends, current research, and best practices; applies this knowledge to the school's programs and operation	Creates and maintains school programs without consideration of local, state, or national educational/ cultural trends, best practices, or current research
Interprets and complies with MCPS policies, regulations and procedures, as well as local, state and federal mandates (e.g., special education, 504, search and seizure, <i>No Child Left Behind</i> )	Misinterprets and/or inadequately complies with MCPS policies, regulations and procedures, as well as local, state and federal mandates
Provides necessary information to ensure that students, staff, and the school community understand MCPS policies, regulations, and procedures, as well as local, state, and federal mandates	Rarely or never communicates with students, staff, and the school community to foster understanding of MCPS policies, regulations, and procedures as well as local, state, and federal mandates
Engages in the political and social life of the school community acting as a spokesperson for the needs of the school and the student population	Avoids invitations to address civic and community organizations. Does not know or interact with key stakeholders across the breadth of demographics in the school community
Balances participation in local, state, or national professional associations and organization activities with day-to-day school operations and responsibilities	Allows professional organization activities to supersede day-to-day school operations and responsibilities

MEETS STANDARD	DOES NOT MEET STANDARD
Holds membership in local, state, or national professional associations and organizations; participates in professional growth opportunities relevant to education (e.g., course work, workshops, conferences, research, study groups)	Maintains limited or no membership in professional organizations; rarely or never participates in professional growth opportunities relevant to education
Participates in local and state task forces or workgroups; works on development of programs, policies, or budgets	Rarely or never participates in local and state task forces or workgroups; rarely or never works on developing programs, policies, or budgets
Communicates knowledge of the budget process and its impact on the local school to students, staff, and the school community	Provides limited or inadequate communication about the budget process and its implications to students, staff, and the school community
Actively advocates on behalf of students, staff, and the school community for necessary resources to support the goals and objectives of the school (e.g., at meetings of the Board of Education, civic associations, professional organizations, county council, budget hearings)	Rarely or never advocates on behalf of students, staff, and the school community for necessary resources
Explains to students, staff, and the school community how the local school fits into the larger context of the school system	Provides limited or inadequate explanation to students, staff, and the school community about how the local school fits into the larger context of the school system
Involves students, staff, and the school community in working together to meet the goals of the school system's strategic plan	Rarely or never involves students, staff, and the school community in working together to meet the goals of the school system's strategic plan
Provides feedback about programs and initiatives to appropriate MCPS offices; serves on committees, task forces, and focus groups evaluating MCPS programs and initiatives	Rarely or never provides feedback about programs and initiatives to appropriate MCPS offices; rarely or never serves on committees, task forces, or focus groups to evaluate MCPS programs and initiatives
Articulates alignment of the school improvement planning process with the goals and initiatives of the MCPS strategic plan to students, staff, and the school community	Does not articulate alignment of the school improvement planning process with the goals and initiatives of the MCPS strategic plan
Monitors the implementation and progress of the school improvement plan (SIP) and updates it as appropriate; ensures that the SIP reflects changing political, social, cultural, and economic conditions	Updates the SIP cursorily or not at all; maintains a school improvement plan that does not reflect changing political, social, cultural, and economic conditions

# EVALUATION PROCESS FOR PRINCIPALS

## PURPOSE

The purpose of the evaluation component of the Administrative and Supervisory Professional Growth System (A&S PGS) is to ensure and document high-quality performance of principals for MCPS and to provide feedback to principals for their own professional continuous improvement. The process clearly outlines expectations and measures that are based on the six standards of performance. “The evaluation system also provides MCPS with information from which professional development programs can be developed, personnel selection procedures can be appraised, and the adequacy of human and material resources can be assessed.” (MCPS/MCAASP negotiated agreement)

The structure of the evaluation process recognizes the complexities of the principalship and provides opportunities for continuous improvement. The principal’s strengths are recognized and nurtured. Strengths and areas of need are documented through multiple sources of data. Principals are given the necessary support and resources to address identified needs and improve performance. Support may include training, a mentor/coach, a consulting principal, the community superintendent, the associate superintendent, the director of school performance, and the Evaluation Support Cycle, as outlined below.

Between formal evaluation years, principals participate in professional growth activities as part of the professional growth cycle, which is described in the Professional Development component of the A&S PGS Handbook. These growth activities are based upon individualized professional development plans (PDPs) for each principal.

## ELEMENTS OF THE EVALUATION PROCESS

### Evaluators

The community superintendent or associate superintendent to whom the principal is assigned is responsible for completing the formal evaluation.

### Frequency Schedules

Formal evaluations are required as follows:

- First and second year as an MCPS principal
- First year after a change of level and then return to cycle
- Fifth year
- Ninth year
- Every fifth after the ninth year

*Note:* A Special Evaluation may be used in any year using the process in Section III, Annual Review Process in Non-evaluation Years below.

### Annual Review Process in Non-Evaluation Years

During professional growth years, the principal gathers data for the two annual meetings with the community superintendent (or associate superintendent) and director of school performance. These meetings will occur near the beginning and the end of the fiscal year to review data sources in order to set goals, review goals, and review performance in relation to the six standards and the school improvement process.

### Performance with no concerns:

If these annual reviews indicate that progress is continuing and there are no concerns, the principal will continue in the professional growth cycle that will include a personal Professional Development Plan, as described in the Professional Development component of the A&S PGS Handbook, and the school improvement process plan. Novice principals, principals new to MCPS, and principals new to an assignment do not write professional development plans in their first year.

### Performance with concerns:

**During the first semester,** if the community superintendent (or associate superintendent) identifies and documents concerns regarding the principal’s performance in relation to the six standards through two formal observations, the principal will be provided training and/or support by a consulting principal and the director of school performance. The role of the consulting principal is defined in Appendix B. The consulting principal will organize a meeting with the client, director of school performance, and community superintendent (or associate superintendent), during which the consulting principal will facilitate the development of an improvement plan. This plan will be the basis for identifying needs, providing support, establishing a timeline, and determining the measures by which the client is expected to meet standard. The community superintendent (or associate superintendent) will review the data points of the improvement plan and the input from the consulting principal by April 1.

- If the community superintendent (or associate superintendent) finds that the principal has met the goals of the improvement plan, the principal continues in the professional growth cycle.

- If the community superintendent (or associate superintendent) documents that the principal did not meet the goals of the improvement plan, a qualified second observer will complete an observation before the principal receives a Special Evaluation. The community superintendent (or associate superintendent) will complete the Special Evaluation by May 1.
- If the principal's performance is rated as "does not meet standard," he/she is placed in the Evaluation Support Cycle for the next school year.

**During the second semester**, if the community superintendent (or associate superintendent) identifies and documents concerns regarding the principal's performance in relation to the six standards through two formal observations, the principal will be provided training and/or support by a consulting principal and the director of school performance, as outlined in #1 above.

- The community superintendent (or associate superintendent) will review the data points of the improvement plan and the input from the consulting principal by December 1.
- If the community superintendent (or associate superintendent) finds that the principal has met the goals of the improvement plan, the principal continues in the professional growth cycle.
- If the community superintendent (or associate superintendent) documents that the principal did not meet the goals of the improvement plan, a qualified second observer will complete an observation before the principal receives a Special Evaluation. The community superintendent (or associate superintendent) will complete the Special Evaluation by January 1.
- If the principal's performance is rated as "does not meet standard," the principal is placed in the Evaluation Support Cycle for the remainder of the school year and the first semester of the next school year.

### Collection of Evaluation Data

The community superintendent (or associate superintendent), director of school performance, consulting principal, and/or the superintendent's designee will collect and analyze data from observations, conferences, meetings, and other related data sources. This should be an ongoing and cumulative process documenting progress over time. Where significant performance issues are identified, qualified second observer(s) will be assigned. In the event that the qualified second observer does not have experience as a principal, the principal being observed may request a third observer who has had experience as a principal.

**Data sources will include two meetings**—a meeting at the beginning and one at the end of each school

year—between the principal and the community superintendent (or associate superintendent) and the director of school performance to review goals and progress in the principal's professional development plan and the school improvement process.

**In addition to the two meetings**, there will be formal observations and other visits and interactions as needed to document performance in relation to the six standards. During an evaluation year at least two formal observations are required, one of which must be scheduled in advance. Formal observations require that the person being observed has full knowledge of the observation, that a written report is shared with the person, and the person has the right to respond to the observation report. It is recommended that observations should be a minimum of 30 minutes in length or longer, as appropriate. Examples of formal observations and visits include the following:

- Staff meetings
- Student meetings
- Special education meetings
- Parent/community meetings
- School Improvement Team meetings
- Instructional Leadership Council meetings
- Staff evaluation conferences
- Parent conferences
- Supervisory school visits
- Staff, student, and parent interactions

**The community superintendent** (or associate superintendent) will collect and analyze in conjunction with the principal a variety of required data sources as a part of the evaluation. Data sources include the following:

#### *Required Data Sources*

- Formal observations
- School Improvement Process Plan
- Quarterly School Improvement Process summaries
- Professional Development Plan
- State and local student assessment data
- System of Shared Accountability
- Staff profile, including but not limited to, turnover, diversity, attendance, and experience

#### *Optional Performance Data Sources based on the six standards*

- Local school parent, student, and staff surveys
- Principal's portfolio
- Principal's use of MCPS parent, student, and staff surveys

## Evaluation Year

Principals enter the evaluation year in accordance with the frequency schedule (see section II above) of the evaluation process. During formal evaluation years, the community superintendent (or associate superintendent) will complete observations, gather information, and review data sources with the principal. During formal evaluation years, a minimum of two formal observations are required with at least one each semester. One formal observation must be done by the community superintendent. If the principal is below standard, one formal observation must be done by a qualified second observer selected by the community superintendent (or associate superintendent). The evaluation is based on the data outlined in Section IV in relation to the six standards, performance criteria, and descriptive examples. The community superintendent (or associate superintendent) completes the evaluation by May 1 if the principal “does not meet standard” and by June 15 if the principal “meets standard.”

- If the principal meets standard, the principal continues in the professional growth cycle.
- If the community superintendent (or associate superintendent) identifies concerns during the formal evaluation year, a consulting principal is assigned for support and an improvement plan is developed. The community superintendent (or associate superintendent) completes the evaluation by May 1. If the principal meets standard, the principal continues in the professional growth cycle. If the principal “does not meet standard,” he/she enters the Evaluation Support Cycle.

## Special Evaluation/Evaluation Support Cycle

During the Special Evaluation/Evaluation Support Cycle, the principal will receive clear expectations and support from the community superintendent (or associate superintendent), the director of school performance, a consulting principal, and the Peer Assistance Review (PAR) Panel. The consulting principal, the community superintendent (or associate superintendent), and the principal will collaborate on the development of an improvement plan that will include the identification of the specific areas of need, the expected improvements, the support that will be provided by the consulting principal and community superintendent (or associate superintendent), and the specific data that will be used to determine effectiveness. The goal of this intense intervention is to provide assistance and opportunities to the principal in order to meet all standards. The principal takes responsibility for involvement in developing the improvement plan and in meeting standards.

The principal enters the Evaluation Support Cycle through a “does not meet standard” evaluation. The Evaluation Support Cycle includes the following:

- The consulting principal provides direction and support to the principal. He/she will observe and confer with the principal and submit quarterly reports to the community superintendent (or associate superintendent) and the Peer Assistance Review (PAR) Panel on the supports provided to the principal and the principal’s progress on the improvement plan. By April 1 of the Evaluation Support Cycle year, the consulting principal will complete a summary report on the principal’s progress in the improvement plan.
- The community superintendent (or associate superintendent) will also monitor progress on the improvement plan through quarterly observations and meetings with the principal. As outlined in “Collection of Evaluation Data” above, the community superintendent (or associate superintendent) will complete the evaluation using multiple sources of required data to document each standard. The community superintendent (or associate superintendent) will complete the evaluation by the due date.
- The Peer Assistance Review (PAR) Panel comprises the coordinating community superintendent, two community superintendents not assigned to that principal, and three principals recommended by MCAASP. The superintendent or designee will approve the membership for the panel. This panel will receive quarterly updates from the community superintendent (or associate superintendent) and the consulting principal on the progress of the principal on the improvement plan. Panel members may provide suggestions for support in helping the principal meet the goals of the improvement plan to “meet standard” at the end of the year of the Evaluation Support Cycle. The panel makes final recommendations to the superintendent.

## Decisions Regarding the Evaluation Support Cycle

If the community superintendent (or associate superintendent) and consulting principal agree that the principal has met standard, the principal will return to the professional growth cycle. If the community superintendent (or associate superintendent) and the consulting principal agree that the principal has not met standard or they could not agree if the principal met standard, they will present their findings to the Peer Assistance Review (PAR) Panel. The principal will also have an opportunity to present information to the Peer Assistance Review (PAR) Panel. After considering all of the information, the Peer

Assistance Review (PAR) Panel makes one of the following recommendations to the superintendent by May 15:

- The principal returns to the professional growth cycle.
- The principal is reassigned to another administrative position.
- The principal is reassigned to a nonadministrative position. Principals who are tenured as teachers in MCPS are still tenured for teaching positions when dismissed from A&S positions.
- The principal is dismissed from MCPS.

## Appeal Process

Through these procedures the A&S PGS establishes that the principal is an active participant throughout the evaluation process. The meetings held at the beginning and end of each year, the post-observation conferences, and the development of any improvement plans are examples of the opportunities for collaboration among the community superintendent (or associate superintendent), the principal, and others involved. The school system shall be responsible for maintaining the confidentiality of an individual's evaluation process and all related documents. The following appeal process will be available:

- The principal may respond in writing to any observation report within 10 working days of receiving the report.
- The principal may appeal in writing a "does not meet standard" evaluation within 10 working days of receiving the evaluation. In the case of a "meets standard" evaluation, the employee may provide additional information.
- The principal may appeal a "does not meet standard" evaluation to the supervisor's supervisor. In the case of a "meets standard" evaluation, the employee may provide additional information.
- The principal administrator may submit information and request a meeting with the superintendent or designee to appeal the recommendation of the Peer Assistance Review (PAR) Panel.

## GLOSSARY

**Consulting Principal** is an employee of MCPS assigned to the Office of Organizational Development who works to mentor, support, and coach principals and who makes recommendations to the Peer Assistance Review (PAR) Panel.

**Evaluation Rating** is a decision made by the community superintendent (or associate superintendent) based upon a holistic view of the evidence regarding an individual's performance on all the standards. The rating will state that the individual either "meets standard" or "does not meet

standard." Evaluations also require a qualified second observer if the evaluation will be below standard.

**Formal Observations** require that the person being observed knows that he/she is being observed, that a written report is shared with the person, and that the person has the right to provide a written response to the report.

**New to Assignment** refers to administrators and supervisors who are new to their current position although they have held a same or corresponding position at a different location or level.

**Novice administrators** are administrators new to their position.

**Performance with Concerns** indicates that the immediate supervisor has identified and documented concerns regarding the administrator's performance in relation to any of the six standards.

**Performance with No Concerns** indicates that the immediate supervisor has identified and documented that the administrator is meeting and making continued progress in relation to all six standards.

**Principal's Portfolio** provides the principal with the opportunity to collect and present a variety of data sources describing his/her performance. The portfolio could include information from parents, staff, or students; results of school meetings or surveys; course work; attendance or presentations at professional conferences; and examples of professional activities within MCPS or other educational groups. It is an optional tool maintained by the principal to address the six standards.

**Qualified Observer** is the superintendent, the community superintendent (or associate superintendent), or one of their professional assistants.

**Peer Assistance Review (PAR) Panel** consists of the coordinating community superintendent, two community superintendents not assigned to the principal, and three currently sitting principals. The panel reviews the reports and recommendations of the community superintendent (or associate superintendent) and the consulting principal, and then presents recommendations to the superintendent on personnel actions for principals in the Evaluation Support Cycle.

**Second Observer** is a qualified observer providing an objective independent assessment.

**Special Evaluation** is an evaluation scheduled out of the regular sequence as described in Section III, Annual Review Process in Non-Evaluation Years. The purpose of the Special Evaluation is to address serious deficiencies in the principal's performance on the six standards. Observations by both the community superintendent (or associate superintendent) and another qualified observer

are required. A Special Evaluation can result in referral to the Evaluation Support Cycle, or to return to the professional growth cycle.

**Supervisory School Visit** is a visit by the community superintendent (or associate superintendent) and the director of school performance. The supervisory school visit is related to the evaluation of the principal. The community superintendent (or associate superintendent) determines what is observed related to the identified needs of the principal and/or the needs of the school. The supervisory school visit will be one of the data points for the principal's evaluation.

**Walk-Through** is an activity used to increase the quality and frequency of intellectual discourse about teaching and learning. The walk-through is not a part of the principal's evaluation. This professional development walk-through can be accomplished in collaboration with the community superintendent (or associate superintendent), director of school performance, and school staff. It is hoped that these walk-throughs will become common practice in the school where school staff decide to analyze various practices. In addition, if the principal is interested in obtaining feedback about a particular program or initiative, the local school can request that staff from the central office visit a school to look at a particular program or initiative in order to provide feedback to the school about how a certain initiative is being implemented. This type of walk-through could also provide insight for central office staff regarding support needed by the local school.

## ROLE OF CONSULTING PRINCIPAL

The purpose of the consulting principal role is to provide support for the principal (client). In order to accomplish this, the consulting principal meets initially with the community superintendent and, at the request of the community superintendent, the director of school performance to obtain information about the needs of the client. As soon as possible thereafter, the consulting principal meets with the client. The priority of the position is to provide sufficient time for effective interactions with the client. The consulting principal is responsible for coaching and mentoring the client. The priority of the position is to provide sufficient time for effective interactions with the client. The consulting principal provides direction with regard

to the supports that are available from within MCPS and from outside sources.

For clients in special evaluation, the consulting principal organizes a meeting with the client, the community superintendent, and the director of school performance at which the consulting principal facilitates the development of an improvement plan. This plan is the basis for identifying needs, providing support, establishing a timeline, and determining the measures by which the client is expected to "meet standard". The consulting principal provides assistance to the client with regard to the areas of need as identified on the improvement plan. The consulting principal helps the client set priorities and maintain a focus on improvement.

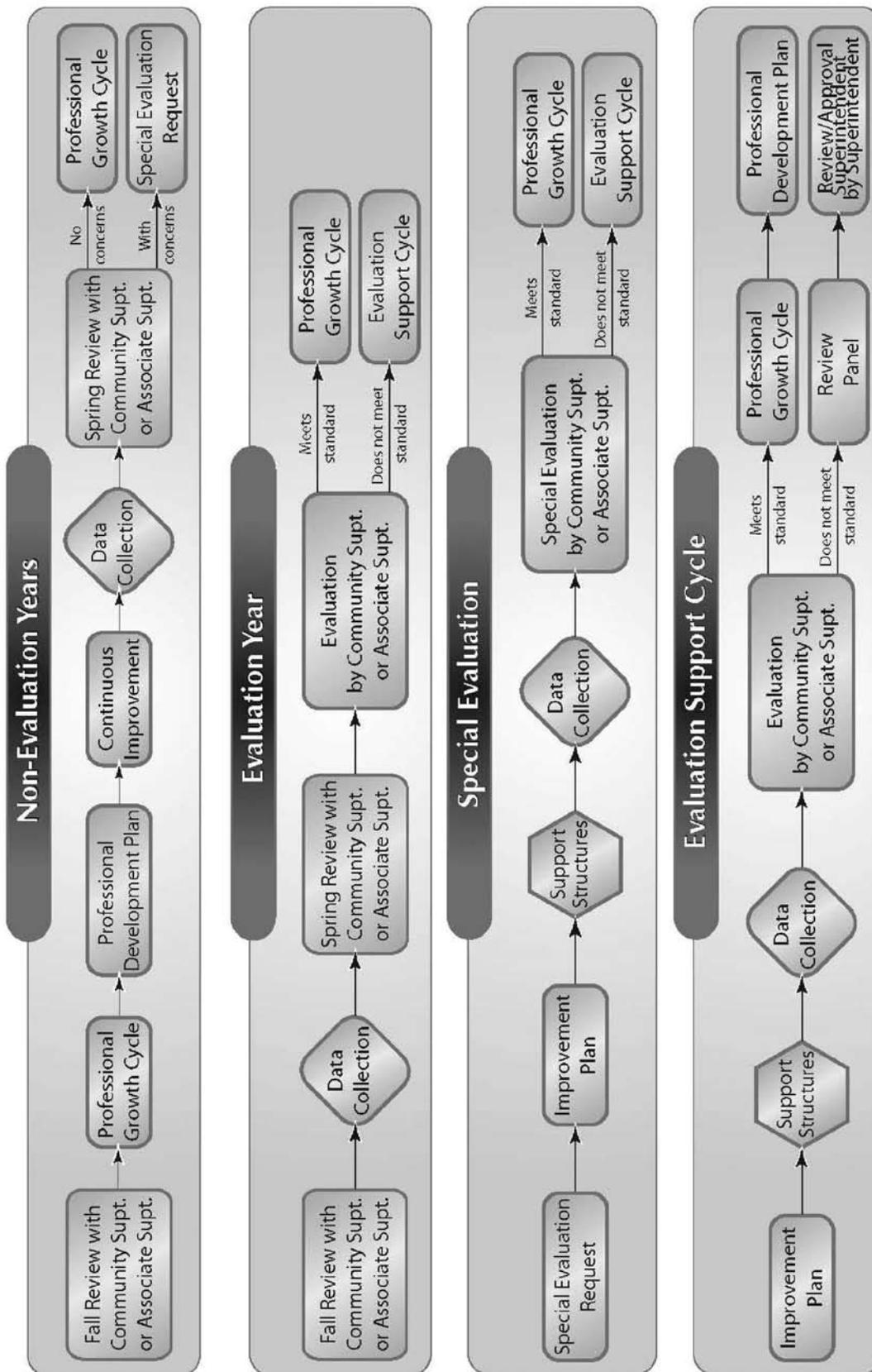
The consulting principal shall be responsible for the following:

- Making frequent visits with informal support
- Analyzing problems and suggesting options
- Identifying resources for the client principal
- Conducting a minimum of two formal observations with post-conferences (one per semester recommended)
- Providing written reports on the formal observations to the client and the community superintendent
- Communicating with the community superintendent and director of school performance regarding the client's progress
- Preparing quarterly reports to the Peer Assistance Review (PAR) Panel, including a final summative report
- Making a recommendation regarding the client's status to the Peer Assistance Review (PAR) Panel at the end of the formal time frame

To accomplish this role, training is provided to the consulting principal based upon the knowledge, skills, and abilities outlined in the job description. A consulting principal shall be an experienced principal in MCPS and hired for the position of consulting principal for a three-year term. At the end of the three-year period, the consulting principal returns to a principal position or another administrative position for which he/she is qualified.

*See Appendix A for Administrator Frequency Schedule for Evaluation.*

# A&S PGS EVALUATION PROCESS FOR PRINCIPALS: A DIAGRAM



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- Conference and the MCAAP Summer Conference. Professional leave days may be provided for unit members to attend these meetings, in accordance with Article 20, Leaves, Section H.3.
- d. To the extent feasible, priority will be given to providing professional development during the normal work day. When professional development activities take place outside the work day, consideration will be given to seeking partnerships to award credit.
  - e. The Board agrees to budget \$110,000 per year for unit members to attend or make presentations to conferences and/or programs. No more than 20 percent of these funds may be used for MCPS related conferences/programs. The Association shall determine the unit members eligible for such assistance and the amount each member receives.
  - f. Professional leave days will be provided for unit members to attend professional meetings in accordance with Article 20, Leaves, Section H.3.
5. All unit members eligible for and encouraged to participate in professional development programs designed to improve their effectiveness. The form and substance of these programs may differ widely and unit members and their supervisors are jointly responsible for analyzing areas of job needs and then actively seeking professional development that will improve performance. To achieve the goal of developing and implementing a comprehensive program of professional development, the Board agrees to budget for each year of this Agreement for instructional support for system-designed professional development programs, after consideration of input from the Association.

## **C. A&S Professional Growth System (A&S PGS)**

### **1. Philosophy**

- a. MCAAP/MCBOA and MCPS acknowledge that administrative leadership is complex, changing and essential to improving teaching and learning. The A&S PGS establishes the framework that describes the skills and knowledge for administrators and supervisors to build learning communities for both students and adults.
- b. The success of this A&S PGS is dependent upon a professional culture in which mutual respect, teamwork, and trust are the tenets of its continuous improvement. These conditions empower administrators and supervisors to make decisions concerning their own professional growth and to contribute to the development of a culture of ownership for both students and adults in a professional learning community.
- c. A priority of MCPS and MCAAP/MCBOA is to have a competent, skilled administrator in every school and office as administrators are considered key players in ensuring a quality education for all students. Administrators play a key role in the complex work of creating, guiding, managing, and inspiring a learning community.

- d. The development and recognition of leadership requires time, commitment, an adequate research base, and a plan for performance and continuous learning. The A&S PGS is a plan that approaches leadership as a cumulative process and not a single event. The goal of the plan is to ensure quality performance of our administrators and supervisors by looking for consistency and alignment with professional standards. The plan includes procedures and guidelines for implementation, components critical to the success of administrators, standards, and a strong philosophy that values the role of the administrator within a complex educational organization.

## 2. A&S PGS Collaboration

- a. The Board and the Association commit to maintaining the comprehensive professional growth system that has been jointly designed and implemented with the support of a multi-stakeholder group.
- b. Through the A&S PGS, MCPS and MCAAP/MCBOA aspire to achieve the highest performance possible of every student and educator by increasing the quality of leadership in every school and office. The A&S PGS acknowledges that a professional learning community for administrators provides valuable support in establishing and expanding quality leadership practices.
- c. Intrinsic to the concept of continuous improvement is self-reflection on knowledge, skills, strategies and practices of leadership. Observations by supervisors and other professionals are supportive of this reflection. All administrators may be observed formally and/or informally at any time. During the non-evaluation years, formal observations are not required. However, supervisors are expected to observe administrators in a manner that allows them to be knowledgeable of the administrator's skills and professional growth needs.
- d. Recognizing that each staff member must constantly seek ways to determine strengths and opportunities for improvement, a program of professional feedback will be implemented by all unit members. This feedback will be obtained on a regular and frequent basis, and at least once every evaluation cycle. All feedback will be confidential and for the sole use of the unit member seeking the feedback. Unit members are encouraged to share the results of the feedback and their plans with the individuals who have participated with them in the feedback process. Unit members are encouraged to utilize this feedback as they develop their Professional Development Plans (PDP).

## 3. A&S PGS Implementation

- a. The role of the A&S PGS Implementation Team is to problem solve issues related to the entire professional growth system, make ongoing adjustments to the A&S PGS, and to forward recommendations that significantly change the A&S PGS to the Oversight Committee for final approval.

- b. The A&S PGS Implementation Team is co-chaired by an MCPS representative and the president/designee of MCAAP/MCBOA.
- c. The A&S PGS Oversight Committee reviews the work and recommendations of the A&S PGS Implementation Team and is comprised of the president/designee of MCAAP/MCBOA and representatives from MCPS.
- d. Ongoing evaluation of this program will continue through the collaboration efforts of MCAAP/MCBOA and MCPS.

#### 4. A&S Review Panel Program

- a. MCAAP/MCBOA and MCPS agree to jointly operate an A&S Review Panel Program. This program is a mechanism for maintaining system-wide quality control ensuring that all administrators responsible for leadership are functioning at or above the high MCPS standards of performance. It provides intensive assistance for any administrator who has not yet achieved that standard or who falls below acceptable standards. Assistance and review are provided to both experienced MCPS administrators in need of significant improvement and novice administrators in their first year in a new position.
- b. There are a number of A&S Review Panels based on the role of the administrators receiving assistance and review.
- c. MCPS and MCAAP/MCBOA may identify representatives to serve as observers to the panel and its operations.
- d. The A&S PGS Review Panel Program is by definition and design, a collaborative effort between MCAAP/MCBOA and MCPS. In the event that one of the parties determines that this program fails to live up to the purposes and collaborative principles for which it was established, the A&S PGS Implementation Team will meet with the superintendent and the president of MCAAP/MCBOA to review options and attempt to address concerns. If consensus cannot be reached, MCAAP/MCBOA can discontinue its involvement in the program with 90 days notice. MCPS may continue to fund positions in the budget associated with the evaluation system, but it may not refer to the program as the A&S PGS Review Panel Program.
- e. A&S PGS Review Panel Responsibilities:
  - (1) Reviews quarterly updates provided to them on the progress of administrators receiving support.
  - (2) Panel members may provide suggestions for support in helping the administrator meet standard.
  - (3) The panel makes final recommendations to the superintendent when appropriate.

f. A&S PGS Review Panel Decisions:

- (1) If the supervisor and the consulting principal/mentor agree that the administrator meets standard, the administrator returns to the professional growth cycle.
- (2) If the supervisor and the consulting principal/mentor agree that the administrator has not met standard or they could not agree if the administrator met standard, they will present their findings to the A&S PGS Review Panel. The administrator will also have the opportunity to present information to the A&S PGS Review Panel. After consideration of all information, the A&S PGS Review Panel makes a recommendation to the superintendent.

g. Rights and Responsibilities of Administrators in the A&S PGS Review Panel Program

- (1) Nothing in this Article or the A&S PGS Review Panel Program shall diminish the rights granted to administrators under Section 6-202 or 4-205 of the Education Article of the Annotated Code of Maryland, relative to suspension and dismissal, and the right to appeal such personnel actions to appropriate government boards or agencies.
- (2) MCAAP/MCBOA unit members participating in the A&S PGS Review Panel Program, as consulting principals, mentors or as members of the A&S PGS Review Panel, shall be indemnified and held harmless by the Board against any and all claims arising as a result of their actions within the scope of their duties.

## ARTICLE 13

### Unit Member Evaluation

- A. The Board and the Association agree that the primary purposes of the A&S evaluation system are to appraise the performance of unit members and to assist unit members to improve their effectiveness in performing their job responsibilities. The evaluation system also provides MCPS with information from which professional development programs can be developed, personnel selection procedures can be appraised, and adequacy of human and material resources can be assessed.
- B. The evaluation system is one part of the Administrative and Supervisory Professional Growth System (A&S PGS). The development of the evaluation system was a collaborative effort between MCAAP/MCBOA and MCPS. The Board and the Association agree that any changes in the evaluation system and instruments shall be developed collaboratively. Through the PGS, MCPS and the Association aspire to ensure that all staff either directly or indirectly contributes to achieving the highest performance possible of every MCPS student and employee by raising the quality of support to instruction, as well as all other services that contribute to student achievement. The PGS

acknowledges that peers provide valuable support in promoting the success of every employee.

- C. Evaluations of unit members shall be completed within the timelines established by the A&S PGS.
- D. Complaints about or material derogatory to a unit member will be maintained in a file on that unit member and/or used in his/her evaluation only if:
  - 1. The complaint or material has been put into written form.
  - 2. The unit member has had an opportunity to review the material and been given a copy.
  - 3. The appropriate administrator has substantiated the allegation.
  - 4. The unit member has had the opportunity to review such material and to affix his/her initials to a copy with the expressed understanding that such initialing does not indicate agreement with the contents. The unit member shall be permitted to attach his/her comments related to the derogatory material.

## ARTICLE 14

# Salaries And Compensation

- A. 1. Unit members will receive one step on the salary schedule within grade annually, unless the unit member is on the top pay step of the pay grade. Step increases are effective on the first day of the pay period that contains the date of eligibility. *(Step increases will not apply during FY 2011, and are subject to reopened negotiations in accordance with Article 27 of this Agreement.)*
- 2. Whenever a unit member is permanently assigned to a position that has a higher salary range than the one he/she holds, the effective date of the change shall become his/her new anniversary date except that the anniversary date does not change if the higher position is a result of a reclassification and the unit member is the incumbent in the position.



# New Haven Public Schools: Principal Evaluation System

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*Perspectives from:*

*Garth Harries, Assistant Superintendent, New Haven Public Schools*

*Laoise King, Chief of External Affairs, New Haven Public Schools*

## **Overview**

The New Haven Public Schools (NHPS) and the district’s administrator union have developed a principal evaluation and development system based on student learning and school performance, along with other leadership practices. This system has been aligned with the district’s teacher evaluation protocols. Structured meetings between principals and their supervisors represent the cornerstone of the evaluation and professional development process for administrators. The current purpose of these meetings is to provide regular and comprehensive feedback for leaders at all stages of their development. The system provides a summative numerical rating that incorporates “360-degree” feedback from teachers and other staff through annual school climate surveys.

## **Origins**

The origins of NHPS’s reforms around principal evaluation go back to the launch of the School Change Initiative in winter 2009. According to Harries and King, the first version of the Initiative included developing non-union options: “we contemplated approaching the state legislature to seek exceptions to the state collective bargaining laws for districts engaged in large scale school reform efforts—that is, to allow a district to unilaterally change work rules in a few targeted low performing schools,” said King. According to Harries, the approach was not constructive. “This was not the atmosphere we wanted to create,” remembered Harries.

King continued, “we quickly abandoned that idea in favor of working collaboratively with our unions to make the contract more flexible.” By September 2009, the district had crafted a new contract with the New Haven Federation of Teachers (NHFT), which paved the way for agreements on revamped evaluation systems for teachers and principals. It is important to note that before the successful round of contract negotiation, the district helped convene multiple stakeholders who collaborated to create a “Statement of Joint Beliefs.” This common set of beliefs set the tone for collaboration. “Rather than having a narrow discussion of contractual issues, we had a broader discussion about addressing the interlocking issues, not all of which are about labor-management, that matter to people on a day-to-day basis,” said Harries.

## **Process**

In fall 2009, a committee, which included leadership from NHFT and the administrators’ union along with teachers and parents, was created to focus on teacher evaluation and development. Shortly thereafter, a parallel committee, comprised of representatives from the same stakeholder groups, was formed to adapt the work so that it would be appropriate for a principal evaluation

system. Harries said, “The anchor of our collaboration around principal evaluation has been the teacher evaluation system.” According to the NHPS’s *Teacher’s and Administrator’s Guide*, the “work was guided by the core motivation of recognizing the professionalism of teaching, including the importance of performance-based professional evaluation, and respect for professional voice in the school and district decision-making.”

The committees used a negotiating framework based on the following components: (1) Start with common goals (e.g., a joint statement of beliefs), (2) validate concerns, (3) avoid a broad brush, (4) connect relevant Issues, and (5) put the time in (more detail can be found in the “What has ‘Collaboration’ Meant in NHPS?” slide of the New Haven-Denver PowerPoint document). These components identified shared priorities and established trust. Harries emphasized that “we built trust through the process, but I wouldn’t necessarily say we had that trust before the process.” In addition, the concept of “collective responsibility” was central in applying the framework to construct fair, productive educator evaluation systems. By spring 2010, NHPS’s Board of Education had approved the committees’ recommendations.

Harries said administrators embraced the idea of reform but still had some basic concerns about their evaluation system. One, he said, “involved avoiding the ‘blame-game’ with parents, teachers, principals, or central office administrators.” The committee worked through this concern in part by emphasizing the use of James Comer’s School Development Program, also known as the Comer Process, which promotes a “no fault” atmosphere in schools.

## **Recommendations**

When asked what kind of advice he would offer other district leaders who are just embarking on the process of creating evaluation systems, Harries said, “Don’t deal with narrow issues; deal with a comprehensive and coherent set of issues.” This idea echoed one described by leaders in other districts who have developed effective evaluation systems: Participants must start by defining shared priorities before negotiation can move forward. “It is important to have collaboration,” King emphasized, “and buy-in from the rest of the community so that all of the stakeholders have a voice in things that are eventually going to affect them.”



NEW HAVEN PUBLIC SCHOOLS

# COLLABORATION AND SCHOOL REFORM IN NEW HAVEN

# Progress Driven by Cross-Group Input and Discussion



- Winter/Spring 2009 ● Launch of New Haven reform, and conflict in State Capital over Charter Schools
- Summer 2009 ● **Reset of reform with joint reform discussions - Contract negotiations overlapping and in parallel**
- Sept 2009 ● NHFT reform contract agreement (Approved by 842 to 39)
- Fall/Winter 2009 ● **Multi-party committees created by contract agreement (Reform, Teacher Evaluation and Development or TEVAL, and Survey – also PEVAL), with Teacher Committees in parallel**
- Dec 2009 ● **District survey on Central Office Effectiveness & The New Teacher Project (TNTP) survey on evaluation and coaching**
- Mar 2010 ● First Tiering of Schools, identifying 7 pilot schools with significant flexibility
- Spring 2010 ● **Recommendations on TEVAL and PEVAL approved by NHPS Board of Education**  
● **First Climate survey of schools, including 360 feedback**
- Sept 2010 ● Launch of new school year with revised NHPS evaluation and development systems
- Today ● **On-going multiparty dialogue and strengthening of reform program**

# NHPS School Change Campaign



## Issues We have Worked On

Portfolio of Schools	Talent	Community & Parents
<p><i>Each school will be organized and supported on its own unique path to success</i></p> <p>(Tiering of schools, School Turnaround , Flexibility in School Work Rules, School Climate Surveys, Central Office Effectiveness and Feedback Survey)</p>	<p><i>Adults in the system will be managed as professionals to encourage collaboration, empowerment, and responsibility for outcomes</i></p> <p>(Teacher and Principal Evaluation and Development Systems, including measures of student learning; Pipeline for Teacher Leadership and Leadership Development)</p>	<p><i>The work of the school system will be as aligned as possible with the other adults who work on behalf of students, including parents and community organizations</i></p> <p>(Increasing Parent Involvement, Boost! Collaboration with the United Way, New Haven Promise)</p>

### Evidence of Progress

- Academic progress in planning year: gains in CMT double that of state as a whole, and 1/3 of system making AYP or safe harbor
- Smoothness and focus of school opening and ongoing school year...even in the face of historic snow
- Anecdotal feedback on positive climate in schools, including both collaboration and instructional practice.
- Identification of XX potential needs improvement staff without significant backlash. Positive anecdotal feedback on TEVAL and instructional manager conversations

### Evidence We Expect to See Soon

- Positive climate survey feedback, on school climate and TEVAL process (in field now)
- Strong academic results in turnaround schools, other tiered schools, and all schools (DRA tests provide leading indicator)
- Actual progress from a substantial number of potential “Needs Improvement” staff, and overall increases in teacher ratings over time

# What has “Collaboration” Meant in NHPS?



## Examples and Implications

### Start with Common Goals

- Reform discussions began with a Joint Statement of Beliefs
- Similarly, at the start of the TEVAL process, the TNTP survey established a common frustration with existing evaluation and development, and aligned ambitions for a new system

### Validate Concerns

- There are administrators who are not good judges of teacher quality, and teachers need mechanisms of both protection (3<sup>rd</sup> party validation) and feedback (climate surveys)

### Avoid a Broad Brush

- The vast majority of both teachers and administrators are capable, competent people, capable of and eager for professional coaching relationships

### Connect Relevant Issues

- Administrators need the time and focus to be effective coaches and evaluators – which means other issues need a lower priority
- Similarly, teachers and administrators need high-quality and timely student assessments

### Put the Time In

- Collaboration means time, commitment, and patience – in order to demonstrate a commitment both to teamwork and to common objectives



# Primary Concerns and their Response

## Primary Concerns

## Response

TEACHERS

- Teacher tenure, or protection of basic due process
- Use of test scores in a teachers evaluation
- Top to Bottom Accountability, including principals
- Translation from teacher input to actual action in the district

- Clear contract language to delineate reform measures
- Creation of Citywide committees, with parallel teacher working groups
- Top to Bottom Accountability, including aligned processes/materials, all the way to superintendent
- In TEVAL, 3<sup>rd</sup> Party Validation, multiple measures of student performance, and weight of student performance depending on consistency of result
- Emphasis on Comer principles of “No Fault” discussion
- Emphasis on methods of broad input (survey, committees, etc) to identify consensus rather than extreme positions

ADMINISTRATION

- Practical and actionable process for school change: teacher evaluation, school-level flexibility, etc
- Avoiding the “blame-game”, of parents, teachers, principals, or central office

# Moving Forward



**We are conscious that both our reform and our relationship must continue to evolve.**

**Areas of focus include:**

- Strengthening professional community among teachers, to emphasize collective professionalism in balance to individual rights
- Expanding capacity (i.e. time) and capability (i.e. expertise) of school leaders to collaborate with and develop teachers
- Ensuring tone of respect and professionalism, even in difficult conversations

## **Principal and AP Evaluation and Development Process**

April 2010

### **Introduction and Summary:**

Leadership is the most critical factor in determining the student learning, the climate, and the professional collaboration that occurs across a school. Second only to teachers as the most significant in school factor for impacting student achievement, and a key factor in developing effective teachers, quality school leadership is critical for consistent student achievement across classrooms and grade levels. The evaluation and development process for building based administrators (Principals and APs) is designed to promote effective leadership by providing regular and comprehensive feedback for leaders at all stages of their development, feedback that both encourages growth and carries professional consequences.

The backbone of the evaluation and development process for principals and APs will be semi-annual conferences with their supervisor – the Director of Instruction for the Principal, and the Principal for the APs. The overall framework for evaluation, which should be the subject of the evaluation and coaching, includes the following primary areas:

- Student learning and school performance, as indicated by \*growth\* on a range of school learning and climate measures, (See Measures of Student Learning and School Improvement)
- Leadership practices and professional values, including instructional leadership, operational leadership and resource management, people leadership, and personal leadership (See Leadership Practices Framework)

Insight into these areas will be drawn from both quantitative data and from observational school visits. Each step of formal evaluation and development process will be accompanied by written materials and a formal protocol. Although input on leadership practices may be provided from a variety of sources, ultimately the Director of Instruction is responsible for the evaluation, and the coaching, of each principal, and the Principal is responsible for APs.

In addition, however, feedback and coaching outside of the formal conferences should be frequent, regular, and developmental. To reach the district's objectives, tools, time, and focus must be invested into the evaluation and development of leaders.

### **Formal Evaluation and Development Process**

The centerpiece of the evaluation and development process will be regular formal conferencing with the supervisor (the director of instruction for principals, and the principal for assistant principals). The expectation is for 3 full conferences a year: a

goal and context setting conference over the summer or at the start of the year, a mid-year conference, and an end-of-year conference.

- Opening conference: The initial goal-setting and context setting conversations are very important and should include substantive conversations about and documentation of:
  - Specific goals for the Student Learning and School Improvement measures
  - Areas of leadership focus for the year, from within the larger leadership framework
  - Data defining key features of the school context, including any special circumstances that will support a realistic snapshot of the school and highlight reasonable supports expected from central office.
    - Specific extraordinary circumstances in the student population for the school (e.g., very high number of transient students)
    - Number of staff “placed” at school related to moving to people management goals
    - Coaches/instructional specialist support needed given instructional expertise areas resident at the school
- Mid-year and End-of-Year conferences: these are opportunities to assess and discuss progress or challenges in student learning, leadership practices, and professional values. Ideally, the leader being reviewed should complete a self-assessment, and after the conference there should be a written record of key issues raised.

If there are concerns about performance, they should be raised at the mid-year conference, and ideally resolved at the end of the year conference. The mid-year and end-of-year should also review the context materials, particularly the delivery of support from the central office.

### **Components of Principal Evaluation and Development Process**

- Student Learning and School Performance: One central component of the principal evaluation and development process should be the demonstrated improvement in student performance and school performance in a school, including on academic and other organization measures.
  - Measures: Measures of student learning and school performance should be clearly articulated in a summative scorecard used by the district. See the Student Learning and School Performance Measures section at the close of this document for a listing of factors. Additional measures quantitative measures which may be relevant to specific schools or circumstances should clearly be captured in the opening conference.

- Growth and timing: Measures used in principal evaluation should emphasize growth and improvement, rather than absolute performance. Additionally, consideration of these measures should understand that it may take time for the impact of a leader to be felt in a new school.
- For APs, in the opening conference the principal and the AP should together determine what areas of student learning and school performance are under the influence of the AP. (See section on AP evaluation and development)
- Rating System for Student Learning and School Performance: At the end-of-year conference, the Director (or Principal) will assign a rating to the growth in the student learning and school performance measures, consistent with district wide guidelines. Those guidelines would be tighter at the upper and lower end of the performance spectrum, with more prescriptive description of the growth in learning necessary in order to merit a 1 or a 5 rating. Specifically:
  - A “5” would indicate exemplary student learning and school performance growth, i.e. 2 out of 3 years of top quartile growth relative to comparable schools
  - A “4” would indicate strong student learning and school performance growth, i.e. a preponderance of evidence and assessments point to above average learning growth relative to comparable schools
  - A “3” would indicate effective student learning and school performance growth, i.e. a preponderance of evidence reflects average performance, and/or results are mixed above and below average over time
  - A “2” would indicate developing student learning and school performance growth, i.e. a preponderance of evidence and assessments point to below average student learning growth
  - A “1” would indicate problematic student learning and school performance growth, i.e. 2 out of 3 years of bottom quartile growth relative to academic peers in both tested knowledge and demonstrated skills of student in the teacher’s class
- Leadership Practices and Professional Values: The second central component of the Principal and AP evaluation and development system should be the leadership practices and professional values demonstrated by the leader in the school. The framework for Leadership Practices and Professional Values developed by the Principal and Teacher committee is attached to this document. The mid-year and end of year conferences should provide feedback across the full framework, with particular emphasis on whatever areas of focus were decided in the Start of Year conference. The sources of

information to inform the leadership practices and professional values should include observational data from directors' school visits, as well as input from other stakeholders inside and outside of the school.

- School Visits (Described for principal, but analogous for APs)
  - Director Visits: Observations and visits to the school, conducted by the Director, should be one foundation of information for the evaluation and development process. The number of Director visits should be differentiated by tiers where new or struggling principals have more; there will be additional informal visits that are responsive to principal invitations as well as drop-ins by the director. To this end, the primary focus of the Director's time should be to be in schools, observing, supporting and coaching principals. At a minimum, a director should do either a formal conference visit or an informal visit to each school each month.
  - Other Visits: Other external visitors, including peer principals, district supervisory staff (curriculum and others), and external visitors all may conduct visits to the school, for a variety of purposes. There should also be feedback from those visits, and that feedback should be incorporated and integrated by the Director of Instruction into the evaluation and coaching process
  - Areas of Focus: Areas of focus in school visits can and should vary, depending on the needs and focal areas of the principal and the school. Similarly, to be as effective as possible for all of the students, principals need to focus on how to use their supervisors and central office supports well. School visits can and should include meetings with staff and students.
  - Feedback: The principal should receive timely feedback from the director or other visitors after each visit to the school, whether in verbally or in writing. Although the preference is for written feedback whenever feasible, note that in the interests of timely and professional feedback, verbal interactions may at times be preferable. However, if timely feedback isn't provided in some way, then the observations should not be part of the formal evaluation and development process. Feedback should be tied to the relevant section of the leadership practices framework (See Appendix)
- Synthesis of evaluation: after the end of year conference, all leaders should receive a final summative rating, that will include an assessment of both leadership practice and professional values, and the growth in student learning and school improvement. Similar to the matrix used for teachers, that framework should combine the two domains as follows:

Leadership Practices and Professional Values Framework	Student Learning and School Performance Growth					
		1 <sup>st</sup>	2 <sup>nd</sup>	3 <sup>rd</sup>	4 <sup>th</sup>	5 <sup>th</sup> (Best)
	1 (lowest)	1	1	2	3 *	3*
	2	1	2	2	3	4 *
	3	1	2	3	4	5
	4	2*	3	4	4	5
	5 (Highest)	3*	3 *	4	5	5

\* Ratings with this degree of mismatch should be the subject of focused policy review, outside the context of the specific teachers' evaluation, to determine why such a mismatch is occurring and what, if anything needs to be corrected.

### Developmental Orientation and Other Key Success Factors

To be successful, the Evaluation and Development process must focus on productive and constructive coaching of leaders, whether principal or APs. As discussed previously, that constructive coaching is the primary responsibility of the Director of Instruction for Principals, and the Principal for Assistant Principals. However, other resources should also be brought to bear:

- Peer Visitation: New Haven principals and APs are among the strongest vehicles of support and coaching available. There are two ways to provide this support. First, peer support could be offered through the opportunity for walk-and feedback from peers. Ideally, this process would be modeled on the Cambridge Associates process, and should include written feedback to the principal. Second, principals and high performing APs should have the opportunity to visit in and work with other schools facing similar challenges. Both these steps would require specific and identified opportunities for inter-visitation – and could potentially be combined.
- Leadership professional development: leadership development at every level must be a priority for district planning. That should include:
  - Existing leadership PD opportunities: Coordination, planning, and synthesis of the various opportunities for leadership professional development, including directors meetings, pre-school and in-school

professional development days, academic and curricular sessions, and any other opportunities created in the annual schedule.

- Coordination of leadership pipeline: Strengthen the focus on principal development and coordination of pipeline and preparation programs for principals, including tracking APs experience and progress on the different element of the Leadership Practices Framework. This should include the selection process for principals and APs, to ensure developing leaders have opportunities to be considered for appropriate leadership positions
- Coordination of networks/PLCs for principals: networks and PLCs for leadership could provide additional opportunities for development
- Resource Bank: Create a resource of the bank of supports available from district so principals know what is available to draw on. Principals need to use their supervisors and central office supports well – but expected supports from central office need to be defined as well.

#### Key Success Factors for Evaluation and Development System for Administrators

- Teacher Development:
  - In assessing the leadership practice framework, it will be critical to consider the ways in which the principal and AP have developed the teaching staff for whom they are the instructional manager. That is a primary responsibility for instructional leaders.
  - Directors have an important role supporting principals to learn to develop teachers effectively, since developing teachers is one of the most critical areas of a principal's work.
- Authority and Autonomy: it is important that principals have authority and appropriate autonomy in the operation of their school, to formulate and direct the school organization
  - There could be a dual reporting structure for coaches in schools? At least significant feedback should be sought from principal – as it is in many/most schools already
  - Principals need to be able to select their leadership team, and one role on that leadership team should be an operations person. This operations person implies a structural change in the staffing model, especially at the high school level; at the K-8 level more supports presently exist.

## **Assistant Principal Evaluation:**

The AP evaluation should be similar in content but different in scope from the principal evaluation, and draws on the same tools, the student learning measures, the Leadership Practices Framework (LPF) and the Professional Values. At early stages of an APs development, he or she may be assigned a limited set of LPF responsibilities. As an AP gets more experienced and closer to being ready to be a principal, he or she should be working on the whole range of principal responsibilities outlined in the LPF. If for some reason an AP does not take on the whole range of responsibilities in the LPF to be on the road to being a principal, like very limited instructional responsibilities, that is likely a clear indication that the person should consider a different role, like an operational manager or a more narrowly focused leader of other areas.

- Components:
  - Student Learning and School Performance: the principal and AP should designate in the start of year conference what areas of student learning and school performance are within the APs authority. APs who are closer to being a principal should have responsibility for more aspects of the student learning and school performance, similar to a principal.
  - Leadership Practices and Professional Values: Assistant principals should receive feedback on all aspects of the leadership practices and professional values framework. However, the selection of focus areas should be particularly targeted for assistant principals, to ensure that over time they can develop against the full range of leadership practices.
- Process
  - Set through a meeting with supervisor/principal at start of year, checked in formally at mid-year and evaluated at the end of the year. As described above, the principal and AP together will define the areas of AP responsibility, focusing on areas the AP can have the most impact and needs experience. Any areas an AP is responsible for DOES NOT mean the principal is relieved of responsibility – the principal is ultimately responsible for all areas.
  - AP development will be tracked over the years by NHPS Leadership Director until an AP has achieved experience and proficiency in all areas of the PPF to demonstrate readiness for the principalship

## Student Learning Measures

- Measures – scorecard for school and principal will include:
  - CMT, CAPT, and other standardized tests – based on GROWTH and improvement, not on absolute scores
  - Quarterly exams/district assessments (Note, principals and central office recognize that these instruments need to be strengthened)
  - Portfolio Assessments, as developed by the district.
  - Graduation rates, drop out rates, retention rates (in K-8); for high schools post-secondary education going and staying in school at least a year (use clearing house data)
  - Attendance – students, teachers, administrators
  - Surveys – school climate overall, and feedback on leadership practices
  
- Considerations
  - Change in student achievement over the past 2-3 years will be considered as we look at results, recognizing the cycle of change of a school (especially a turnaround) is on order of 3 years
  - Additional but not necessarily on the scorecard: the district should track data on number of students a principal sends to another school – consider in context setting conversation. Moving students could be a good or bad thing depending on whether the student is moved to better setting for him/herself, but should be noted in context conversation and district should track it to understand whether there are any principals pushing students out and whether there are some principals are particularly good at finding the effective placements for the students (that other principals could learn from).
  
- Notes/questions
  - Which student scores will be taken into consideration – for example, how long does the student need to have been in the school? This illustrates the challenge around highly transient populations
  - Different resources in some school, especially magnet schools, should be taken into account in the context setting at the start-of-year conference
  - Question around how useful the alternative assessments will be for SpEd population

## **DRAFT -NHPS Leadership Practices Framework - DRAFT**

### **School and Instructional Leadership: *An Effective School Leader:***

- *Believes in the ability of all students to learn and achieve at high levels, and motivates him/herself and others to ensure the success of all students to fulfill the school's mission.*
- *Inspires, communicates and enables an *inspirational vision* to motivate the school and community to effective action to maximize the potential of all students.*
- *Builds a *strong, productive culture* in his/her school that nurtures and builds upon the potential of all students and staff and is *inclusive of diverse groups* in the community.*
- *Mobilizes and aligns *community resources* from families to businesses to government, university and social service organizations to enable students' success.*
- *Works with teachers to become more effective and drive greater student learning through the use of data, formal and informal assessments, and communication and integration of expectations \*(footnote: implies a level of support from the central office).*
- *Prioritizes being and acts as the instructional leader to drive student learning, including aligning the school's resources in service of student learning and meeting diverse needs, resulting in student achievement gains for all students.*
- *Demonstrates strong working knowledge of curriculum and ensures its successful implementation.*
- *Uses data to inform instructional and operational decisions, particularly making certain data are used for teachers to target instruction to meet students' learning needs and increase student achievement.*

### **Operational Leadership and Resource Management: *An Effective School Leader:***

- *Maximizes operations and resources of the school to ensure student learning (and teachers' ability to concentrate on instruction), focusing physical, technological, financial, time and human resources efficiently, effectively and equitably around what is best for students.*
- *Displays strong strategic thinking and establishes operational and management systems that create a safe, efficient and effective school to allow teachers and other staff to focus on instruction.*

### **People Leadership: *An Effective School Leader:***

- *Hires\*\**(footnote: supervisors should take into consideration if principal was not allowed to hire certain teachers), orients, assesses and develops personnel to maximize the potential of students, teachers and other staff in service of student learning and the school's mission.
  - *Supports* teachers and other staff members to ensure ongoing improvement and the opportunity for success through personal interaction, observations, professional development and professional growth plans.
  - Seeks, provides and responds to *feedback* to improve self and others.
  - *Builds leadership capacity* around him/her, including delegating wisely and providing opportunities for others to grow and assume leadership positions.
  - *Builds effective teams*.
  - *Anticipates* staffing needs before critical time arrives.
  - *Holds adults accountable* for student learning and success.

**Personal Leadership: An Effective School Leader:**

- *Assesses* situations accurately and *matches* his/her response appropriately to bring productive resolution to situations.
- *Manages ambiguity and conflict* effectively to allow the school to function productively in service of children.
- *Capitalizes on the diversity* of the school community to improve school programs and meet the diverse needs of all students.
  - *Interacts and communicates* effectively with families and the community, including building successful relationship with diverse groups of people in service of students' learning and development.
  - *Values, solicits and integrates different perspectives* effectively.
- Models being a *continuous learner*, including demonstrating self-awareness and openness to feedback and improving his/her performance over time.
- *Leads change and improvement*; recognizes when there is a need for change and challenges the status quo.
- Leads and acts with *respect, integrity, professionalism, fairness* and in an ethical manner.
- Acts as a *contributing team member of the broader district leadership*, supporting its goals and the learning of all New Haven students.

# New York City Public Schools: Principal Evaluation

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*Perspectives from:*

*Peter McNally, Vice President, NYC Administrators' Union (CSA)*

*David Brodsky, Director, New York City Department of Education, Office of Labor Relations.*

## **Overview**

In 2007, principals signed a landmark performance agreement, a revised Principal Performance Review (PPR). This agreement provides increased autonomy for principals to run their schools in exchange for increased responsibility for the academic progress of their students. The PPR has three main components: “Academic Performance,” “Attention to Populations with Particular Needs,” and “Compliance with Legal Mandates/key NYCDOE Policies.” These components contain several sub-components (e.g., “Academic Performance” includes the “Quality Review” tool, which helps measure instructional and organizational coherence within a school) that fit into a rubric used to compute a final evaluation. Under the new PPR, principals are eligible for revised “performance differentials,” wherein a principal may earn a monetary bonus for exceptional performance.

## **Origins**

The current PPR had roots in the early 1990s when the NYCDOE and the NYC Administrator’s Union (CSA) worked together to establish the first version of the PPR. That agreement was closely aligned to the Interstate School Leaders Licensure Consortium (ISLLC) standards, which included summative performance ratings. By the mid-to-late 1990s, the NYCDOE and the CSA had also established “performance differentials” to provide financial incentives for exceptional principal performance. Brodsky stated that starting in 2005, the NYCDOE wanted “an explicit incorporation” of student achievement into the PPR. That year, the NYCDOE started piloting a non-summative evaluation component that included student data. The parties spent about two years searching for a way to tie principal evaluation to student achievement and eventually came to agreement. The revised PPR rubric weighted student performance and progress—in the form of scores on New York state achievement tests—at about 32 percent of the total PPR. McNally said, “We feel that our present PPR is very reflective of the domains as stated by ISLLC standards, which are a good overall evaluation and reflection of a principals’ work, with an emphasis on student achievement.”

## **Process**

According to both Brodsky and McNally, the negotiation process was difficult. The two sides, following a traditional collective bargaining model, encountered numerous challenges along the way. Both agreed, however, that the foundation of the bargaining was a shared interest in crafting an evaluation system that would include student achievement as a fairly weighted measure of principal performance. According to McNally, “[The CSA] has always embraced

accountability and understood the rationale behind it.” Brodsky agreed: “CSA has been a really good partner with us on the accountability front . . . we couldn’t get there unless [the CSA was] willing to buy into that paradigm—moving away from the traditional modes of assessing principals.” While an agreement that would incorporate student achievement into the PPR was the basis of the collaboration, substantial work had to be done to establish the way it would be implemented and how it would impact principals.

A particularly challenging part of the negotiations was determining how much weight student achievement data would have on the final PPR rating. The NYCDOE initially argued that a sub-component of the PPR, the Progress Report (which grades each school with an A, B, C, D, or F and is based on student progress [60%], student performance [25%], and school environment [15%]) should be a dominant factor in the overall PPR rating. Brodsky said, “These debates on weighting were conducted in good faith and were healthy discussions...The NYDOE was looking to see more weight attached to the Progress Report, and the CSA didn’t want it to be that high. Ultimately, we wound up compromising.” By 2007, the CSA and the NYCDOE had agreed to develop an evaluation instrument that balances the data of the Progress Report with the other areas of the PPR (e.g., site visits, school surveys, self-directed goal-setting, and peer review).

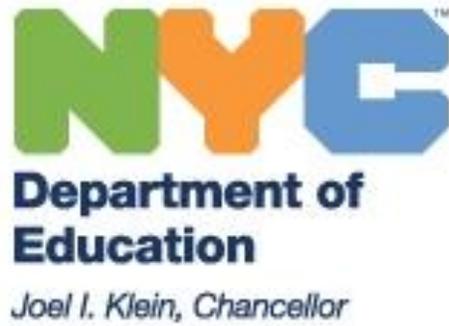
The CSA, along with the NYCDOE, implemented an extensive rollout and support plan for the new PPR. “When this union agreed to the new PPR, we had to go out and meet with our members—hold meetings in each borough with hundreds of principals in auditoriums—to explain in detail all of the components of the PPR,” said McNally.

The CSA now uses its professional development structure to continually educate leaders about the PPR, holding mock Quality Reviews (another key component of the PPR in which experienced educators conduct a two- or three-day school visit) to help prepare school principals and supervisors for the reviews. “Because this service is provided by the union,” McNally emphasized, “it’s a safe place, a trusting environment, a non-evaluative environment.” McNally and Brodsky agreed that a thoughtful rollout and support plan was crucial in winning buy-in for the new PPR.

## **Recommendations**

McNally and Brodsky both said that “transparency of data and communication” continues to be the key to collaboration. In terms of data, the collaboration depended in part on trust that the data and research around the mechanics of the PPR were sound, fair, and accessible. In terms of communication, there was trust that both sides were being honest and open about their motivations and priorities: “If two sides hit an impasse, it can be useful to ‘think out-loud’ collectively, not unilaterally, because if you’re ‘thinking out-loud,’ then they’re hearing your thought-process, and they sense you’re not trying to game them,” Brodsky said.

Another part of successful collaboration, according to Brodsky, “boiled down to persistence—we ended up in a place that neither side thought was perfect, but represented the best place where we could find common ground.” McNally offered a similar point about persistence: “There is a lot of dialogue between us and the NYCDOE. We meet on a regular basis with the DOE’s Office of Accountability, always checking to see what has been agreed-upon, what needs to be tweaked.”



## 2010 Principal Performance Review

### Principal Information

<b>Principal:</b>		<b>School Year:</b>	
<b>School:</b>		<b>Phone Number:</b>	
<b>Superintendent:</b>		<b>District:</b>	
<b>Cluster:</b>			
<b>Status</b>	Interim Acting:	Probationer:	Tenured:

**PRINCIPAL PERFORMANCE REVIEW**

**INTRODUCTION TO THE PRINCIPAL PERFORMANCE REVIEW**

The Principal Performance Review (PPR) is one of the most important activities you will engage in this year. It offers you a critical opportunity to examine the progress your students are making and to identify the decisions and steps needed to help your school accomplish your goal of improved student outcomes.

In order to ensure coherence across the DOE's comprehensive accountability system, the PPR is designed as a core component of the ongoing process of continuous adult as well as student learning that includes the State Accountability Measures, the Progress Report, the Quality Review, the Comprehensive Education Plan (CEP), and the Children First Intensive capacity-building program.

The Annual Principal Performance Review will give you a Final Rating according to performance in the following areas of responsibility:

1. Accomplishing the goals and objectives that you set for yourself at the beginning of the year
2. Result of your school's Progress Report
3. Result of your school's last Quality Review score
4. Addressing the particular needs of English Language Learner populations and Special Education students
5. Adhering to legal requirements and other key DOE policies that apply to your school and are addressed in the Compliance Review that is conducted each year by the Office of Compliance Services

In setting your goals and objectives, the School Environment (including parent, teacher and student Learning Environment Surveys), Student Performance, and the Student Progress components of your school's most recent Progress Report, and the recommendations in your school's most recent Quality Review, provide important information on areas of need and possible improvement in your school. Other key sources of information are your school's most recent NCLB results, CEP, and any additional quantitative and qualitative data you have gathered, and assessment of your strengths and development areas according to the NYC DOE School Leadership Competencies. Your school's CEP can be especially useful in addressing programming, budgeting, and resource allocation. Using all of these supports, you are encouraged to focus particular attention on the students in your school who fall outside of the school's or the City's sphere of success. Addressing the needs of these students will help your school show significant progress in student learning and outcomes.

**PRINCIPAL PERFORMANCE REVIEW THREE-STEP PROCESS**

1. Goals and Objectives – In the summer you will receive a template for you to start working on your goals and objectives for the upcoming school year. Goals and objectives are due September 30, 2010. You will have an opportunity to revise the goals and objectives by the end of November after the high school Progress Reports are issued.
2. Mid-Year Principal Performance Review- In January 2011 you will receive an e-mail and a template from your Superintendent asking for a summary of the progress you have made toward meeting your goals and objectives for the year. The summary is due by February 1, 2011.
3. Annual Principal Performance Review- In June 2011 you will receive an e-mail and a template from the Superintendent for you to provide a summary and evidence of the progress you made toward meeting your goals and objectives for the year. The summary is due June 30, 2011

*\* Upon request, you may meet with your Superintendent to address issues during any step of the process.*

### 1. Your Goals and Objectives

Your goals and objectives are to be completed by you in consultation with the superintendent by September 30, 2011. If necessary, you will be able to revise the goals and objectives in November after issuance of the previous year's Progress Report, Quality Review, and Annual PPR evaluation. Using the template in Appendix A, please describe **a maximum of five** performance goals and objectives you have set for your school for the coming year. These goals and objectives should focus on improving student academic outcomes at your school and must be agreed upon mutually with your Community or High School Superintendent.

In defining your goals and objectives, please give careful attention to (1) your school's Progress Report target and outcomes across all measures, including parent, teacher and student Learning Environment Survey results; (2) Part 2 of your school's Quality Review Report ("What the school needs to improve") and the school's scores on Quality Statements 1-5 in the Quality Review; (3) your school's most recent CEP including the Language Allocation Policy (LAP) ; (4) your school's most recent NCLB outcomes; and (5) other available data. In the case of each goal, **please identify the measurable objective or target you have set for yourself, which reflects your best thinking about how to meet the demonstrated academic needs of your students.**

In narrative form, please describe your plan for meeting each goal, including your strategy for staffing, scheduling, and funding to meet the goal. Also describe the objective evidence (e.g., Periodic Assessment outcomes) you will use to track progress throughout the year towards meeting each goal. In drafting your plan, you should incorporate the NYC DOE School Leadership Competencies. Consider your strengths and development areas on the following five competencies that are critical to increasing student achievement and leading schools, and identify specific steps you can take to improve in these areas:

- a. Personal Leadership – Fosters a culture of excellence through personal leadership
- b. Data – Uses data to set high learning goals and increase student achievement
- c. Curriculum and Instruction – Leverages deep knowledge of curriculum, instruction and assessment to improve student learning
- d. Staff and Community – Develops staff, appropriately shares leadership, and builds strong school communities
- e. Resources and Operations – Manages resources and operations to improve student learning

In preparing your goals and objectives with your Superintendent, you may invite your Network Leader and other relevant advisors to support you in this process. The responsibilities of the network representatives and other relevant advisors include providing support to you improving Progress Report grades, Quality Review score, and developing strategies to improve student outcomes, and setting and meeting goals and objectives for enhanced student learning. You may also reach out to your network for possible training on developing goals and objectives over the summer, as well as referring to the Principal's Guide to Goals and Objectives. Goals and objectives are due to the Superintendent on September 30, 2010.

### 2. Mid-Year Principal Performance Review

At the end of January 2011 you will submit a summary of the progress being made toward meeting your goals and objectives for the year. You can find a template of the mid-year PPR in Appendix E. The Superintendent will review and provide feedback on your progress towards satisfying all of the goals and criteria in the PPR, as well as monitor important data for your school. The purposes of the mid-year review are to assess the progress made for each PPR goal and criterion as set forth below and to modify your goals, as necessary. This review will occur early in the spring semester. You may invite a network representative to support you in this review process.

### 3. Annual Principal Performance Review

In June you will receive a template for you to provide evidence and a narrative summary of the progress you made toward meeting your goals and objectives for the year. The annual PPR will occur during the summer or at the beginning of the school year, immediately after issuance of the previous year's Progress Report results. Principals will have at least five working days to review Progress Report outcomes and report data inaccuracies to the Office of Accountability before the annual PPR occurs. Prior to issuing a final rating to the principal, the Superintendent will review the school's Progress Report and any amendments by the Office of Accountability, Quality Review Report, NCLB and other state accountability outcomes, Comprehensive Education Plan including the Language Allocation Policy, Annual Compliance Review report, and other important data about the school, and will assess the principal's success in satisfying his/her goals and objectives, and the other PPR criteria set out below. You may invite a network representative to support you in this review process. You may also, upon request, meet with your Superintendent to discuss.

## 4. Evaluation Rubric

A. Academic Performance			
	Area	Activity	Final Evaluation
85%	Goals and Objectives (31%)	Did the principal meet his/her Goals and Objectives?	
	Progress Report (32%) <sup>2</sup>	Results of the school's Progress Report:	
	Quality Review Score (22%) <sup>3</sup>	Results of the school's Quality Review:	
Academic Performance Sub-Total			

B. Attention to Populations with Particular Needs			Points
5%	Special Education	Individualized Education Plan (IEP) mandated related and support services and SETSS were provided in a timely manner, and the first attend data was recorded into the computerized tracking system.	
		Special education evaluations are conducted within legally mandated timeframes: initial referrals are completed within sixty (60) calendar days of the receipt of parental consent; re-evaluations are completed within sixty (60) calendar days of receipt of the referral; annual reviews of special education students are conducted as required.	
		IEP teams made recommendations, to the extent appropriate, for services in the least restrictive environment, including maintaining the student in his or her current school	
	English Language Learners	The Language Assessment Battery-Revised (LAB-R) was administered to all students whose home language is not English?	
Population with Particular Needs Sub-Total			

C. Compliance with Legal Mandates/Key DOE Policies <sup>4</sup>		Points
10%	Compliance with Legal Mandates/Key DOE Policies Sub-Total	

D. Computing the Overall Score	Goals and Objectives (31%) +	Progress Report (32%) +	Quality Review Score (22%) +	Populations with Particular Needs (5%) +	Compliance (10%) +	Overall Score = 100%
Scores	+	+	+	+	+	=
Using the columns to the right, convert the Overall Score to the Rating by aligning the Overall Score to the corresponding "Rating"	Overall Score Range		Rating			The Final Rating should be entered on page 6 subject to the considerations listed there
	91-100 %		4 = Substantially Exceeds <sup>1</sup>			
	71-90 %		3 = Exceeds			
	53-70 %		2 = Meets			
	31-52 %		1 = Partially Meets			
0-30 %		0 = Does Not Meet				

See Appendix G for scoring details

**Notes to Evaluation Rubric**

<sup>1</sup>The “Substantially Exceeds” score is reserved for truly outstanding performance.

<sup>2</sup>Appendix B contains the Progress Report template and educator guide for your school.

<sup>3</sup>Appendix C contains the Principal’s Guide to the NYCDOE Quality Review.

<sup>4</sup>The Office of Compliance Services (OCS) will assess each school’s mid-year and year-end overall compliance with federal, state, and local laws, and Chancellor’s Regulations. As part of this process, OCS will examine each school’s success in addressing the important legal requirements for Special Education and English Language Learner students that are delineated in Part B of the Evaluation Rubric. OCS will issue a report and recommendation to the Superintendent covering compliance with federal, state, and local laws, Chancellor’s regulations, and key DOE policies. After reviewing the OCS report, consulting with the Principal, and the school’s Network representative, the Superintendent will award the principal a score for the school’s success in satisfying the legal requirements for populations with particular needs (Part B above) and for compliance with legal and key DOE policy mandates (Part C above). Note that OCS has designed a compliance program to assist and support principals in identifying risks to the effective performance of critical educational and business functions. Schools that are not able to meet their compliance obligations should request assistance from OCS.

**Principal Performance Review: 2010-2011**  
**Final Rating and Summary (to be filled out by the Superintendent)**

**Principal's Name:** \_\_\_\_\_  
**School:** \_\_\_\_\_

**Final Rating:** Please check one.

( ) **0** = Does Not Meet    ( ) **1** = Partially Meets    ( ) **2** = Meets    ( ) **3** = Exceeds    ( ) **4** = Substantially Exceeds

The Final Rating is the sum of the criteria as scored on the Evaluation Rubric on page four. The final rating is subject to the Superintendent's consideration of the following three guidelines which, as specifically set forth below, may result in a rating above or below the score on the Evaluation Rubric:

- Except in unusual circumstances, a principal's leadership of a school that was graded D or F on the most recent Progress Report and scored an "Underdeveloped" on the most recent Quality Review results in a Final Rating of "Does Not Meet". The Superintendent may change the Final Rating to "partially meets" or "meets" if the Superintendent identifies, and the Chancellor approves, specific, identifiable reasons beyond the principal's control for the school's failure. Acceptable reasons must relate to (1) the principal's short time as the school's leader (including due to illness during the preceding year), (2) the principal's recent appointment to turn around a previously failing school, (3) the principal's achievement or surpassing of his/her goals and objectives, (4) other circumstances of at least the same magnitude and effect.
- Except in unusual circumstances, a principal's leadership of a school graded D on the Progress Report for two years in a row, or of a school graded C on the progress report for four years in a row, results in a Final Rating of "Does Not Meet", if the principal has served for all or nearly all of the two or four year period and the school's most recent Quality Review Score was below "Proficient" on the most recent Quality Review. If a Final Rating other than "Does Not Meet" is given in this situation, the Superintendent must identify, and the Chancellor must approve, specific, identifiable reasons beyond the principal's control for the school's failure. Acceptable reasons must relate to (1) the principal's relatively short time as the school's leader (including due to illness during the preceding year), (2) the principal's achievement or surpassing of his/her goals and objectives; (3) other circumstances of at least the same magnitude and effect.
- A principal's leadership of a school that receives an overall score of "0" on any component of Part B or any category, e.g. "Business and Funding," listed in the compliance checklist or desk review, or who engaged in any misconduct or inappropriate conduct during the year, the Superintendent may decrease the Final Rating. Whether to decrease the rating and, if so, by how much depends, upon the number of components or categories that are rated "0", and/or the frequency and severity of the misconduct or inappropriate conduct as assessed by the Superintendent.

**Principal's Name:** \_\_\_\_\_

**School:** \_\_\_\_\_

**Final Rating:** Please check one.

( ) 0 = Does Not Meet    ( ) 1 = Partially Meets    ( ) 2 = Meets    ( ) 3 = Exceeds    ( ) 4 = Substantially Exceeds

**Final Rating Summary:**

Using additional pages as needed summarize the basis for the Principal's Final Rating, referring to all aspects of the Principal's performance. Identify strengths and priorities for next year.

**Attendance:**

	First Year				Second Year				Third Year				Days in Car	Or Borrowed Days	Substitute Service No. of Days
	Times No.	Time Lost			Times No.	Time Lost			Times No.	Time Lost					
		Days	Hrs	Min		Days	Hrs	Min		Days	Hrs	Min			
Lateness															
Absence (Exclude Non-Attendance)															

NOTE: For reports on probationers, complete 1 to 3 years as applicable. For all other personnel use First year to denote current year.

*All ratings of 0 and 1 are appealable. If a principal is downgraded for one of the reasons set forth in the bulleted paragraphs at page 6 of the PPR, then that principal may appeal the resultant downgraded rating, even if the resultant rating is 2 or higher. All PPR appeals will be subject to the rules and procedures of the Office of Appeals and Reviews.*

**This report has been seen and discussed by Principal and Superintendent.**

Date: \_\_\_\_\_ Principal's Signature: \_\_\_\_\_

Date: \_\_\_\_\_ Superintendent's Signature: \_\_\_\_\_

## APPENDICES

### **Appendix A- Goals and Objective Template**

### **Appendix B- Progress Report Guide**

To access the Elementary/Middle School Progress Report Guide on the DOE website, please go to:

[http://schools.nyc.gov/NR/ronlyres/DEFA8A3D-7BB8-4502-BEFC-F977FB206542/70754/EducatorGuide\\_EMS\\_080409.pdf](http://schools.nyc.gov/NR/ronlyres/DEFA8A3D-7BB8-4502-BEFC-F977FB206542/70754/EducatorGuide_EMS_080409.pdf)

### **Appendix C- Quality Review Guide**

To access the Principal's Guide to the NYCDOE Quality Review on the DOE website, please go to:

<http://schools.nyc.gov/NR/ronlyres/8DED4CFE-D87F-4715-AB2A-E5FC566BAEC8/80688/QRPrincipalsGuide2317.doc>

### **Appendix D- Mid-year PPR template**

### **Appendix E- NYC DOE School Leadership Competencies on the Principals' Portal:**

<http://intranet.nycboe.net/NR/ronlyres/6E9AA89C-2803-4AB3-A256-EC293FDD68C9/0/NYCDOESchoolLeadershipCompetencyContinuum.pdf>

### **Appendix F- Details for Principal Performance Review**

### **Appendix G -Schools that do not get a Progress Report or Quality Review**

### **Appendix H- Middle School Addendum**

## APPENDIX A



## Principal Performance Review 2010-2011 Goals and Objectives Template

Principal's Name:

School Name:

District:

Superintendent:

Cluster:

Network Leader:

Date:

**Goals and Objectives Template:** Identify a maximum of 5 Goals and Objectives. Please use this template for each goal.

Goal Number 1	
Goal:	Describe your goal.
Measurable Objective	Set the measurable target that will define whether you have met your goal.
Action Plan	Describe your plan for meeting your goal, including staffing, scheduling, and funding.
Evidence	Identify the objective evidence you will use throughout the year to evaluate your progress towards meeting your goal.

Principal's Name:

School Name:

Superintendent:

Cluster:

Date:

District:

Network Leader:

Goal Number 2	
<b>Goal</b>	<b>Describe your goal.</b>
<b>Measurable Objective</b>	<b>Set the measurable target that will define whether you have met your goal.</b>
<b>Action Plan</b>	<b>Describe your plan for meeting your goal, including staffing, scheduling, and funding.</b>
<b>Evidence</b>	<b>Identify the objective evidence you will use throughout the year to evaluate your progress towards meeting your goal.</b>

Principal's Name:

School Name:

Superintendent:

Cluster:

Date:

District:

Network Leader:

<b>Goal Number 3</b>	
<b>Goal</b>	<b>Describe your goal.</b>
<b>Measurable Objective</b>	<b>Set the measurable target that will define whether you have met your goal.</b>
<b>Action Plan</b>	<b>Describe your plan for meeting your goal, including staffing, scheduling, and funding.</b>
<b>Evidence</b>	<b>Identify the objective evidence you will use throughout the year to evaluate your progress towards meeting your goal.</b>

Principal's Name:

School Name:

Superintendent:

Cluster:

Date:

District:

Network Leader:

Goal Number 4	
<b>Goal</b>	<b>Describe your goal.</b>
<b>Measurable Objective</b>	<b>Set the measurable target that will define whether you have met your goal.</b>
<b>Action Plan</b>	<b>Describe your plan for meeting your goal, including staffing, scheduling, and funding.</b>
<b>Evidence</b>	<b>Identify the objective evidence you will use throughout the year to evaluate your progress towards meeting your goal.</b>

Principal's Name:

School Name:

Superintendent:

Cluster:

Date:

District:

Network Leader:

Goal Number 5	
<b>Goal</b>	<b>Describe your goal.</b>
<b>Measurable Objective</b>	<b>Set the measurable target that will define whether you have met your goal.</b>
<b>Action Plan</b>	<b>Describe your plan for meeting your goal, including staffing, scheduling, and funding.</b>
<b>Evidence</b>	<b>Identify the objective evidence you will use throughout the year to evaluate your progress towards meeting your goal.</b>

## Appendix D

### Principal Performance Review 2010-2011 Mid-Year Summary

**Principal's Name:**

**School Name:**

**District:**

**Superintendent:**

**Cluster:**

**Network Leader:**

**Date:**

*(To be completed by the Principal and submitted to the Superintendent, via DOE e-mail. If you need additional time to complete this summary, please reach out to your Superintendent.)*

*The table will expand as you type.*

**Goal 1:**

**Objective:**

**Summary:**

**Goal 2:**

**Objective:**

**Summary:**

**Goal 3: (If necessary)**

**Objective:**

**Summary:**

**Goal 4: (If necessary)**

**Objective:**

**Summary:**

**Goal 5: (If necessary)**

**Objective:**

**Summary:**

**Summary of the progress you have made in meeting the expectations for Part B: Attention to populations with special needs:**

**Summary of the progress you have made in meeting the expectations for Part C: Compliance with Legal Mandates/key DOE policies:**

## Appendix F

### Details for Principal Performance Review

#### From Part 4- Evaluation Rubric: Scoring

##### A- Academic Performance

**a. Goals and Objectives (31%):** The principal gets between 0 and 31 points based on the evaluation of the superintendent as to whether the principal met his/her goals and objectives. Each goal will be equally weighted.

**b. Progress Report (32%):** The principal gets between 0 and 32 points based on the school's Progress Report grade. Details are in the table below:

The Progress Report grade will be converted to points using the conversion table below:	
A	32
B	24
C	18
D	10
F	0

**c. Quality Review (22%):** The principal gets between 0 and 22 points based on the school's Quality Review score. Details are in the table below:

The Quality Review score will be converted using the conversion table below:	
Well developed	22
Proficient	15
Developing	8
Underdeveloped	0

*\*Schools that scored "outstanding" during the 2007-08 school year will be awarded 22 points until their next Quality Review.*

##### B. Attention to populations with Particular Needs (5%)

The principal gets 0 to 5 points for this area. Each of the statements is weighted equally towards contributing to the overall score.

- Individualized Education Plan (IEP) mandated related and support services and SETSS were provided in a timely manner, and the first attend data was recorded into the computerized tracking system.
- Special education evaluations are conducted within legally mandated timeframes: initial referrals are completed within sixty (60) calendar days of the receipt of parental consent; re-evaluations are completed within sixty (60) calendar days of receipt of the referral; annual reviews of special education students are conducted as required.
- IEP teams made recommendations, to the extent appropriate, for services in the least restrictive environment, including maintaining the student in his or her current school.
- The Language Assessment Battery-Revised (LAB-R) was administered to all students whose home language is not English?

**C. Compliance with Legal Mandates / Key DOE policies (10%)**

The principal receives 0 to 15 points for their total score (Part B and Part C). For The set cut-scores for the school's final compliance grade will be based upon the following percentage ranges:

If the school is X % Total Awarded Points ...	Then the principal receives the following rating on the PPR	
	Part B	Part C
90- 100%	5	10
80 – 89.99%	4	8
70 – 79.99%	3	6
40 – 69.99%	2	4
20 – 39.99%	1	2
0 – 19.99%	0	0

**i. Individual Questions**

Determining LOC - The school's compliance level (LOC) for each question is established by awarding points based upon a schedule of percent compliance, set forth below:

If the school is X % Compliance ...	Then the principal receives the following rating on the PPR
	Part B & Part C
90- 100%	5
80 – 89.99%	4
70 – 79.99%	3
40 – 69.99%	2
20 – 39.99%	1
0 – 19.99%	0

**Examples:**

If a school has 200 students referred for related services and 100 students are receiving services (50%), 2 points will be assigned. If a school has 200 students referred for related services and 150 students are receiving services (75%), 3 points will be assigned. In other cases, certain questions are not applicable to all schools (e.g. the condom availability program question applies only to high schools). Once each question is scored a total score will be created by adding up the points for each question. A total possible score will be calculated by adding the maximum number of points that a school could have achieved on each question. If a question is "not applicable" to a particular school, then the school will receive "0" points for the score and possible score for that question, and the question will not be included in the overall calculation.

**ii. Composite Questions**

Once we have the total score and total possible score calculated, we will divide the total score by the total possible score to get the percent of total awarded points. This percentage can be anywhere from 0% to 100% and, again, will not be based on questions that are not applicable to a school.

**D. Final Rating**

The Overall Score for the PPR is the sum of parts A + B + C. The sum is then translated into a Final Rating for the principal.

<b>Sum of Parts A + B + C</b>	<b>Rating</b>
91-100 %	4 = Substantially exceeds
71-90 %	3 = Exceeds
53-70 %	2 = Meets
31-52 %	1 = Partially meets
0-30 %	0 = Does not meet

## Appendix G

**For schools that do not get a Progress Report or Quality Review, the PPR evaluation will be as follows:**

- Phase out schools and new schools which do not receive a Progress Report, will have the 32% of the Progress Report score added to the goals and objectives part of the PPR, making the goals & objectives 63% of the overall PPR evaluation.
- Phase out schools not undergoing a Quality Review will have the 22% of the QR score added to the goals & objectives part of the PPR, making goals & objectives 53% of the overall PPR evaluation.
- If both of these scenarios are true, the goals and objectives will be weighted 85% of the total PPR evaluation.
- Secondary Schools that have both a middle school Progress Report and a high school Progress report, the sum of the points will be divided by two and the result will be used for the Progress Report part of the PPR. For example, if a school scores a C (18 points) in the MS PR and a B (24 points) in the HS PR,  $(24 + 18 = 42 / 2 = 21)$  then the school will get a total of 21 points in the PR section of the PPR.
- Principals who are not assigned as “head of school” and who are alternately assigned as principals (excessed principals, principal assigned etc.) will be evaluated 100% on goals and objectives.

## Appendix H

### Middle Schools Addendum

For the 2009-2010 school year there will be an addendum to the PPR for the Middle Schools being funded through the Campaign for Middle School Success and the NYC Department of Education. During the Goals and Objective phase of the PPR, Superintendents will ask middle school SUCCESS INITIATIVE grant recipient schools if they have made adjustments to their implementation plans and action plans, respectively, and if those adjustments are aligned with their current C.E.P.

BELOW IS THE LANGUAGE FROM THE CITY COUNCIL AGREEMENT:

“During the mid year PPR process, Superintendents will ask middle school SUCCESS INITIATIVE grant recipient principals if they are on track towards meeting their goals as stated on their approved implementation plans and action plans, respectively. If so, schools will continue to progress accordingly. If not however, identified schools can receive targeted support from OCSAE and Network Leaders that will assist in providing services to align programs, policies and practices as stated in both their Implementation Plan and CEP. At the end of the year PPR Principals will be asked to present evidence that they met and/or made measurable progress towards meeting their implementation plan projections (e.g. stated goals).”

In defining your goals and objectives, please give careful attention to (1) your school's Progress Report target and outcomes across all measures, including parent, teacher and student Learning Environment Survey results; (2) Part 2 of your school's Quality Review Report (“What needs to improve”) and the school's scores on Quality Statements 1-5 in the Quality Review; (3) your school's most recent CEP including the Language Allocation Policy (LAP) ; (4) your school's most recent NCLB outcomes; and (5) other available data. In the case of each goal, **please identify the measurable objective or target you have set for yourself, which reflects your best thinking about how to meet the demonstrated academic needs of your students.**”

In addition, the following will be reviewed:

- “The Language Assessment Battery-Revised (LAB-R) was administered to all students whose home language is not English.”
- For the past 2008-09 school year, the Superintendents of middle schools receiving Campaign for Middle School Success funding will review all budgets that principals submitted.
- We have verified that all schools have submitted budgets and have used funds according to their budgets and action plans.

a. Principals

- 1) **Contracts.** Effective February 1, 2000, Superintendents shall offer principals who have passed their probationary period, a three year contract. The period of February 1, 2000 to August 31, 2000 shall serve as the first year of a contract. Thereafter, the contract year shall run from September 1<sup>st</sup> to the following August 31<sup>st</sup>. Where a principal passes probation during the school year, the remainder of contract year shall serve as the first year of a contract. At the end of each school year of the contract, principals shall be rated based upon the principal's performance review. Any principal who has completed the three year contract term and who has not been removed or demoted or who does not have disciplinary action pending against him/her shall have his or her contract renewed. If the Superintendent rates the principal unsatisfactory based on the principal performance review or determines that the principal has committed misconduct, then the Superintendent shall inform the principal of a decision to discontinue the contract or otherwise take disciplinary action.
  
- 2) Modification of 3020-a Procedure. For allegations of misconduct there shall be a just cause discipline standard of review. For allegations of unsatisfactory performance, the standard of review shall be whether the Superintendent's discretion was exercised in an arbitrary and capricious manner. The proposed discipline shall be presented to one impartial arbitrator selected from a panel of at least ten permanent arbitrators selected by the parties in accordance with the American Arbitration Association (AAA) procedures.
  
- 3) Allegations of Misconduct. Allegations of misconduct may be brought at any time. Upon receipt of a written notice of allegations of misconduct and proposed adverse action, a principal may be removed from his or her position without pay or demoted with reduced pay pending an arbitrator's decision. Health insurance benefits shall extend to employees removed from payroll for allegations of misconduct until the completion of the review by the Commissioner of Education. At the principal's option, the allegations may be presented to the arbitrator who will render a decision as to whether there is just cause for the proposed adverse action. The arbitrator's decisions shall be rendered within thirty (30) days of the notice of the allegations. The arbitrator's decision shall be binding unless overturned by the Commissioner of Education

of the State of New York (the “Commissioner”). If the arbitrator determines that the charges are unfounded, the principal shall be restored to his/her position with full pay; however, the imposition of the penalty may continue for up to 30 days from the time of the arbitrator’s decision.

- 4) **Allegations of Unsatisfactory Performance.** Allegations of unsatisfactory performance shall be presented to the arbitrator who will render a decision that shall be binding unless overturned by the Commissioner. Unsatisfactory performance shall be documented in the principal’s performance review. The decision to charge a supervisor under 3020-a based on an allegation of unsatisfactory performance, can be made at any time. A principal shall be notified of a Superintendent’s intention to remove, demote or discipline him or her and the basis for adverse action. Pending final review, when the Superintendent proposes removal or demotion, the principal shall revert to his/her last appointed position with corresponding salary, effective July 1<sup>st</sup>. If the arbitrator determines that the charges are unfounded, the principal shall be restored to his/her position with pay, pending Chancellor and Commissioner review.
- 5) **Reversion Rights.** Any principal who is terminated for misconduct shall not have reversion rights. Any principal removed for unsatisfactory performance shall have the right to revert to his/her last appointed position unless the arbitrator determines that the Superintendent has shown that the principal is unfit to revert to the last appointed position
- 6) **Chancellor Review.** The Chancellor upon the request of the Superintendent or the principal may review the arbitrator’s decision, which review must be completed within 15 days of the arbitrator’s decision. The employee shall be provided with written notice of the outcome of the Chancellor’s review. The Chancellor may decline to implement an arbitrator’s decision disciplining a principal. If the Chancellor implements the arbitrator’s decision against the principal, the principal may apply to the Commissioner for a review of the arbitrator’s decision. The Chancellor may review an arbitrator’s decision that does not sustain the Superintendent’s charges. In such a case, if the Chancellor disagrees with the arbitrator’s decision the matter shall be transmitted to the Commissioner for a determination.

**ARTICLE XXII -- EVALUATION/OBSERVATION JOINT COMMITTEE**

The CSA and the Board of Education are committed to attracting and retaining the most competent staff and will strive towards the creation of an evaluation and professional development plan that gives each supervisor and administrator choices and a role in his/her own professional growth, particularly with respect to supervisory and administrative skills and knowledge. This program should enable employees to assist in the professional development of less experienced staff members. To this end the CSA and the DOE will discuss in a labor management committee the evaluation standards for supervisors..

We will seek to enhance and develop skills and knowledge as well as provide a means of identifying supervisors and administrators whose professional competence is in question.

**ARTICLE XXIII-- CHAIRPERSONS OF COMMITTEES ON SPECIAL EDUCATION**

**A. General Terms And Conditions**

The following provisions of the supervisors' Agreement shall apply to Chairpersons covered by this agreement: Article II -- Fair Practices; Article III D, 1, 2, 3, and 4 -- Welfare Benefits (effective February 12, 1996); Article III E -- Pension and Retirement Program; Article V B2 -- Work Year and School Day; Article VI G -- Professional Conferences, H -- Bureau Conferences, I -- Use of Personal Cars, J -- Supervisor Files, K -- Equipment Repair, and L -- Telephone Service; Article VII A -- Reimbursement for Medical Expenses, C -- Skin Test, D -- Requests for Medical Examination of Supervisors, E -- Assistance in Assault Cases, F -- Pay During Military Service, G -- Excuse for Selective Service Examination, H -- Damage or Destruction of Property, I -- Payment for Jury Duty, J 1 -- Summons, M -- Medical Report and Review, N -- Information to CSA, and O -- Salary Payment; Article VIII A -- Leaves of Absence Without Pay, D -- Absence Without Notice, and E -- Notification of Retirement; Article X -- Grievance Procedure; Article XI -- Special Complaints; Article XII -- Consultations; Article XIII -- Exclusive Check-Off and PAC Employee Contributions; Article XIV -- Agency Shop; Article XV -- Conformity to Law; Article XVI -- No Strike Pledge; Article XVII -- Notice -- Legislative Action; Article XVIII -- Matters Not Covered; Article XIX -- Definitions; Article XXI -- Committees; Article XXVI -- Cost Limits; and Article XXVII -- Duration.

**B. Salaries**

- 1. The salary for Chairpersons shall be:

Effective	July 1, 2003	\$100,589
Effective	July 1, 2004	\$103,607
Effective	July 1, 2005	\$104,784

