

*Virginia Department of Education
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***Guidelines for Uniform Performance
Standards and Evaluation
Criteria for Principals***



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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 by 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*

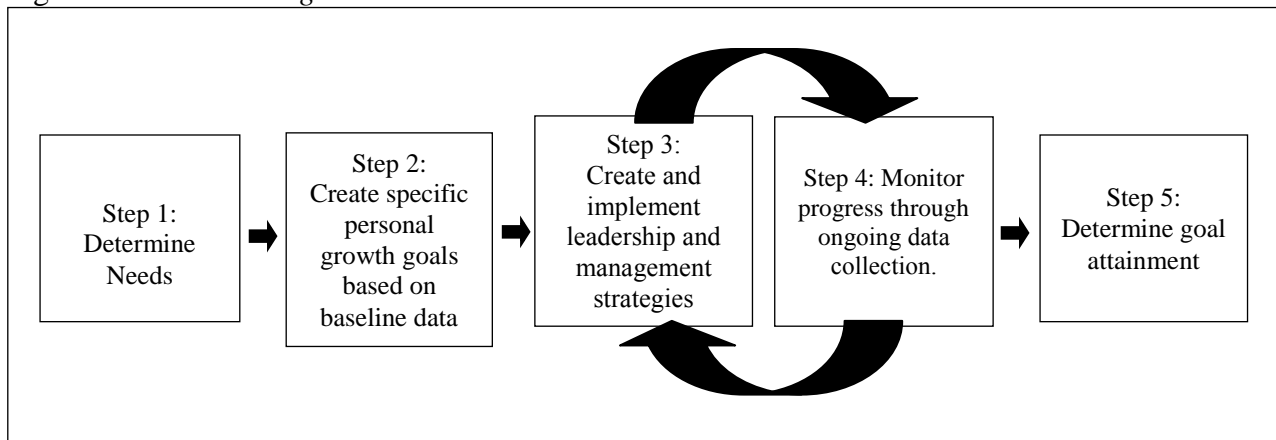
$$\begin{array}{r} \text{Student Learning End Result} \\ - \text{Student Learning Beginning Score} \\ \hline \text{Student Gain Score} \end{array}$$

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

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:

Evident Not Evident

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. | Exceptional performance: <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. | Effective performance: <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 or the principal’s performance is lacking in a particular area. 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. | Below acceptable performance: <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. | Ineffective performance: <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: _____

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:

RATING: Exemplary Proficient Developing/Needs Improvement Unacceptable

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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- ⁶ Goldring, E., Cravens, X. C., Murphy, J., Porter, A. C., Elliott, S. N., & Carson, B. (2009).
- ⁷ The usage of the terms “effective” and “ineffective” is consistent with that used in professional literature. These terms are not intended to connote particular technical definitions.
- ⁸ Westberg, D., Sexton, S., Mulhern, J., & Keeling, D. (2009).
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- ²⁵ Cotton, K. (2003).
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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.
- ²⁸ Stronge, J. H. & Grant, L. H. (2008).