

Virginia Board of Education Agenda Item



Agenda Item: E

Date: January 12, 2012

Title	First Review of Revised <i>Guidelines for Uniform Performance Standards and Evaluation Criteria for Principals</i>		
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Purpose of Presentation:

Action required by state or federal law or regulation.

Previous Review or Action:

Previous review and action. Specify date and action taken below:

Date: July 22, 2010

Action: Report on the Study and Development of Model Teacher and Administrator Evaluation Systems

Action Requested:

Action will be requested at a future meeting. Specify anticipated date below:

Date: February 23, 2012

Alignment with Board of Education Goals: Please indicate (X) all that apply:

	Goal 1: Expanded Opportunities to Learn
X	Goal 2: Accountability of Student Learning
	Goal 3: Nurturing Young Learners
	Goal 4: Strong Literacy and Mathematics Skills
X	Goal 5: Highly Qualified and Effective Teachers and Administrators
	Goal 6: Sound Policies for Student Success
X	Goal 7: Safe and Secure Schools
	Other Priority or Initiative. Specify:

Background Information and Statutory Authority:

In response to the *1999 Education Accountability and Quality Enhancement Act* (HB2710 and SB1145) approved by the Virginia General Assembly, the Board of Education approved the *Guidelines for Uniform Performance Standards and Evaluation Criteria for Teachers, Administrators, and Superintendents* in January 2000. At the July 2010 meeting, the Board of Education received a report from the Virginia Department of Education that provided a work plan to study and develop model teacher and principal evaluation systems that would result in revisions to the Board’s uniform performance standards and evaluation criteria. On April 28, 2011, the Board of Education approved revised *Guidelines for Uniform Performance Standards and Evaluation Criteria for Teachers*.

The Board of Education is required to establish performance standards and evaluation criteria for teachers, principals, and superintendents to serve as guidelines for school divisions to use in implementing educator evaluation systems. The *Code of Virginia* requires that (1) principal evaluations be consistent with the **performance objectives (standards)** set forth in the Board of Education’s *Guidelines for Uniform Performance Standards and Evaluation Criteria for Teachers, Administrators, and Superintendents* and (2) school boards’ procedures for evaluating principals address student academic progress.

Section 22.1-253.13:5 of the *Code of Virginia* states, in part, the following:

...B. Consistent with the finding that leadership is essential for the advancement of public education in the Commonwealth, teacher, administrator, and superintendent evaluations shall be consistent with the performance objectives included in the *Guidelines for Uniform Performance Standards and Evaluation Criteria for Teachers, Administrators, and Superintendents*. Teacher evaluations shall include regular observation and evidence that instruction is aligned with the school's curriculum. Evaluations shall include identification of areas of individual strengths and weaknesses and recommendations for appropriate professional activities....

...E. Each local school board shall provide a program of high-quality professional development... (iv) for administrative personnel designed to increase proficiency in instructional leadership and management, including training in the evaluation and documentation of teacher and administrator performance based on student academic progress and the skills and knowledge of such instructional or administrative personnel.

Section 22.1-294 of the *Code of Virginia* states, in part, the following:

...B. Each local school board shall adopt for use by the division superintendent clearly defined criteria for a performance evaluation process for principals, assistant principals, and supervisors that are consistent with the performance objectives set forth in the *Guidelines for Uniform Performance Standards and Evaluation Criteria for Teachers, Administrators, and Superintendents* as provided in § 22.1-253.13:5 and that includes, among other things, an assessment of such administrators' skills and knowledge; **student academic progress** and school gains in student learning; and effectiveness in addressing school safety and enforcing student discipline. The division superintendent shall implement such performance evaluation process in making employment recommendations to the school board pursuant to § 22.1-293.

Summary of Important Issues:

The Virginia Department of Education established a work group to conduct a comprehensive study of principal evaluation in fall 2011. The work group included principals, teachers, superintendents, a human resources representative, higher education representatives, a parent representative, and representatives from professional organizations (Virginia Association of Elementary School Principals, Virginia Association of Secondary School Principals, Virginia Association of School Superintendents, Virginia Education Association, Virginia School Boards Association, and the Virginia Parent Teacher Association), expert consultants, and Department of Education personnel. Virginia’s principal evaluation work group members are listed within Attachment A.

The goals of the principal evaluation work group were to:

- develop and recommend policy revisions related to principal evaluation, as appropriate;
- compile and synthesize current research related to principal evaluation and principal performance standards;
- examine existing state law, policies, and procedures relating to principal evaluation;
- establish the use of multiple data sources for documenting performance, including opportunities for principals to present evidence of their own performance as well as student growth;
- develop a procedure for conducting performance reviews that stresses accountability, promotes professional improvement, and increases principals' involvement in the evaluation process;
- revise existing documents developed to support principal evaluation across Virginia, including the *Guidelines for Uniform Performance Standards for Teachers, Administrators, and Superintendents* to reflect current research and embed student growth as a significant factor of principal evaluation protocols; and
- examine the use of principal evaluation to improve student achievement.

Work group meetings were held in Richmond in October and December 2011. The work group concluded its work in early December 2011, and a subcommittee of the work group met later in December 2011 to review the draft documents before the final recommendation was made to the Virginia Board of Education.

The work group developed the guidance document *Guidelines for Uniform Performance Standards and Evaluation Criteria for Principals* (Attachment A) requiring Board of Education approval.

Guidelines for Uniform Performance Standards and Evaluation Criteria for Principals

State statute requires that principal evaluations be consistent with the performance standards (objectives) included in this document. The additional information contained in the document is provided as guidance for local school boards in the development of evaluation systems for principals.

Also included in the Board item is a document, *Research Synthesis of Virginia Principal Evaluation Competencies and Standards* (Attachment B), that provides the research base supporting the selection and implementation of the proposed performance standards and evaluation criteria. This is an informational Department of Education document that does not require Board of Education approval.

The attached document, *Guidelines for Uniform Performance Standards and Evaluation Criteria for Principals*, sets forth seven performance standards for all Virginia principals. Pursuant to state law, principal evaluations must be consistent with the following performance standards (objectives) included in this document:

Performance Standard 1: Instructional Leadership

The principal fosters the success of all students by facilitating the development, communication, implementation, and evaluation of a shared vision of teaching and learning that leads to student academic progress and school improvement.

Performance Standard 2: School Climate

The principal fosters the success of all students by developing, advocating, and sustaining an academically rigorous, positive, and safe school climate for all stakeholders.

Performance Standard 3: Human Resources Management

The principal fosters effective human resources management by assisting with selection and induction, and by supporting, evaluating, and retaining quality instructional and support personnel.

Performance Standard 4: Organizational Management

The principal fosters the success of all students by supporting, managing, and overseeing the school's organization, operation, and use of resources.

Performance Standard 5: Communication and Community Relations

The principal fosters the success of all students by communicating and collaborating effectively with stakeholders.

Performance Standard 6: Professionalism

The principal fosters the success of all students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession.

Performance Standard 7: Student Academic Progress

The principal's leadership results in acceptable, measurable student academic progress based on established standards.

A fair and comprehensive evaluation system provides sufficient detail and accuracy so that both principals and evaluators (i.e., superintendent, supervisor) reasonably understand the job expectations. The expectations for professional performance are defined using a two-tiered approach of performance standards and performance indicators. Performance standards define the criteria expected when principals perform their major duties. Performance indicators provide examples of observable, tangible behavior that indicate the degree to which principals are meeting each standard. For each standard, sample performance indicators are provided. In addition, the evaluation guidelines provide assistance to school divisions regarding the documentation of principal performance with an emphasis on the use of multiple measures for principal evaluation rather than relying on a single measure of performance.

The *Code of Virginia* requires that school boards' procedures for evaluating principals address student academic progress. The Board's *Guidelines for Uniform Performance Standards and Evaluation Criteria for Principals* calls for each principal to receive a summative evaluation rating and that the rating be determined by weighting the first six standards equally at 10 percent each, and that the seventh standard, student academic progress, account for 40 percent of the summative evaluation. There are three key points to consider in this model:

1. Student learning, as determined by multiple measures of student academic progress, accounts for a total of 40 percent of the evaluation.
2. For elementary and middle school principals:
 - At least 20 percent of the principal evaluation (half of the student academic progress measure) is comprised of the student growth percentiles in the school as provided from the Virginia Department of Education when the data are available and can be used appropriately.
 - Another 20 percent of the principal evaluation (half of the student academic progress measure) should be measured using *Student Academic Progress Goals* with evidence that the

alternative measure is valid. **Note:** Whenever possible, it is recommended that the second progress measure be grounded in validated, quantitative, objective measures, using tools already available in the school. These should include improvement in achievement measures (e.g., Standards of Learning assessment results, state benchmarks) for the school.

3. For high school principals: The entire 40 percent of the principal evaluation should be measured using Student Academic Progress Goals with evidence that the alternative measure is valid. These should include improvement in achievement measures (e.g., Standards of Learning assessment results, state benchmarks) for the school.

Impact on Fiscal and Human Resources:

Section 22.1-253.13:5 of the *Code of Virginia* states that each local school Board shall provide a program of high-quality professional development in the use and documentation of performance standards and evaluation criteria.

Implementation of the *Guidelines for Uniform Performance Standards and Evaluation Criteria for Principals* will require training for principals and supervisors. Training costs and time spent in training employees will be a fiscal impact on school boards. Possible funding sources may include federal Title II Part A and Standards of Quality funds. The Governor's 2014 Introduced Budget includes funding to support performance evaluation training for teachers, principals, and division superintendents.

Timetable for Further Review/Action:

The proposed *Guidelines for Uniform Performance Standards and Evaluation Criteria for Principals* will be presented to the Board of Education for approval on February 23, 2012.

Superintendent's Recommendation:

The Superintendent of Public Instruction recommends that the Board of Education accept for first review the *Guidelines for Uniform Performance Standards and Evaluation Criteria for Principals*, to become effective on July 1, 2013; however, school boards and divisions are authorized to implement the guidelines and standards prior to July 1, 2013.

*Virginia Department of Education
P. O. Box 2120
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***Guidelines for Uniform Performance
Standards and Evaluation
Criteria for Principals***



January 12, 2012

Acknowledgements

The Virginia Department of Education expresses appreciation to the members of the Virginia Principal Evaluation Work Group for their invaluable input and support of the project.

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Part 1: Introduction

Why Good Evaluation is Necessary¹

Principal evaluation matters because school leadership matters. In fact, “school leadership is frequently described as the key element of a high-quality school, and stories of the inspirational and effective principal are plentiful and oft-repeated.”² Research in the field has consistently revealed that school leadership has an important impact on student achievement gains or progress over years.³ In addition to its impact on student achievement, research also indicates that effective school leadership has significant positive effect on student attendance, student engagement with school, student academic self-efficacy, staff satisfaction, and collective teacher efficacy.⁴ Evaluation systems must be of high quality if we are to discern whether our principals are of high quality. The role of a principal requires a performance evaluation system that acknowledges the complexities of the job. Principals have a challenging task in meeting the educational needs of an educationally diverse student population, and good evaluation is necessary to provide the principals with the support, recognition, and guidance they need to sustain and improve their efforts.⁵

Because principals are so fundamentally important to school improvement and student success, improving the evaluation of principal performance is particularly relevant as a means to recognize excellence in leadership and to advance principal effectiveness. A meaningful evaluation focuses on professional standards, and through this focus and timely feedback, enables teachers and leaders to recognize, appreciate, value, and develop excellent leadership. The benefits of a rigorous evaluation system are numerous and well documented. Goldring and colleagues noted that when the process of evaluation is designed and implemented appropriately, it can be valuable for improvement of leadership quality and overall organizational performance in several ways, including:⁶

- as a benchmarking and assessing tool to document the effectiveness of principals for annual reviews and compensation;
- as a targeting tool to help principals focus on performance domains and behaviors that are associated with student learning;
- as a tool of continuous learning and development to provide both formative and summative feedback to principals, identify areas in need of improvement, and enable principals to make informed individualized decisions regarding professional development in order to bridge the gap between current practices and desired performance; and
- as a collective accountability tool to set the organizational goals and objectives of the school leader and larger schoolwide improvement.

Problems with Current Evaluation Systems

Unfortunately, even though a principal’s effectiveness⁷ is recognized as an important factor in improving student achievement, schools rarely measure, document, or use effectiveness ratings to inform decision-making.⁸ The result is that it is difficult to distinguish among poor, average,

good, and excellent principals. A comprehensive review of principal leadership evaluation practices in the United States indicated that although states and divisions focused on a variety of performance areas (such as management, external environment, or personal traits) when evaluating their principals, they had very limited coverage of leadership behaviors that ensured rigorous curriculum and quality instruction, which are linked with schoolwide improvement for student learning, the ultimate purpose of schooling.⁹ When examining the process of principal evaluation more closely, it was found that the usual practices of principal evaluation lacked justification and documentation in terms of the utility, psychometric properties, and accuracy of the instruments.¹⁰ Ginsberg and Thompson commented that “the state of research on principal evaluation emphasizes the lack of empirically supported information about best practices.”¹¹

Other flaws in the current principal evaluation process include:

- an absence of meaningful and timely feedback from evaluation to most principals;
- a lack of impact and consequence of evaluation;
- an absence of clear communication of criteria and standard protocols in principal evaluation;
- a lack of relevance of the evaluation to enhance principal motivation and improve performance;¹² and
- inconsistencies in evaluation instruments that do not align with professional standards, which could produce role conflict and subsequent role strain as principals find it challenging to comprehend what they should focus their attention on.¹³

Importance of Recognizing Principal Effectiveness

Characterizing principal effectiveness is important because there is a substantial relationship between the quality of the principal and student achievement. Principal leadership plays an important role in the selection, support, and success of school-level instructional process.¹⁴ Waters, Marzano, and McNulty conducted a meta-analysis of research on effects of principal leadership practices on student achievement.¹⁵ After analyzing studies conducted over a 30-year period, they found that the effectiveness of a school’s leadership is significantly associated with increased student academic performance. For instance, a number of leader behaviors related to vision, such as establishing clear goals and fostering shared beliefs, were associated with student learning. They found the average effect size between leadership and student achievement is .25. That means a one standard deviation improvement in leadership effectiveness can translate into an increase of ten percentile points in student achievement on a standardized, norm-referenced test. It is important to recognize that effective principals influence student learning, either directly or indirectly. It is also important to understand the ways and means by which principals influence their schools’ educational programs. Therefore, a rigorous principal evaluation system should be able to discriminate the performance of principals and provide informative feedback for improvement.

Purposes of Evaluation

The primary purposes of a quality principal evaluation system are to:

- optimize student learning and growth;
- contribute to the successful achievement of the goals and objectives defined in the vision, mission, and goals of the school division;
- provide a basis for leadership improvement through productive principal performance appraisal and professional growth; and
- implement a performance evaluation system that promotes collaboration between the principal and evaluator and promotes self-growth, leadership effectiveness, and improvement of overall job performance.¹⁶

A high quality evaluation system includes the following distinguishing characteristics:

- benchmark behaviors for each of the principal performance standards;
- a focus on the relationship between principal performance and improved student learning and growth;
- the use of multiple data sources for documenting performance, including opportunities for principals to present evidence of their own performance as well as student growth;
- a procedure for conducting performance reviews that stresses accountability, promotes professional improvement, and increases principals' involvement in the evaluation process; and
- a support system for providing assistance when needed.¹⁷

Purposes of this Document

This document was developed specifically for use with school principals and assistant principals. For the purpose of this document the term principal will be used to reference both principals and assistant principals. The Board of Education is required to establish performance standards and evaluation criteria for teachers, principals, and superintendents to serve as guidelines for school divisions to use in implementing educator evaluation systems.

The *Code of Virginia* requires (1) that principal evaluations be consistent with the **performance objectives (standards)** set forth in the Board of Education's *Guidelines for Uniform Performance Standards and Evaluation Criteria for Teachers, Administrators, and Superintendents* and (2) that school boards' procedures for evaluating principals and assistant principals address student academic progress.

Section 22.1-253.13:5 (Standard 5. Quality of classroom instruction and educational leadership) of the *Code of Virginia* states, in part, the following:

- B. Consistent with the finding that leadership is essential for the advancement of public education in the Commonwealth, teacher, administrator, and

superintendent evaluations shall be consistent with the performance objectives included in the *Guidelines for Uniform Performance Standards and Evaluation Criteria for Teachers, Administrators, and Superintendents*. Teacher evaluations shall include regular observation and evidence that instruction is aligned with the school's curriculum. Evaluations shall include identification of areas of individual strengths and weaknesses and recommendations for appropriate professional activities....

Section 22.1-294. (Probationary terms of service for principals, assistant principals and supervisors; evaluation; reassigning principal, assistant principal or supervisor to teaching position) states, in part, the following:

- B. Each local school board shall adopt for use by the division superintendent clearly defined criteria for a performance evaluation process for principals, assistant principals, and supervisors that are consistent with the performance objectives set forth in the *Guidelines for Uniform Performance Standards and Evaluation Criteria for Teachers, Administrators, and Superintendents* as provided in § 22.1-253.13:5 and that includes, among other things, an assessment of such administrators' skills and knowledge; **student academic progress** and school gains in student learning; and effectiveness in addressing school safety and enforcing student discipline. The division superintendent shall implement such performance evaluation process in making employment recommendations to the school board pursuant to § 22.1-293.

The *Guidelines for Uniform Performance Standards and Evaluation Criteria for Principals* set forth seven performance standards for all Virginia principals. Pursuant to state law, principal evaluations must be consistent with the performance standards (objectives) included in this document.

The *Guidelines for Uniform Performance Standards and Evaluation Criteria for Principals* provide school divisions with a model evaluation system, including sample forms and templates that may be implemented “as is” or used to refine existing local principal evaluation systems. Properly implemented, the evaluation system provides school divisions with the information needed to support systems of differentiated compensations or performance-based pay.

The *Code of Virginia* requires that school boards’ procedures for evaluating principals address student academic progress. The *Guidelines for Uniform Performance Standards and Evaluation Criteria for Principals* call for each principal to receive a summative evaluation rating and that the rating be determined by weighting the first six standards equally at 10 percent each, and the seventh standard, Student Academic Progress, account for 40 percent of the summative evaluation.

Part 2: Uniform Performance Standards for Principals

The uniform performance standards for principals are used to collect and present data to document performance that is based on well-defined job expectations. They provide a balance between structure and flexibility and define common purposes and expectations, thereby guiding effective leadership. The performance standards also provide flexibility, encouraging creativity and individual principal initiative. The goal is to support the continuous growth and development of each principal by monitoring, analyzing, and applying pertinent data compiled within a system of meaningful feedback.

Defining Principal Performance Standards

Clearly defined professional responsibilities constitute the foundation of the principal performance standards. A fair and comprehensive evaluation system provides sufficient detail and accuracy so that both principals and evaluators (i.e., superintendent, supervisor) reasonably understand the job expectations.

The expectations for professional performance are defined using a two-tiered approach of performance standards and performance indicators.

Performance Standards

Performance standards define the criteria expected when principals perform their major duties. For all principals, there are seven performance standards as shown in Figure 2.1.

Figure 2.1: Performance Standards

<p>1. Instructional Leadership <i>The principal fosters the success of all students by facilitating the development, communication, implementation, and evaluation of a shared vision of teaching and learning that leads to student academic progress and school improvement.</i></p>
<p>2. School Climate <i>The principal fosters the success of all students by developing, advocating, and sustaining an academically rigorous, positive, and safe school climate for all stakeholders.</i></p>
<p>3. Human Resources Management <i>The principal fosters effective human resources management by assisting with selection and induction, and by supporting, evaluating, and retaining quality instructional and support personnel.</i></p>
<p>4. Organizational Management <i>The principal fosters the success of all students by supporting, managing, and overseeing the school's organization, operation, and use of resources.</i></p>
<p>5. Communication and Community Relations <i>The principal fosters the success of all students by communicating and collaborating effectively with stakeholders.</i></p>
<p>6. Professionalism <i>The principal fosters the success of all students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession.</i></p>
<p>7. Student Academic Progress <i>The principal's leadership results in acceptable, measurable student academic progress based on established standards.</i></p>

Performance Indicators

Performance indicators provide examples of observable, tangible behavior that indicate the degree to which principals are meeting each standard. This helps principals and their evaluators clarify performance levels and job expectations. That is, the performance indicators provide the answer to what must be performed. Performance indicators are provided as examples of the types of performance that will occur if a standard is being fulfilled. However, the list of performance indicators is not exhaustive, and they are not intended to be prescriptive. It should be noted that indicators in one standard may be closely related to indicators in another standard. This is because the standards, themselves, are not mutually exclusive and may have overlapping aspects.

Evaluators and principals should consult the sample performance indicators for clarification of what constitutes a specific performance standard. ***Performance ratings are made at the performance standard level, NOT at the performance indicator level. Additionally, it is important to document a principal's performance on each standard with evidence generated from multiple performance indicators.*** Sample performance indicators for each of the performance standards follow.

Performance Standard 1: Instructional Leadership

The principal fosters the success of all students by facilitating the development, communication, implementation, and evaluation of a shared vision of teaching and learning that leads to student academic progress and school improvement.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 1.1 Leads the collaborative development and sustainment of a compelling shared vision for educational improvement and works collaboratively with staff, students, parents, and other stakeholders to develop a mission and programs consistent with the division's strategic plan.
- 1.2 Collaboratively plans, implements, supports, monitors, and evaluates instructional programs that enhance teaching and student academic progress, and lead to school improvement.
- 1.3 Analyzes current academic achievement data and instructional strategies to make appropriate educational decisions to improve classroom instruction, increase student achievement, and improve overall school effectiveness.
- 1.4 Possesses knowledge of research-based instructional best practices in the classroom.
- 1.5 Works collaboratively with staff to identify student needs and to design, revise, and monitor instruction to ensure effective delivery of the required curriculum.
- 1.6 Provides teachers with resources for the successful implementation of effective instructional strategies.
- 1.7 Monitors and evaluates the use of diagnostic, formative, and summative assessment to provide timely and accurate feedback to students and parents, and to inform instructional practices.
- 1.8 Provides collaborative leadership for the design and implementation of effective and efficient schedules that protect and maximize instructional time.
- 1.9 Provides the focus for continued learning of all members of the school community.
- 1.10 Supports professional development and instructional practices that incorporate the use of achievement data and result in increased student progress.
- 1.11 Participates in professional development alongside teachers when instructional strategies are being taught for future implementation.
- 1.12 Demonstrates the importance of professional development by providing adequate time and resources for teachers and staff to participate in professional learning (i.e., peer observation, mentoring, coaching, study groups, learning teams).
- 1.13 Evaluates the impact professional development has on the staff/school improvement and student academic progress.

Performance Standard 2: School Climate

The principal fosters the success of all students by developing, advocating, and sustaining an academically rigorous, positive, and safe school climate for all stakeholders.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 2.1 Incorporates knowledge of the social, cultural, leadership, and political dynamics of the school community to cultivate a positive academic learning environment.
- 2.2 Consistently models and collaboratively promotes high expectations, mutual respect, concern, and empathy for students, staff, parents, and community.
- 2.3 Utilizes shared decision-making and collaboration to build relationships with all stakeholders and maintain positive school morale.
- 2.4 Models and inspires trust and a risk-tolerant environment by sharing information and power.
- 2.5 Maintains a collegial environment and supports the staff through the stages of the change process.
- 2.6 Addresses barriers to teacher and staff performance and provides positive working conditions to encourage retention of highly-effective personnel.
- 2.7 Develops and/or implements a safe school plan that manages crisis situations in an effective and timely manner.
- 2.8 Involves students, staff, parents, and the community to create and sustain a positive, safe, and healthy learning environment that reflects state, division, and local school rules, policies, and procedures.
- 2.9 Develops and/or implements best practices in schoolwide behavior management that are effective within the school community and communicates behavior management expectations to students, teachers, and parents.
- 2.10 Is visible, approachable, and dedicates time to listen to the concerns of students, teachers, and other stakeholders.
- 2.11 Maintains a positive, inviting school environment that promotes and assists in the development of the whole student and values every student as an important member of the school community.

Performance Standard 3: Human Resources Management

The principal fosters effective human resources management by assisting with selection and induction, and by supporting, evaluating, and retaining quality instructional and support personnel.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 3.1 Actively participates in the selection process, where applicable, and assigns highly-effective staff in a fair and equitable manner based on school needs, assessment data, and local, state, and federal requirements.
- 3.2 Supports formal building-level employee induction processes and informal procedures to support and assist all new personnel.
- 3.3 Provides a mentoring process for all new and targeted instructional personnel, as well as cultivates leadership potential through personal mentoring.
- 3.4 Manages the supervision and evaluation of staff in accordance with local and state requirements.
- 3.5 Properly implements the teacher and staff evaluation systems, supports the important role evaluation plays in teacher and staff development, and evaluates performance of personnel using multiple sources.
- 3.6 Documents deficiencies and proficiencies, provides timely formal and informal feedback on strengths and weaknesses, and provides support, resources, and remediation for teachers and staff to improve job performance.
- 3.7 Makes appropriate recommendations relative to personnel transfer, retention, promotion, and dismissal consistent with established policies and procedures and with student academic progress as a primary consideration.
- 3.8 Recognizes and supports the achievements of highly-effective teachers and staff and provides them opportunities for increased responsibility.
- 3.9 Maximizes human resources by building on the strengths of teachers and staff members and providing them with professional development opportunities to grow professionally and gain self-confidence in their skills.

Performance Standard 4: Organizational Management

The principal fosters the success of all students by supporting, managing, and overseeing the school's organization, operation, and use of resources.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 4.1 Demonstrates and communicates a working knowledge and understanding of Virginia public education rules, regulations, laws, and school division policies and procedures.
- 4.2 Establishes and enforces rules and policies to ensure a safe, secure, efficient, and orderly facility and grounds.
- 4.3 Monitors and provides supervision efficiently for the physical plant and all related activities through an appropriately prioritized process.
- 4.4 Identifies potential organizational, operational, or resource-related problems and deals with them in a timely, consistent, and effective manner.
- 4.5 Establishes and uses accepted procedures to develop short- and long-term goals through effective allocation of resources.
- 4.6 Reviews fiscal records regularly to ensure accountability for all funds.
- 4.7 Plans and prepares a fiscally responsible budget to support the school's mission and goals.
- 4.8 Follows federal, state, and local policies with regard to finances, school accountability, and reporting.
- 4.9 Implements strategies for the inclusion of staff and stakeholders in various planning processes, shares in management decisions, and delegates duties as applicable, resulting in a smoothly operating workplace.

Performance Standard 5: Communication and Community Relations

The principal fosters the success of all students by communicating and collaborating effectively with stakeholders.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 5.1 Plans for and solicits staff, parent, and stakeholder input to promote effective decision-making and communication when appropriate.
- 5.2 Communicates long- and short-term goals and the school improvement plan to all stakeholders.
- 5.3 Disseminates information to staff, parents, and other stakeholders in a timely manner through multiple channels and sources.
- 5.4 Involves students, parents, staff, and other stakeholders in a collaborative effort to establish positive relationships.
- 5.5 Maintains visibility and accessibility to students, parents, staff, and other stakeholders.
- 5.6 Speaks and writes consistently in an explicit and professional manner using standard oral and written English to communicate with students, parents, staff, and other stakeholders.
- 5.7 Provides a variety of opportunities for parent and family involvement in school activities.
- 5.8 Collaborates and networks with colleagues and stakeholders to effectively utilize the resources and expertise available in the local community.
- 5.9 Advocates for students and acts to influence local, division, and state decisions affecting student learning.
- 5.10 Assesses, plans for, responds to, and interacts with the larger political, social, economic, legal, and cultural context that affects schooling based on relevant evidence.

Performance Standard 6: Professionalism

The principal fosters the success of all students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 6.1 Creates a culture of respect, understanding, sensitivity, and appreciation for students, staff, and other stakeholders and models these attributes on a daily basis.
- 6.2 Works within professional and ethical guidelines to improve student learning and to meet school, division, state, and federal requirements.
- 6.3 Maintains a professional appearance and demeanor.
- 6.4 Models professional behavior and cultural competency to students, staff, and other stakeholders.
- 6.5 Maintains confidentiality.
- 6.6 Maintains a positive and forthright attitude.
- 6.7 Provides leadership in sharing ideas and information with staff and other professionals.
- 6.8 Works in a collegial and collaborative manner with other administrators, school personnel, and other stakeholders to promote and support the vision, mission, and goals of the school division.
- 6.9 Assumes responsibility for personal professional development by contributing to and supporting the development of the profession through service as an instructor, mentor, coach, presenter, and/or researcher.
- 6.10 Remains current with research related to educational issues, trends, and practices and maintains a high level of technical and professional knowledge.

Performance Standard 7: Student Academic Progress

The principal's leadership results in acceptable, measurable student academic progress based on established standards.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 7.1 Collaboratively develops, implements, and monitors the school improvement plan that results in increased student academic progress.
- 7.2 Utilizes research-based techniques for gathering and analyzing data from multiple measures to use in making decisions related to student academic progress and school improvement.
- 7.3 Communicates assessment results to multiple internal and external stakeholders.
- 7.4 Collaborates with teachers and staff to monitor and improve multiple measures of student progress through the analysis of data, the application of educational research, and the implementation of appropriate intervention and enrichment strategies.
- 7.5 Utilizes faculty meetings, team/department meetings, and professional development activities to focus on student progress outcomes.
- 7.6 Provides evidence that students are meeting measurable, reasonable, and appropriate achievement goals.
- 7.7 Demonstrates responsibility for school academic achievement through proactive interactions with faculty/staff, students, and other stakeholders.
- 7.8 Collaboratively develops, implements, and monitors long- and short-range achievement goals that address varied student populations according to state guidelines.
- 7.9 Ensures teachers' student achievement goals are aligned with building-level goals for increased student academic progress and for meeting state benchmarks.
- 7.10 Sets benchmarks and implements appropriate strategies and interventions to accomplish desired outcomes.

Note: Performance Standard 7: If a principal effectively fulfills all previous standards, it is likely that the results of his or her leadership – as documented in Standard 7: Student Academic Progress – would be positive. The Virginia principal evaluation system includes the documentation of student growth as indicated within Standard 7 and recommends that the evidence of progress be reviewed and considered throughout the year. Trend analysis should be used where applicable.

Part 3: Documenting Principal Performance

The role of a principal requires a performance evaluation system that acknowledges the contextual nature and complexities of the job. Multiple data sources provide for a comprehensive and authentic “performance portrait” of the principal’s work. The sources of information described in Figure 3.1 were selected to provide comprehensive and accurate feedback on principal performance.

Figure 3.1: *Suggested Documentation Sources for Principal Evaluation*

Data Source	Definition
Self-Evaluation	Self-evaluation reveals principals’ perceptions of their job performance. Results of a self-evaluation should inform principals’ personal goals for professional development.
Informal Observation/School Site Visits	Informal observations/school site visits, applied in a variety of settings, provide information on a wide range of contributions made by principals. Informal observations/school site visits may range from watching how a principal interacts with others, to observing programs and shadowing the administrator.
Portfolio/Document Log	Portfolios/document logs provide documentation generated by principals as evidence of meeting the seven performance standards.
Teacher/Staff Survey	Climate surveys provide information to principals about perceptions of job performance. The actual survey responses are seen only by the principal who prepares a survey summary for inclusion in the portfolio/document log.
Goal Setting	Principals, in conjunction with their evaluators, set goals for professional growth and school improvement.

Note: All recommended data sources may not always be necessary in a principal evaluation system. Rather, options are provided from which local decisions can be made to design the evaluation system in a manner that best fits local needs.

To address the contextual nature of the principal’s job, each principal should provide a school profile narrative to his or her evaluator. This may be done via the *Student Academic Progress Goal Setting Form*. It is strongly recommended that the principal also discuss the unique characteristics of the school with the evaluator.

Alignment of Performance Standards with Data Sources

Whether a principal is meeting the performance standards may be evidenced through multiple data sources. Figure 3.2 shows the alignment of performance standards by data sources.

Figure 3.2: Aligning Multiple Data Sources with Performance Standards

Performance Standard	Self-Evaluation	Informal Observation/ School Site Visits	Portfolio/ Document Log	Teacher/Staff Survey*	Goal Setting
1. Instructional Leadership	/	/	X	X	
2. School Climate	/	X	X	X	
3. Human Resources Management	/		X	X	
4. Organizational Management	/	/	X	/	
5. Communication and Community Relations	/	X	X	/	
6. Professionalism	/	X	X	/	X
7. Student Academic Progress			X		X

* Survey summaries are part of the portfolio/documentation log.

X = Primary Data Source / = Secondary Data Source

Evaluators may choose to use the *Formative Assessment Form* at the end of the chapter to document evidence from any of these sources.

Self-Evaluation

Self-evaluation is a process by which one may judge the effectiveness and adequacy of his or her performance, effects, knowledge, and beliefs for the purpose of self-improvement.¹⁸ By thinking about what works, what does not work, and what type of changes one might make to be more successful, the likelihood of knowing how to improve and actually making the improvements increases dramatically.¹⁹ Evidence suggests that self-evaluation is a critical component of the evaluation process and is strongly encouraged. Furthermore, self-evaluation can help a principal to target areas for professional development. A sample *Principal Self-Evaluation Form* is provided on the following pages.

SAMPLE Principal Self-Evaluation Form

Directions: Principals should use this form annually to reflect on the effectiveness and adequacy of their practice based on each performance standard. Please refer to the performance indicators for examples of behaviors exemplifying each standard.

Principal: _____

Date: _____

1. Instructional Leadership

The principal fosters the success of all students by facilitating the development, communication, implementation, and evaluation of a shared vision of teaching and learning that leads to student academic progress and school improvement.

Areas of strength:

Areas needing work/strategies for improving performance:

2. School Climate

The principal fosters the success of all students by developing, advocating, and sustaining an academically rigorous, positive, and safe school climate for all stakeholders.

Areas of strength:

Areas needing work/strategies for improving performance:

3. Human Resources Management

The principal fosters effective human resources management by assisting with selection and induction, and by supporting, evaluating, and retaining of quality instructional and support personnel.

Areas of strength:

Areas needing work/strategies for improving performance:

<p>4. Organizational Management <i>The principal fosters the success of all students by supporting, managing, and overseeing the school's organization, operation, and use of resources.</i></p> <p>Areas of strength:</p> <p>Areas needing work/strategies for improving performance:</p>
<p>5. Communication and Community Relations <i>The principal fosters the success of all students by communicating and collaborating effectively with stakeholders.</i></p> <p>Areas of strength:</p> <p>Areas needing work/strategies for improving performance:</p>
<p>6. Professionalism <i>The principal fosters the success of all students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession.</i></p> <p>Areas of strength:</p> <p>Areas needing work/strategies for improving performance:</p>
<p>7. Student Academic Progress <i>The principal's leadership results in acceptable, measurable student academic progress based on established standards.</i></p> <p>Areas of strength:</p> <p>Areas needing work/strategies for improving performance:</p>

Informal Observation/School Site Visits

Informal observations/school site visits, applied in a variety of settings, provide information on a wide range of contributions made by principals. Informal observations/school site visits may range from watching how a principal interacts with others to observing programs and shadowing the administrator.

Site visits are a method by which evaluators may gain insight into whether principals are meeting the performance standards. Evaluators are encouraged to conduct multiple site visits to the principal's school. During a site visit, evaluators should discuss various aspects of the job with the principal. This can take the form of a formal interview or a less structured discussion. Through questioning, the evaluator may help the principal reflect on his or her performance, which may provide insight into how the principal is addressing the standards. Such a discussion may also help the principal to think through the artifacts he or she might submit to the evaluator to demonstrate proficiency in each standard. In addition, evaluators can use the principal's responses to the questions to determine issues they would like to further explore with the principal's faculty and staff. Furthermore, it is recognized that in many cases it takes time to effect change in a school, and by having an honest, open discussion, the principal is provided an opportunity to explain the successes and trials the school community has experienced in relation to school changes. The site visit also provides an opportunity for the evaluator to offer feedback. Suggested guiding questions an evaluator may want to address are included on the *Informal Observation/Site Visit Form* on the following page. Following the site visit, evaluators should provide feedback to the principal.

SAMPLE Informal Observation/Site Visit Form

Directions: Evaluators should use this form to document evidence related to the standards obtained from informal observations or site visits. Suggested guiding questions for discussion are listed under each standard.

Principal: _____ **Date:** _____

Evaluator: _____

1. Instructional Leadership

The principal fosters the success of all students by facilitating the development, communication, implementation, and evaluation of a shared vision of teaching and learning that leads to student academic progress and school improvement.

Suggested Guiding Questions/Prompts:

- *What opportunities have you created this year for collaboration among teachers?*
- *How have you strived this year to improve the teachers' effective instructional practices associated with different subject areas?*
- *How do you make sure curriculum standards are taught by the teachers and mastered by the students?*
- *How do you monitor teachers' performance and provide constructive feedback to them?*
- *What types of teacher learning and development activities or programs have you participated in this year? What have you learned?*
- *How do you involve the expertise of teacher leaders?*

Comments:

Performance Standard 2: School Climate

The principal fosters the success of all students by developing, advocating, and sustaining an academically rigorous, positive, and safe school climate for all stakeholders.

Suggested Guiding Questions/Prompts:

- *Please give some examples of the strategies you use to create and sustain a positive and safe learning environment in your school.*
- *What are the strategies you use to nurture and sustain a climate of trust in your school?*
- *Please provide a few examples of how you model care for children or model other desired characteristics for teachers and staff.*
- *What are the internal and external factors that you perceive are affecting your school?*
- *How have you strived this year to make the school environment more academically rigorous?*

Comments:

Performance Standard 3: Human Resources Management

The principal fosters effective human resources management by assisting with selection and induction, and by supporting, evaluating, and retaining quality instructional and support personnel.

Suggested Guiding Questions/Prompts:

- *Please give examples of professional development initiatives implemented and/or continued this school year to improve teacher performance.*
- *In what ways do you support the achievements of high-performing teachers?*
- *How do you ensure new teachers and staff receive the support they need during their first year?*
- *How do you foster an atmosphere of professional learning among staff?*
- *What are the most difficult human resources management decisions you have made this year? What aspects went well and what aspects were challenging?*

Comments:

Performance Standard 4: Organizational Management

The principal fosters the success of all students by supporting, managing, and overseeing the school's organization, operation, and use of resources.

Suggested Guiding Questions/Prompts:

- *How do you establish routines and procedures for the smooth running of the school that staff members understand and follow?*
- *What information is used to inform the decisions related to organizational management?*
- *Instructional time is one of the most essential resources for student success in learning. What are you doing to protect instructional time?*
- *What are the strengths, weaknesses, opportunities, and challenges you have perceived in your school's organizational management?*

Comments:

Performance Standard 5: Communication and Community Relations

The principal fosters the success of all students by communicating and collaborating effectively with stakeholders.

Suggested Guiding Questions/Prompts:

- *How do you engage in open dialogue with multiple stakeholders from the larger school community?*
- *How do you involve parents and families in student learning?*
- *How do you disseminate needed information (such as student academic progress) to students, staff, parents, and the greater learning community?*
- *Please give an example of how you network with individuals and groups outside the school (e.g., business and government organizations) to build partnerships for pursuing shared goals.*

Comments:

Performance Standard 6: Professionalism

The principal fosters the success of all students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession.

Suggested Guiding Questions/Prompts:

- *How do you communicate professional beliefs and values to all stakeholders?*
- *Give an example of a skill that you learned during professional interactions with colleagues that you have used successfully in your school.*
- *What professional learning have you sought out this year?*
- *In what ways have you observed a change in your role as a school leader and your leadership style?*
- *In what ways do you take an active role in professional organizations?*

Comments:

Performance Standard 7: Student Academic Progress

The principal's leadership results in acceptable, measurable student academic progress based on established standards.

Suggested Guiding Questions/Prompts:

- *What is the goal setting process in your school for student academic achievement?*
- *Please give some examples of the goals your school has set this year that are directly associated with student achievement.*
- *Please explain how interventions are designed and implemented to support student learning.*
- *What type of midcourse corrective actions do you take to accomplish desired student academic outcomes?*
- *How do you empower teachers to be truly engaged in improving student success?*

Comments:

Evaluator's Signature

Date

Portfolio/Document Log

School divisions should consider a version of a portfolio or document log to best fit their needs. Artifacts of a principal's performance can serve as a valuable and insightful data source for documenting the work that principals actually do. These artifacts can be organized as portfolios or document logs as a formal aspect of the data collection system. Various school divisions call the principals' own documentation of their work by various names, but the purpose is essentially the same – to provide evidence of leadership excellence.

Documentation provides evaluators with information related to specific standards and provides principals with an opportunity for self-reflection, demonstration of quality work, and a basis for two-way communication with their evaluators. Documentation can confirm a principal's effort to document exemplary performance, can show continuing work at a proficient level, or can demonstrate progress in response to a previously identified deficiency.

Artifacts are not created solely for a portfolio or document log, but are readily reviewed in portfolio/document log form. They should provide evidence of one or more of the performance standards. Each artifact may include a caption since the artifact will be viewed in a context other than that for which it was developed. Within that binder or folder, principals may organize the material in any way they see fit; however, the emphasis should be on the quality of work, not the quantity of materials presented.

Portfolios

The professional portfolio is an organized collection of work that demonstrates the educator's skills, talents, and accomplishments for the evaluation cycle. It contains a broader, more comprehensive collection of material than does a document log, and the selection of material to be included is often at the discretion of the principal. The portfolio provides an opportunity to demonstrate professional competence with regard to meeting performance standards and is therefore an important part of the evaluation process. Written analysis and reflection about artifacts should be included in the portfolio to provide insight into the rationale for the events and process documented in each entry. The portfolio is an official document that is maintained by the principal and reviewed periodically by the evaluator. It is the property of the principal and follows the principal when work assignments change. The division should provide the guidelines for the portfolio and may provide the physical notebook, cover, and dividers if it is to be submitted in hard copy.

A sample of the table of contents for a portfolio is provided on the next page. The principal may complete a table of contents for each performance standard including the activity names and any comments and place the artifacts immediately behind it.

Document Logs

Document logs are similar in many ways to portfolios, yet are typically more concise. They tend to contain a more confined collection of specific artifacts, sometimes containing just those documents required by the school division.

A sample *Documentation Cover Sheet* is provided on the following page. This sheet is designed to help a principal organize documents. Also, the sheet provides examples of the types of material a principal might consider providing to show evidence of proficiency in the seven performance standards.

While the preceding paragraphs have referred to the principal providing his or her own documentation as evidence of meeting the performance standards, evaluators are free to maintain their own documentation (e.g., evaluator notes or a running record) relative to the principal's performance. This type of evaluator documentation may come from a variety of sources such as those mentioned in the *Informal Observation* section (informally observing the principal during meetings, watching his or her interactions with others, etc.). This type of documentation should be considered along with the principal's own documentation when making formative and summative assessments. As such, evaluators should write comments related to their own documentation on the *Formative Assessment Form* or the *Summative Assessment Form*, as applicable.

SAMPLE Documentation Cover Sheet

Directions: The principal should list the items he or she plans to submit as documentation of meeting each performance standard to supplement evidence gathered through other means. This form is optional. Documentation also may need to be supplemented with conversation, discussion, and/or annotations to clarify the principal’s practice and process for the evaluator.

Principal: _____

School: _____ **School Year:** _____

Standard	Documentation Included
<p>1. Instructional Leadership <i>The principal fosters the success of all students by facilitating the development, communication, implementation, and evaluation of a shared vision of teaching and learning that leads to student academic progress and school improvement.</i></p>	
<p>2. School Climate <i>The principal fosters the success of all students by developing, advocating, and sustaining an academically rigorous, positive, and safe school climate for all stakeholders.</i></p>	
<p>3. Human Resources Management <i>The principal fosters effective human resources management by assisting with selection and induction, and by supporting, evaluating, and retaining of quality instructional and support personnel.</i></p>	
<p>4. Organizational Management <i>The principal fosters the success of all students by supporting, managing, and overseeing the school’s organization, operation, and use of resources.</i></p>	
<p>5. Communication and Community Relations <i>The principal fosters the success of all students by communicating and collaborating effectively with stakeholders.</i></p>	

Standard	Documentation Included
<p>6. Professionalism <i>The principal fosters the success of all students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession.</i></p>	
<p>7. Student Academic Progress <i>The principal's leadership results in acceptable, measurable student academic progress based on established standards.</i></p>	

Suggested documentation that may be included: *(This list is intended to provide examples and will vary based on the school's unique characteristics.)*

- 1. Instructional Leadership:** school improvement plan; strategic plan; vision/mission/core belief statements; staff evaluation grid; leadership/school improvement team agendas; building administrator responsibility chart; professional goals; master schedule; student progress monitoring data; schedules for students in the alternative education program; project-specific summaries of a goal; compliance with *Standards of Accreditation*; program development; staff development plan; school committees and members.
- 2. School Climate:** monthly discipline report; Teacher of the Year recommendation; annual report of discipline, crime, and violence; teacher/staff appreciation; summary of surveys of staff; student recognition; student groups/clubs.
- 3. Human Resources Management:** staff evaluation schedule including observation schedule; evidence of teachers and staff serving as leaders in the school, school division, and school community; monthly discipline report by teacher; teacher licensure renewal schedule; staff evaluations; staff recognition program; Performance Improvement Plans; mentorship program.
- 4. Organizational Management:** building schedules; administrator responsibility chart; master schedule and course compliance; facility use log; physical plant and grounds management schedule; annual financial audits; uncollected debts; inventory records; career and technical education compliance; special education compliance; long-range goals; short-range goals.
- 5. Communication and Community Relations:** faculty meeting agendas; newsletters; PAC/PTO/PTA agendas; optional parent/community survey; Web site link; completion of annual school safety audit; Safe School's committee agendas and minutes of meetings; School Health Advisory Board agendas and minutes of meetings; media communications; presentation to civic/community groups.

6. Professionalism: staff development activity agendas; department/grade level meeting documentation; summary of staff surveys; professional conference attendance; professional organization membership.

7. Student Academic Progress: analysis of grades for the marking period; documentation of meeting established annual goals (e.g., school improvement plan); student growth percentile data, if available and appropriate; data on student achievement from other valid, reliable sources (e.g., percent of students taking the SATs, pattern of improvement in advanced pass rate on Standards of Learning assessments, etc. *See listing in the Goal Setting section of this document.*).

Teacher/Staff Surveys

Surveys are an important data collection tool used to gather client (in this instance, teacher/staff) data regarding their perceptions of the principal's performance. Among the advantages of using a survey design include the rapid turnaround in data collection, the limited cost in gathering the data, and the ability to infer perceptions of a larger population from smaller groups of individuals.

One of the benefits of using surveys is that the collected information may help the principal set goals for continuous improvement (i.e., for formative evaluation) — in other words, to provide feedback directly to the principal for professional growth and development. Teacher/staff surveys also may be used to provide information to evaluators that may not be accurately obtained through other types of documentation.

Principals should administer annual teacher/staff surveys according to school division guidelines during a specified time period (for example, the second nine weeks). The principal will retain sole access to the teacher/staff surveys; however, the principal will provide a summary of the surveys to the evaluator as part of the portfolio/document log.

The survey asks teachers/staff to report on items that they have directly experienced. The survey questions address the first six of the leader performance standards. At the principal's discretion, additional questions may be added to the survey. The table of specifications in Figure 3.3 illustrates the alignment between the survey items and performance standards.

Figure 3.3: Table of Specifications

Principal Performance Standards	Survey Item #
1 - Instructional Leadership	1, 3, 10, 13, 18
2 - School Climate	7, 11, 14, 22
3 - Human Resources Management	4, 5, 12, 15, 21, 22
4 - Organizational Management	6, 7, 8, 9, 10, 16, 20
5 - Communication and Community Relations	2, 17, 20, 21, 23
6 - Professionalism	11, 19, 24, 25

SAMPLE Teacher/Staff Survey^a

Principal's Name: _____ **Date:** _____

Survey Respondent is: Teacher/Instructional Staff Support Staff

Directions: Please respond to each statement fairly to help the principal improve his/her performance. If an area is marked with a D, please provide a written explanation. The principal will tally the results and share them with his/her immediate supervisor.

Key: E – Exceeds expectations of performance M – Meets expectations of performance
 D – Demonstrates unacceptable performance N – No basis for judgment

The principal...	E	M	D	N
1. Is interested in building a quality school which provides quality education.				
2. Maintains open lines of communication with employees.				
3. Visits my classroom or work space.				
4. Makes helpful recommendation to me for improvement of performance.				
5. Carries out the evaluation program as it is outlined.				
6. Uses judgment, creativity, and logical thinking in solving problems.				
7. Initiates change for the good of students and for the running of the school.				
8. Balances curricular and co-curricular assignments/duties.				
9. Procures needed materials and equipment.				
10. Involves teachers appropriately in decision-making.				
11. Treats all teachers fairly.				
12. Supports teachers in conferences with students and/or parents to the extent circumstances permit.				
13. Keeps class interruptions to a minimum.				
14. Assists in the supervision of students in the halls and cafeteria.				
15. Seeks teacher recommendations for meaningful in-service programs.				
16. Keeps paperwork to a minimum.				
17. Keeps teachers informed appropriately of communications from the superintendent and other central office personnel.				
18. Gives leadership in the improvement of instruction.				
19. Keeps current on educational research and trends.				
20. Involves teachers in developing the biannual school plan.				
21. Gives constructive criticism to teachers in private.				
22. Builds/maintains desirable morale level among teachers.				
23. Listens to the views of parents and other citizens and implements their recommendations when feasible.				
24. Displays a pleasant disposition.				
25. Earns respect from teachers.				

^a Questions adapted from prior work with Orange County Public Schools

COMMENTS:

SAMPLE Survey Summary Form

Principal's Name: _____

Date: _____

School: _____

School Year: _____ - _____

Directions: Principals should tabulate and analyze the teacher/staff surveys and provide a summary of the results. This should be included as part of the principal's documentation.

1. How many surveys did you distribute?
2. How many completed surveys were returned?
3. What is the percentage of completed questionnaires you received? _____ %

Teacher/Staff Satisfaction Analysis

4. Describe your survey population(s).
5. List factors that might have influenced the results.
6. Analyze survey responses and answer the following questions:

A) What did teachers/staff perceive as your major strengths?

B) What did teachers/staff perceive as your major weaknesses?

C) How can you use this information for continuous professional growth?

SAMPLE Formative Assessment Form

Note: The formative assessment form is included as an option to be used if it is determined to be in the best interest of the local school division.

Directions: Use this form to comment on evidence related to the standards from discussions with the principal, site visitations, student academic progress and achievement data, and documentation provided by the principal. Evaluators may use multiple formative assessment forms, as applicable.

Principal: _____

Date: _____

Evaluator: _____

Performance Standard 1: Instructional Leadership

The principal fosters the success of all students by facilitating the development, communication, implementation, and evaluation of a shared vision of teaching and learning that leads to student academic progress and school improvement.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 1.1 Leads the collaborative development and sustainment of a compelling shared vision for educational improvement and works collaboratively with staff, students, parents, and other stakeholders to develop a mission and programs consistent with the division’s strategic plan.
- 1.2 Collaboratively plans, implements, supports, monitors, and evaluates instructional programs that enhance teaching and student academic progress, and lead to school improvement.
- 1.3 Analyzes current academic achievement data and instructional strategies to make appropriate educational decisions to improve classroom instruction, increase student achievement, and improve overall school effectiveness.
- 1.4 Possesses knowledge of research-based instructional best practices in the classroom.
- 1.5 Works collaboratively with staff to identify student needs and to design, revise, and monitor instruction to ensure effective delivery of the required curriculum.
- 1.6 Provides teachers with resources for the successful implementation of effective instructional strategies.
- 1.7 Monitors and evaluates the use of diagnostic, formative, and summative assessment to provide timely and accurate feedback to students and parents, and to inform instructional practices.
- 1.8 Provides collaborative leadership for the design and implementation of effective and efficient schedules that protect and maximize instructional time.
- 1.9 Provides the focus for continued learning of all members of the school community.
- 1.10 Supports professional development and instructional practices that incorporate the use of achievement data and result in increased student progress.
- 1.11 Participates in professional development alongside teachers when instructional strategies are being taught for future implementation.
- 1.12 Demonstrates the importance of professional development by providing adequate time and resources for teachers and staff to participate in professional learning (i.e., peer observation, mentoring, coaching, study groups, learning teams).
- 1.13 Evaluates the impact professional development has on the staff/school improvement and student academic progress.

Comments:

Performance Standard 2: School Climate

The principal fosters the success of all students by developing, advocating, and sustaining an academically rigorous, positive, and safe school climate for all stakeholders.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 2.1 Incorporates knowledge of the social, cultural, leadership, and political dynamics of the school community to cultivate a positive academic learning environment.
- 2.2 Consistently models and collaboratively promotes high expectations, mutual respect, concern, and empathy for students, staff, parents, and community.
- 2.3 Utilizes shared decision-making and collaboration to build relationships with all stakeholders and maintain positive school morale.
- 2.4 Models and inspires trust and a risk-tolerant environment by sharing information and power.
- 2.5 Maintains a collegial environment and supports the staff through the stages of the change process.
- 2.6 Addresses barriers to teacher and staff performance and provides positive working conditions to encourage retention of highly-effective personnel.
- 2.7 Develops and/or implements a safe school plan that manages crisis situations in an effective and timely manner.
- 2.8 Involves students, staff, parents, and the community to create and sustain a positive, safe, and healthy learning environment that reflects state, division, and local school rules, policies, and procedures.
- 2.9 Develops and/or implements best practices in schoolwide behavior management that are effective within the school community and communicates behavior management expectations to students, teachers, and parents.
- 2.10 Is visible, approachable, and dedicates time to listen to the concerns of students, teachers, and other stakeholders.
- 2.11 Maintains a positive, inviting school environment that promotes and assists in the development of the whole student and values every student as an important member of the school community.

Comments:

Performance Standard 3: Human Resources Management

The principal fosters effective human resources management by assisting with selection and induction, and by supporting, evaluating, and retaining quality instructional and support personnel.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 3.1 Actively participates in the selection process, where applicable, and assigns highly-effective staff in a fair and equitable manner based on school needs, assessment data, and local, state, and federal requirements.
- 3.2 Supports formal building-level employee induction processes and informal procedures to support and assist all new personnel.
- 3.3 Provides a mentoring process for all new and targeted instructional personnel, as well as cultivates leadership potential through personal mentoring.
- 3.4 Manages the supervision and evaluation of staff in accordance with local and state requirements.
- 3.5 Properly implements the teacher and staff evaluation systems, supports the important role evaluation plays in teacher and staff development, and evaluates performance of personnel using multiple sources.
- 3.6 Documents deficiencies and proficiencies, provides timely formal and informal feedback on strengths and weaknesses, and provides support, resources, and remediation for teachers and staff to improve job performance.
- 3.7 Makes appropriate recommendations relative to personnel transfer, retention, promotion, and dismissal consistent with established policies and procedures and with student academic progress as a primary consideration.
- 3.8 Recognizes and supports the achievements of highly-effective teachers and staff and provides them opportunities for increased responsibility.
- 3.9 Maximizes human resources by building on the strengths of teachers and staff members and providing them with professional development opportunities to grow professionally and gain self-confidence in their skills.

Comments:

Performance Standard 4: Organizational Management

The principal fosters the success of all students by supporting, managing, and overseeing the school's organization, operation, and use of resources.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 4.1 Demonstrates and communicates a working knowledge and understanding of Virginia public education rules, regulations, laws, and school division policies and procedures.
- 4.2 Establishes and enforces rules and policies to ensure a safe, secure, efficient, and orderly facility and grounds.
- 4.3 Monitors and provides supervision efficiently for the physical plant and all related activities through an appropriately prioritized process.
- 4.4 Identifies potential organizational, operational, or resource-related problems and deals with them in a timely, consistent, and effective manner.
- 4.5 Establishes and uses accepted procedures to develop short- and long-term goals through effective allocation of resources.
- 4.6 Reviews fiscal records regularly to ensure accountability for all funds.
- 4.7 Plans and prepares a fiscally responsible budget to support the school's mission and goals.
- 4.8 Follows federal, state, and local policies with regard to finances, school accountability, and reporting.
- 4.9 Implements strategies for the inclusion of staff and stakeholders in various planning processes, shares in management decisions, and delegates duties as applicable, resulting in a smoothly operating workplace.

Comments:

Performance Standard 5: Communication and Community Relations

The principal fosters the success of all students by communicating and collaborating effectively with stakeholders.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 5.1 Plans for and solicits staff, parent, and stakeholder input to promote effective decision-making and communication when appropriate.
- 5.2 Communicates long- and short-term goals and the school improvement plan to all stakeholders.
- 5.3 Disseminates information to staff, parents, and other stakeholders in a timely manner through multiple channels and sources.
- 5.4 Involves students, parents, staff and other stakeholders in a collaborative effort to establish positive relationships.
- 5.5 Maintains visibility and accessibility to students, parents, staff, and other stakeholders.
- 5.6 Speaks and writes consistently in an explicit and professional manner using standard oral and written English to communicate with students, parents, staff, and other stakeholders.
- 5.7 Provides a variety of opportunities for parent and family involvement in school activities.
- 5.8 Collaborates and networks with colleagues and stakeholders to effectively utilize the resources and expertise available in the local community.
- 5.9 Advocates for students and acts to influence local, division, and state decisions affecting student learning.
- 5.10 Assesses, plans for, responds to, and interacts with the larger political, social, economic, legal, and cultural context that affects schooling based on relevant evidence.

Comments:

Performance Standard 6: Professionalism

The principal fosters the success of all students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 6.1 Creates a culture of respect, understanding, sensitivity, and appreciation for students, staff, and other stakeholders and models these attributes on a daily basis.
- 6.2 Works within professional and ethical guidelines to improve student learning and to meet school, division, state, and federal requirements.
- 6.3 Maintains a professional appearance and demeanor.
- 6.4 Models professional behavior and cultural competency to students, staff, and other stakeholders.
- 6.5 Maintains confidentiality.
- 6.6 Maintains a positive and forthright attitude.
- 6.7 Provides leadership in sharing ideas and information with staff and other professionals.
- 6.8 Works in a collegial and collaborative manner with other administrators, school personnel, and other stakeholders to promote and support the vision, mission, and goals of the school division.
- 6.9 Assumes responsibility for personal professional development by contributing to and supporting the development of the profession through service as an instructor, mentor, coach, presenter and/or researcher.
- 6.10 Remains current with research related to educational issues, trends, and practices and maintains a high level of technical and professional knowledge.

Comments:

<p>Performance Standard 7: Student Academic Progress <i>The principal's leadership results in acceptable, measurable student academic progress based on established standards.</i></p>
<p>Sample Performance Indicators <i>Examples may include, but are not limited to:</i></p> <p>The principal:</p> <ul style="list-style-type: none"> 7.1 Collaboratively develops, implements, and monitors the school improvement plan that results in increased student academic progress. 7.2 Utilizes research-based techniques for gathering and analyzing data from multiple measures to use in making decisions related to student academic progress and school improvement. 7.3 Communicates assessment results to multiple internal and external stakeholders. 7.4 Collaborates with teachers and staff to monitor and improve multiple measures of student progress through the analysis of data, the application of educational research, and the implementation of appropriate intervention and enrichment strategies. 7.5 Utilizes faculty meetings, team/department meetings, and professional development activities to focus on student progress outcomes. 7.6 Provides evidence that students are meeting measurable, reasonable, and appropriate achievement goals. 7.7 Demonstrates responsibility for school academic achievement through proactive interactions with faculty/staff, students, and other stakeholders. 7.8 Collaboratively develops, implements, and monitors long- and short-range achievement goals that address varied student populations according to state guidelines. 7.9 Ensures teachers' student achievement goals are aligned with building-level goals for increased student academic progress and for meeting state benchmarks. 7.10 Sets benchmarks and implements appropriate strategies and interventions to accomplish desired outcomes. <p>Comments:</p>

Commendations:

Areas of Growth:

Evaluator's Signature

Date

Part 4: Connecting Principal Performance to Student Academic Progress

Research in the field has consistently revealed that school leadership has an impact on student achievement gains or progress over years.²⁰ Simply stated, a school with strong leadership can have a positive effect on student learning, whereas a school with ineffective leadership can negatively affect student achievement.²¹ Research also strongly supports the argument that ineffective teachers negatively impact students' learning while effective teachers lead to higher student achievement growth. Principals represent a key component in this equation as they are charged with supporting and accurately evaluating teachers, and in many cases, are directly responsible for selecting and retaining them. Using measures of student academic progress to inform principal evaluation only makes sense because the most direct measure of teacher quality appears to be student achievement, and principals have a direct impact on teacher quality.

Why Connect Principal Performance to Student Academic Progress?

There are many reasons for including student academic progress as part of the principal evaluation process.

- Principals have an indirect, but powerful, influence on student achievement. The effect is most apparent through principals' influence on those who directly interact with students in instructional settings.²²
- Principals influence student achievement through their leadership style²³ and their influence on school climate.²⁴
- Principals of schools with high student achievement empower teachers to focus on student achievement and to make their own decisions in the classroom.²⁵
- A strong leader committed to education is a common element in schools with at-risk populations that exceed expectations for student achievement.²⁶

Implementation Concerns

The role of a principal requires a performance evaluation system that acknowledges the contextual nature and complexities of the job. When deciding to include student academic progress in principal evaluation, divisions need to be aware of several implementation concerns:

- The increased focus on using student learning measures in principal evaluation may be new for some principals and their evaluators. Thus, there may be initial concerns to this change in evaluation practices.
- Testing programs in many states and school divisions do not fully reflect the taught curriculum, and it is important to choose multiple measures that reflect the intended curriculum.
- While the Virginia Department of Education has developed the capability to calculate student growth percentiles, they will only be calculated for teachers of grades 4-8 in reading and mathematics and in Algebra I through grade 9.

Virginia Law

Virginia law requires principals, assistant principals, and teachers to be evaluated using measures of student academic progress. Section 22.1-294 of the *Code of Virginia* (Probationary terms of service for principals, assistant principals and supervisors; evaluation; reassigning principal, assistant principal or supervisor to teaching position) states, in part, the following:

- B. Each local school board shall adopt for use by the division superintendent clearly defined criteria for a performance evaluation process for principals, assistant principals, and supervisors that are consistent with the performance objectives set forth in the *Guidelines for Uniform Performance Standards and Evaluation Criteria for Teachers, Administrators, and Superintendents* as provided in § 22.1-253.13:5 and that includes, among other things, an assessment of such administrators' skills and knowledge; **student academic progress** and school gains in student learning; and effectiveness in addressing school safety and enforcing student discipline. The division superintendent shall implement such performance evaluation process in making employment recommendations to the school board pursuant to § 22.1-293.

Methods for Connecting Student Performance to Principal Evaluation

The *Uniform Performance Standards and Evaluation Criteria* incorporate student academic progress as a significant component of the evaluation while encouraging local flexibility in implementation. These guidelines recommend that student academic progress account for 40 percent of a principal's summative evaluation. There are three key points to consider in this model:

1. Student learning, as determined by multiple measures of student academic progress, accounts for a total of 40 percent of the evaluation.
2. For elementary and middle school principals:
 - At least 20 percent of the principal evaluation (half of the student academic progress measure) is comprised of the student growth percentiles in the school as provided from the Virginia Department of Education when the data are available and can be used appropriately.²⁷
 - Another 20 percent of the principal evaluation (half of the student academic progress measure) should be measured using *Student Academic Progress Goals* with evidence that the alternative measure is valid. **Note:** Whenever possible, it is recommended that the second progress measure be grounded in validated, quantitative, objective measures, using tools already available in the school. These should include improvement in achievement measures (e.g., Standards of Learning assessment results, state benchmarks) for the school.
3. For high school principals: The entire 40 percent of the principal evaluation should be measured using *Student Academic Progress Goals* with evidence that the alternative measure is valid. These should include improvement in achievement measures (e.g., Standards of Learning assessment results, state benchmarks) for the school.

Student Growth Percentiles

Student growth percentiles (SGPs) provide student-level progress information for students. SGPs range from 1 to 99, where higher numbers represent higher relative progress and lower numbers represent lower progress, relative to students who have similar SOL test scores in the past. The statistical method works independently of SOL performance levels. Therefore, nearly all students for whom a student growth percentile is available, no matter the scores they earned on past SOL tests, have equal chances to demonstrate growth across the range of percentiles on the next year's test.

SGPs describe the percentile for *change in achievement*, not absolute achievement.^a Percentiles are values that express the percentage of cases that fall below a certain score. When applied to student achievement data, a student's SGP represents the percent of students who have similar prior academic achievement and who earned lower scores on the SOL test. For example, a student who earned an SGP of 90 on an SOL reading assessment earned a score that was as high as or higher than 90 percent of the other students statewide who had similar SOL score histories in reading. Only 10 percent of students with similar prior achievement histories earned higher scores. Similarly, a student who earned a student growth percentile of 25 on his/her mathematics SOL test earned a score that was as high or higher than 25 percent of the students statewide who had SOL score histories in mathematics, whereas 75 percent of students with similar SOL score histories earned higher scores.

For use in principal evaluation, it will be necessary for school divisions to aggregate the SGP data at the school level to determine a progress measure. The median SGP is the most appropriate single measure to determine typical growth in a school. The median SGP represents the midpoint in the distribution of student growth percentiles — half of students earned higher SGPs and half earned lower SGPs.

As shown in Table 1, VDOE has defined categories of growth levels to assist in interpreting the student growth percentile data.

Table 1: *Recommended interpretation of median growth percentiles when used in principal performance evaluation*

Range of median student growth percentile	Interpretation
< 35	The majority of students demonstrated low growth
35 to 65	The majority of students demonstrated moderate or higher growth*
> 65	The majority of students demonstrated high growth

* This recommendation should only be applied after reviewing the distribution of the data. When a group of students has a median SGP between 35 and 65 but most of the students actually fall in the high and low growth categories — with few showing moderate growth — there would be a different interpretation that must be reflected in the growth indicator.

^a For more information, visit http://www.doe.virginia.gov/testing/scoring/student_growth_percentiles/index.shtml.

These categories were chosen based on evidence that interpretive categories are more stable over time when three categories are used.^b Over time and with more experience with the data, school divisions may choose to use more categories (e.g., very low, low, moderate, high, very high) if evidence supports the reliability of the measure.

Before using the median SGP as 20 percent of a principal's evaluation, it is important to determine whether sufficient student growth percentile data are available to apply to the evaluation. Minimum requirements for sufficient data are:

- Data from at least 40 students are available, possibly from multiple years;
- Data from students are representative of students in the school; and
- Data from at least two years are available; three years should be reviewed whenever possible.

Figure 4.1 shows how SGPs should be incorporated into principals' performance evaluations when the above conditions are met. Note that when there are insufficient SGPs to be representative of students in the school, it may still be appropriate to use SGPs as one component of the evaluation of student academic progress but at a lower percentage; in such cases, other validated quantitative measures of growth should be incorporated.

^b Measuring growth in student performance on MCAS: The growth model. Presentation from Robert Lee, Massachusetts Department of Education. Presentation to Virginia Stakeholders, November 2010.

Figure 4.1: *Guidance for Incorporating Multiple Measures of Student Academic Progress into Principal Performance Evaluations*

Principal	Application of Student Growth Percentiles	Other Measures of Student Growth and Achievement
Elementary School and Middle School	20 percent of the total evaluation based on student growth percentiles*	20 percent of the total evaluation based on other measures of student academic progress. <ul style="list-style-type: none"> • Quantitative measures already available in the school that are validated and provide measures of growth (as opposed to absolute achievement) should be given priority. • Goal setting should incorporate data from valid achievement measures (e.g., SOL assessment results, state benchmarks) that focus on school improvement whenever possible.
High School	Not applicable	40 percent of the total evaluation based on measures of student academic progress other than the SGP. <ul style="list-style-type: none"> • Quantitative measures already available in the school that are validated and provide measures of growth (as opposed to absolute achievement) should be given priority. However, school improvement in absolute achievement can be used as an indicator for overall student academic progress. • Goal setting should incorporate data from valid achievement measures (e.g., SOL assessment results, state benchmarks) that focus on school improvement whenever possible.

* When there are not sufficient SGPs to be representative of students in the school, it may be appropriate to use student growth percentiles as one component of the student academic progress standard but at less than 20 percent of the full evaluation, incorporating other validated quantitative measures of growth.

Goal Setting

One approach to linking student academic progress to principal performance involves building the capacity for principals and their supervisors to interpret and use student achievement data to set target goals for student improvement. Setting goals — not just any goals, but goals set squarely on student performance — is a powerful way to enhance professional performance and, in turn, positively impact student academic progress. *Student Academic Progress Goal Setting* is designed to improve student learning.

In many cases, measures of student performance can be directly documented. A value-added or gain score approach can be summarized using the equation in Figure 4.2.

Figure 4.2: *Gain Score Equation*

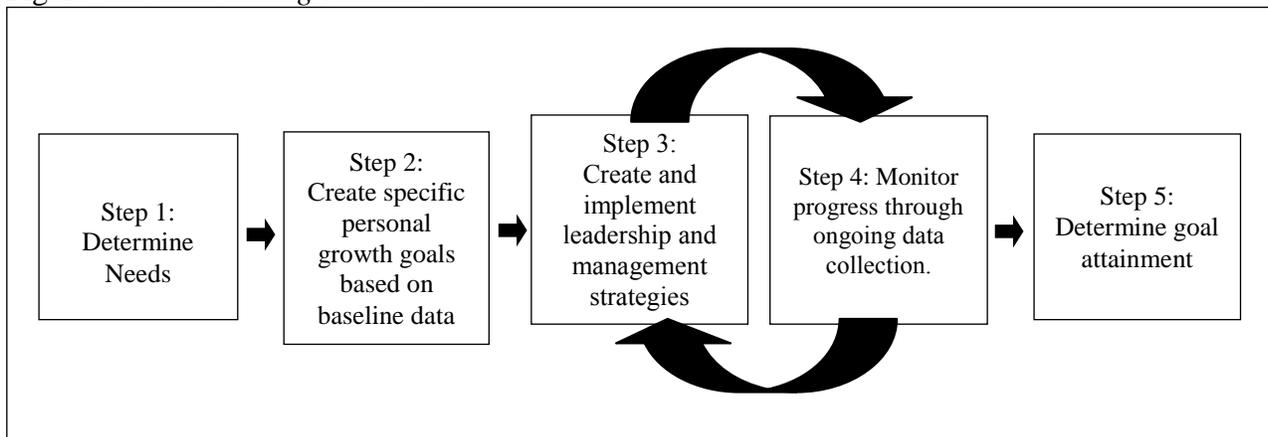
$$\begin{array}{c} \text{Student Learning End Result} \\ - \text{Student Learning Beginning Score} \\ \hline \text{Student Gain Score} \end{array}$$

Goal Setting Process

Principals are responsible for setting professional growth goals that are tied directly to school improvement and improved student academic progress and/or to the school's strategic plans that are developed and updated regularly. The number of goals set should not be so numerous that there are too many goals to reach; therefore, diminishing the resources and focus brought to reaching each goal. The evaluator and the principal meet to discuss the baseline data and review the annual goals. New goals are identified each year. The goal should be customized for the particular school and its particular student population. The principal's and school goals should be aligned with division goals and the school improvement process. In fact, a strong school improvement process is synonymous to the goal setting process. The *Student Academic Progress Goal Setting Form* on the following pages may be used for developing and assessing each annual goal. Goals should be measured at the beginning of the year, at mid-year, and at the end of the year to determine the difference. In addition, there should be annual reporting and updates on annual goals and targets.

Goal setting involves several steps, beginning with knowing where students as a whole are in relation to what is expected of them. Then, principals can set specific, measurable goals based on both the demands of the curriculum and the needs of the students. The next part of the process is recursive in that the principal creates and implements strategies and monitors progress, and then makes adjustments to the strategies, as needed. Finally, a summative judgment is made regarding goal attainment over a specific period of time. Figure 4.3 depicts these steps.

Figure 4.3: *Goal Setting Process*²⁸



Examples of Measures of Student Academic Progress

To be able to measure goal attainment, principals must identify valid measures of student academic progress appropriate to their school settings. Below are suggested focus areas for goal setting (not intended as an exhaustive list and each school division/school should determine valid measures that are appropriate for each unique school setting) that provide measures of student academic progress that focus on school improvement:

Possible Examples of Measures

- Pattern of improvement in SOL assessment pass rates
- Pattern of improvement in subgroup achievement on SOL assessments
- Pattern of improvement across grade levels on SOL assessments
- Decrease in achievement gaps between and among subgroups on SOL assessments
- Pattern of improvement in advanced pass rates on SOL assessments
- Decrease in the number/percent of children at risk of not learning to read by grade 3 (e.g., from fall to spring each year, reduce the percent of children failing to meet Phonological Awareness Literacy Screening [PALS] benchmarks for being on track to be proficient in reading by grade 3)
- Decrease in achievement gaps, as identified by PALS, between and among subgroups of students identified for reading intervention in grades K-2 and of students identified as meeting the High Benchmark status in spring of grade one
- Increase in the percentage of students meeting the PALS benchmark for Concept of Word in spring of kindergarten
- Increase in the percentage of students making at least one year's growth in Instructional Oral Reading Level, as measured by PALS or other valid reading assessments, in grades one through three
- Increase in the percentage of elementary students successfully meeting Curriculum Based Measurement benchmarks in English/reading, mathematics, science, and history and social science
- Decrease in the percentage of K-2 retentions by demonstrating more students are meeting or exceeding grade-level expectations
- Increase in the number/percent of students with disabilities meeting their Individualized Education Plan (IEP) goals
- Increase in the percentage of English Learners (ELs) making progress or proficiency on the English Language Proficiency assessment and increase the percentage of ELs achieving proficiency on English/reading and mathematics SOL assessments
- Pattern of improvement on formative assessments
- Pattern of increased percentage of first- through third-grade students reading on grade level

- Pattern of increased percentage of middle school students taking high school level courses
- Increase in examples of nonacademic core middle or high school classes or students receiving prestigious awards on a consistent basis (e.g., art, music, band, speech)
- Pattern of increased percentage of students who receive a high school diploma
- Increase in the number of students enrolled in college-level courses
- Pattern of increased number of students earning college credit while in high school
- Increase in the number/percentage of students in underperforming subgroups who enroll in college-level courses in high school
- Increase in the number/percentage of students in underperforming subgroups who earn college credit while in high school
- Increase in the number/percentage of students, particularly students from underperforming subgroups, who enroll in and are successful taking Algebra I by eighth grade
- Decrease in the percentage of students who leave eighth grade at risk of not graduating from high school with a Standard or Advanced Studies diploma
- Pattern of increased attainment of advanced diplomas
- Pattern of increased number of high school students earning career and technical industry certifications, state licenses, or successful national occupational assessment credentials
- Increase in the percent of students taking the SATs
- Increase in the percent of minority students taking Advanced Placement/dual enrollment courses
- Increase in the number/percent of students involved in one or more extracurricular activities

Quantitative measures of student academic progress based on validated achievement measures that already are being used locally should be the first data considered when determining local progress measures; other measures are recommended for use when two valid and direct measures of student academic progress are not available.

Developing Goals

Goals are developed early in the school year. The goals describe observable behavior and/or measurable results that would occur when a goal is achieved. The acronym SMART (Figure 4.4) is a useful way to self-assess a goal's feasibility and worth.

Figure 4.4: *Acronym for Developing Goals*

S pecific:	The goal is focused.
M easurable:	An appropriate instrument/measure is selected to assess the goal.
A ppropriate:	The goal is within the principal's control to effect change.
R ealistic:	The goal is feasible for the principal and/or school.
T ime limited:	The goal is contained within a single school year.

Submission of the Goal Setting Form

Principals complete a draft of their goals and schedule a meeting with their evaluators to look at the baseline data and discuss the proposed goal. Each year principals are responsible for submitting their goals to their evaluator early in the school year.

Mid-Year Review of Goal

A mid-year review of progress toward the goal is held for all principals. At the evaluator's discretion, this review may be conducted through peer teams or in another format that promotes discussion, collegiality, and reflection. The mid-year review should be held prior to March 1. It is the evaluator's responsibility to establish the format and select the time of the review.

End-of-Year Review of Goal

By the appropriate date, as determined by the evaluator, each principal is responsible for assessing the professional growth made on the goal and for submitting documentation to the evaluator. A principal may find it beneficial to draft the next year's goal as part of the reflection process in the event the goal has to be continued and/or revised. By mutual agreement, evaluators and individual principals may extend the due date for the end-of-year reviews in order to include the current year's data. In addition, as noted in the measures of academic achievement/growth noted on the previous page, data from previous years may be used to demonstrate a pattern toward attainment of goals.

SAMPLE Student Academic Progress Goal Setting Form

Directions: This form is a tool to assist principals in setting goals that result in measurable progress. There should be goals that directly relate to school improvement goals using student achievement results. All goals should address Standard 7: Student Academic Progress. Use a separate sheet for each goal.

Principal: _____

School: _____ **School Year:** _____

Evaluator: _____

I. School Profile (Describe the school setting and any unique circumstances impacting the school community as a whole.)		
II. Content/Subject/Field Area (Describe the area/topic addressed based on learner achievement, school achievement results, data analysis, or observational data.)		
III. Baseline Data (What does the current data show?)	<input type="checkbox"/> Data attached	
IV. Goal Statement (Describe what you want learners/program to accomplish.)		
V. Means for Attaining Goal (Check the standard to which the strategies relate.)		
<input type="checkbox"/> 1. Instructional Leadership <input type="checkbox"/> 2. School Climate <input type="checkbox"/> 3. Human Resources Management <input type="checkbox"/> 4. Organizational Management <input type="checkbox"/> 5. Communication and Community Relations <input type="checkbox"/> 6. Professionalism <input checked="" type="checkbox"/> 7. Student Academic Progress		
<i>Strategy</i>	<i>Measurable By</i>	<i>Target Date</i>

<p>VI. Mid-Year Review (Describe goal progress and other relevant data.)</p>	<p>Mid-year review conducted on _____ Initials _____ Admin. Eval.</p>
<p>VII. End-of-Year Data Results (Describe accomplishments at the end of year.)</p>	<p><input type="checkbox"/> Data attached</p>

Initial Goal Submission (due by _____ to the evaluator)

Principal's Signature: _____ Date: _____
 Evaluator's Signature: _____ Date: _____

End-of-Year Review

Appropriate Data Received

Did the strategies used and data provided demonstrate application of professional growth?

Yes No

Principal's Signature: _____ Date: _____
 Principal's Name: _____
 Evaluator's Signature: _____ Date: _____
 Evaluator's Name: _____

Part 5: Rating Principal Performance

The role of a principal requires a performance evaluation system that acknowledges the contextual nature and complexities of the job. For an evaluation system to be meaningful, it must provide its users with relevant and timely feedback. To facilitate this, evaluators should conduct both formative and summative evaluations of principals. While the superintendent has the ultimate responsibility for ensuring that the evaluation system is executed faithfully and effectively in the division, other division administrators may be designated by the evaluator to supervise, monitor, and assist with the multiple data source collection which will be used for these evaluations.

Interim Evaluation

Some principal evaluation systems include an interim or annual review, especially for beginning principals, in order to provide systematic feedback prior to the completion of a summative evaluation. The multiple data sources discussed in Part 3 are used to compile a *Principal Interim/Annual Performance Report* that indicates if a principal has shown evidence of each of the performance standards. The evaluator should share his or her assessment of the principal's performance by a given date (for example, the last school day before winter break). *Please note that the Principal Interim/Annual Performance Report is used to document evidence of meeting the seven standards, but does not include a rating of performance.* A sample *Principal Interim/Annual Performance Report* is provided on the next several pages. This form is optional, and its use should be decided on by the local school division.

SAMPLE Principal Interim/Annual Performance Report

Note: This is an optional report. Local school divisions should determine its use.

Directions: Evaluators use this form to maintain a record of evidence documented for each performance standard. Evidence can be drawn from informal observations, portfolio/document log review, and other appropriate sources. Evaluators may choose to use the “Evident” or “Not Evident” boxes provided under each standard to assist with documenting the principal’s progress towards meeting the standard. This form should be maintained by the evaluator during the course of the evaluation cycle. This report is shared at a meeting with the principal held within appropriate timelines.

Principal: _____

Date: _____

Evaluator: _____

Strengths:

Areas of Improvement:

Principal’s Signature: _____ Date: _____

Principal’s Name: _____

Evaluator’s Signature: _____ Date: _____

Evaluator’s Name: _____

<p>Performance Standard 1: Instructional Leadership <i>The principal fosters the success of all students by facilitating the development, communication, implementation, and evaluation of a shared vision of teaching and learning that leads to student academic progress and school improvement.</i></p>
<p>Sample Performance Indicators <i>Examples may include, but are not limited to:</i></p> <p>The principal:</p> <ol style="list-style-type: none"> 1.1 Leads the collaborative development and sustainment of a compelling shared vision for educational improvement and works collaboratively with staff, students, parents, and other stakeholders to develop a mission and programs consistent with the division’s strategic plan. 1.2 Collaboratively plans, implements, supports, monitors, and evaluates instructional programs that enhance teaching and student academic progress, and lead to school improvement. 1.3 Analyzes current academic achievement data and instructional strategies to make appropriate educational decisions to improve classroom instruction, increase student achievement, and improve overall school effectiveness. 1.4 Possesses knowledge of research-based instructional best practices in the classroom. 1.5 Works collaboratively with staff to identify student needs and to design, revise, and monitor instruction to ensure effective delivery of the required curriculum. 1.6 Provides teachers with resources for the successful implementation of effective instructional strategies. 1.7 Monitors and evaluates the use of diagnostic, formative, and summative assessment to provide timely and accurate feedback to students and parents, and to inform instructional practices. 1.8 Provides collaborative leadership for the design and implementation of effective and efficient schedules that protect and maximize instructional time. 1.9 Provides the focus for continued learning of all members of the school community. 1.10 Supports professional development and instructional practices that incorporate the use of achievement data and result in increased student progress. 1.11 Participates in professional development alongside teachers when instructional strategies are being taught for future implementation. 1.12 Demonstrates the importance of professional development by providing adequate time and resources for teachers and staff to participate in professional learning (i.e., peer observation, mentoring, coaching, study groups, learning teams). 1.13 Evaluates the impact professional development has on the staff/school improvement and student academic progress. <p>Comments:</p> <div style="text-align: right;"> <input type="checkbox"/> Evident <input type="checkbox"/> Not Evident </div>

<p>Performance Standard 2: School Climate <i>The principal fosters the success of all students by developing, advocating, and sustaining an academically rigorous, positive, and safe school climate for all stakeholders.</i></p>
<p>Sample Performance Indicators <i>Examples may include, but are not limited to:</i></p> <p>The principal:</p> <ol style="list-style-type: none"> 2.1 Incorporates knowledge of the social, cultural, leadership, and political dynamics of the school community to cultivate a positive academic learning environment. 2.2 Consistently models and collaboratively promotes high expectations, mutual respect, concern, and empathy for students, staff, parents, and community. 2.3 Utilizes shared decision-making and collaboration to build relationships with all stakeholders and maintain positive school morale. 2.4 Models and inspires trust and a risk-tolerant environment by sharing information and power. 2.5 Maintains a collegial environment and supports the staff through the stages of the change process. 2.6 Addresses barriers to teacher and staff performance and provides positive working conditions to encourage retention of highly-effective personnel. 2.7 Develops and/or implements a safe school plan that manages crisis situations in an effective and timely manner. 2.8 Involves students, staff, parents, and the community to create and sustain a positive, safe, and healthy learning environment that reflects state, division, and local school rules, policies, and procedures. 2.9 Develops and/or implements best practices in schoolwide behavior management that are effective within the school community and communicates behavior management expectations to students, teachers, and parents. 2.10 Is visible, approachable, and dedicates time to listen to the concerns of students, teachers, and other stakeholders. 2.11 Maintains a positive, inviting school environment that promotes and assists in the development of the whole student and values every student as an important member of the school community. <p>Comments:</p> <div style="text-align: right;"> <input type="checkbox"/> Evident <input type="checkbox"/> Not Evident </div>

Performance Standard 3: Human Resources Management

The principal fosters effective human resources management by assisting with selection and induction, and by supporting, evaluating, and retaining quality instructional and support personnel.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 3.1 Actively participates in the selection process, where applicable, and assigns highly-effective staff in a fair and equitable manner based on school needs, assessment data, and local, state, and federal requirements.
- 3.2 Supports formal building-level employee induction processes and informal procedures to support and assist all new personnel.
- 3.3 Provides a mentoring process for all new and targeted instructional personnel, as well as cultivates leadership potential through personal mentoring.
- 3.4 Manages the supervision and evaluation of staff in accordance with local and state requirements.
- 3.5 Properly implements the teacher and staff evaluation systems, supports the important role evaluation plays in teacher and staff development, and evaluates performance of personnel using multiple sources.
- 3.6 Documents deficiencies and proficiencies, provides timely formal and informal feedback on strengths and weaknesses, and provides support, resources, and remediation for teachers and staff to improve job performance.
- 3.7 Makes appropriate recommendations relative to personnel transfer, retention, promotion, and dismissal consistent with established policies and procedures and with student academic progress as a primary consideration.
- 3.8 Recognizes and supports the achievements of highly-effective teachers and staff and provides them opportunities for increased responsibility.
- 3.9 Maximizes human resources by building on the strengths of teachers and staff members and providing them with professional development opportunities to grow professionally and gain self-confidence in their skills.

Comments:

Evident Not Evident

Performance Standard 4: Organizational Management

The principal fosters the success of all students by supporting, managing, and overseeing the school's organization, operation, and use of resources.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 4.1 Demonstrates and communicates a working knowledge and understanding of Virginia public education rules, regulations, laws, and school division policies and procedures.
- 4.2 Establishes and enforces rules and policies to ensure a safe, secure, efficient, and orderly facility and grounds.
- 4.3 Monitors and provides supervision efficiently for the physical plant and all related activities through an appropriately prioritized process.
- 4.4 Identifies potential organizational, operational, or resource-related problems and deals with them in a timely, consistent, and effective manner.
- 4.5 Establishes and uses accepted procedures to develop short- and long-term goals through effective allocation of resources.
- 4.6 Reviews fiscal records regularly to ensure accountability for all funds.
- 4.7 Plans and prepares a fiscally responsible budget to support the school's mission and goals.
- 4.8 Follows federal, state, and local policies with regard to finances, school accountability, and reporting.
- 4.9 Implements strategies for the inclusion of staff and stakeholders in various planning processes, shares in management decisions, and delegates duties as applicable, resulting in a smoothly operating workplace.

Comments:

Evident Not Evident

Performance Standard 5: Communication and Community Relations <i>The principal fosters the success of all students by communicating and collaborating effectively with stakeholders.</i>
<p>Sample Performance Indicators <i>Examples may include, but are not limited to:</i></p> <p>The principal:</p> <ul style="list-style-type: none"> 5.1 Plans for and solicits staff, parent, and stakeholder input to promote effective decision-making and communication when appropriate. 5.2 Communicates long- and short-term goals and the school improvement plan to all stakeholders. 5.3 Disseminates information to staff, parents, and other stakeholders in a timely manner through multiple channels and sources. 5.4 Involves students, parents, staff and other stakeholders in a collaborative effort to establish positive relationships. 5.5 Maintains visibility and accessibility to students, parents, staff, and other stakeholders. 5.6 Speaks and writes consistently in an explicit and professional manner using standard oral and written English to communicate with students, parents, staff, and other stakeholders. 5.7 Provides a variety of opportunities for parent and family involvement in school activities. 5.8 Collaborates and networks with colleagues and stakeholders to effectively utilize the resources and expertise available in the local community. 5.9 Advocates for students and acts to influence local, division, and state decisions affecting student learning. 5.10 Assesses, plans for, responds to, and interacts with the larger political, social, economic, legal, and cultural context that affects schooling based on relevant evidence. <p>Comments:</p> <div style="text-align: right;"> <input type="checkbox"/> Evident <input type="checkbox"/> Not Evident </div>

Performance Standard 6: Professionalism

The principal fosters the success of all students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 6.1 Creates a culture of respect, understanding, sensitivity, and appreciation for students, staff, and other stakeholders and models these attributes on a daily basis.
- 6.2 Works within professional and ethical guidelines to improve student learning and to meet school, division, state, and federal requirements.
- 6.3 Maintains a professional appearance and demeanor.
- 6.4 Models professional behavior and cultural competency to students, staff, and other stakeholders.
- 6.5 Maintains confidentiality.
- 6.6 Maintains a positive and forthright attitude.
- 6.7 Provides leadership in sharing ideas and information with staff and other professionals.
- 6.8 Works in a collegial and collaborative manner with other administrators, school personnel, and other stakeholders to promote and support the vision, mission, and goals of the school division.
- 6.9 Assumes responsibility for personal professional development by contributing to and supporting the development of the profession through service as an instructor, mentor, coach, presenter and/or researcher.
- 6.10 Remains current with research related to educational issues, trends, and practices and maintains a high level of technical and professional knowledge.

Comments:

Evident Not Evident

<p>Performance Standard 7: Student Academic Progress <i>The principal’s leadership results in acceptable, measurable student academic progress based on established standards.</i></p>
<p>Sample Performance Indicators <i>Examples may include, but are not limited to:</i></p> <p>The principal:</p> <ul style="list-style-type: none"> 7.1 Collaboratively develops, implements, and monitors the school improvement plan that results in increased student academic progress. 7.2 Utilizes research-based techniques for gathering and analyzing data from multiple measures to use in making decisions related to student academic progress and school improvement. 7.3 Communicates assessment results to multiple internal and external stakeholders. 7.4 Collaborates with teachers and staff to monitor and improve multiple measures of student progress through the analysis of data, the application of educational research, and the implementation of appropriate intervention and enrichment strategies. 7.5 Utilizes faculty meetings, team/department meetings, and professional development activities to focus on student progress outcomes. 7.6 Provides evidence that students are meeting measurable, reasonable, and appropriate achievement goals. 7.7 Demonstrates responsibility for school academic achievement through proactive interactions with faculty/staff, students, and other stakeholders. 7.8 Collaboratively develops, implements, and monitors long- and short-range achievement goals that address varied student populations according to state guidelines. 7.9 Ensures teachers’ student achievement goals are aligned with building-level goals for increased student academic progress and for meeting state benchmarks. 7.10 Sets benchmarks and implements appropriate strategies and interventions to accomplish desired outcomes. <p>Comments:</p> <div style="text-align: right;"> <input type="checkbox"/> Evident <input type="checkbox"/> Not Evident </div>

Summative Evaluation

Assessment of performance quality occurs only at the summative evaluation stage, which comes at the end of the evaluation cycle. The ratings for each performance standard are based on multiple sources of information and are completed only after pertinent data from all sources are reviewed. The integration of data provides the evidence used to determine the performance ratings for the summative evaluations for all principals.

There are two major considerations in assessing job performance during summative evaluation: 1) the actual performance standards, and 2) how well they are performed. The performance standards and performance indicators provide a description of well-defined expectations.

Definitions of Ratings

The rating scale provides a description of four levels of how well the standards (i.e., duties) are performed on a continuum from “Exemplary” to “Unacceptable.” The use of the scale enables evaluators to acknowledge effective performance (i.e., “Exemplary” and “Proficient”) and provides two levels of feedback for principals not meeting expectations (i.e., “Developing/Needs Improvement” and “Unacceptable”). The definitions in Figure 5.1 offer general descriptions of the ratings. *PLEASE NOTE: Ratings are applied to the seven performance standards and as an overall summative rating, not to performance indicators.*

Figure 5.1: *Definitions of Terms Used in Rating Scale*

Cat.	Description	Definition
Exemplary	The principal performing at this level maintains performance, accomplishments, and behaviors that consistently and considerably surpass the established performance standard and does so in a manner that exemplifies the school’s mission and goals. This rating is reserved for performance that is truly exemplary and is demonstrated with significant student academic progress.	<p>Exceptional performance:</p> <ul style="list-style-type: none"> • sustains high performance over the evaluation cycle • empowers teachers and students and consistently exhibits behaviors that have a strong positive impact on student academic progress and the school climate • serves as a role model to others
Proficient	The principal meets the performance standard in a manner that is consistent with the school’s mission and goals and has a positive impact on student academic progress.	<p>Effective performance:</p> <ul style="list-style-type: none"> • consistently meets the requirements contained in the job description as expressed in the evaluation criteria • engages teachers and exhibits behaviors that have a positive impact on student academic progress and the school climate • demonstrates willingness to learn and apply new skills
Developing/ Needs Improvement	The principal is starting to exhibit desirable traits related to the standard, but has not yet reached the full level of proficiency expected (i.e., developing) or the principal’s performance is lacking in a particular area (i.e., needs improvement). The principal often performs less than required in the established performance standard or in a manner that is inconsistent with the school’s mission and goals and results in below average student academic progress.	<p>Below acceptable performance:</p> <ul style="list-style-type: none"> • requires support in meeting the standards • results in less than expected quality of student academic progress • requires principal professional growth be jointly identified and planned between the principal and evaluator
Unacceptable	The principal consistently performs below the established performance standard or in a manner that is inconsistent with the school’s mission and goals and results in minimal student academic progress.	<p>Ineffective performance:</p> <ul style="list-style-type: none"> • does not meet the requirements contained in the job description as expressed in the evaluation criteria • results in minimal student academic progress • may contribute to a recommendation for the employee not being considered for continued employment

How a Performance Rubric Works

Evaluators have two tools to guide their judgments for rating principals’ performance for the summative evaluation: 1) the sample performance indicators, and 2) the performance rubric.

Sample Performance Indicators

Performance indicators are used in the evaluation system to identify, in observable behaviors, performance of the major job standards. They were introduced in Part 2, and examples are provided again in this section.

Performance Rubric

The performance rubric is a behavioral summary scale that describes acceptable performance levels for each of the seven performance standards. It states the measure of performance expected of principals and provides a general description of what a rating entails. The rating scale is applied to the summative evaluation of all principals. The performance rubrics guide evaluators in assessing *how well* a standard is performed. They are provided to increase reliability among evaluators and to help principals focus on ways to enhance their leadership practices. **Please note: The rating of “Proficient” is the expected level of performance.** Additionally, the recommended performance rubrics presented here may be modified at the discretion of school division decision makers.

Figure 5.2: Example of a Performance Rubric

Exemplary <i>In addition to meeting the requirements for Proficient...</i>	Proficient <i>Proficient is the expected level of performance.</i>	Developing/ Needs Improvement	Unacceptable
The principal actively and consistently employs innovative and effective leadership strategies that maximize student learning and result in a shared vision of teaching and learning that reflects excellence.	The principal fosters the success of all students by facilitating the development, communication, implementation, and evaluation of a shared vision of teaching and learning that leads to school improvement.	The principal inconsistently fosters the success of students by facilitating the development, communication, implementation, or evaluation of a shared vision of teaching and learning that leads to school improvement.	The principal does not foster the success of all students by facilitating the development, communication, implementation, or evaluation of a shared vision of teaching and learning that leads to school improvement.

Performance Rubrics for Performance Standards

Principals are evaluated on the performance standards using the following performance appraisal rubrics:

Performance Standard 1: Instructional Leadership

The principal fosters the success of all students by facilitating the development, communication, implementation, and evaluation of a shared vision of teaching and learning that leads to student academic progress and school improvement.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 1.1 Leads the collaborative development and sustainment of a compelling shared vision for educational improvement and works collaboratively with staff, students, parents, and other stakeholders to develop a mission and programs consistent with the division's strategic plan.
- 1.2 Collaboratively plans, implements, supports, monitors, and evaluates instructional programs that enhance teaching and student academic progress, and lead to school improvement.
- 1.3 Analyzes current academic achievement data and instructional strategies to make appropriate educational decisions to improve classroom instruction, increase student achievement, and improve overall school effectiveness.
- 1.4 Possesses knowledge of research-based instructional best practices in the classroom.
- 1.5 Works collaboratively with staff to identify student needs and to design, revise, and monitor instruction to ensure effective delivery of the required curriculum.
- 1.6 Provides teachers with resources for the successful implementation of effective instructional strategies.
- 1.7 Monitors and evaluates the use of diagnostic, formative, and summative assessment to provide timely and accurate feedback to students and parents, and to inform instructional practices.
- 1.8 Provides collaborative leadership for the design and implementation of effective and efficient schedules that protect and maximize instructional time.
- 1.9 Provides the focus for continued learning of all members of the school community.
- 1.10 Supports professional development and instructional practices that incorporate the use of achievement data and result in increased student progress.
- 1.11 Participates in professional development alongside teachers when instructional strategies are being taught for future implementation.
- 1.12 Demonstrates the importance of professional development by providing adequate time and resources for teachers and staff to participate in professional learning (i.e., peer observation, mentoring, coaching, study groups, learning teams).
- 1.13 Evaluates the impact professional development has on the staff/school improvement and student academic progress.

Exemplary <i>In addition to meeting the requirements for Proficient...</i>	Proficient <i>Proficient is the expected level of performance.</i>	Developing/ Needs Improvement	Unacceptable
<p>The principal actively and consistently employs innovative and effective leadership strategies that maximize student academic progress and result in a shared vision of teaching and learning that reflects excellence.</p>	<p>The principal fosters the success of all students by facilitating the development, communication, implementation, and evaluation of a shared vision of teaching and learning that leads to student academic progress and school improvement.</p>	<p>The principal inconsistently fosters the success of students by facilitating the development, communication, implementation, or evaluation of a shared vision of teaching and learning that leads to student academic progress and school improvement.</p>	<p>The principal does not foster the success of all students by facilitating the development, communication, implementation, or evaluation of a shared vision of teaching and learning that leads to student academic progress and school improvement.</p>

Performance Standard 2: School Climate

The principal fosters the success of all students by developing, advocating, and sustaining an academically rigorous, positive, and safe school climate for all stakeholders.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 2.1 Incorporates knowledge of the social, cultural, leadership, and political dynamics of the school community to cultivate a positive academic learning environment.
- 2.2 Consistently models and collaboratively promotes high expectations, mutual respect, concern, and empathy for students, staff, parents, and community.
- 2.3 Utilizes shared decision-making and collaboration to build relationships with all stakeholders and maintain positive school morale.
- 2.4 Models and inspires trust and a risk-tolerant environment by sharing information and power.
- 2.5 Maintains a collegial environment and supports the staff through the stages of the change process.
- 2.6 Addresses barriers to teacher and staff performance and provides positive working conditions to encourage retention of highly-effective personnel.
- 2.7 Develops and/or implements a safe school plan that manages crisis situations in an effective and timely manner.
- 2.8 Involves students, staff, parents, and the community to create and sustain a positive, safe, and healthy learning environment that reflects state, division, and local school rules, policies, and procedures.
- 2.9 Develops and/or implements best practices in schoolwide behavior management that are effective within the school community and communicates behavior management expectations to students, teachers, and parents.
- 2.10 Is visible, approachable, and dedicates time to listen to the concerns of students, teachers, and other stakeholders.
- 2.11 Maintains a positive, inviting school environment that promotes and assists in the development of the whole child/student, and values every child/student as an important member of the school community.

Exemplary <i>In addition to meeting the requirements for Proficient...</i>	Proficient <i>Proficient is the expected level of performance.</i>	Developing/ Needs Improvement	Unacceptable
The principal seeks out new opportunities or substantially improves existing programs to create an environment where students and stakeholders thrive and the rigor of academic expectations has significantly increased as evident through results.	The principal fosters the success of all students by developing, advocating, and sustaining an academically rigorous, positive, and safe school climate for all stakeholders.	The principal inconsistently promotes the success of all students by developing, advocating, or sustaining an academically rigorous, positive, or safe school climate for all stakeholders.	The principal does not promote the success of all students by developing, advocating, or sustaining an academically rigorous, positive, or safe school climate for all stakeholders.

Performance Standard 3: Human Resources Management

The principal fosters effective human resources management by assisting with selection and induction, and by supporting, evaluating, and retaining quality instructional and support personnel.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 3.1 Actively participates in the selection process, where applicable, and assigns highly-effective staff in a fair and equitable manner based on school needs, assessment data, and local, state, and federal requirements.
- 3.2 Supports formal building-level employee induction processes and informal procedures to support and assist all new personnel.
- 3.3 Provides a mentoring process for all new and targeted instructional personnel, as well as cultivates leadership potential through personal mentoring.
- 3.4 Manages the supervision and evaluation of staff in accordance with local and state requirements.
- 3.5 Properly implements the teacher and staff evaluation systems, supports the important role evaluation plays in teacher and staff development, and evaluates performance of personnel using multiple sources.
- 3.6 Documents deficiencies and proficiencies, provides timely formal and informal feedback on strengths and weaknesses, and provides support, resources, and remediation for teachers and staff to improve job performance.
- 3.7 Makes appropriate recommendations relative to personnel transfer, retention, promotion, and dismissal consistent with established policies and procedures and with student academic progress as a primary consideration.
- 3.8 Recognizes and supports the achievements of highly-effective teachers and staff and provides them opportunities for increased responsibility.
- 3.9 Maximizes human resources by building on the strengths of teachers and staff members and providing them with professional development opportunities to grow professionally and gain self-confidence in their skills.

Exemplary <i>In addition to meeting the requirements for Proficient...</i>	Proficient <i>Proficient is the expected level of performance.</i>	Developing/ Needs Improvement	Unacceptable
The principal consistently demonstrates expertise in human resources management, which results in a highly-productive work force (e.g. highly satisfied stakeholders, increased student learning, teacher leaders).	The principal fosters effective human resources management by assisting with selection and induction, and by supporting, evaluating, and retaining quality instructional and support personnel.	The principal inconsistently assists with selection and induction and/or inconsistently supports, evaluates, and retains quality instructional and support personnel.	The principal inadequately assists with selection and induction, or inadequately supports, evaluates, and retains quality instructional and support personnel.

Performance Standard 4: Organizational Management

The principal fosters the success of all students by supporting, managing, and overseeing the school's organization, operation, and use of resources.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 4.1 Demonstrates and communicates a working knowledge and understanding of Virginia public education rules, regulations, laws, and school division policies and procedures.
- 4.2 Establishes and enforces rules and policies to ensure a safe, secure, efficient, and orderly facility and grounds.
- 4.3 Monitors and provides supervision efficiently for the physical plant and all related activities through an appropriately prioritized process.
- 4.4 Identifies potential organizational, operational, or resource-related problems and deals with them in a timely, consistent, and effective manner.
- 4.5 Establishes and uses accepted procedures to develop short- and long-term goals through effective allocation of resources.
- 4.6 Reviews fiscal records regularly to ensure accountability for all funds.
- 4.7 Plans and prepares a fiscally responsible budget to support the school's mission and goals.
- 4.8 Follows federal, state, and local policies with regard to finances, school accountability, and reporting.
- 4.9 Implements strategies for the inclusion of staff and stakeholders in various planning processes, shares in management decisions, and delegates duties as applicable, resulting in a smoothly operating workplace.

Exemplary <i>In addition to meeting the requirements for Proficient...</i>	Proficient <i>Proficient is the expected level of performance.</i>	Developing/ Needs Improvement	Unacceptable
The principal is highly effective at organizational management and demonstrating proactive decision-making, coordinating efficient operations, and maximizing available resources.	The principal fosters the success of all students by supporting, managing, and overseeing the school's organization, operation, and use of resources.	The principal inconsistently supports, manages, or oversees the school's organization, operation, or use of resources.	The principal inadequately supports, manages, or oversees the school's organization, operation, or use of resources.

Performance Standard 5: Communication and Community Relations

The principal fosters the success of all students by communicating and collaborating effectively with stakeholders.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 5.1 Plans for and solicits staff, parent, and stakeholder input to promote effective decision-making and communication when appropriate.
- 5.2 Communicates long-and short-term goals and the school improvement plan to all stakeholders.
- 5.3 Disseminates information to staff, parents, and other stakeholders in a timely manner through multiple channels and sources.
- 5.4 Involves students, parents, staff and other stakeholders in a collaborative effort to establish positive relationships.
- 5.5 Maintains visibility and accessibility to students, parents, staff, and other stakeholders.
- 5.6 Speaks and writes consistently in an explicit and professional manner using standard oral and written English to communicate with students, parents, staff, and other stakeholders.
- 5.7 Provides a variety of opportunities for parent and family involvement in school activities.
- 5.8 Collaborates and networks with colleagues and stakeholders to effectively utilize the resources and expertise available in the local community.
- 5.9 Advocates for students and acts to influence local, division, and state decisions affecting student learning.
- 5.10 Assesses, plans for, responds to, and interacts with the larger political, social, economic, legal, and cultural context that affects schooling based on relevant evidence.

Exemplary <i>In addition to meeting the requirements for Proficient...</i>	Proficient <i>Proficient is the expected level of performance.</i>	Developing/ Needs Improvement	Unacceptable
The principal proactively seeks and creates innovative and productive methods to communicate and engage effectively with stakeholders.	The principal fosters the success of all students by communicating and collaborating effectively with stakeholders.	The principal inconsistently communicates or infrequently collaborates on issues of importance to stakeholders.	The principal demonstrates inadequate or detrimental communication or collaboration with stakeholders.

Performance Standard 6: Professionalism

The principal fosters the success of all students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 6.1 Creates a culture of respect, understanding, sensitivity, and appreciation for students, staff, and other stakeholders and models these attributes on a daily basis.
- 6.2 Works within professional and ethical guidelines to improve student learning and to meet school, division, state, and federal requirements.
- 6.3 Maintains a professional appearance and demeanor.
- 6.4 Models professional behavior and cultural competency to students, staff, and other stakeholders.
- 6.5 Maintains confidentiality.
- 6.6 Maintains a positive and forthright attitude.
- 6.7 Provides leadership in sharing ideas and information with staff and other professionals.
- 6.8 Works in a collegial and collaborative manner with other administrators, school personnel, and other stakeholders to promote and support the vision, mission, and goals of the school division.
- 6.9 Assumes responsibility for personal professional development by contributing to and supporting the development of the profession through service as an instructor, mentor, coach, presenter and/or researcher.
- 6.10 Remains current with research related to educational issues, trends, and practices and maintains a high level of technical and professional knowledge.

Exemplary <i>In addition to meeting the requirements for Proficient...</i>	Proficient <i>Proficient is the expected level of performance.</i>	Developing/ Needs Improvement	Unacceptable
The principal demonstrates professionalism beyond the school division through published works, formal presentation(s), and/or formal recognition(s) or award(s).	The principal fosters the success of students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession.	The principal is inconsistent in demonstrating professional standards, engaging in continuous professional development, or in contributing to the profession.	The principal shows disregard for professional standards and ethics and/or engaging in continuous professional development, or contributing to the profession.

Performance Standard 7: Student Academic Progress

The principal's leadership results in acceptable, measurable student academic progress based on established standards.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 7.1 Collaboratively develops, implements, and monitors the school improvement plan that results in increased student academic progress.
- 7.2 Utilizes research-based techniques for gathering and analyzing data from multiple measures to use in making decisions related to student academic progress and school improvement.
- 7.3 Communicates assessment results to multiple internal and external stakeholders.
- 7.4 Collaborates with teachers and staff to monitor and improve multiple measures of student progress through the analysis of data, the application of educational research, and the implementation of appropriate intervention and enrichment strategies.
- 7.5 Utilizes faculty meetings, team/department meetings, and professional development activities to focus on student progress outcomes.
- 7.6 Provides evidence that students are meeting measurable, reasonable, and appropriate achievement goals.
- 7.7 Demonstrates responsibility for school academic achievement through proactive interactions with faculty/staff, students, and other stakeholders.
- 7.8 Collaboratively develops, implements, and monitors long- and short-range achievement goals that address varied student populations according to state guidelines.
- 7.9 Ensures teachers' student achievement goals are aligned with building-level goals for increased student academic progress and for meeting state benchmarks.
- 7.10 Sets benchmarks and implements appropriate strategies and interventions accomplish desired outcomes.

Exemplary <i>In addition to meeting the requirements for Proficient...</i>	Proficient <i>Proficient is the expected level of performance.</i>	Developing/ Needs Improvement	Unacceptable
In addition to meeting the standard, the principal's leadership results in a high level of student academic progress with all populations of learners.	The principal's leadership results in acceptable, measurable, student academic progress based on established standards.	The principal's leadership results in student academic progress that inconsistently meets the established standard.	The principal's leadership consistently results in inadequate student academic progress.

Performance Rubrics and Summative Evaluation

Evaluators make judgments about performance of the seven performance standards based on all available evidence. After collecting information gathered through multiple data sources, the evaluator applies the four-level rating scale to evaluate a principal’s performance on all standards for the summative evaluation. Therefore, the summative evaluation represents where the “preponderance of evidence” exists, based on various data sources. A sample *Principal Summative Performance Report* is provided later in this document. The results of the evaluation must be discussed with the principal at a summative evaluation conference.

Summative evaluations should be completed in compliance with the *Code of Virginia* and school division policy. Summative ratings should apply the rating for each of the seven performance standards, with the most significant weight given to Standard 7 - Student Academic Progress. This document suggests that school divisions weight each of the first six standards equally at 10 percent, and that Standard 7 account for 40 percent of the evaluation. In determining the final summative rating, the following approach could be used:

1. Apply numbers 1 (Unacceptable) through 4 (Exemplary) to the rating scale
 Exemplary = 4
 Proficient = 3
 Developing/Needs Improvement = 2
 Unacceptable = 1;
2. Calculate the weighted contribution of each standard to the summative evaluation; and
3. Add the weighted contribution to achieve the final summative evaluation.

The following tables provide two examples of how this approach would apply.

Example of Weighted Calculations for Principal Performance Evaluation

Principal Performance Standard	Performance Rating	Points	Weight	Weighted Total (Points x Weight)
Standard 1	Exemplary	4	1	4
Standard 2	Proficient	3	1	3
Standard 3	Proficient	3	1	3
Standard 4	Proficient	3	1	3
Standard 5	Proficient	3	1	3
Standard 6	Exemplary	4	1	4
Standard 7	Exemplary	4	4	16
Cumulative Summative Rating				36

Principal Performance Standard	Performance Rating	Points	Weight	Weighted Total (Points x Weight)
Standard 1	Proficient	3	1	3
Standard 2	Developing/Needs Improvement	2	1	2
Standard 3	Proficient	3	1	3
Standard 4	Proficient	3	1	3
Standard 5	Proficient	3	1	3
Standard 6	Developing/Needs Improvement	2	1	2
Standard 7	Proficient	3	4	12
Cumulative Summative Rating				28

Divisions will have to determine the range of scores within the Cumulative Summative Rating that are indicative of “Exemplary,” “Proficient,” “Developing/Needs Improvement,” and “Unacceptable” performance. The Department of Education will provide guidelines for school divisions.

SAMPLE Principal Summative Performance Report

Directions: Evaluators use this form prior to providing the principal with an assessment of performance. The principal should be given a copy of the form at the end of each evaluation cycle.

Principal: _____ **School Year(s):** _____
School: _____

<p>Performance Standard 1: Instructional Leadership <i>The principal fosters the success of all students by facilitating the development, communication, implementation, and evaluation of a shared vision of teaching and learning that leads to student academic progress and school improvement.</i></p>
<p>Sample Performance Indicators <i>Examples may include, but are not limited to:</i></p> <p>The principal:</p> <ol style="list-style-type: none"> 1.1 Leads the collaborative development and sustainment of a compelling shared vision for educational improvement and works collaboratively with staff, students, parents, and other stakeholders to develop a mission and programs consistent with the division’s strategic plan. 1.2 Collaboratively plans, implements, supports, monitors, and evaluates instructional programs that enhance teaching and student academic progress, and lead to school improvement. 1.3 Analyzes current academic achievement data and instructional strategies to make appropriate educational decisions to improve classroom instruction, increase student achievement, and improve overall school effectiveness. 1.4 Possesses knowledge of research-based instructional best practices in the classroom. 1.5 Works collaboratively with staff to identify student needs and to design, revise, and monitor instruction to ensure effective delivery of the required curriculum. 1.6 Provides teachers with resources for the successful implementation of effective instructional strategies. 1.7 Monitors and evaluates the use of diagnostic, formative, and summative assessment to provide timely and accurate feedback to students and parents, and to inform instructional practices. 1.8 Provides collaborative leadership for the design and implementation of effective and efficient schedules that protect and maximize instructional time. 1.9 Provides the focus for continued learning of all members of the school community. 1.10 Supports professional development and instructional practices that incorporate the use of achievement data and result in increased student progress. 1.11 Participates in professional development alongside teachers when instructional strategies are being taught for future implementation. 1.12 Demonstrates the importance of professional development by providing adequate time and resources for teachers and staff to participate in professional learning (i.e., peer observation, mentoring, coaching, study groups, learning teams). 1.13 Evaluates the impact professional development has on the staff/school improvement and student academic progress. <p>Comments:</p>
<p>RATING: <input type="checkbox"/> Exemplary <input type="checkbox"/> Proficient <input type="checkbox"/> Developing/Needs Improvement <input type="checkbox"/> Unacceptable</p>

Performance Standard 5: Communication and Community Relations

The principal fosters the success of all students by communicating and collaborating effectively with stakeholders.

Sample Performance Indicators

Examples may include, but are not limited to:

The principal:

- 5.1 Plans for and solicits staff, parent, and stakeholder input to promote effective decision-making and communication when appropriate.
- 5.2 Communicates long- and short-term goals and the school improvement plan to all stakeholders.
- 5.3 Disseminates information to staff, parents, and other stakeholders in a timely manner through multiple channels and sources.
- 5.4 Involves students, parents, staff and other stakeholders in a collaborative effort to establish positive relationships.
- 5.5 Maintains visibility and accessibility to students, parents, staff, and other stakeholders.
- 5.6 Speaks and writes consistently in an explicit and professional manner using standard oral and written English to communicate with students, parents, staff, and other stakeholders.
- 5.7 Provides a variety of opportunities for parent and family involvement in school activities.
- 5.8 Collaborates and networks with colleagues and stakeholders to effectively utilize the resources and expertise available in the local community.
- 5.9 Advocates for students and acts to influence local, division, and state decisions affecting student learning.
- 5.10 Assesses, plans for, responds to, and interacts with the larger political, social, economic, legal, and cultural context that affects schooling based on relevant evidence.

Comments:

RATING: Exemplary Proficient Developing/Needs Improvement Unacceptable

Overall Evaluation Summary (based on cumulative summative rating range decided by school division):

Include comments here

- Exemplary**
- Proficient**
- Developing/Needs Improvement**
- Unacceptable**
- Recommended for placement on a *Performance Improvement Plan*. (One or more standards are *Unacceptable*, or two or more standards are *Developing/Needs Improvement*.)**

Commendations:

Areas Noted for Improvement:

Principal Improvement Goals:

Evaluator's Name

Principal's Name

Evaluator's Signature

Principal's Signature (Principal's signature denotes receipt of the summative evaluation, not necessarily agreement with the contents of the form.)

Date

Date

Superintendent's Name

Superintendent's Signature

Date

Part 6: Improving Principal Performance

Supporting principals is essential to the success of schools. Many resources are needed to assist principals in growing professionally. Sometimes additional support is required to help principals develop so that they can meet the performance standards for their school.

There are two tools that may be used at the discretion of the evaluator. The first is the *Support Dialogue*, a division-level discussion between the evaluator and the principal. It is an optional process to promote conversation about performance in order to address specific needs or desired areas for professional growth. The second is the *Performance Improvement Plan* which has a more formal structure and is used for notifying a principal of performance that *requires* improvement due to less-than-proficient performance.

The tools may be used independently of each other. Figure 6.1 highlights key differences between the two processes.

Figure 6.1: *Two Tools to Increase Professional Performance*

	Support Dialogue	Performance Improvement Plan
Purpose	For principals who could benefit from targeted performance improvement OR who would like to systematically focus on his or her own performance growth	For principals whose work is in the “developing/needs improvement” “unacceptable” categories
Initiates Process	Evaluator or principal	Evaluator
Documentation	Form Provided: None Memo or other record of the discussion/ other forms of documentation at the division level	Form Required: <i>Performance Improvement Plan</i> Division level Superintendent is notified
Outcomes	Performance improvement is documented with the support dialogue continued at the discretion of the evaluator or the principal In some instances, little or no progress – the employee may be moved to a <i>Performance Improvement Plan</i> .	Sufficient improvement – recommendation to continue employment Inadequate improvement, recommendation to continue on <i>Performance Improvement Plan</i> OR dismiss the employee

Support Dialogue

The *Support Dialogue* is initiated by evaluators or principals at any point during the school year for use with personnel whose professional practice would benefit from additional support. It is designed to facilitate discussion about the area(s) of concern and ways to address those concerns. The *Support Dialogue* process should not be construed as applying to poor performing principals. The option for a *Support Dialogue* is open to any principal who desires assistance in a particular area.

During the initial conference, both parties share what each will do to support the principal's growth (see sample prompts in Figure 6.2) and decide when to meet again. To facilitate the improvements, they may choose to fill out the optional *Support Dialogue Form* on the following page. After the agreed-upon time to receive support and implement changes in professional practice has elapsed, the evaluator and principal meet again to discuss the impact of the changes (see sample follow-up prompts in Figure 6.2).

Figure 6.2: *Sample Prompts*

<p>Sample Prompts for the Initial Conversation</p> <p><i>What challenges have you encountered in addressing _____ (tell specific concern)?</i></p> <p><i>What have you tried to address the concern of _____ (tell specific concern)?</i></p> <p><i>What support can I or others in the division provide you?</i></p> <p>Sample Prompts for the Follow-Up Conversation</p> <p><i>Last time we met, we talked about _____ (tell specific concern). What has gone well?</i></p> <p><i>What has not gone as well?</i></p>
--

The entire *Support Dialogue* process is intended to be completed in a relatively short time period (for example, within a six-week period) as it offers targeted support. If the *Support Dialogue* was initiated by a principal seeking self-improvement, the evaluator and the principal may decide at any time either to conclude the process or to continue the support and allocate additional time or resources.

For principals for whom the evaluator initiated the *Support Dialogue*, the desired outcome would be that the principal's practice has improved to a proficient level. In the event that improvements in performance are still needed, the evaluator makes a determination either to extend the time of the *Support Dialogue* because progress has been made, or to allocate additional time or resources. If the necessary improvement is not made, the employee must be placed on a *Performance Improvement Plan*. Once placed on a *Performance Improvement Plan* the employee will have a specified time period (for example, 90 calendar days) to demonstrate that the identified deficiencies have been corrected.

SAMPLE: Support Dialogue Form *(optional)*

Directions: Principals and evaluators may use this form to facilitate discussion on areas that need additional support. This form is optional.

What is the area of targeted support?

What are some of the issues in the area that are causing difficulty?

What strategies have you already tried, and what was the result?

What new strategies or resources might facilitate improvement in this area?

Principal's Signature: _____ Date: _____

Principal's Name: _____

Evaluator's Signature: _____ Date: _____

Evaluator's Name: _____

Performance Improvement Plan

If a principal's performance does not meet the expectations established by the school division, the principal will be placed on a *Performance Improvement Plan*. A *Performance Improvement Plan* is designed to support a principal in addressing areas of concern through targeted supervision and additional resources. It may be used by an evaluator at any point during the year for a principal whose professional practice would benefit from additional support. Additionally, a *Performance Improvement Plan* is implemented if one of the following scenarios occurs at the end of any data collection period:

- a principal receives two or more “Not Evident” ratings at the interim review;
- a rating of “Developing/Needs Improvement” on two or more performance standards; or
- a rating of “Unacceptable” on one or more performance standards or an overall rating of “Unacceptable.”

Implementation of Performance Improvement Plan

When a principal is placed on a *Performance Improvement Plan*, the evaluator must:

- a) provide written notification to the principal of the area(s) of concern that need(s) to be addressed;
- b) formulate a *Performance Improvement Plan* in conjunction with the principal; and
- c) review the results of the *Performance Improvement Plan* with the principal within established timelines.

Assistance may include:

- support from a professional peer or supervisor;
- conferences, classes, and workshops on specific topics; and/or
- other resources to be identified.

Resolution of Performance Improvement Plan

Prior to the evaluator making a final recommendation, the evaluator meets with the principal to review progress made on the *Performance Improvement Plan*, according to the timeline. The options for a final recommendation include:

- a) Sufficient improvement has been achieved; the principal is no longer on a *Performance Improvement Plan* and is rated “Proficient.”
- b) Partial improvement has been achieved but more improvement is needed; the principal remains on a *Performance Improvement Plan* and is rated “Developing/Needs Improvement.”
- c) Little or no improvement has been achieved; the principal is rated “Unacceptable.”

When a principal is rated “Unacceptable,” the principal may be recommended for dismissal. If not dismissed, a new *Performance Improvement Plan* will be implemented. Following completion of the *Performance Improvement Plan*, if the principal is rated “Unacceptable” a second time, the principal will be recommended for dismissal.

Request for Review of an “Unacceptable” Rating

The principal may request a review of the evidence in relation to an “Unacceptable” rating received on a Summative Evaluation or, as a result of a *Performance Improvement Plan*, in accordance with the policies and procedures of the school division.

SAMPLE: Performance Improvement Plan Form
(Required for a Principal Placed on a Performance Improvement Plan)

Principal: _____ **School:** _____

Evaluator: _____ **School Year:** _____

Performance Standard Number	Performance Deficiencies Within the Standard to be Corrected	Resources/Assistance Provided; Activities to be Completed by the Employee	Target Dates

The principal's signature denotes receipt of the form, and acknowledgment that the evaluator has notified the employee of unacceptable performance.

Principal's Name: _____

Principal's Signature: _____ Date Initiated: _____

Evaluator's Name: _____

Evaluator's Signature: _____ Date Initiated: _____

Results of Performance Improvement Plan^a

Performance Standard Number	Performance Deficiencies Within the Standard to be Corrected	Comments	Review Dates

Final recommendation based on outcome of Performance Improvement Plan:

- The performance deficiencies have been satisfactorily corrected: The principal is no longer on a *Performance Improvement Plan*.
- The deficiencies were not corrected. The principal is recommended for dismissal.

Principal's Name: _____

Principal's Signature: _____ Date Reviewed: _____
 Signature denotes the review occurred, not necessarily agreement with the final recommendation.

Evaluator's Name: _____

Evaluator's Signature: _____ Date Reviewed: _____

^a These sections are to be completed collaboratively by the evaluator and the principal. Pages may be added, if needed.

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Endnotes

- ¹ Portions of this section were adapted from principal evaluation handbooks published in various states, copyright [2010] by J. H. Stronge. Adapted with permission.
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- ²⁷ At the time that this document was completed, VDOE was developing the capability to calculate student growth percentiles. Information about student growth percentiles will be provided, when available.
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***Research Synthesis of
Virginia Principal Evaluation
Competencies and Standards***

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January 12, 2012

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SECTION 1

INTRODUCTION

Synthesis on Extant Research Related to Virginia Principal Evaluation Standards

The school principal's role has evolved over the past two decades. In addition to the largely management responsibilities of the past, today's principals are expected to lead their schools with the ultimate goal of increasing student learning while helping staff to grow professionally. What was once a largely managerial role has evolved to reflect the necessity of both management and leadership roles. Though the responsibilities are large, effective principals can and do address, prioritize, balance, and carry out these responsibilities.

The Virginia Principal Evaluation System is comprised of a set of common standards that reflect the qualities of effective principals. The purpose of these standards is to specify performance expectations in each of the seven performance areas. The ultimate goal is to support principal growth and development. By monitoring, analyzing, and identifying areas of strength and areas for growth within these comprehensive standards, principals and their supervisors can be assured that principal performance is continually enhanced and refined. In other words, leadership development is an ongoing and valued aspect of the Virginia Principal Evaluation System.

Virginia Principal Performance Standards address the *what* and the *how* of each standard—*what* the standard is, and *how* it is evidenced. This report supplies the *why* by providing an empirical review of the relevant research related to each of the Virginia Uniform Performance Principal Standards.

SECTION 2

AN OVERVIEW OF THE EXTANT RESEARCH RELATED TO EACH PRINCIPAL PERFORMANCE STANDARD

Performance Standard 1: Instructional Leadership

The principal fosters the success of all students by facilitating the development, communication, implementation, and evaluation of a shared vision of teaching and learning that leads to school improvement.

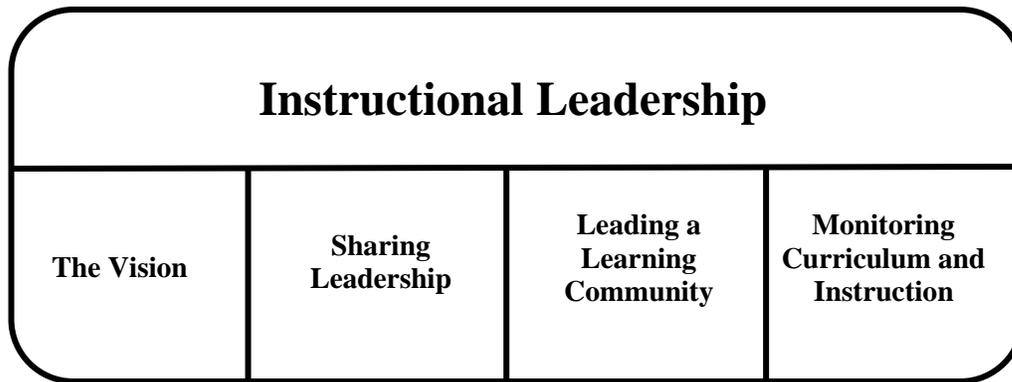
What does instructional leadership mean?

In general terms, instructional leadership is a focus on factors that promote and support teaching and learning.¹ More than ever, with the advent of stringent state and national learning standards, principals must concentrate on components that lead to student success and school improvement. Research indicates that instructional leaders do impact student achievement, though indirectly.² Thus, it behooves principals to prioritize their instructional role as one of critical importance.

What does research say about instructional leadership as it relates to school principals?

Effective instructional leaders focus their efforts on school improvement and student success. They do this in several ways. Creating a vision for the school community is a necessary first step. Sharing leadership so that responsibilities are distributed goes far in creating a cohesive team that has a stake in success as the outcome. Leading a learning community helps to ensure the principal demonstrates the importance of continual staff growth and development. Finally, effective principals monitor curriculum and instruction.

Figure 1. Instructional Leadership Responsibilities



Creating a Vision. Effective, forward-thinking principals understand that creating a vision is at the heart of what they do; a first step that becomes the impetus through which all future decisions, goals, and dreams are funneled.³ They also understand that if a vision is to reach fruition it must be inspiring enough to be embraced by others within the organization: it must become a shared vision.⁴

Principals of high achieving schools are clear about the school’s vision and goals.⁵ A shared vision helps guide all in the school community to the destination—student success and school improvement. From the vision, goals for learning are established. Buy-in to both the vision and the learning goals is important—the savvy principal understands this and seeks commitment from the school community.⁶ An example may help to illustrate the importance of shared vision.

Providence-St. Mel is a high achieving K-12 school serving urban, African American students. Located on Chicago’s west side, 100 percent of its graduating students have been accepted to four-year colleges for the past 25 years. One of the findings noted by researchers is that principals “worked hard to create a common vision of the school, one that definitely plays out in every classroom.”⁷ Teachers embrace the vision and the learning goals believing that these are instrumental to the success enjoyed by their students.

Various research studies on high-achieving schools find that principals play an important role in building and sustaining the school’s vision:

- High-achieving schools have principals who communicate to all that the school’s most important mission is learning.⁸
- High-achieving schools have principals who believe that established school goals are attainable.⁹
- High-achieving schools have principals who expect that both teachers and students can meet established goals.¹⁰

Sharing Leadership. Sharing leadership is not to be confused with delegating responsibilities or garnering extra help. Rather, it can be defined broadly “as teachers’ influence over and participation in schoolwide decisions.”¹¹ Effective principals understand the value of

collaborative effort in successfully realizing the common vision. They realize that in order to meet instructional goals, they need buy-in from the staff.¹² By sharing leadership, the principal acknowledges that everyone has important contributions to make. Further, providing opportunities for stakeholders to participate in decision making about issues affecting them and that they are knowledgeable about, is an affirmation of the integral role they play in goal accomplishment.¹³ Capitalizing on the leadership and instructional strengths of other staff members is smart leadership.

Strong leadership is necessary for turnaround in struggling schools. Principals chart a direction and influence others to stay the course to meet organizational goals. Principals who help develop teacher leaders are strengthening their school's instructional program.

Research indicates that principals who tap the expertise of the school's teacher leaders are beneficiaries of the following:

- Teacher leaders positively affect change from the classroom when they inquire about school improvement and then participate in answering the question.¹⁴
- As teacher leaders work with principals toward school improvement, they provide valuable insights and ideas.¹⁵
- Teacher leaders willingly take on additional tasks and responsibilities that are not required of classroom teachers that benefit the school and other teachers within it.¹⁶
- Principals who develop and tap the expertise of teacher leaders and refocus their emphasis on learning throughout the school improvement effort are more successful than those who do not.¹⁷

Leading a Learning Community. Learning is a lifelong process. Effective principals take the lead in promoting professional growth and learning for both themselves and their staffs. Two primary functions around which schools are organized include: (1) teaching and learning, and (2) organizing for teaching and learning.¹⁸ Communicating this focus to every stakeholder in the school community is a crucial principal responsibility.

Principals who prioritize student learning are successful.¹⁹ Prioritizing student learning means paying attention to and communicating the importance of curriculum, instruction, and assessment. This is where principals focus their instructional attention. It also means being visible in and around the school.²⁰ When staff see principals out and about, interested in the daily goings-on, they see principals who are engaged and involved.

In order to promote the practices that lead to effective teaching and mastery learning, principals not only plan and organize professional development, they also participate in the process. They become learners alongside their staffs. Barth commented that the principal as learner "is critical because there is a striking connection between learning and collegiality."²¹ Effective principals recognize the value of collaborative participation in the learning community as a way to build trust, collective responsibility, and to further the goal of improved student learning.²²

Principals realize that keeping abreast of and informing staff about current research and practice is critical to school success. They emphasize and communicate that schools are learning communities and they provide both formal and informal opportunities for collaborative learning.²³

Research regarding effective principals and their role in leading the learning community includes the following:

- Effective principals participate in learning alongside their staffs.²⁴
- Effective principals ensure learning opportunities are afforded to all members of their staffs.²⁵
- Principals of successful schools provide meaningful staff development.²⁶

Monitoring Curriculum and Instruction. Effective principals focus on curriculum and instruction. Monitoring teacher practice helps to identify instructional strengths and weaknesses. Principals are aware of instructional practices in their school buildings, are knowledgeable about the curriculum standards, and ensure that they are taught.²⁷ Principals trust their teachers to effectively implement instruction but visit classrooms regularly to observe the results of that instruction.²⁸

In effective schools, principals are able to judge the effectiveness of teaching and serve as role models for expected behaviors of school staff.²⁹ The emphasis on teaching and learning means that principals consciously limit activities that diminish instructional time.³⁰ They allocate resources based on identified need which may include: materials, staffing, and staff development.³¹ They encourage teacher reflection regarding instructional practices and their impact on student achievement.³²

Research related to principals' roles in monitoring curriculum and instruction indicates the following:

- Both teachers and principals believe it important that someone is positioned to guide the curriculum and to make decisions about staff development needs.³³
- Effective principals ensure continuity in the school instructional program.³⁴
- Principals must spend time in classrooms to monitor instructional programs, curriculum implementation, and the quality of instructional practices.³⁵

Performance Standard 2: School Climate

The principal promotes the success of all students by developing, advocating, and sustaining an academically rigorous, positive, and safe school climate for all stakeholders.

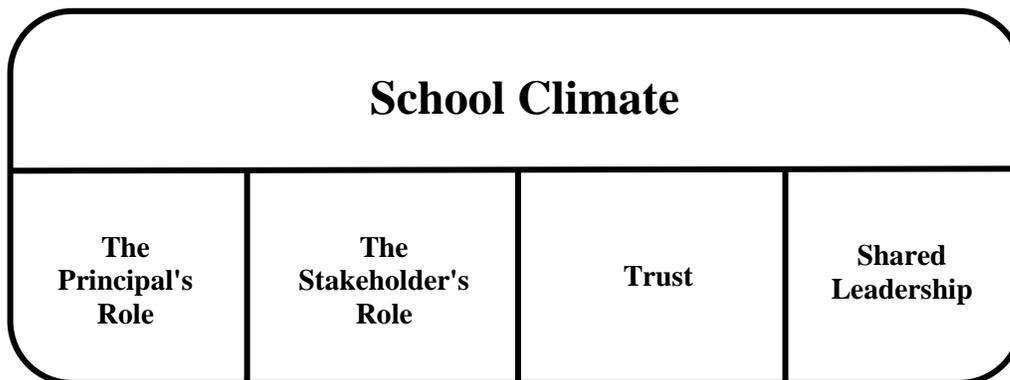
What does school climate mean?

In general terms, school climate “is the relatively enduring quality of the school environment that is experienced by participants, affects their behavior, and is based on their collective perception about behavior in schools.”³⁶ More simply put, school climate “refers to the social and working relationships of staff and principals.”³⁷ When you enter the school’s front office, how does it feel? As you walk down the halls, what behaviors do you notice? What is the energy level of teachers and students in classrooms? Does the school community work as a team? All of these questions relate to school climate. These and many other factors affect the climate in a school.

What does research say about school climate as it relates to school principals?

School climate affects everyone in the school community. Enlisting the support of all stakeholders is an important first step on the road to establishing and maintaining a positive climate. Since school climate influences student outcomes, staff satisfaction, and overall school morale, principals should identify and implement practices that foster a positive climate.

Figure 2. School Climate Responsibilities



The Principal’s Role. School climate and student performance are linked. A positive school climate focused on student learning is correlated to student achievement.³⁸ Successful schools have a school climate that is significantly more positive than their less successful counterparts.³⁹ Since principals play a pivotal role in fostering and sustaining school climate, it behooves them to concentrate effort in this area.⁴⁰ To maintain a positive school climate, principals should:

- Enlist the assistance of school community members (students, parents, staff, and community members) in helping to create a safe and positive learning environment.⁴¹
- Model respect and high expectations for all community members.⁴²
- Share decision-making to maintain high school morale.⁴³
- Maintain a current crisis and conflict action plan and implement it as necessary.⁴⁴

- Cultivate a positive learning environment by using knowledge of the school community (social, cultural, leadership, and political dynamics).⁴⁵

The Stakeholder’s Role. Stakeholder involvement in school success is well-documented. Kythreodis and Pashiardis note that positive parent-school relations are one of ten factors in successful school leadership.⁴⁶ Building professional relationships between school principals and staff is one of the critical principal responsibilities cited by Marzano and colleagues in a meta-analysis of school leadership research.⁴⁷ Parent and community outreach is identified by Cotton as an essential trait of effective principals.⁴⁸ Effective principals build positive relations between the parent and the school, build professional relationships with the staff, and provide outreach to parents and the greater community.

When applied to school principals, the adage “no man is an island” is most apropos. Shared decision-making and collaboration strengthen rather than dilute leadership capacity in a school community. Creating a positive and safe learning environment is a job for all—students, parents, staff, and central office personnel. Relationships matter. Time taken to build relationships paves the way for productive gatherings that move forward in the right direction. As stakeholders work to reach consensus around school norms and expectations, the savvy principal ensures all voices are heard. Importantly, within this collaborative effort, is the need to focus on and never lose sight of the vision and school goals.⁴⁹ It is the responsibility of the principal to maintain the focus and the forward momentum.

The research surrounding principal and stakeholder involvement in school climate indicates the following:

- Principals possess the authority, power, and position to impact school climate.⁵⁰
- A positive relationship that exists between school climate and leadership affects overall school effectiveness.⁵¹
- Fundamentally important to establishing and maintaining school success is the importance of stakeholder involvement and relationship building.⁵²

Trust. Trust is a precursor to success in any relationship—be it organizational or individual. If members of a school community are distrustful of others’ motives and actions, that community will most certainly fail. Moreover, anxiety, isolation, and estrangement are correlated with the absence of trust.⁵³ The effective school principal leads from a position of trust—modeled and fostered daily in the school environment.⁵⁴ Principals desiring a trustful environment can cultivate one by sharing information, power, and decision-making with teachers.⁵⁵

Everyone in the organization benefits when trust abounds. Schools with high levels of trust are more open to new ideas, more likely to reach out to the community, and commit to organizational goals.⁵⁶ Teachers demonstrate greater professionalism when principals evidence trust and when they adopt a professional rather than a bureaucratic orientation.⁵⁷ Students are the recipients of higher levels of teacher trust when trust is a prevailing culture trait within a school faculty.⁵⁸ Multiple studies indicate that increased collaboration, improved academic productivity, and risk-tolerant climates are positively associated with trust in schools.⁵⁹ As is evidenced by the research base, trust between members of a school community benefits all members.

There are many facets of trust. Some of these include: benevolence, competence, honesty, openness, and reliability.⁶⁰ Principals can demonstrate these qualities and inspire trust in others in many ways. Just a few of these include:

- Making the time to listen to others;⁶¹
- Asking others for input from members of the school community;⁶²
- Making decisions that foster student safety and achievement;⁶³
- Being visible and participating in school activities; and⁶⁴
- Supporting staff as both professionals and individuals.⁶⁵

Shared Leadership. As the role of the principal has evolved from a primarily managerial one to both managerial and instructional, duties and responsibilities have increased. In order to meet the demands of the job it is increasingly necessary to share leadership. Paradoxically, when principals give power away they oftentimes become more powerful.⁶⁶ This enables them to narrow their focus and concentration to factors that contribute directly to school effectiveness.

Shared leadership has been defined as “multiple sources of guidance and direction, following the contours of expertise in an organization, made coherent through a common culture.”⁶⁷ In essence, shared leadership results in the creation of multiple leaders within a school. It affects principals and stakeholders in different ways. For the principal, it lightens the load and provides support. For the stakeholder, it highlights the important role that everyone has in guiding and directing the school community toward the vision and goals. When decision-making becomes a team effort, the principal is more fully able to act as diagnostician and facilitator—identifying issues and resources necessary to address the issues.⁶⁸ With this structure, the principal does not relinquish responsibility, rather he/she promotes others, encourages shared decision making and builds relationships.⁶⁹ All of this contributes to a positive school climate.

The research surrounding school climate and shared leadership includes these findings:

- In effective schools, principals distribute administrative tasks and create multiple leaders.⁷⁰
- Shared leadership has a positive effect on school improvement and reading achievement.⁷¹
- Shared leadership has a positive effect on school improvement and math achievement.⁷²

Performance Standard 3: Human Resources Management

The principal fosters effective human resources management through the selection, induction, support, evaluation, and retention of quality instructional and support personnel.

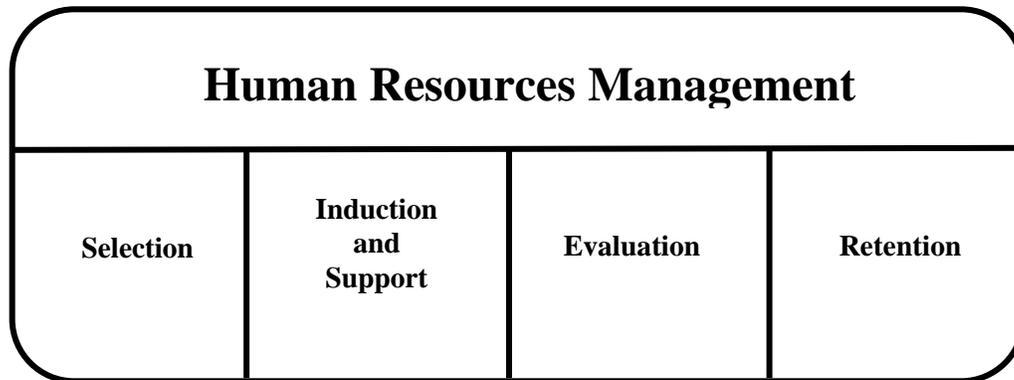
What does human resources management mean?

In general terms, human resources management encompasses "selecting quality teachers and staff, inducting and supporting new teachers, mentoring novice teachers, providing professional growth opportunities, and retaining quality staff."⁷³

What does research say about human resources management as it relates to school principals?

Effective principals understand that one of their most important responsibilities is the selection, induction, support, evaluation, and retention of quality instructional and staff personnel.⁷⁴ They also understand that supporting, affirming, and finding opportunities for teachers and staff to grow professionally affects the bottom line, student achievement.⁷⁵ Targeting the right people to the right position is critical, and effective principals take this responsibility seriously.⁷⁶ As stated by Horng and Loeb, "school principals can have a tremendous effect on student learning through the teachers they hire, how they assign those teachers to classrooms, how they retain teachers, and how they create opportunities for teachers to improve."⁷⁷

Figure 3. Human Resources Management Responsibilities



A study by Beteille, Kalogrides, and Loeb found that:

- School principals' organizational management practices—particularly, in the area of personnel management—appear to play a critical role in improving schools.
- Effective schools retain higher-quality teachers and remove lower-quality teachers.
- Teachers who work in more effective schools improve more rapidly than do those in less effective ones.⁷⁸

Selection. Taking the time to make careful personnel selection decisions pays dividends later on. The principal's impact on school effectiveness may be indirect, but selecting quality teachers has a direct effect on student outcomes. Equally important is the careful selection of support staff.

Portin and colleagues note that principals in their study talked about the impact of support staff on the climate of the school.⁷⁹

A study of 90/90/90 school principals is illustrative. These schools are composed of a student body of at least 90 percent minority, 90 percent receive free or reduced lunch, and the passing rate on standardized achievement tests is 90 percent or better. One of the factors cited in beating the odds is their “mindful allocation of staffing resources.”⁸⁰ Setting schools up for success means principals staff their schools with quality instructional and staff personnel. Such is the case at these schools.

Additional findings from various research studies indicate:

- Principals trained in research-based hiring practices are more likely to use those practices in teacher interviews and selection. Practices include: multiple interviewers, prepared questions, and scoring rubrics.⁸¹
- Effective principals understand the school district's hiring system and use this knowledge to acquire the best qualified people for the positions they seek to fill.⁸²

Induction and Support. Quality induction programs positively impact teacher retention.⁸³ “*Induction* is the process of systematically training and supporting new teachers, beginning before the first day of school and continuing through the first two or three years of teaching.”⁸⁴ Principals have an important role to play in fostering and sustaining these programs. With high teacher turnover rates showing no signs of abatement, the savvy principal provides as much systematic training and support to teachers as is needed throughout induction. Wong outlines overarching objectives of induction programs.⁸⁵ These objectives include: (1) easing the transition into teaching, (2) improving classroom management and instruction, (3) promoting the district's culture, and (4) increasing teacher retention rate.

In a review of 15 research studies on induction programs, Ingersoll and Strong identified several interesting findings:⁸⁶

- Beginning teachers who participate in induction have higher satisfaction, commitment, or retention than those who do not participate.
- Beginning teachers who participate in induction have more on-task students and viable lesson plans than those who do not participate.
- Beginning teachers who participate in induction are more likely to use effective student questioning practices and are more likely to adjust classroom activities to meet students' interests than those who do not participate.
- Beginning teachers who participate in induction are more likely to maintain a positive classroom atmosphere and demonstrate successful classroom management than those who do not participate.
- Beginning teachers who participate in induction have students with higher test scores or demonstrate greater gains on academic achievement tests than those who do not participate.

There are practices that principals can adopt that reduce new teacher turnover rates.⁸⁷ Smith and Ingersoll culled data from the Schools and Staffing Survey (SASS), administered by the National Center for Education Statistics. The statistics included all beginning teachers in the United States during the 1999-2000 academic year. Several factors appeared to affect turnover and retention rates. Researchers found that matching mentors and mentees by teaching specialty—subject or grade level—appeared to reduce turnover rate. Establishing a common planning time for collaboration was effective in reducing turnover. Finally, being part of an external network of teachers also reduced turnover. It behooves principals to keep these ideas in mind as they work to induct and support new teachers. Providing a culture of support where new teachers are supported by all staff can reduce new teacher attrition.⁸⁸

Evaluation. The two major purposes of teacher/staff evaluation are professional growth and performance accountability. Though viewed by some as mutually exclusive, Stronge argues that:

there is room in evaluation systems for both accountability and performance improvement purposes. Indeed, evaluation systems that reflect both accountability and personal growth dimensions are not only desirable but also necessary for evaluation to productively serve the needs of individuals and the community at large.⁸⁹

The National Education Policy Center advocates an evaluation system that “targets both continual improvement of the teaching staff and timely dismissal of teachers who cannot or will not improve.”⁹⁰ An effective system meets both of these objectives.

If teacher evaluation is to benefit teachers, principals must consider ways to improve the evaluation process so that it is marked by quality characteristics.⁹¹ These characteristics include: positive climate, clear communications, teachers/staff and principals committed to the evaluation, and practices that are technically sound.

A positive climate is one characterized by mutual trust. “Evaluation conducted in an environment that fosters mutual trust between evaluator (representing the institution) and evaluatees holds the greatest potential for benefiting both parties.”⁹² A second characteristic is clear communication between teachers and principals during the evaluative process. Two-way communications where both parties are encouraged and able to share ideas and interpretations fosters mutual understanding. Principals and teachers committed to teacher evaluation is a third quality characteristic that can improve a teacher evaluation process. When principals are committed to the teacher evaluation system and prioritize their commitment, the evaluation process becomes a vehicle for teacher growth and improvement. Since effective teachers impact student achievement, a teacher evaluation system that improves teacher effectiveness can serve as a tool for increasing student achievement. Principals can demonstrate this priority by setting aside time and focusing attention on the evaluative process and by allocating resources that support the evaluation system and teacher improvement practices.⁹³ Finally, principals should ensure their evaluative practices are technically sound. This means principals participate in training to build knowledge and understanding of the teacher/staff evaluation system.⁹⁴

Research related to these quality characteristics is summarized:

- Teachers/staff who participate more fully in the evaluation conference are more satisfied with both the conference and the principal than those who participate less.⁹⁵
- More trustworthy relationships are built by principals who balance caring and high expectations than relationships characterized by high caring and low expectations or low caring and high expectations. Balance is key.⁹⁶
- Teacher involvement at every level of the evaluation process is a requirement for an effective evaluation system.⁹⁷

Multiple data sources inform understanding in every context. Teacher/staff evaluation is no different. Using multiple data sources or measurement tools increases information about teacher/staff effectiveness and thus provides a more fully rounded picture of teacher/staff levels of competency. Moreover, the use of different measurement tools can offset weaknesses found in others. Evaluation tools that are used without proper training can impact the validity of an evaluation.⁹⁸

Teacher observation is the measurement tool used most often by principals during the teacher evaluation process. A study of measurement tools by Goe, Bell, and Little identified both strengths and weaknesses. Observations are feasible and can provide useful information. However, observations provide limited information because of the narrow focus on instructional delivery and classroom management. The whole of teachers' work—e.g., instructional planning, student assessment, professional development—is left unexamined.⁹⁹ The National Education Policy Center advocates multiple measures to include: classroom observation, instructional artifacts, portfolios, teacher self-reports, student surveys, and value-added assessment.¹⁰⁰ Though each has strengths and weaknesses, when combined, they can provide a holistic view of teacher/staff performance. This, in turn, provides the principal with both quantitative and qualitative data to fully inform the evaluation product.

Effective school principals understand the division guidelines of the personnel evaluation system. The following are research findings related to evaluation:

- School principals affect student learning primarily by hiring and supporting high-quality teachers and staff.¹⁰¹
- Effective principals hire, support, and retain good teachers while removing less-effective teachers.¹⁰²
- School principals' abilities in performing evaluation affect the ability to remove teachers due to incompetence.¹⁰³
- Remediating or removing low-performing teachers is the responsibility of the school principal.¹⁰⁴
- Effective principals continue to document deficiencies while working to help struggling teachers so that they have the necessary documentation should dismissal become necessary.¹⁰⁵

Retention. Approximately one-third of new teachers leave teaching during their first three years.¹⁰⁶ Within five years, one-half of new teachers leave the field. Providing an induction program and support for new teachers helps to reduce that rate and keeps new teachers in the classroom.¹⁰⁷ Principals can impact teacher loss in their schools. Supporting a systematic induction program is beneficial and a win-win strategy for all involved.

Marshak and Klotz identify specific actions principals can take to support new teachers.¹⁰⁸ The first three goals focus on the school and the division. Mentors, supported by principals, help new teachers to:

- become familiar with the school's culture, traditions, and rituals;
- learn more about the community's goals for education; and
- gain insight into district and school policies and procedures.

Instructionally, principals support new teachers by:

- assisting with instructional issues, such as helping new teachers learn to adjust delivery based on student need;
- helping new teachers build more skill in challenging students to think on a higher level and providing higher-level learning experiences; and
- assisting and supporting new teachers as they develop the necessary skills needed to collect, analyze, and apply data instructionally to increase student learning.

Principals also support new teachers by:

- encouraging and helping them to integrate new technologies to enhance instruction;
- supporting and encouraging ongoing collaborative efforts within and among grade levels and subject areas; and
- educating and supporting new teachers so that their instruction is aligned with state and national standards thereby ensuring students are taught what will be tested.

Performance Standard 4: Organizational Management

The principal fosters the success of all students by supporting, managing, and overseeing the school's organization, operation, and use of resources.

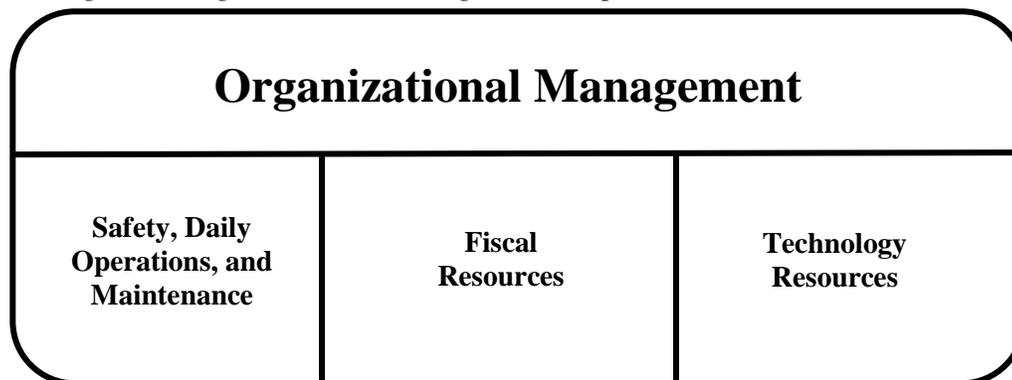
What does organizational management mean?

In general terms, organizational management pertains to those responsibilities relating to the functioning of the school. These include, but are not limited to: (1) coordinating a safe and orderly school environment, daily operations, and facility maintenance, (2) using data in organization management, (3) seeking and managing fiscal resources, and (4) organizing and managing technology resources.¹⁰⁹

What does research say about organizational management as it relates to school principals?

Organizational management is a primary responsibility of the school principal. A smoothly functioning school requires a principal's focused time and effort on those factors that keep it running so. More than anything else, the school must first be a safe and positive learning environment for all. School principals are charged to ensure this.¹¹⁰ However, they have other duties and responsibilities. They use data to inform decisions and to plan strategies for school improvement. School principals are also responsible for budgetary matters pertaining to the school. And, in more and more schools, technology plays a central role in teaching and learning. Principals must organize and manage their technology resources. If a school is to function efficiently and effectively careful thought and committed time must be allocated to each of these areas.

Figure 4. Organizational Management Responsibilities



School Safety, Daily Operations, and Facility Maintenance. The effective principal addresses each of these three areas realizing they can impact a smoothly functioning school. Each is addressed in turn.

School Safety. A school principal prioritizes safety of students and staff above all else. Routines and procedures are created and implemented to ensure a safe, orderly, and positive environment. In their meta-analysis of 69 empirical studies on school leadership, Marzano and colleagues

identified order as one of 21 responsibilities of principals. More specifically, they noted evidenced behaviors to include:

- Established routines regarding orderly school operations, which are understood and followed by staff.
- Established structures, rules, and procedures, provided and reinforced to the staff.
- Established structures, rules, and procedures, provided and reinforced to the students.¹¹¹

Likewise, Cotton’s research confirms that maintenance of a safe and orderly school environment is a priority of effective principals.¹¹² Cotton found that effective principals have behavior policies that are established with solicited input from staff and students. They set clear expectations for student behavior. Discipline is fairly and consistently enforced. Finally, teachers are granted authority to maintain the established discipline policies. Additionally, Cotton noted that crisis management plans are in place and current, and a trained school crisis management team is on board and ready to handle situations effectively.

Daily Operations and Facility Management. Principals complete a wide range of tasks on any given day. Some may seem unrelated to student outcomes. However, Lashway contends that even mundane tasks can affect student outcomes.¹¹³ For instance, heating and cooling problems can certainly affect classrooms and student learning. It behooves the principal to keep the school running efficiently so that maximum learning occurs.

Master schedules, usually an administrative task, can impact student learning outcomes. Thoughtful and careful consideration while scheduling can result in more time for instruction.¹¹⁴ Scheduling that maximizes blocks of instructional time, and decreases “wasted time,” is beneficial to all. Building in co-teaching opportunities benefits both students with special needs and others as teaching capacity is doubled. More needs can be met when principals include key personnel in the collaborative creation of a master schedule.¹¹⁵

Seeking and Managing Fiscal Resources. The school principal is charged with responsible management of resources. This requires a thorough understanding of local school board and state policy.¹¹⁶ It also requires a cycle of actions to plan and oversee the budget.

Resources include materials—books and equipment—but also included in the definition are opportunities for staff development and professional collaboration.¹¹⁷ Sometimes managing resources requires creativity to maximize teaching and learning. Research indicates that:

- Effective school principals use resources creatively to improve teaching and learning.¹¹⁸
- Strong organizational managers are effective in allocating budgets and resources.¹¹⁹
- Schools showing academic improvement are more likely to have strong organizational managers.¹²⁰

Organizing and Managing Technology Resources. As schools increase technology capabilities and applications, principals are expected to organize and manage those resources effectively. Principals must concern themselves with technology issues related to: instructionally appropriate allocation, equity, sustainability, and training. To facilitate student learning and staff

productivity, technology must be accessible and in working order. In addition, smart school principals hire technology staff who fully understand how best to capitalize on and exploit technology use for teaching and learning.

In a case study of 14 schools implementing technology use in both reading and mathematics, schools that achieved learning gains with technology were characterized in this way:¹²¹

- Schools provided support for implementation.
- Instructional vision between principals and teachers concerning how best to implement software use was consistent.
- Principal support included scheduling access to equipment and collaborative planning time for teachers to co-learn about the technology.
- Teachers collaborated and supported one another on the use of the technology.

Performance Standard 5: Communication and Community Relations

The principal fosters the success of all students by communicating and collaborating effectively with stakeholders.

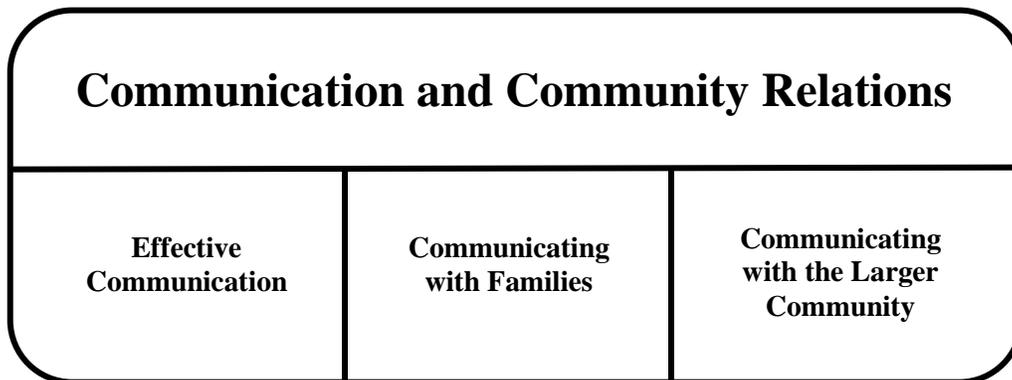
What does communication and community relations mean?

In general terms, communicating and community relations “consists of staff members’ personal relations with colleagues, students, parents, and the larger community.”¹²²

What does research say about communication as it relates to school principals?

Communicating clearly and establishing strong relations with the community are critical school principal responsibilities. Increasingly, principals find themselves not only responsible to faculty, staff, and students but also responsible to parents, policy makers, and the larger community. Effective principals unite these various stakeholders into a cohesive group moving toward the same quality goal: educating children and raising student performance.¹²³ One of the ways they do this is through relationship building and effective communications. Effective principals understand they do not act in a vacuum; they realize the importance of bringing stakeholders into the mix in a collaborative decision-making model. Moreover, they reach out to stakeholders on a continual basis.¹²⁴

Figure 5. Communication and Community Relations Responsibilities



Effective Communication. Effective school principals foster communication with and between all school constituents on an ongoing basis.¹²⁵ They realize they do not have all the answers. They are good listeners and value the opportunity to hear alternate views on topics.

Today's technologies offer an array of communication possibilities and opportunities.¹²⁶ Porterfield and Carnes advocate the use of both traditional and new media to open the lines of communication to build parent and community trust. They offer five suggestions for improving communications:¹²⁷

(1) Make communications planning a top priority.

Communication planning should be a consideration whenever new programs are designed, test dates changed, or rules revised. Questions principals should ask themselves are: (a) Who should know about these changes? and (b) How do we assure they know? The answers to these questions ensure that all the affected parties are identified and a plan for communicating changes is in place. In other words, the authors advocate school principals, "get out ahead of the story, put your frame around it, and plan ahead."¹²⁸

(2) Leave the office and network with others.

Networking builds relationships by increasing mutual understanding. It can include: being available to news agencies, attending committee meetings of special groups (e.g., special education and gifted education), breakfasting with PTA officers, and meeting with faculty liaison groups. This demonstrates that the principal values these groups and is anxious to listen to their viewpoints and issues of concern.

(3) Be aware of the different audiences served.

School principals serve varied constituencies. They have different interests and concerns. Do not lump all parents into one category; they are not monolithic. Ensure that employees are the first to hear of changes, that they hear the whole story, and they fully understand the ramifications. Then enlist their support to market the changes to parents and community members.

(4) Invite naysayers to work with you.

Look for those who find fault. Enlist them in efforts to realize the vision. Listen to their arguments and try to appreciate their views. When critics are invited in and become familiar with the school environment, relationships are built and new understanding is often forged. This is a way to become a team rather than adversaries.

(5) Be strategic with available technology.

Become familiar with how the school community receives its information. Parents under 50 oftentimes get news from online sources rather than printed newspapers. Survey parents to find out and then focus communication efforts in these areas.

Communicating with Families. It behooves all school principals to involve parents in the school community. Principals who reach out to involve parents and community members are more successful than others.¹²⁹ These principals articulate the school vision to parents.

In a series of focus groups and a nationally representative survey of 1,006 parents of current and recent high school students from urban, suburban, and rural communities, Bridgeland et al. note that among other findings: (1) high-performing schools do a better job of communicating with parents, (2) high-performing schools are more likely to be perceived as encouraging parental

involvement, (3) parents of students in low-performing schools are much less likely than their peers to talk with their children's teachers, and (4) high-performing schools are more likely than low-performing schools to notify and engage parents if their child is having performance issues at school.¹³⁰

A review of existing literature on parental involvement found that some types of involvement benefit the school directly:

- Telling parents that their involvement and support greatly enhances their children's school progress.
- Fostering parent involvement from the time that students first enter school.
- Teaching parents that they are role models for reading behavior.
- Developing parent programs that are focused on instruction.
- Working to engage parents of disadvantaged students.
- Emphasizing that parents are partners of the school and that the school values their involvement.¹³¹

Communicating with the Larger Community. School principals serve as advocates of their schools. As such, it is their responsibility to “communicate a positive image of their schools.”¹³² Support from mass media sources is important; therefore, principals should develop positive relationships with various media outlets. According to a study by Brookings Institution, Americans want news coverage of their public schools. This means school principals must “learn how to navigate the new digital ecosystem.”¹³³ Some of the suggestions include: developing relationships with journalists, creating in-house news networks focusing on positive school outcomes, and connecting local stories to national studies and trends. Reaching out to the media strengthens school vision and develops relationships undergirded by shared purpose and mutual support.¹³⁴

Schools are part of a larger community network. Their effectiveness is in part influenced by these other agencies. School principals can garner resources, enlist support, and form relationships that are mutually beneficial. Forming partnerships can assist in furthering the school vision to the larger community and can directly benefit students and teachers.

In a study of partnering benefits, two Ontario secondary schools heavily involved in community partnerships served as the sample. Conclusions drawn about partnering benefits include: educators met the needs of their students and programs that could not be addressed in the school; partnering provided material, financial, and social support; principals obtained district resources unavailable to other schools; and the schools' reputations within the communities were raised. Partnering with outside agencies can benefit students, teachers, programs, and participating agencies.¹³⁵

Performance Standard 6: Professionalism

The principal fosters the success of students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession.

What does professionalism mean?

In general terms, professionalism is defined as “the conduct, aims, or qualities that characterize or mark a profession or a professional person.”¹³⁶

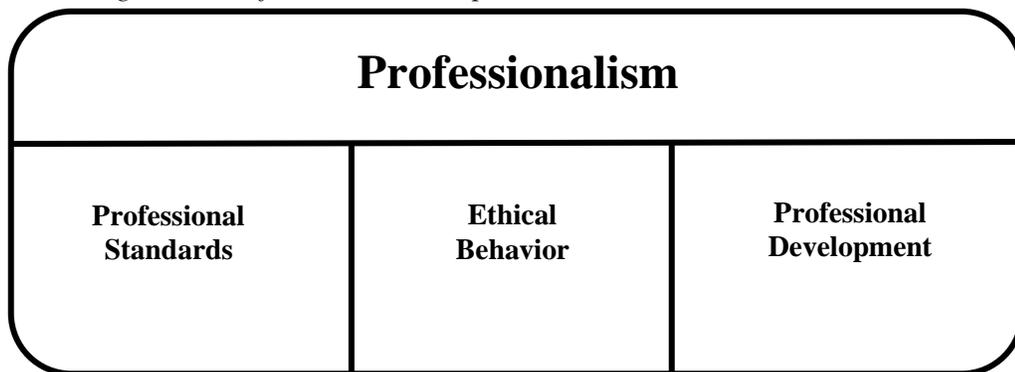
What does research say about professionalism as it relates to school principals?

School principals set the standard for professionalism in the school building and the community. This includes demonstrating professional standards and engaging in ethical behavior. As role models for teachers and staff, they engage in continuous professional development and contribute to the profession.

Wurtzel outlines tenets of professionalism and applies them to teachers. They are equally appropriate in describing principal professionalism. A professional:

- owes his/her primary duty to his/her clients;
- is accountable to that profession for results;
- has a duty to improve his/her own practice;
- has a duty to improve common or collective practice in the profession;
- adheres to a body of specialized knowledge, agreed-upon standards of practice, and specific protocols for performance; and
- is expected to exercise professional judgment.¹³⁷

Figure 6. Professionalism Responsibilities



Professional Standards. The school principal has numerous duties and responsibilities; they continue to increase and change rapidly. The job has become increasingly complex. Compounding this complexity are the national, state and local accrediting and governing bodies

that have each established their own performance standards and guiding principles. The result is multiple standards which can confuse or even contradict one another.¹³⁸

Leading performance standards for the principalship should support and complement the multi-faceted role of school leaders. Virginia's *Uniform Performance Standards and Evaluation Criteria for Principals* and the 2008 Interstate School Leaders Licensure Consortium (ISLLC) Standards are complementary. Moreover, the Virginia Principal Evaluation System and Council of Chief State School Officers standards are also complementary. When principals adhere to and demonstrate the professional standards set forth in the Virginia Principal Evaluation System, they can be assured that they are practicing professionalism and acting as role models to the school and larger community.

Ethical Behavior. School principals serve as role models, providing the moral purpose for their schools.¹³⁹ Moral purpose can be defined as “social responsibility to others and the environment.”¹⁴⁰ In an educational environment, the school principal has a responsibility to students, staff, and the larger school community. First and foremost is the responsibility to behave ethically.

A survey of 180 K-12 educators found a correlation between effective leadership and ethical decision-making. Survey respondents ranked honesty and integrity as the most important characteristics educators value in principals.¹⁴¹ Effective principals are fair and honest, have integrity, and expect to demonstrate ethical behavior.¹⁴² They share their ethical beliefs with faculty, staff, parents, and students.¹⁴³

Professional Development. To hone skills and continue to evolve in a highly skilled profession that is school principalship requires continuous professional development. In a study that focused on why good principals stay in the profession, professional development was key.¹⁴⁴ These principals viewed and described themselves as lifelong learners.

A study of 39 elementary schools whose principals participated in professional development found that: (1) the more professional development principals received, the more they were actively involved in the professional development of their teachers, (2) those teachers who received more professional development taught lessons that were of higher instructional quality, and (3) those schools where instructional quality was higher had higher levels of academic achievement.

When comparing effective professional development programs with those that are less so, LaPointe and Davis found that effective principals attended more professional development and found the sessions to be more helpful. They were also more likely to attend professional development along with their teachers, and were almost twice as likely to make visits to other schools. These principals were also more likely to participate in development networks with other principals, to mentor other principals, and to be willing to observe and critique fellow principals.¹⁴⁵

Research findings about principal professional development include:

- Effective principals recognize the importance of professional development.¹⁴⁶
- Effective principals participate in a variety of professional development activities. These include: attending conferences, networking with others, mentoring other principals, and observing other principals.¹⁴⁷
- Research-based professional development programs providing what principals need to be successful are now available.¹⁴⁸

Performance Standard 7: Student Academic Progress

The principal's leadership results in acceptable, measurable progress based on established standards.

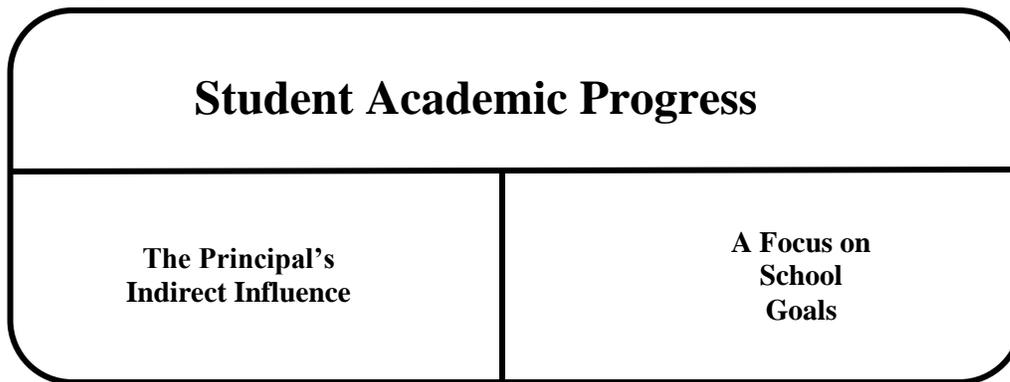
What does student academic progress mean?

In general terms, student progress is often equated with student academic achievement: the academic growth that a student makes as he/she proceeds through the school years. There are other measures of student success, but for purposes of this document, student progress will refer to student academic achievement.

What does research say about student academic progress as it relates to school principals?

Research in the field has consistently revealed that school leadership has an impact on student achievement gains or progress over years.¹⁴⁹ Waters, Marzano, and McNulty conducted a meta-analysis of research on effects of principals' leadership practices on student achievement. After analyzing studies conducted over a 30-year period, they found that the effectiveness of a school's leadership is significantly associated with increased student academic performance.¹⁵⁰

Figure 7. Student Academic Progress Responsibilities



The Principal's Indirect Influence on Student Academic Progress. There is a link between school principals and student achievement. However, it is indirect. Hallinger and Heck noted the influence of principals on “those who come into more frequent direct contact with students.”¹⁵¹ Likewise, Mazzeo reported that school principals “exert a powerful, if indirect, influence on teaching quality and student learning”¹⁵² Cotton identified three ways in which principals of effective schools influence student achievement: (1) they give their teachers the autonomy they need in their classrooms to organize and manage as they see fit; (2) they act to ensure instructional time is maximized by minimizing interruptions; and (3) they focus on student achievement.¹⁵³ Simply stated, a school with strong leadership can have a positive effect on student learning, whereas a school with ineffective leadership can negatively affect student achievement.¹⁵⁴ One aspect of effective leadership involves the use of data and how this can impact student achievement.

Using data to inform decisions is an intentional act designed to link school goals with goal attainment. Data is what fuels goal formation and goal realization. Usdan and colleagues summarized the important role that principals play in teaching and learning improvement saying that principals “must collect, analyze, and use data in ways that fuel excellence.”¹⁵⁵ Effective principals monitor progress, identify performance, and use the information to make program adjustments.¹⁵⁶ They also encourage their staffs to use data to inform instruction and provide training to ensure they can do this effectively and efficiently.¹⁵⁷

A Focus on School Goals and Student Academic Progress. Waters, Marzano, and McNulty identified a number of principal behaviors related to vision that were also associated with student learning. These included establishing clear goals and fostering shared beliefs. They found the average effect size between leadership and student achievement is .25. That means a one standard deviation improvement in leadership effectiveness can translate into an increase of 10 percentile points in student achievement on a standardized, norm-referenced test. In addition, they also found certain leadership responsibilities are particularly associated with student achievement. For instance:

Leadership Responsibilities	<i>The extent to which the principal...</i>	Average Effect Size
Situational awareness	is aware of the details and undercurrents in the running of the school, and uses this information to address current and potential problems	.33
Intellectual stimulation	ensures the faculty and staff are aware of the most current theories and practices, and makes the discussion of these a regular aspect of the school’s culture	.32
Input	involves teachers in the design and implementation of important decisions and policies	.30
Change Agent	is willing to and actively challenges the status quo	.30
Culture	fosters shared beliefs and a sense of community and cooperation	.29
Outreach	is an advocate and spokesperson for the school to all stakeholders	.28
Monitors/Evaluates	monitors the effectiveness of school practices and their impact on student learning	.28
Order	establishes a set of standard operating procedures and routines	.26
Resources	provides teachers with materials and professional development necessary for the successful execution of their jobs	.26

Affirmation	recognizes and celebrates school accomplishments and acknowledges failures	.25
Ideals/Beliefs	communicates and operates from strong ideals and beliefs about schooling	.25
Discipline	protects teachers from issues and influences that would detract from their teaching time of focus	.24
Knowledge of Curriculum, Instruction, and Assessment	is knowledgeable about current curriculum, instruction, and assessment practices	.24
Communication	establishes strong lines of communication with teachers and among teachers	.23

Adapted from Waters, Marzano, and McNulty, 2003, p. 5.

Similarly, a meta-analysis by Robinson, Lloyd, and Rowe inductively derived leadership dimensions that have been supported by research as influencing student outcomes:¹⁵⁸

- Setting, communicating, and monitoring learning goals, standards, and expectations, and involving staff and others in the process so that there is clarity and consensus about goals.
- Strategic resourcing which involves aligning resource selection and allocation to priority teaching goals.
- Direct involvement in the support and evaluation of teaching through regular classroom visits and provisions for formative and summative feedback to teachers.
- Direct oversight of curriculum through schoolwide coordination across classes and year levels, and alignment to school goals.
- Leadership that not only promotes but directly participates with teachers in formal or informal professional learning.
- Protecting time for teaching and learning by reducing external pressures and interruptions and establishing an orderly and supportive environment both inside and outside classrooms.

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