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# An Exploration of the Perceptions of Elementary Principals on the Process and Benefits of the Principal Evaluation

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The University of San Francisco

AN EXPLORATION OF THE PERCEPTIONS OF ELEMENTARY PRINCIPALS ON  
THE PROCESS AND BENEFITS OF THE PRINCIPAL EVALUATION

A Dissertation Presented  
to  
The Faculty of the School of Education  
Department of Leadership Studies  
Organization and Leadership Program

In Partial Fulfillment  
of the Requirements for the Degree  
Doctor of Education

by  
Shelly Viramontez  
San Francisco  
December 2011

THE UNIVERSITY OF SAN FRANCISCO  
Dissertation Abstract

An Exploration of the Perceptions of Elementary Principals on the Process and Benefits of  
the Principal Evaluation

This qualitative case study investigated the principal evaluation process as described and experienced by principals and principal evaluators and the feedback provided in the principal evaluation process. The conceptual framework, VAL-Ed was used because it is grounded in research literature and is based on leadership standards.

The participants were six elementary principals and three principal evaluators from each of the three participating districts. This study contradicted earlier research, in finding principal evaluations are aligned to professional standards and principals report their evaluation is beneficial. The study found the informal feedback that occurs during the evaluation process is perceived as more beneficial than the formal document. The study found principals were often concerned with the blurring of the lines of the evaluator's role in the district and the role as evaluator. The study found a need to provide training for principal evaluators.

*Keywords: Principal Evaluations, School Administrator Evaluations, Principal Evaluation Process, Principal Feedback, Principal Evaluators*

This dissertation, written under the direction of the candidate's dissertation committee and approved by the members of the committee, has been presented to and accepted by the Faculty of the School of Education in partial fulfillment of the requirements for the degree of Doctor of Education. The content and research methodologies presented in this work represent the work of the candidate alone.

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## CHAPTER I

### THE RESEARCH PROBLEM

#### Statement of the Problem

The “Race to the Top Fund,” signed by President Obama in February of 2009, provided a competitive grant program designed to reward and encourage states that are creating the conditions for improving education innovation and reform (U.S. Department of Education, 2009). A key element of the Race to the Top reform program is to improve teacher and principal effectiveness based on performance. Specifically, the plan calls for designing and implementing rigorous, transparent, and fair evaluation systems for teachers and principals. These evaluations are to be used to inform decisions regarding professional development, compensation, promotion, retention, and tenure (U.S. Department of Education, 2009).

In an interview with the Director of the National Association of Elementary School Principals (NAESP), the U.S. Secretary of Education, Arne Duncan expressed concern that many principal evaluations do not help principals to learn and grow (Connelly & Duncan, 2010). Secretary Duncan indicated that there is much work to be done to improve principal evaluations and to assure that this process provides support, encouragement, and suggestions for improvement for principals. The Education Secretary believes improvement in principal evaluations will result in support for children and the education system (Connelly & Duncan, 2010). Education has been slower than many other fields in developing and adopting well-crafted and reliable ways to assess the performance of its leaders (The Wallace Foundation, 2009, p.1). Secretary Duncan’s statements are consistent with the research, which has revealed that even when

the Education Code and district policies mandate principal evaluations, it is still left to districts to interpret and design the evaluation process (Goldring, Huff, Spillane & Barnes, 2009). Few principal evaluations are aligned to professional standards and rigorously tested for reliability and consistency (Condon & Clifford, 2009; Kimball, Milanowski & McKinney, 2009). Principals typically do not find the process beneficial (Kemper & Robb-Cooper, 2002), as most evaluations are not aligned to leadership aimed at improving student achievement (Catano & Stronge, 2006). Very little is known about how principals are evaluated, the outcomes of the evaluations, or the quality of the evaluations (Ginsberg & Berry, 1990).

Policy makers are pushing for effective evaluation systems and leveraging funding to entice states and districts into compliance. For instance, the Race to the Top Fund allocates \$4.35 Billion to be distributed to states who comply with the reform efforts being touted, including the essential reform of teacher and principal evaluation systems (U.S. Department of Education, 2009). While there is a political push for these efforts, there is very little research on this topic (Murphy, Elliott & Goldring, 2006). A search conducted on January 11, 2011 of the Education Resources Information Center (ERIC) yielded only 25 responses for peer-reviewed articles on the inquiry for “principal evaluation.” This indicates an obvious gap in the research for principal evaluations.

In a conversation with Gail Connelly, the Director of the National Association of Elementary School Principals (NAESP), U. S. Education Secretary Duncan encouraged reformers to look for local examples of successful principal evaluations (Connelly & Duncan, 2010), although relatively few exemplary examples have been brought forward. In a letter written to Secretary Duncan in September of 2010, from Executive Director

Gene Wilhoit, of the Council of Chief State School Officers (CCSSO), on behalf of the state education chiefs in all 50 states, the District of Columbia, the Department of Defense Education Activity, and five U.S. extra-state jurisdictions; Wilhoit wrote the following statements as commentary to the Race to The Top Fund's requirement that states reform teacher and principal evaluation systems in order to be eligible for the funds.

CCSSO strongly agrees that increasing the number and percentage of effective teachers and principals must be a high priority. The nation must invest heavily in improving teachers and leaders. We urge the Department, however, to ensure that the Notice's definitions of "effective principal" and "effective teacher" do not inadvertently limit innovative state and local approaches to evaluating and supporting teachers and leaders. Significantly improved systems of evaluation and support are needed, but given the limited evidence currently available about what systems and structures work best, we caution the Department to move slowly in this area, so that a range of approaches can be developed, implemented, and refined. ([www.ccsso.org/Documents/2010/News](http://www.ccsso.org/Documents/2010/News)).

There is a need to research current practices in principal evaluations and the performance measurements used. It is important to understand whether the evaluation structure is based on professional educational leadership standards or some other set of guidelines. This research intended to contribute to the knowledge base regarding the elements of principal evaluations by examining current school district practices in Northern California.

#### Background and Need for the Study

A comprehensive review of the research on school leadership found that the quality of the principal alone accounts for 25% of a school's impact on student learning (Marzano, Waters & McNulty, 2005). In spite of this critical role, we continue to have an evaluation system of principals that is largely considered ineffective by those being

evaluated (Ginsberg & Berry, 1990). Principals play a critical role in student learning, but they are evaluated almost as an afterthought (Rutherham, 2010). According to researchers, Fenton et al, (2010) most principal evaluation systems tend to focus too much on the wrong things, lack clear performance standards, and lack rigor in both their design and attention to implementation. This important feedback mechanism is often based upon folklore, traditions, and longstanding practices within the organization. The home recipe style of evaluations demonstrates the lack of valid and reliable instruments; rather, the evaluations are developed and based on personal opinions and local practice, not on research findings and these evaluations are often subjective and methodologically flawed (Ginsberg & Berry, 1990).

In an attempt to provide essential principles to guide the role of school leadership, representatives from states and national professional associations collaborated to create the Interstate School Leaders Licensure Consortium (ISLLC) Standards for School Leaders. The Council of Chief State School Officers (CCSSO) published the ISLLC Standards in 1996, as shown in Appendix B1. The number of states using the ISLLC standards as a basis for designing their own leadership standards increased to over 80% in the decade following the creation of the ISLLC (1996) standards (Fenton, et al., 2010).

In 2001, representatives from the California School Leadership Academy at WestEd, Association of California School Administrators (ACSA), California Commission on Teacher Credentialing, California Department of Education, and California colleges and universities adapted the ISLLC (1996) into what became the California Professional Standards for Educational Leadership (CPSEL) (WestEd, 2004), as noted in Appendix B2.

In spite of the development of standards for principals, there is little consistency in the use of these standards in the principal evaluation process. Principal evaluation systems simply have not been a high priority for most states and local school systems (Fenton, et al., 2010). With the introduction of the Race to the Top funds and other policy pressures requiring effective principal evaluations (U.S. Department of Education, 2009), there is a need for greater understanding of the principal evaluation process as defined and experienced by the evaluator and those principals being evaluated. The ineffectiveness of principal evaluations (Kempher & Robb-Cooper, 2002) is clearly a noteworthy gap in our educational system. As policy makers and educators strive to attain accountability and assure effective evaluation systems for educators, the process must start with our school site leaders. This study sought to offer additional insight to educational leaders and policy makers regarding the process of evaluating principals.

#### Purpose Statement

The purpose of this study was to examine the principal evaluation process in three public school districts in Northern California. Specifically, the study explored the experience of the principal evaluation process from the perspectives of the participating elementary school principals. In addition, this study investigated the process of the evaluation from the perspective of the evaluator, with specific attention to the implementation process of the evaluation, performance measurements used for the evaluation, and the feedback provided to principals.

This research study sought to inform policy makers and education practitioners of current principal evaluation systems by seeking to understand the evaluation process as experienced by the principal and the principal evaluator. The data gathered supported the



researcher's understanding of actual principal evaluation processes and practices, which was examined using the conceptual framework developed by Goldring, Porter, Murphy, Elliott and Cravens (2009).

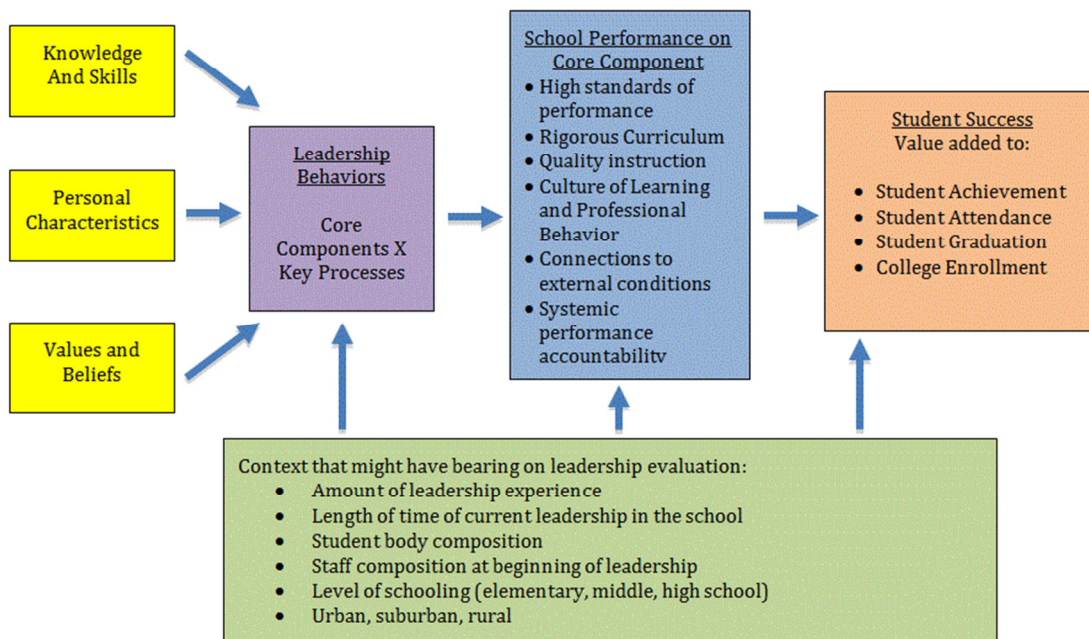
### Research Questions

1. How is the principal evaluation process conducted as described and experienced by elementary principals in a Northern California School district?
2. How is the principal evaluation process conducted as described and experienced by principal evaluators in a Northern California school district?
3. How does the evaluation process provide performance feedback for the principal?

### Conceptual Framework

The conceptual framework for this study was based on the leadership assessment instrument developed by Goldring, et al. (2009) as illustrated in Figure 1. This framework focuses on the assessment of leadership job performance, both the behaviors and practices of leaders. While this framework assessed principals and leadership teams effectiveness in exercising the preferred behaviors and practices resulting in desired outcomes, this study used the model exclusively to examine principal evaluation systems. This framework was chosen because it acknowledges the complexity of the role of the school principal, includes contextual factors, and assesses the effectiveness of the principal on outcomes, or value-added, such as student achievement. The framework, which is based on empirical research, attempts to capture the general aspects of how education leaders should be assessed. It consists of the major constructs that focus on leadership behaviors that lead to school performance and ultimately to student success (Goldring, et al., 2009, p. 6).

Figure 1 Model for Vanderbilt Assessment of Leadership in Education (VAL-Ed)



This framework was developed to establish a conceptual model for leadership assessment in the United States (Goldring, et al., 2009). The Vanderbilt Assessment of Leadership in Education (VAL-Ed) focuses on the assessment of leadership job performance, both leadership behaviors and practices. The VAL-Ed is grounded in research literature, is based on standards and is different from current leadership evaluation frameworks being used throughout the nation. The model is anchored and aligned with the Interstate School Leaders Licensure Consortium (ISLLC) standards. The core components refer to the characteristics that support the learning of students.

Figure 1 illustrates the following: the principal brings specific attributes into the role of school principal, as shown in the yellow boxes, he or she then engages in leadership behaviors through effective processes and essential components as shown in the lavender box and these leadership behaviors influence the school performance and support teachers, students and the community to engage in the core components of

schooling as shown in the blue box to obtain the outcomes of student achievement as illustrated in the orange box. All of these are influenced by contextual factors as shown in the green box.

The yellow boxes of Figure 1, knowledge and skills, personal characteristics, and values and beliefs are the specific inputs of the individual. Knowledge and skills would be those previous experiences of the principal, for instance the instructional background or previous job experiences. For instance, a principal who had previously worked as a curriculum coordinator for the school district would have different knowledge and skills than a principal who had experience as an assistant principal. Personal characteristics could be the principal's personality style, such as being extraverted or introverted, analytical or reactionary. The values and beliefs are the ideologies of the principal, for instance the belief that all children can learn or valuing others by including subordinates in decision processes (Murphy, et al., 2006).

The green box at the bottom of Figure 1 considers another type of input. Rather than the individual characteristics of the yellow boxes, this demonstrates the specific contextual factors, which include the experience of the principal as well as the specific demographics of the school. The consideration of context is an important benefit of this model for principal evaluations.

The lavender box of Figure 1 illustrates the leadership behaviors the principal engages in. This is accomplished by combining the core components, also known as "what" the principal does with the six key processes, known as "how" the principal accomplishes the desired implementation of the core components. The leadership

behaviors result from doing the right things in the right way to influence school performance and to ultimately impact student success.

These leadership behaviors involve the principal establishing high expectations for student learning; assuring rigorous curriculum; guaranteeing quality instruction; establishing a culture of learning and professional behavior; creating connections to external communities; and maintaining systemic performance accountability. As previously noted, the model was developed to assess school principals and leadership teams, but this study will use the model as it applies to school principals.

In addition to the core components, the VAL-Ed framework entails six key leadership processes, also known as “how” the principal influences the organization to obtain the desired outcomes of improved student learning. The researchers of this framework established the key processes as the interconnectedness of planning, implementing, supporting, advocating, communicating and monitoring.

The essential process of planning is defined as “articulating shared direction and coherent policies, practices, and procedures for realizing high standards of student performance” (Goldring, et al., 2009, p. 15). Planning supports principals’ ability to focus on and engage in the core behaviors previously discussed. Once the principal has planned for the critical elements, they must actually implement the planned activities. Implementation results when principals take the initiative to actually execute the critical components, such as getting the staff to implement a rigorous curriculum and a systemic assessment and accountability procedure. Another key process is supporting, which is done by ensuring the resources necessary to achieve the core components are accessible and used effectively (p. 16). Advocating is an essential process as the principal seeks to

assure the instruction is afforded to all students by establishing policies and practices that honor and respect diversity. For instance, assuring special needs students receive content rich instruction, or adopting a school policy that assures all students have access to gateway coursework, such as algebra.

Effective communication is another important aspect of the key leadership processes. Communication is essential to “developing a culture of learning and professional behavior” (Goldring, et al., 2009, p. 18). A final process is to assure that what has been planned and implemented is actually working. Monitoring is an important process, as the principal should continually assess whether or not the school is achieving the stated goals. The interconnectedness of the essential behaviors and key processes is evident as monitoring is necessary to maintain systematic performance accountability.

The blue box of Figure 1 demonstrates the principal’s influence on the school to support the learning of all students and to enhance the ability of teachers to teach (Murphy, et al., 2006). These influences are establishing high standards of performance, assuring rigorous curriculum, and quality instruction, providing a culture of learning and professional behavior as well as establishing connections to external conditions and having systemic performance accountability (Goldring, et al., 2009).

The establishment of high expectations for student learning means the principal articulates clear and public standards and expectations for learning for all students, not just for high performing students. “Rigorous curriculum is defined as ambitious academic content provided to all students in core academic subjects” (Goldring, et al., 2009, p. 9). The principal guarantees quality instruction by assuring effective pedagogy is practiced by all teachers in the school. For instance, in elementary schools, effective

teachers provide the metacognitive strategies students need to understand the material (p. 10). Establishing a culture of learning and professional behavior “is leadership that ensures there are integrated communities of professional practice in the service of student academic and social learning” (Goldring, et al., 2009, p.11). The collaborative culture is demonstrated by having shared goals and values, a focus on student learning, sharing best practices and having reflective dialogue (p. 11). Another essential behavior of principals is the ability to link families and other people, agencies and institutions to the school community in ways that will advance students’ academic and social learning (p. 12). A final core component for school principal behaviors is the leader’s ability to incorporate internal and external accountability systems through frequent reference to and the use of established criteria in meetings, classroom observations, discussion of curriculum and other areas of interaction with school staff. Having these elements are at the core of standards-based reform as articulated in the No Child Left Behind (NCLB) legislation (Goldring, et al., 2009).

The principal’s influence on school performance will ultimately influence the academic and social learning of students. These outcomes, also known as value added, as illustrated in the orange box in Figure 1 influence student achievement, attendance and graduation and college enrollment. This model demonstrates the influence the school principal has on teaching and learning, which accounts for 25% of the influence on student learning (Marzano, et al., 2005).

The VAL-Ed framework is aligned with the ISLLC standards, which were developed by the National Policy Board for Educational Administration (NPBEA), under the leadership of its then-Corporate Secretary, Scott Thomson, in 1994 to develop

standards to anchor the profession of educational leadership as it headed into the 21st century. At its foundation, ISLLC was comprised of 24 states, most of the members of the NPBEA, and other key stakeholder groups, such as the National Alliance of Business, with an interest in the health of leadership in America's schools and school districts (Murphy, 2003).

ISSLC standard 1 refers to a vision of learning, this framework connects the core component of high standards for student performance and the key processes of planning, implementing, supporting, advocating, communicating and monitoring. An example of standard 1 in practice as assessed by this framework would be the principal "develops rigorous growth targets in learning for all students and allocates school resources primarily toward reaching academic and social learning goals" (Goldring, 2009, p. 22).

ISLLC Standard 2 refers to the school culture and teaching and learning. An example of the core components and key processes of this standard is illustrated by, the principal "provides teachers with time to work on developing and strengthening the curricular program, observes each teacher's instructional practices routinely to provide feedback and develops a culture of shared responsibility for the social and academic learning of students" (Goldring, 2009, p. 22).

Goldring et al. (2009) states, the principal's management of the school to support learning is at the center of standard 3, the core components and key processes required to do this would be, the principal "secures and allocates resources to build a culture focused on student learning and implements a learning environment in which all students are known and cared for and secures and allocates resources to build a culture focused on student learning" (p. 23).

The role of leadership fostering relationships between the school and the broader community is ISLLC standard 4, the core components and key processes of this would include, the principal “builds relationships with individuals and groups in the community to promote high standards of academic and social learning, allocates resources to build family and community partnerships that advance student learning and challenges the community to meet the needs of children at risk” (p. 23).

Standard 5 consists of integrity, fairness and ethics, the core components and key processes of this standard would be, the principal “advocates that leaders are accountable for meeting the needs of diverse students in acquiring academic and social learning, advocates a culture of learning that respects diversity of students, encourages a culture of respect and fairness for students and discusses standards of professional behavior with faculty” (p. 23).

ISLLC standard 6 encompasses the political, social, economic, legal and cultural context of learning, the core components and key process of this would be, the principal “promotes mechanisms for reaching families who are least comfortable at school, communicates goals, needs, and accomplishments with leaders in the community, and advocates for social services needed by students and families” (p. 23).

The conceptual framework is grounded in research of effective principal behaviors and processes that will bring about improved student achievement. It is anchored in and aligned with the ISLLC standards. The developers of this framework aligned the VAL-Ed to the ISLLC standards because of the wide acceptance of the standards of educators and policy designers. Over 40 states, all members of the National Policy Board for Educational Administration (NPBEA) and thousands of school districts



throughout the nation use some form of the standards (Goldring, et al., 2009). The VAL-Ed conceptual framework will be used as a lens for understanding the actual practices of the participating principal and evaluators in the research study. The researcher sought to understand which elements of the research based VAL-Ed, were present in the evaluation process of the participating Northern California school districts.

### Significance of the Study

This study made a contribution to the limited literature regarding principal evaluations. In particular, limited research exists on this topic since the introduction of the No Child Left Behind Act of 2001, which created a sense of urgency for improving student learning in the United States (U.S. Department of Education, 2009). With over six million students enrolled in kindergarten through twelfth grade, California has more public school students than any other state (Ed-Data, 2011); therefore, it is essential that we understand the principal evaluation process in the state where the largest number of students is educated. This study focused specifically on districts in Northern California and sought to address the lack of research regarding principal evaluations, specifically in California.

Understanding the actual process and systems used contributed to the current literature and sought to provide additional understanding of the principal evaluation process. There are political factors urging the improvement of principal evaluation systems as well. According to U.S. Secretary of Education, Arne Duncan

All of us want really good, honest, comprehensive feedback as to how we're doing in our jobs. In far too many places, principal evaluation doesn't help principals learn and grow. There are examples of success, and we need to learn from them, but this should always be determined at the local level. When evaluations don't work for adults, they definitely don't work for children or the education system. We need to be willing to challenge the status quo and learn

where we have those examples of success. This is an area where we have a lot of work to do together (Connelly & Duncan, 2010).

The purpose of this study was to examine specific practices in Northern California school districts and to seek to understand the current processes and experiences of principals and principal evaluators. This research intended to inform policy makers and educational practitioners of current evaluation practices in light of the standards aligned VAL-Ed conceptual framework. This study contributed to the need for research on this topic and it may contribute to examples of success at the local level. This study contributed to the body of literature and will inform principal evaluation practices.

This case study provided local examples of effective aspects of principal evaluation systems, an area that U.S. Secretary of Education, Arne Duncan expressed, “this is an area where we have lots of work to do together” (Connelly & Duncan, 2010). Some positive trends are noted in this study, specifically, all of participants in the study reported their principal evaluations being aligned to the California Professional Standards for Educational Leaders (CAPSEL). This study also demonstrated the perceived benefit of the process, with all principals reporting benefit from the principal evaluation process. This study also demonstrated perceived benefit with the use of outcome data such as student achievement and attendance data. There is still much work to be done in this area of research and this study has provided an important contribution to the body of research and provides additional insight to local, state and national education leaders and policy makers.

### Definition of Terms

The researcher has provided the following terms as used in this research study:

- Documents – reference materials and paperwork used in the evaluation process, such as principal handbooks and training materials, evaluation templates, board policies, and other items used in the principal evaluation.
- Evaluation – the formal process conducted to provide the principal information about his or her job performance. It is typically a written document provided to the principal annually to provide information to the principal regarding his or her current performance in specific selected areas and to provide information about areas needing improvement.
- Evaluation process – all components of a system by which principals are evaluated, including the underlying standards upon which judgments are made, the instruments used to assess performance, and other related tools and processes (Fenton, et al., 2010)
- Feedback – written and oral information provided to the principal regarding areas in which he or she is being effective as well as areas needing additional attention.
- Leadership standards – there are two major professional standards used and referenced, the Interstate School Leaders Licensure Consortium (ISLLC) standards, as shown in Appendix B1; and those adapted for California, the California Professional Standards for Educational Leaders (CAPSEL) in Appendix B2.

- Performance measurement – those identified elements used to evaluate the principal’s performance. Examples of performance measurement used are: student achievement, attendance and suspensions.
- Principal – the credentialed administrator in charge of the day-to-day operations of the school.
- Principal evaluator – the individual responsible for conducting the evaluations of school principals, typically the Superintendent or Assistant Superintendent of the school district.
- Strategic Plan – A document designed by district leadership to reflect stakeholders’ voice and needs in the development of system goals; provide indicators and measures to track and report progress on goal attainment; set long and short term targets for continuous improvement; provide clear direction to align Board, district, site, administrative and staff evaluation goals; provide timely feedback to stakeholders regarding growth and progress.

## CHAPTER II

### REVIEW OF THE LITERATURE

#### Introduction

Research has revealed that even when the Education Code and district policies mandate principal evaluations, it is still left to districts to interpret and design the evaluation process (Goldring, Huff, Spillane & Barnes, 2009). Few principal evaluations are aligned to professional standards and rigorously tested for reliability and consistency (Condon & Clifford, 2009; Kimball, Milanowski & McKinney, 2009). Principals typically do not find the process beneficial (Kemper & Robb-Cooper, 2002). As most evaluations are not aligned to leadership aimed at improving student achievement (Catano & Stronge, 2006). Very little is known about how principals are evaluated, the outcomes of the evaluations, or the quality of the evaluations (Ginsberg & Berry, 1990).

This review of the literature was designed to provide the reader with pertinent background information about the theories and studies on school principal evaluation systems, procedures and perceptions. Specifically regarding the purpose of principal evaluations; the process and implementation of principal evaluations; the feedback provided through the principal evaluation; performance measurements and evidence used to inform the principal evaluation; and the inclusion of professional standards in the evaluation process. This research study sought to understand the evaluation process as reported by the participating elementary principals and principal evaluators in order to understand the actual experience of these participants and to determine whether the participating principals' experience was consistent with the literature of effective and helpful evaluations or ineffective and bureaucratic processes.

## Purpose of Principal Evaluations

When examining a process, it is important to first understand the purpose for which the process was developed. A focal element of researching the principal evaluation process is to understand the purpose of the principal evaluation as stated in the literature.

The overall purpose of principal evaluations is to provide a basis for sound decision-making and increased effectiveness. However, the methods used by many districts are not designed to improve principal performance, but simply intended to satisfy accountability requirements of mandatory principal evaluations. In many jurisdictions, the primary purpose of the evaluation of principals is to fulfill the annual requirement from school boards. Until recently, the primary focus of principal evaluations was conformity, loyalty, and physical appearance, with minimal attention provided to reaching specified performance standards or organizational results (Hart, 1994; Thomas, Holdaway & Ward, 2000).

Green (2004) established that formal evaluation of principals must be for a specific purpose, with the typical reasons for conducting principal evaluations being to assess the attainment of institutional goals; help with the improvement of professional performance; provide data for personnel decisions; improve the effectiveness of an administrative team; provide data for reassignment or retraining; and to conduct research on administrator effectiveness. The Wallace Foundation (2009) has funded researchers to study ways to strengthen education leadership aimed at improving student learning. These researchers found that the essence of the principal evaluation process is to create a

climate of continuous learning and improvement throughout the organization. In this age of accountability, school districts must assure student achievement.

According to Stine (2001), the principal evaluators, often the superintendent; needs a system to make the appropriate decisions of continued employment, promotion, reassignment, or termination and to provide a diagnostic tool for identifying strengths and areas for improvement in the employee. According to Kearney (2005), district supervisors should use both the formative and summative function of principal evaluations to develop professional growth plans, goals and objectives.

Although researchers indicate that an important aspect of the evaluation process is to provide guidance for professional development, it does not necessarily provide that desired outcome. In the Davis and Hensley (1999) study of 14 principals and six superintendents from Northern California, principals reported that formal evaluations were not helpful in shaping or directing their professional development or in promoting school effectiveness, because principals did not trust the motives or intentions of district office evaluators. Yavuz (2010) found similar results in a study of elementary principals conducted in Turkey. The principals reported not knowing what was actually expected of them and half of the primary principals interviewed did not think their supervisors could objectively evaluate them.

A nationwide study found that even though principals agreed their evaluations were generally positive, accurate and consistent with job expectations fewer found it relevant to enhancing their motivation and improving their performance (Reeves, 2005). Principals reported a belief that the evaluation processes were inconsistently carried out and did not include contextual and comprehensive information from teachers, parents and

students. Another insight shared by the participating principals was the little time evaluators actually spent on the campus directly observing their leadership behaviors (Davis & Hensley, 1999).

The researchers funded by a grant from the Wallace Foundation (2009) contend, the federal No Child Left Behind Law have shifted the role of the principal to focus much more on leading the essential teaching and learning activities in their schools. Principals serve a vital role in supporting student achievement, because leadership is second only to teaching among school-based factors in influencing students' learning (Leithwood, Louis, Anderson & Wahlstrom, 2004). The evaluation process used by district officials can support the need to focus on teaching and learning. Researchers found school principals were more likely to engage in learner-centered leadership behaviors when school districts used evaluation processes to hold principals accountable for important school and district goals; focus on the principal's knowledge, skills and behavior; emphasize goal setting, curriculum design, teacher professional development and evaluation and monitoring student achievement (Sun & Youngs, 2009).

Researchers have noted many challenges in principal evaluations achieving the intended purpose and benefit. The principal evaluation is often seen as a one-time form to be completed rather than an ongoing process aimed at continuous improvement (Green, 2004; The Wallace Foundation, 2009). Ginsberg and Thompson (1992) found appropriate means of evaluating principals is difficult because the complex job is not agreeable to simple characteristics or descriptions, the nature of the principal's work varies considerably and there are varying expectations for principals' behavior from the various stakeholders. Additional challenges were noted by Leithwood's (1986) research



of 800 principals in Ontario, Canada. The study revealed problems in principal evaluations resulted because the policies lacked detail regarding the evaluation process, the standards of performance were not well publicized and therefore not clearly understood, and finally the practices outlined were not always the practices actually implemented (Leithwood, 1986; Thomas, et al., 2000).

Research indicates a disparity between the perceptions of principals being evaluated and those of their evaluators (Fletcher & McInerney 1985; Sun & Youngs, 2009). In a study by Harrison and Peterson (1986), surveys were conducted with 200 principals and 142 superintendents in a Southern state to compare the perceptions about how the components of a state mandated principal evaluation system were implemented. The researchers found five critical pitfalls in the perceptions of principals and superintendents regarding the evaluation of principals. The first was the variance in the perceptions of superintendents' favorable perception of the evaluation compared to the principals' perception of the evaluation processes. The second pitfall was the finding that principals were much less clear on the processes and procedures used by their evaluators than were the superintendents. The third problem was the widely held divergent views about the purposes and priorities of the principal evaluation. Superintendents perceived the instructional leadership practices to be central to the evaluation and principals perceived operational management functions as being most critical. The fourth problem was the variance in perception of the influence of community opinions, principals believed that community opinions formed the basis of their evaluations and that measurable performance standards were far less important. The final pitfall found was

that principals were more likely to report weak communication with their superintendent regarding the purposes, process and outcomes of the evaluations.

Another example of the disparity of perceptions between evaluators and principals is found in the study conducted by Fletcher and McInerney (1995). The researchers conducted a content analysis study of the principal evaluation instruments used by all public school superintendents in Indiana with five or more principals. The findings revealed differences between the 21 principal performance domains that superintendents considered important and the content of the actual principal evaluation instruments used. The National Policy Board established these domains for Educational Administration in 1993. Over 90 percent of the superintendents gave the highest rating to the domains of leadership, instructional programs, motivating others, and judgment. However, when the content of the instruments actually used by these superintendents was examined, it was revealed that the reported areas most valued were not those areas actually evaluated (1995). The research suggests inconsistency between the stated purpose of the evaluation and the actual implementation of the process.

The literature revealed the purpose of the principal evaluation is to: assess the attainment of institutional goals, such as student learning; improve principals' performance; assure continual improvement; identify strengths and weaknesses; inform professional development; and staffing decisions of retention and promotion. Unfortunately, the literature demonstrated the purpose was not necessarily achieved, as principals reported not knowing what was actually expected of them, and the process was often perceived to satisfy accountability requirements rather than to inform and improve

principals' performance. The literature also revealed disparity between the evaluations as experienced by the principal compared to the purpose stated by the principal evaluator.

This literature will inform the researcher as the study seeks to understand the evaluation as reported by the participating principals and evaluators, specifically the stated purpose and experiences of the participants.

### Evaluation Process and Implementation

In examining principal evaluations, it is important to understand the literature regarding the principal evaluation process and implementation. Generally, principals are evaluated annually, in a study of medium and large public school districts with enrollment exceeding 10,000 students, over 75 percent of the responding 193 superintendents reported conducting annual evaluations (Kimball, Heneman & Milanowski, 2007). An analysis of practices for principal evaluations found a wide range of models in use with the two most common being the use of a rating scale and management by objectives (Green, 2004, p. 21).

Three types of evaluations were identified in a study of 17 districts in California, checklists, narrative and measurement against a set of predetermined goals (Lashway, 2003). Harrison and Peterson (1986) identified three stages of an effective evaluation process: setting criteria, sampling performance and communicating results to the principal regarding their continued growth. Anderson (1991) listed nine steps which school systems should use to identify effective evaluation practices: (1) identify the purposes for evaluation, (2) develop clear performance expectations, (3) involve principals in planning, (4) encourage goal-setting and self-reflection, (5) observe principals in action often, (6) involve peers and teachers in providing feedback, (7)

collect artifacts, (8) adopt a cyclical approach to evaluation, (9) reward outstanding performance.

An extensive study was conducted by reviewing the principal evaluation documents of 68 urban school districts in 43 states as part of the Wallace Foundation's State Action for Educational Leadership Project (SAELP) by researchers Goldring, Cravens, Murphy, Porter, Elliott and Carson (2009) to determine how urban districts conducted and implemented principal evaluations. The researchers concluded that the critical behaviors performed by principals to influence student achievement were not emphasized in the evaluation instruments. Goldring et al. (2009b) determined that nearly half of the evaluation protocols were not directly aligned with professional standards; rather the majority of the evaluation protocols were based on rating scales. A major concern resulted from the finding that factors relating to the principal's role in fostering a rigorous curriculum, high quality instruction, or connections with external communities received the least amount of attention in the school district evaluation documents (2009b).

Rating scales usually involve the school district developing a form of the adopted list of expectations; this form is then completed by the principal's evaluator and provided to the principal. Principals receiving an evaluation from a rating scale do not find the evaluation helpful for improving their performance (Green, 2004, p. 22). Management by objectives involves the principal and the evaluator setting measurable goals at the beginning of the evaluation period. An advantage of management by objectives is the removal of subjectivity from the evaluation, for instance if the objective was to increase Language Arts achievement for the school by five percentage points, the principal would

be evaluated on reaching or not reaching the defined goals. According to the researcher, a disadvantage of this type of evaluation system may lead to the principal focusing on short-term goals rather than on important long-term goals (p. 23). Less frequently used evaluation instruments are the 360-degree evaluation and assessment centers. The 360-degree evaluation gathers input from various stakeholders in the school system. District administrators, other principals in the district, parents, students, and community members are the most common sources of input (p. 27). Assessment centers are another type of principal evaluation. These simulations attempt to assess the principals' ability to manage simulated school leadership activities. This process is used to determine a principal's strength and to identify particular areas of needed improvement. This type of evaluation would not necessarily assess the actual performance of the principal in his or her own school; rather it would just grade their performance on simulated activities (p. 30).

The literature on the implementation of principal evaluations demonstrated a wide range of models in use across school districts with the two most common types being rating scales and management by objectives. Rating scales were not deemed useful for improving practice by principals. Check lists and narrative evaluations were often used to assess progress towards predetermined goals and a noted advantage of management by objectives was the removal of the subjective aspect of the evaluation. Other instruments used were 360-degree evaluations and assessment centers, but these were used much less frequently than the two most common types of evaluations. The literature on the implementation of principal evaluations will inform the research study as the researcher seeks to understand the implementation used by participating districts in this study.

### Feedback Aspects of the Evaluation Process

In order for the principal evaluation to attain the purpose of improving principals' leadership practices, the principal being evaluated must be afforded effective information aimed at informing the principal of areas in which he or she is being effective as well as areas needing additional attention. The evaluation process is expected to provide the principal with information of ways in which he or she can improve upon skills, attitudes and knowledge (Thomas, et al., 2000). The ultimate goal in evaluation is to translate performance data into performance knowledge and meaning that can be effectively and successfully acted upon (Harbour, 2009).

Principal evaluations can serve as a powerful communication tool for informing the principal of areas of continued growth and improvement by identifying gaps between the current practices and the desired outcomes. It allows the opportunity to focus the principal on those behaviors that are associated with student learning (Goldring, et al., 2008). Principals will grow professionally when they personally reflect on their leadership and therefore, their evaluation should be the impetus for this reflection. Principal evaluations should provide continuous feedback that is essential for ongoing professional growth (Green, 2004, p. 46).

Performance information should be provided in a timely manner as it is of little value if it is delivered too late (Harbour, 2009). A goal of the evaluation process is to provide timely and effective feedback. However principals report their evaluations lack the specificity to indicate what behaviors should be changed and the feedback provided was not useful and the criteria used for the evaluation was often unclear (Reeves, 2005). A review of assessment instruments used in 44 districts and states found that nearly half

fail to give principals clear feedback on what they could be doing more or better to improve teaching and learning (The Wallace Foundation, 2009). An additional concern revealed in the research was the finding that principals perceive their evaluations to be based on the subjective feelings of the evaluator rather than by measurable performance indicators (Reeves, 2005).

Ideally, the evaluation provides information about the principal's strengths and weaknesses that will be useful and applicable to a variety of purposes across varied contexts. The evaluation should be flexible enough to consider variation in career stages, a novice principal has different needs from a veteran principal and each requires feedback to further his or her skills. Therefore, the content, timeliness and assisted support should match the difference in needs between a novice and veteran principal (The Wallace Foundation, 2009).

A study of 76 principals was conducted in a large Western school district to examine principals' perceptions of the quality of feedback, usefulness, fairness and overall satisfaction in the evaluation process. Half of the principals received the traditional district evaluation and the other half received a new standards-based evaluation. Kimball, Milanowski and McKinney (2009) found the standards based evaluation provided better feedback and satisfaction for the principals than the traditional evaluation.

The literature confirmed the principal evaluation is to translate data into performance knowledge that can then be acted upon. Information provided on the evaluation can serve to inform the principal of areas of continued growth and improvement. However, some literature revealed principals did not find the information

provided to be useful for informing them of how to improve their practice. Evaluations aligned to standards were found to provide better feedback and satisfaction for principals than those not aligned to standards. These findings will inform the study as the researcher will examine documents and interview content to determine the type of feedback provided for principals participating in the study. The feedback provided through the evaluation process would be contingent on the performance measurement used to assess the principal's performance.

#### Performance Measurement and Evidence Used in the Principal Evaluation

An important aspect of the principal evaluation would be to determine the elements of performance to be used to assess the principal's effectiveness. "An evaluation is a judgment of worth or value that ideally should be based on some set of quantitative performance measures" (Harbour, 2009, p. 8). The essential aspect of successful performance measurement is to collect only those performance measures that can and actually will be used to help us better understand, manage and improve performance (p. 13). The evaluation of principals must be grounded in what we know about the qualities of effective principals (Green, 2004, p. 9).

High quality assessments measure what they are designed to measure, are consistently applied and tested for fairness, are a continual process for professional growth and development, are based on evidence from multiple sources, reinforce the organization's core goals, provide actionable feedback on the essential aspects of the leader's role and they support a culture of continuous growth and improvement (The Wallace Foundation, 2009, p. 2).

Measurements of performance should be about four to six interrelated measures of key aspects of performance, which represent the critical aspects of the job (Green, 2004, p. 38). According to Green, one of the first challenges for effectively evaluating principals



is to “determine what matters: style or substance” (2004, p. 3). Valentine (1987) recommends data sources for principal evaluation be derived from student attendance records, test scores, committee reports, newsletters, clippings and time logs. He also recommended shadowing the principal and soliciting information from staff students and parents. There is an extensive list of possible data to be used, but it should be limited to those items most relevant to the particular school’s goals (Stine, 2001).

Stine’s (2001) analysis of 17 school districts in California revealed the use of three standard formats for principal evaluations, free form, check lists and management by objectives. Basic criteria suggested for evaluating principals was clustered into three groups of (1) planning and instruction, (2) personnel, motivation and conflict management, and (3) outside contacts. Stine noted these assessments often lacked any professional improvement plan for the principal. Thomas et al. (2000) analyzed relevant research and determined principal evaluations are based on the following aspects: (1) results; (2) valid job descriptions; (3) personal qualities; and (4) research findings related to role behaviors that improve school performance. A results based, also termed an outcomes based evaluation assesses and sometimes compensates principals based on the extent to which they achieve mutually agreed upon objectives for the year. The researchers also found basing the principal evaluation on the job description, as recommended by the Joint Committee on Standards for Educational Evaluation (1988) depends on valid job descriptions that fit most principals and consider the local context and individual school priorities.

Lipham, Rankin and Hoeh (1985) observed that questionnaires, checklists, interviews, observations, scales, videotaping, time sampling and critical incidents all

attempt to measure performance but these instruments and procedures only measure the frequency of behavior rather than its potency or quality. Ginsberg and Berry (1990) noted that personal profiles, dossiers and self-evaluations have also been added to the list of performance measurement procedures. Lindahl (1986) supported the use of job description for the evaluation process to provide structure, but the job description alone is insufficient for the assessment of effectiveness (Stine 2001).

Green (2004) suggested looking at principal evaluations through an organizational theory model and measure the degree to which principals fulfill the responsibilities of their jobs, determine the processes they use to perform their work and the skills they need in order to be successful. According to the researcher, the four responsibilities of the school principal are:

- (1) To ensure that the organization accomplishes its mission, (2) to ensure that the internal systems work as they should so that the organization can be successful, (3) to help the organization cope and adapt to change, and (4) to nurture the ethos and traditions that define what is good about the school and what the school community should preserve. (2004, p. 15)

The four functions that encompass what administrators should implement are to lead, organize, plan and control. Effective principals guide the subordinate members of the organization, they create structures for efficient use of resources, they set goals and establish strategies for reaching goals and they review personnel performance and monitor organizational progress (Green, 2004, p. 16). The professional skills required for an effective school principal encompass the three broad categories of technical, interpersonal and intrapersonal. Some of the technical skills required are: making decisions, planning projects, managing the budget, scheduling and effectively using technology. Some interpersonal skills would include effective communication and the

ability to motivate others. Examples of intrapersonal skills would be self-discipline, flexible, and the ability to persevere through challenging times of high stress (Green, 2004, p. 17).

With the emphasis on interpersonal skills, it would seem important to acquire input from the teachers, but that information is not necessarily solicited. In the study of medium and large public school districts, of the responding 193 superintendents, only 26 percent reported using teacher feedback as part of the evaluation measurement (Kimball, Heneman & Milanowski, 2007).

According to Goldring et al. (2008), to do their jobs well, principals carry out multiple responsibilities, both internal and external to the school environment. The complexity of the principal's role creates the challenge for identifying the leadership dimensions that should be assessed (Glasman & Heck, 1992; Hart, 1994; Oyinlade, 2006). Supervisors of school principals use as a criterion for their evaluation the degree to which principals implement the duties assigned to them. However, the researchers acknowledged the challenge of determining the degree of implementation because of the complexity of the many responsibilities required of the role of principal (Yavuz, 2010).

Prior to high stakes testing, principals were evaluated on successful completion of job tasks and the general responsibilities of the management aspects of their role. These managerial duties applied to effective supervision of school programs, pupil personnel, community relations, facilities, student behavior and coordinating professional development for staff (Goldring et al., 2008).

Principal evaluation systems continue to place the most attention on management and personal traits, decision-making attributes, and specific leadership behaviors and actions.

Relatively little attention is given to measuring the impact of principal performance on school and district outcomes (Ginsberg & Berry, 1990; Portin, 2006). However, the most critical change in expectations of school principals is on what they do to support the improvement of teaching and learning.

Principals can no longer simply be administrators and managers. They must be instructional leaders focused on improving student achievement. They must be the force that creates collaboration and cohesion around school learning goals and the commitment to achieve those goals (The Wallace Foundation, 2009).

A critical element of principal evaluations should be around the principal's ability to develop instructional capacity of others by developing teacher leaders and content experts (2009).

Olyinlade (2006) developed an evaluation system for assessing school leadership effectiveness by identifying the essential behavioral leadership qualities. Instead of looking at task completion, this evaluation process measures the knowledge, skill and abilities of the principal. According to the researchers of the Wallace Foundation (2009), a powerful evaluation system maintains focus on the core elements of effective leadership for learning, but is adaptable to different contextual factors and therefore, principals and their evaluators may prioritize different leadership actions and behaviors, even if their student test scores are similar.

In a study of 56 California elementary school principals and 328 teachers that measured perceptions of a principal's implementation of 34 role-based administrative actions, researchers found overall agreement within and between schools regarding perceptions of the role of the principal. The administrative actions were organized into three leadership dimensions: governing the school, maintaining a positive school culture and climate, and organizing and monitoring instructional programs. The study also found

principals working in effective schools are consistently rated higher on each of the three leadership dimensions, however the amount of time the principal had worked at the school was not significantly related to perceptions of his or her effectiveness (Heck & Marcoulides, 1996).

Performance expectations and indicators identify what effective education leaders do to promote quality teaching and student learning and describe how leaders approach their work in ways that are observable and measurable (The Wallace Foundation, 2009). A meta-analysis conducted by Waters, Marzano and McNulty (2003) identified 21 leadership behaviors and their correlated effect on student learning. The researchers found there would be a 10-percentile point increase in student test scores resulting from the work of an average principal if he or she improved the “demonstrated abilities in all 21 responsibilities” by one standard deviation (p. 4).

Measuring the principal’s performance based on desired outcomes, such as increased student achievement is an essential aspect of the Race to the Top funds (U.S. Department of Education, 2009), but researchers have expressed concern that this ignores contextual factors and assumes direct causal relationships between what the principal does and the outcomes achieved (Heck & Marcoulides, 1996; Goldring et al., 2008).

Five researchers from the University of Minnesota and five researchers from the University of Toronto conducted a six-year investigation of the links of leadership and student learning funded by the Wallace Foundation. The research indicates areas of principal influence that should be considered in measuring performance. One of the key findings of the research was the importance of collective leadership and its positive effect on teachers and students. The researchers found that the elements of collective leadership

had a significant and direct effect on all teacher variables, and resulted in explaining 20 percent of the variation in student achievement (Louis et al., 2010, p. 26).

A performance measurement demonstrated to be ineffective was discovered by researchers Snyder and Ebmeier (1992) in a study of 30 schools in Kansas and Missouri. The findings suggested principal evaluations should not be based upon affective student outcomes such as self-concept, self-reliance, or motivations and should not be based on parent perceptions of the principal's effect on school outcomes. The researchers did find principals should be measured on targeted school specific factors such as teacher hiring, organizational structures and characteristics, teacher outcomes and teacher perceptions of school functioning. The goal of any evaluation measurement is to "translate the information from the evaluation into actionable responses aimed at improving the performance of the individual and ultimately the organization" (Harbour, 2009, p. 85).

Portfolios are another viable way to measure principals' performance and are particularly suited for the evaluation of complex skills and personal attributes. There is no standard formula for creating a principal portfolio, but generally, it includes personal reflection from the principal, authentic evidence of successful leadership and a plan for growth (Green, 2004). A study including 26 principals from various public schools in Ohio who completed the Portfolio Assessment of School Leaders developed by ISLLC and the Educational Testing Service (ETS) realized mixed results when examining if the portfolio practice enhanced leadership practice. Almost half of the participating principals found the process a useful mechanism for self-reflection, a quarter found the portfolio process required more work of ambiguous relevance and most did not perceive

the portfolios as helpful for measuring their leadership practices (Johnston & Thomas, 2005).

Several positive qualities of implementing portfolios for principal evaluations were determined in a study by Brown, Irby, and Neumeyer (1998). Portfolios were found to enhance communication between principals and district office supervisors, which was felt to increase the personalization of the evaluation process. It allowed for documented evidence of performance, which resulted in increased buy-in from the principals. It was determined to promote better alignment between the principal, school and district goals (Marcoux, Brown, Irby & Alecio, 2003).

A drawback to the implementation of portfolio evaluations is the perceived time it takes for the principal and the evaluator. An additional criticism is the absence of psychometric analysis, but the portfolios were found to be most useful when they were structured around specific performance criteria and least useful when they had an open-ended format (Marcoux, et al., 2003). In a study of 74 urban school districts across 43 states, it was found that only 16 percent include portfolios in their principal evaluations (Goldring et al., 2009).

Unfortunately, it was concluded that little empirical support exists for any of these performance measurements being effective (Thomas, 2000). There is not agreement around what should be assessed in principal evaluations. According to Goldring, et al., the content of the evaluation is “a mile wide and an inch deep,” and many aspects of the role are being evaluated, but almost nothing is being assessed in depth (2009). This literature will inform the research study, as the researcher will seek to understand the performance measurements used for the principal evaluation by the participating

evaluators. The conceptual framework encapsulates the performances to be measured, which are the essential behaviors and key processes present in effective principals (Goldring, et al., 2009).

#### Inclusion of Professional Standards

Aligning the principal evaluation to known and articulated standards allows the principal to understand the specific aspects to be assessed. This may also prevent subjectivity and inconsistency in the evaluation. Basing the evaluation on personal qualities of the principal that are most likely to lead to improvement in academic quality or overall effectiveness of the school is an option that Thomas et al. (2000), were critical of, the researchers felt there could not be effective implementation of this type of evaluation outside of a specific framework. The authors suggested using the standards established through the work of the U.S. Interstate School Leaders Licensure Consortium (ISLLC), which is supported by 30 states, several professional associations and a number of universities be used to conceptualize and define the role of school leader.

Professional standards provide a credible alternative to using independent, district developed criteria (Green, 2004). The Interstate School Leaders Licensure Consortium (ISLLC), a project of the Council of Chief State School Officers (CCSSO) published *Standards for School Leaders* in 1996. According to the CCSSO, the use of the ISLLC standards has steadily increased from 20 states in 1998 to 43 states having adopted or adapted the ISLLC standards by 2006 (CCSSO, 2008). The extensive use of the ISLLC standard has caused them to essentially be viewed as the national educational leadership standards. Researchers, Pitre and Smith (2004) indicated the purpose of using the ISLLC is to redefine the roles of school administrators through the use of a common set of



standards which delineate the expected behavioral outcomes produced by school principals. A concern with using professional standards is the vague and ambiguous wording that may not explicitly outline what should be measured, monitored and included in the principal evaluation (Green, 2004; Pitre & Smith, 2004).

An increasing number of districts have aligned their principal evaluation procedures with professional standards, such as the ISLLC and specified performance tasks and objectives (Lashway, 2003; Portin, 2006). Increasing numbers of states seem to be using professional standards as a consistent foundation for principal evaluations, more than 40 states now use the ISSLC standards or some version of them (The Wallace Foundation, 2009).

Examination of leader assessment instruments used in 44 urban school systems found that only 40 percent use some form of state adopted professional standards and only 25 percent of those use ISLLC standards (Goldring et al., 2008). In the study of medium and large school public school districts, only 25 percent of the responding 193 superintendents reported their district's principal evaluation was explicitly aligned with professional standards (Kimball, Heneman & Milanowski, 2007).

A study of 76 principals from a large school district separated the participants into two groups, one received the traditional district evaluation and the second group received a new standards-based approach to evaluation. The researchers wanted to investigate the perceptions of the two groups regarding the clarity of the district's performance expectations, quality of feedback, usefulness, fairness and overall satisfaction. The results were mixed. Generally, the principals participating with the standards based evaluation process perceived their evaluation process more favorably on the researched

factors than the principals participating with the traditional district evaluation process. Inconsistent levels of implementation procedures and criteria by evaluators substantially compromised the degree to which the standards-based approach was perceived as helpful to principals (Kimball, Milanowski, & McKinney, 2009).

A strong relationship was found between principal evaluation practices, state accreditation standards for principals and the ISLLC standards among the school districts in Virginia. Of the 132 districts, more than 90 percent reported their evaluation systems were specifically linked to instructional management. Catano and Stronge (2006) questioned whether the actual evaluation experienced by Virginia principals included all of the criteria contained in the districts' evaluation instruments.

In a study of Washington superintendents, it was found that only 16 percent of the state's school districts used the ISLLC standards to frame principal evaluations. Less than half of the state's superintendents reported being familiar with the professional standards and 41 percent reported having no knowledge at all of the existence of the school leadership standards (Derrington & Sharratt, 2008). The superintendents where the standards were incorporated reported the standards as a strong indicator of what principals were expected to do and the standards provided consistency in the evaluation frameworks used to provide a common language of the evaluation criteria for the principal being evaluated and for the evaluator. Superintendents using the ISLLC standards reported appreciating the specificity of the standards and the alignment of the standards to the ongoing school reform goals and objectives being conducted. The researchers found superintendents expressed concern regarding the time required to

evaluate principals based on the ISLLC standards as they contained too many items and redundant concepts.

An open ended interview approach was used with 13 district evaluators and 14 principals in seven school districts in Santa Barbara County, California to determine if and how these districts incorporated the standards for personnel evaluation developed by the Joint Committee on Standards for Personnel Evaluation in 1988. The 21 standards are organized into four categories, propriety, utility, feasibility and accuracy. Glassman and Martens (1993) found that the most prominently used category was utility and that each of the participating districts made widespread use of the 21 standards for personnel evaluation. The practices most commonly used by districts were constructive evaluations, practical procedures and interactions with principals being evaluated. The researchers found a common problem across all seven district's evaluations was the failure to provide detail of the actual principal performance in the documented reports.

The literature reviewed supports the use of some sort of professional standards for the principal evaluation with the ISLLC standards being the most common. This research study will investigate the inclusion of professional standards in the participating principals evaluations. Specifically, this research will look for alignment of the principal evaluation to the California Professional Standards for Educational Leaders (CAPSEL), which were adapted from the ISLLC standards in 2001 by representatives from the California School Leadership Academy at WestEd, Association of California School Administrators, California Commission on Teacher Credentialing, California Department of Education and California colleges and universities (WestEd, 2004). The alignment to the ISLLC standards supports the use of the conceptual framework in this research study.

### Specific Principal Evaluation Instruments

The literature review revealed studies of specific principal evaluation instruments. A study sponsored by the University of Missouri Department of Educational Administration investigated whether the skills necessary to function effectively as a principal were included in the Performance-Based Principal Evaluation (PBPE) and to what degree the evaluation system was being used in Missouri (Valentine & Harting, 1988). The PBPE was a performance and outcomes based evaluation system. Emphasis was placed on skill performance and goal accomplishment. The instrument stressed the need to demonstrate detailed administrative skills and the ability to move a school in a specific positive direction.

One widely used principal assessment tool, The Principal Instructional Management Rating Scale (PIMRS), developed by Hallinger and Murphy in 1985 and then updated in 2001 is an instrument designed to assess the instructional management activities of principals. Specifically, the PIMRS, a 38-question survey, which measures instructional leadership skills in the three domains of (1) Defining the school mission, (2) Managing the instructional program, and (3) Promoting a positive instructional climate. According to the author, it is the single most widely used measure of principal leadership over the past 30 years ([www.philiphallinger.com/pimrs.html](http://www.philiphallinger.com/pimrs.html)). A study of the PIMRS with ten elementary school principals from a Northern California school district found that school stakeholders differed in their perceptions about principals' instructional management practices. The researchers found principals were actively engaged in the evaluation and supervision of teachers and the principals used student test results to inform administrative decisions and interventions (Hallinger & Murphy, 1985).

Multiple statistical methods were used to study the psychometric elements of the Essential Behavioral Leadership Qualities (ESBLQ) assessment process. The ESBLQ was designed to measure a principal's effectiveness on tasks and activities deemed highly essential to successful schools. The study consisted of 25 principals and 294 teachers from 25 schools for the blind and visually impaired. Participating principals and teachers were surveyed to determine their perceptions of leadership effectiveness. The research revealed three essential leadership behaviors of good listening skills, honesty and fairness; and four effective leadership behaviors, which were hardworking, knowledge of policies, fiscal efficiency and good listening skills. In contrast to the forced choice questionnaire used by other principal evaluation instruments, the ESBLQ is an analytic process used to assess stakeholder perceptions of essential and effective leadership behaviors (Oyinlade, 2006).

The developers of the VAL-Ed created a system to push increased learning by designing a process to evaluate a principal's performance for promoting specific results in his or her school and to develop instructional leadership capacity in others (The Wallace Foundation, 2009, p. 9). The nationally normed VAL-Ed was created by researchers Porter, Murphy, Goldring, Elliot, Polikoff and May (2008) as a conceptual framework designed to measure leadership behaviors known to influence teacher behaviors and student learning. The instrument has been through detailed analysis to assure validity and reliability. The instrument consists of 72 items from six core components or features of an effective school and six key processes or leadership behaviors (Porter, Murphy, et al., 2008). According to the website for purchasing the instrument, it is a researched-based evaluation tool that measures the effectiveness of

school leaders by providing a detailed assessment of a principal's perceived performance. VAL-Ed focuses on learning-centered leadership behaviors that influence teachers, staff, and most importantly, student achievement (<http://www.valed.com>, *retrieved April 2011*).

The valid, reliable, nationally norm referenced evaluation instrument is aligned to the ISLLC standards and derives information from multiple sources. The process includes multiple raters, such as teachers, supervisors, and other principals and requires principals to provide supporting evidence of their effectiveness on each of the survey items. The evidence may be reports, personal observations, school activities and other sources. The authors contend the instrument produces a diagnostic profile of a principal that can be used for formative and summative purposes. The information gathered may then be used to inform professional development and assess growth over time. The instrument is adaptable to accommodate varied settings and contexts (Porter, et al., 2008). The VAL-Ed is an outcome based measurement instrument to assure effective teacher performance and student achievement, which gathers data from multiple sources, and is, aligned to professional standards.

The literature regarding instruments used in principal evaluations demonstrates the variety of instruments available for use in the evaluation process. It is not yet known which specific instruments the participating districts in this research study will use. Knowledge of the aspects of different evaluation instruments will enhance the researcher's understanding of the type and attributes of the specific instruments used by the participating districts in this study.

## Summary

The literature reveals many concerns of principal evaluations. Principals report their evaluations as being ineffective and inconsistent (Ginsberg & Berry, 1990; Ginsberg & Thompson, 1992; Goldring, Cravens et. al, 2009a; Kempher & Robb-Cooper, 2002; Lashway, 2003; Mannatt, 1989). They report being excluded from their evaluation processes (Brown, Irby & Neumeyer, 1998). Principals feel evaluations are irregular, episodic and inconsistent and fail to provide clear improvement feedback, lack consistency, and are often not based on standards related to educational leadership or any specific conceptual framework (Lashway, 2003; Goldring, et al., 2009a). Contextual factors, such as student demographics, political climate, and principal experience, are often neglected, but should be an integral part of principal evaluations (Hart, 1994; Heck & Marcoulides, 1996; Johnson, 1989). Principals have found that the process is often a meaningless, bureaucratic endeavor (Kempher et. al, 2002; Mannatt, 1989).

The problems stated in the literature are lack of consistency in the frequency, focus and feedback provided in the principal evaluation process. Even when Education Code and district policies mandate principal evaluations, it is still left to districts to interpret and design the evaluation process (Goldring et al., 2009b). Few principal evaluations are aligned to standards and rigorously tested for reliability and consistency (Condon & Clifford, 2009; Kimball, Milanowski & McKinney, 2009). Principals typically do not find the process beneficial (Kempher & Robb-Cooper, 2002). Most evaluations are not aligned to leadership aimed at improving student achievement (Catano & Stronge, 2006). Very little is known about how principals are evaluated, the outcomes of the evaluation, or the quality of the evaluation (Ginsberg & Berry, 1990).

In spite of the myriad of concerns, the literature also reveals the changing focus of principal evaluations and the trend to assure teacher effectiveness and student achievement is included as a critical aspect of the evaluation process. The researchers from the Wallace Foundation (2009) found increasing numbers of states seem to be using professional standards as a consistent foundation for principal evaluations. More than 40 states now use the ISSLC standards or some adaptation of them.

Principal evaluations can serve as a powerful communication tool and can inform the principal of areas of continued growth and improvement by identifying gaps between the current practices and the desired outcomes. It allows the opportunity to focus the principal on those behaviors that are associated with student learning (Goldring, et al., 2008). The research demonstrates that there is adequate understanding of the need for effective principal evaluations aligned to professional standards with effective performance measurements imbedded in a process that provides feedback to the principal for improving their performance. The VAL-Ed framework has embedded the research based elements of a standards based, feedback process to afford the principal and the evaluator essential information regarding the identified essential behaviors and key processes of an effective leader. Therefore, the conceptual framework and the understanding informed by the literature supports the research study as the researcher attempts to discover the evaluation process experienced by the participating principals as well as the instruments and measurements used by the participating evaluators. The study will explore which of the key processes and essential behaviors identified in the conceptual framework, are present in the evaluation systems of those participating in the research study.



## CHAPTER III

### METHODOLOGY

#### Restatement of the Purpose

The purpose of this study was to examine the principal evaluation process in three public school districts in Northern California. Specifically, the study explored the experience of the principal evaluation process from the perspectives of the elementary school principals. In addition, this study investigated the process of the principal evaluation from the perception of the evaluator, with specific attention to the implementation process of the evaluation, performance measurements used for the evaluation, and the feedback provided to principals resulting from the evaluation.

#### Research Questions

1. How is the principal evaluation process conducted as described and experienced by elementary principals in a Northern California School district?
2. How is the principal evaluation process conducted as described and experienced by principal evaluators in a Northern California school district?
3. How does the evaluation process provide performance feedback for the principal?

#### Research Design

A qualitative research design was used to explore the study's research questions because it allowed the researcher to observe the principals in context, and to elicit their own descriptions of the principal evaluation process. This study used the case study approach (Yin, 2002), of interviews and observations of elementary school principals and interviews with the principal evaluators from each of the three districts. Specifically, there were three districts used in the case study with two elementary principals and their

evaluator from each of the participating Northern California districts. Naturalistic inquiry (Guba, 1978) also known as a discovery-oriented approach was used because the researcher sought to study the principal in the real-world setting of their school (Patton, 2002, p. 40). The observations allowed the researcher to use the actual setting as a source of data and supported understanding the context and experience of the elementary school principal.

A stratified purposeful sampling method was used (Patton, 2002, p. 244) because the researcher wanted to focus on the evaluation experience of elementary principals with at least one year of experience as a principal. Observations of principals in their school settings were conducted as well as interviews of elementary principals and their evaluators in order to capture their personal experiences and perspectives. Document review was also conducted. Triangulation of these ethnographic methods of semi-structured interviews, field observations and archival research were used to assure dependability of the data (Glesne, 1998; Bogden & Bilkin, 2003). The researcher's personal experience, engagement and insights were an important part of the inquiry and were essential to understanding the phenomenon of the principal evaluation process. The researcher sought to understand the principal evaluation process in Northern California and this research design allowed the researcher to examine the actual process of the evaluation as experienced by the participating principal and the principal evaluator.

### Research Setting

The research setting consisted of three different districts in Northern California. Two of the districts were elementary districts, of grades kindergarten through eighth grade, Maxwell and Yuban. The other participating district, Folgers, was a unified

district encompassing grades kindergarten through twelfth grade. The following table provides a profile of the participants in the research study.

Table 1

*Profile of Research Study Participants*

Name of Participant	Position of Participant	Years in Position	Name of Dist/School	Size of Dist/School
Gary	Superintendent	5	Maxwell	4,100
Tammy	Principal	2	Potter El	580
Natalie	Principal	3	Clover El	670
Joyce	Superintendent	5	Yuban	4,800
Kevin	Principal	3	Langley El	460
Rhonda	Principal	8	Northridge El	600
Sharon	Asst. Superintendent	5	Folgers	9,800
David	Principal	2	Williams El	450
Mary	Principal	1	Ridge El	460

The names used in this research study as shown in Table 1 are pseudonyms to maintain the confidentiality of each participant and entity. The size of the district or school was rounded to the nearest 100 for districts and to the nearest 10 for schools (<http://www.greatschools.com/california>, *retrieved September 2011*). In examining the information, we see that all of the principal evaluators have five years of experience in their current role. The average experience of the participating principals was three years; with the most being eight years and the least being only one year at their current school. Folgers is the largest district in our study at nearly twice the size of the two participating elementary districts.

Table 2

*Ethnic Demographics of Participating Districts and Schools Compared to the State*

Name of District/School	African Am/Black	Asian	Filipino	Hispanic	White	2 or more races
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California	.07	.09	.03	.51	.27	.02
Maxwell USD	.03	.22	.02	.34	.31	.07
Clover El.	.01	.37	.02	.15	.34	.10
Potter El.	.05	.18	.03	.37	.29	.06
Yuban USD	.02	.14	.02	.18	.58	.02
Langley El.	.03	.08	.02	.37	.40	.01
Northridge El.	.02	.19	.01	.17	.53	0
Folgers USD	.04	.41	.21	.22	.08	.03
Ridge El.	.03	.18	.17	.39	.09	.02
Williams El.	.07	.30	.21	.31	.08	.02

It is important to understand the context of the schools and districts of the principals and principal evaluators in this study. The ethnic demographic information as shown in Table 2 illustrates the ethnic composition of students in the districts and schools of the participants in the study. The state demographic information is provided to provide a comparison of the participating district and schools to the state average. The state information used is based on grades 2 through 6 since all of the participating schools are elementary schools (<http://www.cde.ca.gov/ta/ac/ar>, retrieved September 2011). While American Indian and Pacific Islander are reported ethnic demographics, the numbers were negligible for the participants in this study and therefore were not included.

Except for Williams Elementary, all participating schools and districts have a lower percentage of African-American/Black students than the state average. Although Folgers School District has the highest percentage of Asian students, more than four times that of the state average, the participating principals' schools from that district do not have those similar high percentages. Williams has only 18% and Ridge has 30%, although both have more than double the state average. None of the participating entities have as high of a percentage of Hispanic students as the state average. Potter, Langley and Ridge Elementary all have almost 40% Hispanic students. The percentage of White students in Maxwell and the district's two participating schools is close to the state

average, with about one-third of the students in the district and schools being White.

Folgers School District shows the lowest percentage of White students, with all being less than 10%. In Yuban, white students represent the largest percentage of ethnic demographics at almost 60%. One of the schools in Yuban, Northridge has almost double the percentage of White students as the state average and although Langley does not have as high of a percentage of White students, it is still higher than all of the other participating schools and districts. It is important to understand the ethnic demographics of the schools and districts of the participants in this study as it provides context for understanding the possible variance among the schools and districts. In addition to ethnic demographics, there are also additional demographics to be considered for understanding the context of the participating entities.

Table 3

*Language, Economic and Parent Education Demographics of Participating Districts and Schools Compared to the State*

Name of District/School	Free or Reduced Lunch	Gifted and Talented	English Learners	Students w/Disability	Average Parent Education	Parent College Completion
California	.56	.10	.22	.10	2.8	.41
Maxwell USD	.32	.06	.23	.10	3.3	.52
Clover El.	.12	.06	.16	.11	4.14	.80
Potter El.	.39	.04	.27	.05	3.19	.47
Yuban USD	.15	.10	.10	.12	3.87	.71
Langley El.	.40	.05	.25	.10	3.22	.47
Northridge El.	.15	.10	.10	.12	3.87	.71
Folgers USD	.37	.11	.26	.10	3.17	.43
Ridge El.	.58	.03	.45	.10	2.71	.25
Williams El.	.50	.04	.36	.15	2.79	.26

The demographics shown in Table 3 are important to understanding the composition of students in each of the participating entities as it also provides insight into

the specific dynamics present at the district or school. Free and reduced lunch is used as an indicator of students who are from low socioeconomic backgrounds. According to the National Association for Gifted Children, Gifted and Talented (GATE) students are those students who give evidence of high achievement capability in areas such as intellectual, creative, artistic, or leadership capacity, or in specific academic fields, and who need services and activities not ordinarily provided by the school in order to fully develop those capabilities (<http://www.nagc.org>). According to the California Department of Education, English Learners are those students for whom English was reported to not be their primary language, and on the basis of the state approved assessments have been determined to lack the clearly defined English language skills of listening comprehension, speaking, reading, and writing necessary to succeed in the school's regular instructional programs. Students with Disabilities are those students who qualify for and receive special education services from the school or district (<http://www.cde.gov/ta/ac/ar>, *retrieved September 2011*).

Also included in Table 3 is the average parent education, which is based on the average reported score of the parent education on a scale of 1 to 5. A 5 is completion of graduate school, a 4 is a college graduate, a 3 is some college, a 2 indicates high school graduate and a 1 indicates the parent did not finish high school (<http://www.cde.ca.gov/ta/ac/ar>). The final column shows the percentage of parents that completed college.

When looking at the percentage of low socio-economic students (SES) as defined by qualifying for free and reduced lunch, we see there is vast disparity. Only 12% of Clover's students are low SES, compared to Ridge and Williams, both having over half

of their students receive free and reduced lunch. It is noted that only Ridge Elementary has SES percentages above the state average. The disparity is also present within the same district, as seen in Maxwell, with only 12% of Clover students being considered low SES compared to Potter's with almost 40% being considered economically challenged. A similar disparity is also seen in Yuban with Langley having 40% low SES compared to Northridge with only 15% low SES.

The GATE number of students is shown less than the state average at all of the participating schools except Northridge. Both Yuban and Folgers Districts have GATE numbers similar to the state average. Identifying SES has monetary benefit attached to it because Title One money is contributed to schools and districts based on the percentage of students receiving free and reduced lunch (<http://www.ed.gov>). Because there is no funding for GATE students, districts and schools have less incentive for identifying these students. English Learners are identified when they enter the school system, based on the parent Home Language survey, which is filled out as part of the enrollment process for all students. Once a student is identified as having spoken a language other than English prior to beginning school, the student is assessed and monitored until they are considered to be fluent in English (<http://www.cde.gov>).

Folgers School District has the largest percentage of English Learners (EL), with more than a quarter of all students in their district considered not fluent in English. Both of Folgers' participating schools have relatively high EL percentages with Ridge having the highest number with almost half of the students being EL. Again, disparity of schools within the same district is evident. Northridge has only 10% EL, while one-fourth of Langley's student body is EL. A less extreme disparity is also present in Maxwell; with

Potter having 27% compared to Clover having only 16% EL students. Students with disabilities are consistent across all of the schools with the exception of Potter elementary with only 5% of the students receiving special education services. One consideration is that this number does not indicate the type of service being received, so there is more to consider than the mere percentage. For instance, Potter has the Emotionally Disturbed program at the school.

Parent Education is a self-reported number from the parent, who indicates the education level of the student's most educated parent (<http://www.cde.gov>). The general premise is there is a correlation between parents education level and students readiness for learning. Schools with low parent education levels receive funding as part of the Federal Title One funds. This information is also used for comparing schools in the similar school rankings (<http://www.cde.gov>). Disparity is seen in this demographic as well; Clover elementary has a 4.14 out of a possible 5, meaning many of the parents of students at Clover report having completed graduate school. In fact, 80% of students have a parent who graduated from college, contrasted with our two lowest schools of Ridge and Williams, with only about a fourth of the students having a parent who reports being a college graduate. Both of these schools have a lower percentage than their district. These demographic factors are often considered to be predictors of the achievement levels of the students. This also lends to the concept of the Achievement Gap. This refers to the disparity in academic performance between groups of students. The achievement gap shows up in grades, standardized-test scores, and other success measures. It is most often used to describe the performance gaps between African-American and Hispanic students, and their non-Hispanic white peers. There is also



similar academic disparity between students from low-income families and those who are financially better off. According to the U.S. Department of Education, The No Child Left Behind (2001) Act created awareness and accountability for districts and schools to close the achievement gap. One of the most critical aspects of district and school performance in California are the achievement levels of their students.

Table 4

*Achievement Data of Participating Districts and Schools Compared to the State*

Name of District/school	2010 API	2011 API	Growth	Similar School Ranking
California	800	808	8	N/A
Maxwell USD	870	874	4	N/A
Clover El.	941	950	9	10
Potter El.	876	881	5	9
*Yuban USD	905	901	4	N/A
Langley El.	835	878	43	4
Northridge El.	941	934	- 7	9
Folgers USD	831	849	18	N/A
Ridge El.	821	827	6	6
Williams El.	795	864	71	4

Table 4 illustrates the Academic Performance Index (API) for each of the participating districts and schools in this study. All principals and principal evaluators reported their experience of the principal evaluation process for the 2010-11 school year, so it is important to understanding the context of the study to examine the district and schools' achievement changes during the same year. It is noted that all participating entities showed higher API than the state average, but when considering growth, 45% of the participating entities made more gains than the state average and 55% gained less than the state average.

Similar school ranking is for school reports only. In addition to statewide ranks, schools are ranked compared to 100 other schools with similar demographic

characteristics. For the similar schools rank, schools are ranked into deciles according to school type: elementary, middle, and high. To determine the similar schools rank for a school, a comparison group of 100 similar schools of the same type is formed for that school, based on similar demographic characteristics. The API scores for this group of 100 schools are ranked into ten categories of equal size, called deciles, from one (lowest) to ten (highest). Each decile contains 10 percent of all of the 100 similar schools in the comparison group. The school's similar schools rank is the decile where that school's Base API falls compared with the Base APIs of the 100 other similar schools in the comparison group (<http://www.cde.ca.gov>).

The similar schools ranking does not come out until the Spring of the following year, for instance the similar school ranking for the 2010-11 school year will not come out until the Spring of 2012. The information in Table 4 is from the 2009-10 school year. This was a contextual factor showing the participating schools' comparison to similar schools. It is noted that Clover, Potter and Northridge are all highly ranked among similar schools. Williams has the lowest similar school rank, however, it will likely increase for the 2010-11 year due to the impressive API gains made.

Understanding the demographic information of the participants and the districts and schools they work in is intended to give the study a richer interpretation of the contextual factors influencing the principal and the principal evaluator. The researcher did not attempt to find schools with similar demographics, as that was not a core focus of the research. The researcher looked for participants that would contribute to understanding the principal evaluation process.

### Sample

The researcher discussed this research study in a meeting with members of the Human Resources (HR) Administrators in a Northern California County. This group meets to discuss legislative and personnel matters affecting the districts in the County on a monthly basis. Members of this group have access to elementary principals and principal evaluators in this Northern California County. Solicitation to participate in the study was made at the monthly meeting in May. Invitation to participate in the study was extended to all elementary public school principals in the Northern California County with more than one year of experience as a principal. The researcher interviewed each of the six participating principals and the three principal evaluators in each of the participating districts once. Additional follow phone calls and emails were conducted to gain additional and clarifying information. The interviews were conducted in the summer and early fall of 2011 in an effort to find accommodating times to the demanding schedule of school principals and district office administrators.

The sample consisted of six elementary principals, two from each of the three participating school districts. The sample also included the principal evaluators from each of the three participating school districts. Two principals and the principal evaluator from Maxwell School district, Yuban School district and Folgers School district comprised the research sample.

### Human Subject Approval

The researcher received permission to conduct the study from the superintendent in each of the participating districts. Letters from each of the district leaders and additional pertinent information was submitted to the Institutional Review Board for the

Protection of Human Subjects (IRBPHS) (Appendix D). Once the IRBPHS authorized conducting the study, the researcher contacted the prospective individuals by phone or email in an effort to set up appointments for interviews. The interviews were arranged at the convenience of all of the participants as a courtesy to each of the participants. Each participant was assured that all data would remain confidential and that pseudonyms would be used to assure anonymity of participants and districts. Participants were assured that they could decline to answer any of the interview questions and they were also informed that they could withdraw from participating in the study at any time.

#### Instrumentation

The researcher used an interview guide, as presented in Appendix A, combined with an informal conversational approach (Patton, 2002). A standardized interview format was used in the early part of the interview with the opportunity for the researcher to pursue subjects of interest that arose during the interviews. Direct observations (Patton, 2002, p. 262) were conducted of the principals performing aspects of the role of principal at his or her respective school in an effort to gain context and to support the interpretation of the data. Relevant documents, such as evaluation templates and evaluations of participating principals were examined in an effort to gather data from multiple sources to inform the interpretation of the data (Patton, 2002, p. 247).

#### Interviews

The purpose of the interviews was to gain insight into the process of principal evaluations, which could not be solicited by observation alone, as the researcher could not observe the thoughts and feelings of the participating principals or the intentions of the participating evaluators (Patton, 2002). The interview allowed the researcher to

understand the participants' perspectives. The perspective of the principals and their evaluators was essential to the researcher's desire to examine the principal evaluation process.

A combination of informal conversational interviews and the use of an interview guide approach were used to obtain the perceptions of elementary principals regarding their evaluation procedures and their perceived benefit from the process and feedback provided. This same method was used to interview the administrator responsible for evaluating principals (Patton, 2002). The participating principals were interviewed one time prior to the beginning of the school year and then follow up was made with each of them through telephone and email after school has begun. For both the principals and the principal evaluators, the researcher conducted a formal interview and then followed up with each participant to gain clarity. The researcher conducted the first interview for each of the participants and conducted preliminary analysis of the interviews to establish emerging themes, which served as a guide for further exploration and follow up. The subsequent contacts allowed the researcher to clarify information that was unclear or not solicited in the first round of interviews. All interviews were concluded by August 31, 2011. Participants were interviewed up to three times to clarify and gather additional information.

The interviews were audio recorded and then transcribed for analysis. While conducting the interview, the interviewer used pseudonyms for all participating individuals, schools and districts to assure anonymity.

### Supporting Document Examination

Documents, such as the evaluation templates, actual principal evaluations, procedures and any other relevant materials obtained from principals or principal evaluators was analyzed in an attempt to contextualize organizational texts (Patton, 2002, p. 498). Examination was conducted on each of the supporting evaluation documents to provide validation of the data gathered from the interviews. The researcher examined the information gathered and feedback provided. A coding system was developed to categorize the information obtained for thorough analysis (p. 465).

### Observations

The observation duration was a “day in the life” of the principal to establish additional context and to provide information to the researcher regarding a view of the type of work the principal engaged in and as it related to the principal evaluation process as reported by the principals and principal evaluators. The observation for the day was conducted for each of the participating principals in their actual school settings to capture their real-world experiences. The researcher took field notes throughout the observation. The researcher was the only observer and conducted the observations covertly as an outsider and a spectator (Patton, 2002, p. 277). The observations were used to support the researcher’s understanding of the context of the role of the principal in their specific school settings.

### Validity

#### Interview Questions Field Test

The interview questions in Appendix A were field tested by three elementary principals and a principal evaluator. The field testers consisted of a Latina elementary

school principal with a clear administrative credential with five years of experience as a principal at her school, which is considered a Title One school because of the number of socioeconomically disadvantaged students. According to the School Accountability Report Card (SARC), retrieved from her school's website, she has about 450 students in kindergarten through fourth grade. The 2009-10 school year data indicates 83% of her students are socioeconomically disadvantaged and 73% are English Learners and Hispanic is the largest ethnic group at her school.

The second field tester was a white male with a clear administrative credential with six years of administrative experience. Two years as an assistant principal and the last four at his current school as a principal. According to his school website's 2009-10 SARC information, his school has over 600 students, with over 34% being socioeconomically disadvantaged and 24% English Learners. The school's largest ethnic group is White.

The third field tester was a white female with a clear administrative credential and six years of principal experience, and the last five years have been at her current elementary school. According to her school's website, her school has over 700 students enrolled with 44% being socioeconomically disadvantaged and 39% being English Learners. Hispanic is the school's largest ethnic group.

The final field tester was an African-American male superintendent with a clear administrative credential and 22 years of experience as an administrator. In those 22 years, he has been a principal, Director, Assistant Superintendent and Superintendent. One of his responsibilities is to evaluate principals. His district is an elementary district with grades kindergarten through eighth grade with an enrollment of almost 7,400

students. The district has a revenue limit of \$5,523 per ADA and 32% of the students are English Learners and over 42% receive free and reduced lunch. Over 60% of the students are minority, with Hispanic being the largest ethnic group. The district base API score is 793.

Each of these field testers possesses the experience and training to assess the validity of the interview questions. Of the four field testers, no substantive suggestions for changes were made. Two of the field testers commented the numbering of the questions was confusing, so the numbering was adjusted to provide clarity and distinction between the Research Questions being addressed and the number of the actual interview question. The Superintendent field tester also suggested more specific adjustments be made to clarify which questions were intended for the principals and which questions were intended for the principal evaluator. All suggestions were incorporated into the final interview protocol used in the study.

#### Data Validation

The researcher assured valid data by having several components of validation within the data collection. The researcher gathered demographic data about the participating districts, schools, principal evaluator and principals from *Great Schools* and *Ed-Data* (<http://www.greatschools.org/schools/districts/California/CA>; <http://www.ed-data.k12.ca.us/Pages/Home.aspx>). The information from both *Great Schools* and *Ed-Data* are compiled from information schools and districts are required to submit to the California Department of Education. The researcher asked the principal evaluator to confirm the accuracy of the data and to provide valid revised data if the information obtained was determined to be invalid. No corrections were submitted from the



evaluators. Clarification was provided by the superintendent of Yuban regarding the API data because an error had been made and the revised information from the state would not be available in time to include in this research.

The researcher had each of the interviewees review the actual interview transcripts to assure the information acquired from the interviews was consistent with the understanding and experience of the participating principal or principal evaluator. No adjustments were made to any of the interview transcripts. The researcher allowed the participants to review the findings to assure accuracy, completeness, fairness and validity of the data collected (Patton, 2002, p. 560).

Triangulation of the data gathered through semi-structured interviews, field observations and document analysis were used to assure dependability of the data. This process, also known as cross-validation was used to support the research study and to validate the research findings (Denzin 1978; Glesne, 1998; Patton, 2002; Bogden & Bilkin, 2003).

### Reliability

Consistency of the same researcher conducting all aspects of the research of demographic data, interviews, observations and document review prevented varying interpretations that might result when multiple researchers are used. The researcher recorded data as it actually occurred in the setting under study (Bogdan & Biklin, 1998, p. 36). The researcher sought to be reliable and objective by working to minimize bias and maximize accuracy by being diligent in the data collection process of being thorough, consistent and recording and reporting impartially (Patton, 2002, p. 93). The researcher used an audio recorder for each of the interviews to accurately capture the information

provided by the study participants. The researcher carefully transcribed all aspects of the interviews and reviewed each of the transcripts three times to assure emerging themes were supported by the data from the study. The observer looked for common themes across the data to avoid independent or accidental circumstances of the research.

### Limitations

One of the limitations of this study was the relatively small sample size. The researcher collected data from elementary principals and principal evaluators within a County in Northern California. This study consisted of three different districts, with two principals from each of the districts. Interviews and supporting documents were used to understand the evaluation process and system of the research sample. This small sample size from one region may affect the generalizability of the study to other districts in other regions and states.

Another limitation was the selection method used for the participants of the study. It was a convenience sample comprised of those districts and principals willing to participate in the study. This may have an effect of overstating or understating the research findings because those who were willing to participate may either perceive their existing evaluation procedures and practices as being of high quality and therefore be willing participants or believe their evaluation system was of poor quality and desired to participate in an effort to improve their poor principal evaluation experience.

Observer bias by the researcher was also a potential limitation. The researcher is a former principal and is an evaluator of principals. Therefore, the researcher may have approached aspects of the research with assumptions regarding principal evaluation procedures. The researcher sought to approach the study impartially, allowing data from

the multiple sources of observations, interviews and documents to inform interpretations and findings (Patton, 2002, p. 93).

Another limitation was the limited time of the study as there was only an opportunity to gather information of participants in the study during part of a school year. Information gathered across multiple evaluation cycles might more accurately demonstrate practices, perceptions and supporting documents than information gathered in part of a single year. The participants reflected on the process as they remembered having experienced it. This limited time analysis might be vulnerable to an overstatement or understatement of research findings that may be unduly influenced by unanticipated factors outside of the control of the participants. This limitation exposes the research to a vulnerability of noting aspects of the process that will be reported as part of the evaluation process that may not actually be consistently implemented for the principal evaluation process.

#### Data Collection Procedures

Data collection began by gathering as much demographic information about the participating school districts, schools, principal evaluators and principals as possible through the various data collection sources, such as *Great Schools* and *Ed-Data* as well as information available on the respective district and school websites and publications. This demographic information aided the researcher in understanding the specific context of the participants and research settings.

The interview with the principal evaluator was conducted before the interviews with the principals to allow the researcher an opportunity to get a district wide view before meeting with the individual principals in the study. Also, any specific information

provided about the principals or schools' that resulted from the interview with the principal evaluator served to inform the interviews and observations of the participating principals. The guided interview questions listed in Appendix A were used for the interview, beginning with request for the participant to share specific background, experience and training information. The researcher then asked questions 2.1 through 2.9 and 3.6 through 3.9, question 2.10 was the last question asked. The researcher also used the open-ended process of asking additional questions aimed at understanding the information being provided in the interview (Patton, 2002). The information obtained from the interview with the principal evaluator as well as the demographic information was used to provide additional understanding and context of the participating principals and schools in this study (Patton, 2002, p. 498).

The first of the interviews was conducted with the principals, soliciting the introductory background and experience information and questions 1.1 through 1.15 and questions 3.1 through 3.5, concluding with question 1.16 (Appendix A). The researcher also asked the principal to confirm the demographic data collected from the public data sources, such as state, school and district websites and data publications. The researcher did not need to revise or add to the demographic information because additional demographic clarification or materials was not provided. The researcher also requested and collected supporting evaluation documents of evaluation templates, and actual evaluations with personal information redacted. Strategic plans mentioned in the interview process were also collected.

The researcher examined the data collected from the demographic information, the principal evaluator interviews and the principal interviews to find emerging themes to

inform the observations. The researcher also used the elements of leadership behaviors as noted in the VAL-Ed conceptual framework to inform the data collection. The observation was conducted to allow for triangulation of the data, however some behaviors from the conceptual framework were observed, such as the presence of the Leadership Behaviors illustrated in the lavender box on Figure 1. An example of this was the principal conducting classroom observations to monitor the school's implementation of providing rigorous curriculum, as illustrated in the blue box on Figure 1.

The researcher used the bottom up method as these various aspects of data were collected and evidence of themes became relevant (Bogden & Biklin, 1998, p. 6). The follow up with the participating principals and principal evaluators was more open ended and served as an opportunity to validate information gathered and to solidify the presence of themes. One observation was conducted and up to three additional follow up contacts were made with the participants. The researcher analyzed all data to uncover patterns, themes and categories in an attempt to discern what was really significant and meaningful from the data (Patton, 2002, p. 467).

#### Data Analysis

The researcher used the VAL-Ed conceptual framework to inform the data analysis, specifically, the researcher looked for the presence of any elements as described in the framework. In reference to the inputs of knowledge and skills, personal characteristics and values and beliefs as illustrated by the yellow boxes on Figure 1, the data obtained from the interview regarding the background and experience was analyzed to understand the inputs of each of the principals. Observation data was used to validate

and triangulate the data gained from the interviews and supporting documents (Denzin 1978; Glesne, 1998; Patton, 2002; Bogden & Bilkin, 2003).

The conceptual model considered the context not only of the individual, but also regarding the specific composition of the school. The demographic data collected from district, school and state data sources was analyzed to provide contextual understanding of the specific attributes of each school in the research study.

Research question 1: How is the principal evaluation process conducted as described and experienced by elementary principals in Northern California? The data analyzed to address this question was the information obtained from the interview questions 1.1 – 1.15 from Appendix A. The information provided to these questions was audio recorded and transcribed by the researcher. The transcriptions were reviewed three times to assure accurate understanding of the information obtained. Document analysis of evaluation templates, actual evaluations of the principals with all personal information redacted and any other information provided was analyzed, for instance, Maxwell provided their strategic plan. A coding system was established to identify themes. For instance all references to the frequency of the evaluations was coded in each interview. Codes were used for the various aspects of the evaluation process, such as goal setting, and mid-year reviews. The observations of principals did not lend additional information of the principal evaluation process, however it did provide additional understanding of the specific contextual information of the participant, school and district, an important aspect of the contextual framework of this research.

Research question 2: How is the evaluation process conducted as described and experienced by principal evaluators in Northern California school districts? The data

analyzed to address this question was obtained from the interview questions of 2.1 through 2.9 in Appendix A. The interview was audio recorded and transcribed by the researcher and examined for emerging themes. The researcher intended to examine evaluation templates, training materials, superintendent handbooks, and actual evaluations with all personal information redacted were examined to understand the principal evaluation process. However, none of the principal evaluators had any training materials or superintendent handbooks that specifically addressed the process for evaluating principals. Documents obtained were coded to determine emerging themes from the data. Codes were developed for aspects of frequency, elements of the process, such as goal setting, midyear reviews, evidence of alignment to professional standards and other elements that appeared to be common within and across districts.

Research question 3: How does the evaluation process provide performance feedback for the principal? The data analyzed to address this research question was comprised of interview questions 3.1 through 3.5 of the principal interviews and questions 3.6 through 3.9 of the principal evaluators. The data collected was audio recorded, transcribed and reviewed three times to assure consistency in interpretation of the data. The data was further analyzed to establish emerging themes. A coding system was used to further analyze the information, for instance, a code was established for feedback and then that was further analyzed and coded to determine what the feedback was based upon and also to realize how the feedback was provided to the principal.

This section was also analyzed in light of the VAL-Ed framework, specifically, the researcher examined the data to determine any presence of the leadership behaviors as described by Goldring, et al., (2009), illustrated in the lavender box of Figure 1. The

researcher also examined the feedback provided and performance measures used for principal evaluations to determine the presence of school performance and core component as illustrated in the blue box. Information obtained from the interviews, document review and observations provided evidence of the elements used to measure principals' performance. For instance, during the observation, when the researcher observed the principal conducting classroom observations to assure implementation of rigorous instruction as verified by the follow up interview, the researcher examined the documents for evidence of the presence or absence of this being addressed in the evaluation.

The final and essential aspect of the conceptual framework was the focus on student outcomes, as illustrated in the orange box in Figure 1. In light of the political pressures and the important role the principal plays in student learning (Marzano, et al., 2005), the data was analyzed to establish the inclusion of student outcomes in the principal's evaluation. Interviews, specifically questions 1.9, 1.10, 1.11, 1.13, 2.5 and 2.7 (Appendix A), allowed the researcher to identify if student outcomes were part of principal evaluations.

The researcher then identified themes and patterns across the participants. Categories of these themes were analyzed for interrelationships and contradictions of information across the data obtained. The researcher examined supporting documents provided by the participants in an attempt to triangulate the data for consistency between observations, interview data and document data (Patton, 2002, p. 247). Both inductive and deductive analysis was used (Patton, 2002, p. 453) as the researcher discovered



patterns, themes and categories within the data using the open-ended method (Strauss & Corbin, 1998).

Emerging themes and categories were examined for evidence of the presence of elements of the conceptual framework. The conceptual framework of the VAL-Ed served as a template of an effective principal evaluation, as the instrument was developed from extensive research and consists of essential elements of an effective evaluation for school leaders (Goldring, et al., 2009). As mentioned previously, the research study was aimed at understanding the principal evaluation process as experienced by elementary principals in Northern California and the researcher did not have control over the actual instrument used by participating evaluators. The conceptual framework was used as a structure to display the appropriate elements of a research based principal evaluation and the researcher examined the elements of the actual process experienced with the lens of the VAL-Ed process.

#### Researcher's Profile

The researcher possesses a California administrative credential and has been an administrator for eleven years. The researcher was a middle school principal for five years, a Director of Student Services and Special Education for three years and is in her fourth year as Assistant Superintendent of Human Resources in a Northern California school district. The researcher completed the Association of California School Administrators (ACSA) personnel academy. Evaluations were one of the topics covered in the academy, although the focus was on teacher evaluations rather than principal evaluations.

As the Assistant Superintendent of Human Resources, the researcher is responsible for evaluating half of the principals in her district. As a result of these experiences and training, the researcher brings cultural understanding of the legal requirements; political dynamics, terms and processes often used in public schools in California, which supported the researcher in conducting this research study.

## CHAPTER IV

### FINDINGS

#### Introduction

The purpose of this study was to examine the principal evaluation process in three public school districts in Northern California. The study explored the evaluation process as experienced by elementary school principals. In addition, the study investigated the process of principal evaluations through the perspective of the principal evaluator. Specifically the study focused on the implementation, performance measurements used and the feedback provided to principals from the principal evaluation process. The participants shared their experiences of the principal evaluation process.

After presenting a profile of each of the three participating districts' principal evaluator and the two participating principals, the researcher will delineate the findings presented in response to each of the research questions in the following order: (1) perceptions of the evaluation process for principals as described by elementary principals, (2) perceptions of the principal evaluation process as described by principal evaluators, (3) perceptions of the performance feedback provided as described by elementary principals and their evaluators.

The following profiles arose from the interviews of the participants. Each participant shared his or her background and years of experience prior to becoming a superintendent, assistant superintendent or elementary principal.

### Profiles of the Participants

All names of participating principal evaluators and principals referenced in this study are pseudonyms. In addition, all District and School names are also pseudonyms to maintain the confidentiality of all participating individuals and entities. A brief synopsis of the participants is illustrated in Table 1.

#### *Gary*

Gary is the superintendent of Maxwell school district and has been in education for almost 40 years. Gary is the evaluator of all six of the principals in his district He was a teacher for 24 years before going into administration, where he served as a high school assistant principal, an elementary principal, as the Director and then as the Assistant Superintendent of Curriculum and Instruction. Finally, in his last five years he has been the Superintendent of Maxwell Elementary Union School District.

#### *Tammy*

Tammy is the principal of Potter Elementary School in Maxwell Union School District. She served as an elementary teacher for 15 years in Southern California and when she relocated to Northern California, she was initially unable to find a teaching job. She worked in the technology industry for four years before returning to the classroom. She served in that capacity for eight years before becoming an elementary assistant principal. She has been an elementary principal at Potter Elementary School in Maxwell School District for two years.

#### *Natalie*

Natalie is the principal of Clover Elementary School in Maxwell School District. Natalie has been in education for 23 years. She was a middle school assistant principal

and has been a principal at two of the schools in the district. She has served as an administrator in Maxwell for the last 11 years, and as principal at Clover for the last three years.

*Joyce*

Joyce is the superintendent of Yuban Elementary School District. She has served in this capacity for five years. She has worked in three different states and internationally as a teacher. She reports her administrative track as being typical; she was an assistant principal, then a principal, then Director of Instruction for a very large educational organization and before becoming the superintendent of Yuban. According to Joyce, this is her first and likely her last superintendent job.

*Kevin*

Kevin went to Yuban School District three years ago when he was hired as the principal at Langley Elementary. Prior to that, he worked in a neighboring school district as the assessment coordinator, an assistant principal at a middle school and as a teacher. Kevin has been in education for 13 years.

*Rhonda*

Rhonda has been the principal at Northridge Elementary in Yuban for eight years. Prior to that, she worked as an assistant principal for three years in Yuban School District.

*Sharon*

Sharon is an Assistant Superintendent in Folgers Unified School District and in that role is responsible for evaluating three of the nine principals in the district. Sharon has been in Folgers Unified School District for 22 years. She started as a classroom

teacher and then was a teacher on special assignment serving as a liaison with community based agencies to prevent truancy and engage families with the district. She then served as an assistant principal and then as an elementary principal before becoming first the Director of Human Resources and now the Assistant Superintendent of Human Resources for Folgers.

*David*

David has been the principal of Williams Elementary School for the last two years. He took a traditional route to administration by serving as a middle level teacher for nine years before becoming an assistant principal for two years each at two of the middle schools in Folgers.

*Mary*

Mary just completed her first year as a principal in Folgers School District. Before coming to Folgers, she had been a principal in a neighboring district for five years. Mary began her teaching career in Folgers and considers being the principal at Ridge Elementary as coming home.

Each of the participants in this research study contributed to understanding how the principal evaluation process is conducted and experienced by both the elementary principal and by principal evaluators. The participants reported experiences also provided the researcher with understanding of how the evaluation process provides feedback for the principal. Following are the results of the research study.

**Results of the Study**

The results of the study will address each of the three research questions. Specifically, the first question will draw from the interviews from the participating

principals as they describe and report their experience of the evaluation process. The second research question will draw from the information provided by the participating principal evaluators as they describe the principal evaluation process from their experiences. The final research question will focus on the feedback provided to the principal from the evaluation process, which will draw from information provided by principals and principal evaluators. The evaluation documents gathered from each of the participating districts will also be used to address specific aspects of the study. The key findings below are provided as a guide to aid the reader in understanding the essential data that emerged from each of the research questions. Richer description of the themes and findings is provided in the remainder of the chapter.

#### Key Findings From the Research

Research Question 1: How is the principal evaluation process conducted as described and experienced by elementary principals in a Northern California School District?

- Principals report their evaluations are aligned to the district strategic plan and the CAPSEL.
- Goal setting is an essential aspect of the process, with progress on goals being monitored primarily by the principal.
- All principals find the process beneficial but those not evaluated by the superintendent express concern regarding the blurring of the lines between the evaluators' role in the district and their role as evaluator.

Research Question 2: How is the principal evaluation process conducted as described and experienced by principal evaluators in a Northern California School District?

- The principal evaluation is aligned to the district's strategic plan, which is developed by key stakeholders in the respective districts.
- Performance measures are based on student achievement data and input from staff and parents obtained through surveys.
- All evaluators believe the process is important as an influential way to bring continuous improvement.

Research Question 3: How does the evaluation process provide performance feedback for the principal?

- Feedback is written on the evaluation as well as informally through conversation between the principal and the evaluator.
- Evaluators' decision to formally document the feedback depends on the severity of the situation, anticipation of further ramifications; the verifiability of the information by data and recognition that verbal feedback is not bringing about the desired changes.
- All participants report the feedback is beneficial for affirming and for making suggestions for adjustment to improve principals' performance.

#### The Evaluation Process for Principals

This study considered the evaluation process including all aspects of the evaluation, not simply the paperwork involved. According to the Merriam-Webster online dictionary, process means to progress or advance, a series of actions or operations conducting to an end; especially a continuous operation or treatment. This study is examining the series of actions that comprise the principal evaluation.

When looking at the process, it was important to know who was conducting the evaluation of the principal, specifically, the role of the individual performing the evaluation. In both of the elementary districts, principals reported being evaluated by the superintendent. In Folgers, the principals reported being evaluated by assistant superintendents. The principals expressed being unclear as to why a particular assistant superintendent was selected to evaluate them. David reported being evaluated by the Assistant Superintendent of Curriculum and Instruction (C & I) and Mary reported being evaluated by the Assistant Superintendent of Human Resources (HR). David said he had requested to be evaluated by the superintendent, but was told by his superintendent "that it would not be a good political decision to change administrators evaluating him in case she ever became the superintendent." David explained he stayed with the assistant



superintendent assigned to evaluate him, but he had wanted the person responsible for the vision of the district to evaluate him, he wanted to “see it through his [the superintendent’s] eyes.”

While this research study did not intend the process to be limited to the specific documents used for the principal evaluation, the types of documents used and the information provided on the paperwork is an important aspect for understanding the evaluation process. The forms (Appendix C) used in the three participating districts are similar, with Maxwell and Folgers having identical templates for the evaluation document.

It is noted, while the documents are identical, there is variance in the two districts’ process as will be discussed in more detail further in this Chapter. Another similarity across the three districts as reported by the participating principals was the aspect of goal setting. Principals described the goal-setting element as an important aspect of their evaluation process.

### Goal Setting

The inclusion of goal setting in the evaluation process was universal across the three districts in the study. All of the participants in the study report their evaluations are aligned to their district’s strategic plan. All principals also report the evaluations are influenced by the California Professional Standards for Educational Leaders (CAPSEL), although in examining the documents, it is evident that the themes of the CAPSEL are present, but the specific terminology from the standards is not identically replicated. For instance, Standard 1 of the CAPSEL is: Facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by

the school community and in the Key Performance Continuum document, this statement is not used but under the Leadership section, the descriptor for Meets Standard is “Has a vision for the team; is able to empower team members; usually models desired behaviors; offers training opportunities.” In examining the CAPSEL standards, we see that the Leadership box on the Key Performance Continuum document uses aspects from Standard 1 and Standard 2 of the CAPSEL standards. So whereas the principals report the evaluation process being aligned to the standards, the goals are not explicitly taken from the CAPSEL standards but the attributes of the standards are present in the Continuum document used by Folgers and Maxwell as shown in Appendix C.

According to David, Folgers management evaluation system could be more closely aligned. He explains what he considered to be a disconnected process,

There’s one sheet that is on your goals and basically, you’re responsible for having a goal that’s focused on something in the strategic plan, a goal that’s focused on closing the achievement gap, another strategic plan in the district and then the other goal can be from either of the strategic plans or from your school plan. It just has to be something that has been established here in the district.

According to David, he can choose his goals from either of the District’s strategic plans. “But then there is this continuum; I think the basis of the continuum is on the standards for administration.” He indicated Folgers’ process is like two separate processes, that there isn’t continuity between the goals and the continuum. Mary also indicated Folgers process is “sort of aligned to professional standards.”

Tammy indicated the form they use in Maxwell is also aligned to the standards for educational leaders. Natalie felt the CAPSELS were woven into their process, although they are not specifically stated. She shared how the goals and strategic plan align.

We have a strategic plan so we write our goals around our strategic plan. So, you know, the first goal is close the achievement gap while raising the achievement of all students. And then we write what our specific steps are underneath that goal.

Both principals in Maxwell attest to the alignment of the evaluation document and the CAPSEL standards, but both also indicate the focus of the goal setting is on the District's strategic plan rather than from the professional standards.

In Yuban, the goals result from the data analysis of the work done the previous school year. Kevin stated,

Usually in early September, we'll sit down and do goal setting for the next year. We'll talk about what will be our focal areas to be outlined in our School Site Plan and how we're going to make those things happen and why we're doing those things based on data.

Rhonda contrasted her previous experience in Yuban under a different superintendent.

She indicated her previous superintendent did not have goal setting and used a simplistic evaluation process. Rhonda explained Yuban's current process this way,

She [her evaluator] has us set goals in the fall and then part of the continuous cycle is we address what goals we were able to meet and have evidence that we met them or didn't meet our goals. Then at that culminating meeting we also set new goals based on that data. It's much more comprehensive. It's much more directed.

David discussed the goal setting process in Folgers,

Maggie [his evaluator] was very data driven in the sense that she wanted measurable goals. We spent a lot of time on it . . . going over the goals I had established, talking about how I would measure them. For example if it was communication with stakeholders, she wanted copies of newsletters, agendas, any emails that might have gone out, etc.

Even though they are in the same district, Mary's description of the goal setting procedure seemed a bit less formal than David's, she said, "we're given a thing where we're supposed to set our goals for the year." She further indicated that the goals were not exclusive to the needs of her school site, she stated, "I basically took what I had done

for my previous district and imported the same thing over and then tweaked it to fit the new form.” According to Mary, all of education is grappling with the same things; therefore, the goals are all going to be similar.

While all of the principals confirmed the goals are to be aligned to the district’s strategic plan, some were unsure how to actually do that. In Maxwell, the principals are not necessarily clear on how they are supposed to write their goals, according to Tammy, “before I met with him [Gary] my first year, I was freaking out because I had no idea how to write my goals.”

I would set goals and I pretty much would just write them and then go in and meet with the Superintendent and each of the two years I did it, he said, “okay.” And then my first year, we met probably in May or June and I had to bring in a typed up update on my goals and then from there, he wrote my evaluation.

The absence of any indication that she was not doing them as intended caused her to assume she was writing the goals as the Superintendent intended. Natalie shared this sentiment explaining she had not received much guidance on developing her goals, except for the comments on the previous year’s evaluation. It is noted the information on Maxwell’s Management Team Performance Evaluation document provides directions, definitions and timelines of the process (Appendix C). Tammy indicated her evaluator never met with her to discuss the evaluation process, “his administrative assistant simply sent a group email to all of the principals with the evaluation document attached.”

In Folgers, there is autonomy in selecting the goals, David said he is able to pick all three of his goals, the only input he may get is on how the goals will be measured, but they are not directed by the evaluator. David shared this sentiment on his goals, “I would love for them to be more data driven – student and teacher data driven.” The principals in Yuban report the goals as being more directed by the evaluator and based on data.

in Yuban report the goals as being more directed by the evaluator and based on data. Kevin stated, "I wouldn't say they're force-fed goals, but they're kind of just collectively understood as non-negotiables." Kevin indicated the process targets school culture and climate, performance and data, teacher evaluations, student attendance and the goals and initiatives the district is implementing. He indicated it is expected that data be used to show progress in these areas. Rhonda confirmed this when she conveyed the need to have evidence of meeting her goals, either through test scores, parent or student surveys, or other anecdotal ways to show how she met or didn't meet her goals.

### Progress Monitoring

While all of the principals reported a goal setting aspect to the evaluation process, there was variance in how the principals were expected to monitor their goals to determine if they were making the desired progress for the evaluation year. In Maxwell, it is optional to have a midyear review of the progress on goals. Tammy indicated she did not have one her first year, but did have one her second year. She was not clear on why her superintendent chose to do a midyear check the second year, she thought he "probably just ran out of time and didn't get to it during the first year." Natalie indicated the first year she returned to Clover, the superintendent said he wanted to meet with her every month to see how things were going, but that never really happened. She said, "you know, we all have these great and lofty goals and then reality hits and it doesn't really happen." She did say there was a midyear check in, but often these were very informal, and rarely were done on the actual evaluation form. The Maxwell evaluation document states, "date of interim report optional." Kevin and Rhonda both indicated Yuban did not have a formal check-in process to monitor progress towards goals.

David said Folgers is supposed to have a midyear reflective evaluation, and his interpretation of midyear is December or January, but his did not happen until late March. This was frustrating to him because by the time he got the information, “with Spring break and the school year ending in early June, it left little time to make any adjustments from the reflection.” The Folgers midyear review is not really based on the goals written at the beginning of the year, it is essentially held to discuss the information gathered from the staff surveys and interviews. Mary described the process this way,

They did a midyear survey of the staff and they did it just before Christmas, which was not the best timing. . . . met with me and then went through the results of the midyear survey and we kind of talked about areas that were identified and what was being done about those areas. Then in the spring, they came out and they interviewed the entire staff . . . sat down with every staff member and interviewed the entire staff about my performance. . . . And then we sat down and talked about after they interviewed staff, of how those interviews had gone. Then, and this one is supposed to be by June, I submitted my summary of how I had done towards my goals and then we met . . . and reviewed all of that and she [the evaluator] kind of added things to that.

The principals did not experience a specific monitoring of their progress throughout the evaluation cycle, rather the monitoring of goals during the year was up to the individual principal to monitor. The documents and reports from the participants from Folgers indicate a midyear review, to elicit information from the staff about the performance of the principal. The information was provided to the principal although both principals expressed frustration about the timing of the staff surveys and interviews.

At this midyear point, if specific concerns were raised, the principal would be provided with information about how to address the specific concerns. This coaching from their evaluator during the process is important in supporting the principal’s continued growth and professional development.

### Support in Principal Development

When asked if the evaluation process helped in their professional development, the principals' responses were varied. Tammy indicated the evaluation process did not really support her development, she felt she had to go out and solicit her own support. She felt having a coach or mentor assigned to her would be much more helpful for her development. David felt that there were many other things that were responsible for his development as a principal. He indicated he would give it a five on a scale of one to ten for supporting his development. Rhonda said it did not help her development as a principal. Natalie felt it does help her development as a principal, but feels it "depends on whether your evaluator is frank with you and actually gives you suggestions." She indicated Gary was effective at giving her specific ideas of what to try and what he wanted to see from her. Kevin felt the evaluation process helps his development by giving him direction and validating the work he is doing. He said, "It gives me guidance along what direction I need to move my staff and school." Mary also felt the process supported her development because it causes her to slow down and remember all of the things she is doing and still needs to do, it forces her to develop a plan for accomplishing the goals she established. Two of the participating principals felt the principal evaluation process supported their development as a professional leader; four did not see that connection. The researcher felt the influence of the evaluation process might have been present, but not necessarily perceived as professional development by the principals.

### Influence and Benefits of the Principal Evaluation Process

When discussing the influence the principal evaluation process may have on the way they evaluate their own school staff, the principals indicated it does influence their

own practice. In some instances, the principals wanted to emulate their process and in others, they wanted to be sure to conduct the evaluation process differently because they did not like aspects of their evaluation. Tammy finds the principal evaluation to be less helpful than the teachers, because “with the teachers, the conversation is ongoing and you can observe things as they evolve. With the principals, the evaluator is not able to have ongoing conversations and see the changes over time.” David spoke of his frustration of his own evaluation experience and the things about his evaluation that he does not like, as a result, he has worked to make sure he treats his staff differently than he has been treated. He gave a specific example of the blurring of personal and professional lines and in his opinion; his evaluator often crosses those lines. Therefore, he consistently maintains professionalism and confidentiality with his staff. He said he is friendly, but does not fraternize with them socially. His evaluator was a former principal at his school and still maintains many friendships with teachers at the school and according to David, sometimes makes assumptions about how he is doing based on the impression of her friends on the staff.

Mary finds her evaluation process to be a positive influence on evaluating her staff because she uses it to align her goals for the district with the teachers’ goals. She said, “I direct them or guide them in their goal setting to align with my goals, which align to the district goals.” Rhonda also indicated the alignment of her evaluation to the professional standards for educational leaders was an influence on her making sure her teachers’ evaluations are aligned to the professional teaching standards. In each instance, principals reported their evaluation process having influence on how they in turn evaluate staff, which is an aspect of their own professional development. This



influence is a benefit derived from the evaluation process. Additional benefits principals experience from their evaluation process were also shared.

When discussing the benefits of the evaluation process they experienced, principals reported appreciating the opportunity for reflecting on the progress being made. Kevin said he finds the conversation to be the most beneficial. “If you were to ask me to just sit down and write out my own reflection, I don’t find that as valuable.” He considers the opportunity to reflect and process with the superintendent as being “validating, therapeutic and cathartic.” According to Tammy, the validation that she is doing the right things is very beneficial. She also appreciates the forum the process affords by allowing her superintendent to tell her what she needs to focus on in the future. Natalie reported having the superintendent share the big picture with her as being the most beneficial aspect of the evaluation process. She said she has three board members affiliated with her school and finds it helpful to know what the perception is concerning her and her school. She indicated this information comes out through the evaluation process. Mary felt similar, that the feedback is the most beneficial. She claimed, “you take the feedback and you learn from it and you use it, you know it’s somebody else’s perspective ... it gets you thinking about how you can do things differently, better.” While David shared many frustrations about his experience of being evaluated as a principal, he indicated he has benefited from the requirement to assure his goals are measurable. He uses that in evaluating his teachers, he pushes them to have goals that are measurable, he requires them to collect evidence to demonstrate success towards their goals and he requires examples from them, similar to the process required of him by his evaluator.

In addition to sharing the perceived benefits of the evaluation process, principals also reported the aspects of the process they did not perceive as being beneficial. All of the principals reported finding little value in the need to put the information and reflection on paper. Kevin said, “I don’t know if I get a lot of value filling out paperwork.” Rhonda finds the timing of her evaluation to be “horrible.” Because they wait for the test scores to come out in August before completing the evaluation for the previous school year, she finds this to be hard to reflect back on what happened last year when she is in the throes of preparing for the current school year. This timing forces me to “be talking about things I did last year and my mind is not even there anymore...I think doing it in June, even without the test scores, I think I would be able to listen and process more.”

Principals reported experiencing benefit from aspects of the process, which also influence the way they evaluate their own staff members. They also shared aspects that they felt were not helpful to their development as a leader. These experiences are important to understand and the researcher was also interested in determining specific performance measurements used in the evaluation process. In other words, what would be used to determine whether the principal was being effective in the areas deemed to be important as agreed upon by the principals’ goals and aligned to the Districts’ strategic plans and professional standards.

#### Performance Measurements Used in the Evaluation

Similar to the autonomy afforded to the principals in selecting their goals for the evaluation process, they also have discretion in determining the performance measurements to be used in their evaluation. David indicated whether he has met or not

met his objectives is based on whatever he says. He explained his goals are more task oriented, for example, in order to address the achievement gap for his African-American and Latino boys compared to white students, he decided to focus on creating awareness of this learning gap with his staff. To introduce them to strategies that could be used to more effectively engage these students in their classrooms. His goals were to have a certain number of conversations in staff meetings, put information into some of the weekly staff memos and to have five trainings during the school year. His performance was not based on whether the African-American and Latino boys performed better, it was simply based on whether he completed the tasks he had listed in his goals. David indicated that he scheduled the various tasks to be sure that all of the things he said he would do would be completed within the agreed upon time frame.

Mary reported feeling the performance measures used for her evaluation were predominately the staff surveys and interviews. She said, “you’re supposed to have SMART goals that are measurable and all that, but you know in the end, not much of it gets measured or is even measurable, it’s really the staff input and observations.” SMART goals is an acronym for goals that are specific, measurable, attainable, realistic and timely. Rhonda reported Yuban relies heavily on the parent surveys that are done at the Open House in the spring. She views this as problematic because parents can take the survey as many times as they wish, so one disgruntled parent could skew the data if they took multiple surveys. Kevin, who is also in Yuban, reported the superintendent using her walk-throughs at the school site, parent surveys, the parent leadership council and the teacher leadership council as ways to elicit information about his performance during the year.

According to Tammy, in Maxwell, observation and her newsletters are the measurements used for her performance. She also said, "I think if I had teachers over there all of the time complaining about me, that would be a problem." She also indicated that student achievement data was an important measurement even though it is not specifically stated in her evaluation, she knows the superintendent monitors that. She also felt her superintendent got input from the assistant superintendents and other district office personnel regarding the various aspects of her responsibilities, such as budget management, effective teacher evaluations and implementation of core curriculum. Natalie confirmed Tammy's comments and validated that while she knows Gary monitors test scores, it is not specifically addressed in the evaluation. She felt the performance measures are "kind of subjective."

The principals generally felt the information gathered by the evaluator was accurate, but there was wide variation in the amount of time evaluators spent at the principals' schools. In Maxwell, Gary has the principals provide him with the evidence of progress towards meeting standards and or goals. According to Natalie, "he wants us to update all of our goals and tell him what we're doing before he writes our evaluation because a lot of this stuff, he doesn't know. There's no way he can know if we're doing it or not." Tammy described how she provided her own input, "I take my goals and then under each bullet, I write what I've done and then he takes that and writes my evaluation." Natalie continued to explain that she believes Gary receives information from the assistant superintendents, "we have very supportive assistant superintendents who make a point of complimenting and calling out good things that principals do and

copying Gary on emails.” She indicated this information is in addition to the test scores and benchmark results he also receives regarding each school’s academic achievement.

Kevin indicated Joyce, has an accurate understanding of the work he does,

If she was asked to describe what type of principal I was, she would be able to do that, because I feel she knows me, she knows my style, she knows what I’m working on, she knows what my initiatives are.

The process for gathering information in Maxwell and Yuban was much more passive than in Folgers. David reported seeing his evaluator almost every week because part of her involvement with the school was based on her role as the Assistant Superintendent of Education Services. According to David, Williams could possibly go into program improvement, so she met with his leadership team regularly to plan and take actions aimed at improving student achievement and preventing them from going into program improvement. He said, “I had so much contact with her ... I felt it was a little too much.” He indicated he was not always clear when she was working with him in her role of Assistant Superintendent of C & I and when she was functioning as his evaluator. Mary also raised this concern, she found the lines of the roles became very blurry, she said, “It’s convoluted because you’re like, are we in the complaint process, are we in the evaluation process, are we in the friends process or are we in the boss-employee?” Mary stated,

I’ve come to the conclusion that the big thing about the evaluation process is who the evaluator is because I’ve had evaluators using the exact same process who . . . hand you this glowing thing back and you never see them in between. I’ve had that and then I’ve had like what I had last year where it was people coming to staff meetings and talking to me about how a staff meeting went and sometimes telling you how to do things in between, so I’ve come to the conclusion that more than the system, it’s the person and their take on things that can have a bigger impact on the thing.

Rhonda indicated frustration with the principal evaluation process and feels it is less beneficial to her now than it was when she first started. She noted that because of the teacher's union, teachers have input on the evaluation process because it has to be negotiated with the union. Principals do not have a union and essentially have no say in the process or the tools used. She indicated the process should be differentiated based on the experience of the principal. She proposed an alternative principal evaluation process similar to the one allowed for teachers in her district that have proven to be successful teachers for a number of years. She suggested principals could conduct a local research project at their site, "it would have to be something that's measurable, something that I'm passionate about, something that I'm thinking or where I am in my career as a principal."

Summary of How the Principal Evaluation Process is Conducted and Experienced  
by Elementary Principals

In both Maxwell and Yuban, the superintendent exclusively evaluates the principals. These two districts are slightly smaller than Folgers, which uses Assistant Superintendents to evaluate the principals. All of the districts use similar paperwork for the goal setting and evaluation documents, with Maxwell and Folgers having almost identical evaluation forms (Appendix C). Principals also report the process and documents are influenced by the school administrator professional standards, the CAPSELS. All of the principals report having to align their goals and evaluation to the specific district's strategic plan. Principals in Maxwell and Yuban report progress monitoring as being an informal and self-monitoring system. Essentially, nothing is required of them at this stage and it is up to them whether they review and reflect on their progress. Folgers' principals reported a midyear staff survey that is heavily weighted in

their evaluation. Principals were varied in their perceptions of the helpfulness of the evaluation process in their development as a principal. Tammy felt a mentor would be much more beneficial in her development and Kevin reported the evaluation process helping his development because it gives him guidance along what direction to move his school and staff. All of the principals reported their evaluations as having an influence on how they evaluate their school staff. In one instance, with David, his experience has influenced him in what he does not do as well as what he does for teacher and staff evaluation.

All principals reported the process as having benefit, with the specific feedback provided being the most beneficial. It was reported as helpful to get someone else's perspective. Putting the information down on paper was found to be the least beneficial aspect of the process. The timing of the process was also an expressed concern for Rhonda, since Yuban does not conclude the principal evaluation until the previous school year's data is in, the evaluation for the last school year happens as principals are beginning the new school year. Rhonda felt the timing was a challenge because she is intently looking forward and it is a challenge to reflect on the previous year. She felt having the final evaluation in June would be more helpful than the Yuban process of having it in early September. Yuban was the district that directly included student achievement data in the principal evaluation. Maxwell's principals reported that student achievement data was important to their superintendent but they indicated it was not specifically addressed in the evaluation. Principals at Folgers indicated the most important measure seemed to be the staff evaluations. David said he would prefer his

evaluation process to be more focused on student and teacher data than on subjective teacher input.

### Principal Evaluators Descriptions

An important aspect to understanding the principal evaluation process is to understand the perceptions and experiences of the individuals responsible for conducting the evaluations. Refer to Table 1 for a brief illustration of the principal evaluators. This section focuses on understanding the experiences of the process as experienced and expressed by the evaluators.

Research Question 2: How is the principal evaluation process conducted as described and experienced by principal evaluators in a Northern California school district?

### Position of the Principal Evaluator

In understanding the contextual factors of the principal evaluation process, it is important to know a bit about the person responsible for conducting the principals' evaluations. Gary reported that in two previous districts he had worked in, the principal evaluations were divided up with assistant superintendents and some Directors in Education Services evaluating principals. He indicated that he had previously evaluated principals when he was an assistant superintendent, although he acknowledged he never had any formal training for evaluating principals, rather he just emulated the process he used when he evaluated teachers. He did report attending workshops and reading books that provided the background he used to evaluate principals. He felt that Maxwell was a small enough school district that he could do all of the evaluations, although he does solicit input from the assistant superintendents. He stated in his first few years he had the assistant superintendents conduct the evaluations because it forced them to be more



involved with what was going on at the schools. For the last three years, he has been the exclusive evaluator of the principals because the assistant superintendents convinced him that the principals really wanted to hear from him, they wanted to know what he thought about their performance. Joyce indicated she wants to evaluate the principals in her district and she appreciates that the size of her district allows her to do that. Like Gary, Joyce reported not receiving formal training for evaluating principals and that had not been a responsibility of hers prior to coming to Yuban. She indicated she just borrowed from her experience of evaluating teachers as well as from her experience as a principal being evaluated. She indicated her personal experience of being evaluated when she was a principal was inconsistent and often not even completed. She indicated it definitely was not done annually and was not a meaningful experience. Like Gary and Joyce, Sharon also stated she had not received any formalized training in evaluating principals, like the other evaluators, she drew upon her own experience of evaluating principals and of being evaluated when she was a principal. She found the process a bit more meaningful than Gary or Joyce, perhaps because she was still working in the same district and felt comfortable with the principal evaluation process being used, although the district had updated their forms from the ones used when she was a principal.

When asked why the superintendent did not conduct the principal evaluations, Sharon was unsure who decided assistant superintendents should evaluate the principals in Folgers, but shared that has been the process for at least eight years because this was the process used when she was a principal. In addition to knowing who actually conducts the evaluations, it is also important to understand the process used for evaluation. A critical aspect to understanding the process is in understanding the documents used in the

process. In order to understand the documents, it is also important to understand how the specific documents were developed.

Joyce reported she looked at what the previous superintendent had done when she came to the district and it was very simplistic, a piece of paper with four squares. She said she had come from a district where they had “the total opposite with a 10 page document with a rubric and aligned to everything on the face of the earth.” She knew that was too much, but also felt the evaluation process she inherited from the previous superintendent was not enough. She said she formed a management team committee to look at all of the tools that were out there and then came up with the first draft of the current principal evaluation document. She then added the explicit required activities that she calls “non-negotiables,” to the document the second year to require principals to give examples of how they had implemented those required initiatives. She said,

I feel strongly that there has to be an absolute tie between my evaluation and on what the principals are evaluated on because I can't do anything unless they do it... So I felt that they need to be totally aligned with what it is we're going to determine as our success indicators.

She explained that the committee came up with 20 success indicators for all of her management team. Those became the ones that really drove the points that everyone in the district would be evaluated on. She said the timeline of the evaluation process she inherited was the principal doing his or her goal setting at the beginning of the year and then the superintendent writing the evaluation at the end of the year. She said that process did not work for her because, “we wouldn't have all of the test scores and that was a real important thing for me. I had to make sure we had student performance data in the principal's evaluation.” She specified she puts the goal setting and the evaluation on the same form. Her principals establish their goals based on the previous year's data and

she uses that data to evaluate them on improving student achievement. For instance, Kevin would be evaluated on his performance on the 2010-11 school year based on the student achievement data that comes for his school in late August of 2011. This is the Standardized Testing and Reporting (STAR) Results (<http://www.cde.ca.gov>) which is reported annually for every public school in California. This data would also be analyzed by Kevin to determine what areas of student achievement need to be focused on and he would use that information to write his goals for the 2011-12 school year.

Sharon reported the process being used in Folgers has only been in place for four years. She indicated her district borrowed the format from a County Office of Education and then according to Sharon, “we tweaked the format a little bit so it would meet our needs. We wanted to make sure it would be universal for both classified and certificated management.” She went on to explain,

We also wanted it to include something in there with goals for closing the Achievement Gap, and also goals that either matched the Administrative Professional Standards, or if you’re a classified manager, something in your job description. And then some other goal that you and your supervisor agree on, so that way it always has something about growth and something about closing the Achievement Gap and the third can be something else from either of those areas.

She added they also wanted to have a component that was like a universal survey. She explained, the survey has two parts to it, there is a part where the principal writes their goal and then the other part is where the evaluator writes what they have observed and notes whether or not the principal met his or her goals. There is also a continuum that aligns to the survey, or the survey to the continuum. She explained,

When I’m writing the final end of the year summary, I can look at our continuum that we have... I can look at these comments from the survey and I have a key that matches each area the questions fall under on the continuum and then I can use this to justify where I check the person off on our continuum.

Gary explained the evaluation tool he uses was a hybrid from his previous district with adjustment to align with the district strategic plan. Since the evaluation process is reportedly linked to the District's strategic plan, it is important to understand the strategic plan and the alignment to the principal evaluation process.

Each of the evaluators indicated the principal evaluations are aligned to their district strategic plan. Gary reported that Maxwell spent tremendous time creating their strategic plan. He explained that he started the process in his first year with Maxwell. He pulled together 70 people who were representative of all aspects of the district and surrounding community to establish core beliefs for the district. According to Gary,

We ended up with our core beliefs and from that we built our learning standards and then from that we distilled into, what are the basic things that we want to make sure we're focusing our work on and at that time we came up with four main goals: Close the achievement gap while raising the achievement of all students; Ensure effective communication; Attract, support and retain exemplary employees; and to help students become caring, responsible citizens in society.

He said he added a fifth goal because he realized they needed a financial goal as well. According to Gary, by having the principal evaluations aligned to the district strategic plan, it "forces the work all the way down the system." Sharon confirmed that the principals in Folgers "look at our closing the Achievement Gap plan to come up with a goal that is associated with that." Joyce indicated they added a professional development plan for their district, and the principals have to align their goals to the district's professional development plan. Joyce also spoke of the need to have principals' evaluations aligned to hers, she said, "I feel strongly that there has to be an absolute tie between my evaluation and what the principals are evaluated on because I can't do anything unless they do it." She described the process the school board and management

team went through to determine the success indicators for the various departments and areas of focus in the district, which became the criteria for evaluating everybody in the district. The information provided by the principal evaluators is helpful in understanding the structure of the evaluation process, and it is also important to understand how the evaluation process determines effective or ineffective performance of the principal. For that reason, it is important to understand the actual measures used to assess the principals' performance.

### Performance Measures

In discussing the various performance measures used by principal evaluators, there was discussion regarding the use of various types of data. Yuban's principal evaluator seemed the most intent on evaluating her principals based on student data. Joyce discussed her use of data in the principal evaluation process.

They have to show me how they are using student data and we look at all the different data points, we have survey data, we have walk-through data, we have our benchmark assessments, so when they come to talk to me they show me the data... I look at parent survey data and anything lower than 85% satisfaction rate is something that they have to work on. We talk about all of their student performance data.

She explained that she has a binder for each of the schools with all of the data she mentioned and before meeting with each principal, she goes through the data and highlights the areas she wants to talk about with them. She said she also discusses the goals that have been selected to determine how each will be measured. She gave the example of Kevin indicating he was going to walk through each classroom every two weeks and provide feedback to teachers about rigor in their classrooms. She said she discussed the mechanics of meeting that goal with him, such as scheduling the visits and determining what the feedback he provided to teachers would look like. This was to

support her expectation that Kevin would collect data to demonstrate meeting the identified goal. The document used by Yuban has the principal identify the success indicators the principal will use to assess their progress on goals.

Sharon indicated in Folgers, there is a focus on student achievement data, but it is not part of the evaluation. She said,

It wouldn't show up in the evaluation, but this past year, the Superintendent and the Assistant Superintendent of C and I (Curriculum and Instruction) met with each principal to talk to them about their test scores and also teachers who are in need of support (laughs) or a kick in the pants, and what they were going to do to get them motivated.

She also said if they receive a lot of complaints from staff that would be an indicator of a performance problem. She did not provide specific measures used, although she did indicate the staff surveys and interviews were an important part of determining the principals' performance. She addressed how the information was gathered, but did not provide specifics about what was being measured.

When Gary was asked about the performance measures used, he replied,

Okay, so they're going to say it's pretty subjective because it is. I use the performance measures of student achievement and they know that I do, which puts quite a bit of pressure on them. Clearly, it's not the sole measure, but it is a key measure. Another measure is how well they've been able to implement things like the benchmark assessments.

Gary did address the aspect of subjectivity by saying he is careful with community and teachers' input because it is based on individual perceptions and interactions. He says he considers that fact and looks for patterns rather than isolated information. While all principal evaluators spoke of the importance of student achievement data as a performance measure, only Maxwell and Yuban claim to use it as part of the principal

evaluation. It is noted these are the two districts in which the superintendent is the evaluator.

Gary indicated one of the ways Maxwell monitors the principals' progress is the public report his principals have to make to the school board,

That's how we're ensuring that we are moving forward, because when they have to publicly report how they're doing on these things then they make sure that they're going to pay attention to what's there.

He further explained it is based on his observations, his interactions with them during the year and what the principals report to him. He also solicits input from the Directors and Assistant Superintendents.

Joyce felt a public reporting process was a set up, she said that in her previous district, the principals had to present their midyear progress to the Cabinet; which consists of the Superintendent, Assistant Superintendents and Directors. The review included their benchmark data for student achievement and all of the subgroup data. She explained, "it was a very painful process for the principals and it was very public, it was in front of everybody and they lied - in order to save face. It was a set up."

Joyce went on to explain that she would like to start having midyear data chats with her principals, but does not feel they are ready for that yet because when she came to the district, they were not very data driven. She stated, "they didn't even look at their test scores, they didn't know their API, it was like a foreign language to them." She feels they have gotten better at looking at data, but stated, "it is not yet in everybody's DNA." She indicated that when her principals really understand their school's benchmark data, she would begin what she calls, "belly to bellies." This would be a midyear data review with each of her principals. She indicated it is very time consuming, which becomes a

barrier to conducting these meetings. As previously mentioned, Folgers superintendent did have data chats with each principal, but it is not reflected in the principal's evaluation.

In all three of the districts, the principals conduct self-reflection on their progress of the goals they establish for the school year. Gary said he monitors principals' progress in a variety of ways,

A lot of it is going to be observation and then input that I'm getting from other people, staff and parents... There's also other hard data, student achievement data, disaggregated data ... low income kids, Hispanics. What do your suspensions look like? It depends on the situation... What's happening with the staff there... what is the principal doing with those teachers that aren't doing things that are good for kids? Is the principal giving them professional development? Documenting instances that should be documented.

Gary discussed this as it relates to the principals' evaluation and he feels the principals are very tough on themselves. As a result, he does not make many changes to the information they provide to him on their end of the year reflection of their progress towards their goals. He said, "I usually close with, I recommend you include the following for next year."

Joyce shared that at the end of the year, the principals go back over what they put as their goals and success indicators and show the evidence of how they met the various goals. Joyce indicated some skepticism on mere self-reflections,

I've been through the whole process where they come in and they do this rubric and they evaluate themselves, and it was very time consuming they were never honest (laughs)... I hate to say this, I didn't really care what they thought they did, all I cared about was what I thought they did (laughs). And that sounds very self-serving, but in the end, I had to get rid of two principals and if I had given them their own rubrics, they would've thought they were doing a great job, so I guess I just never saw the point of it.



Sharon claimed she is able to monitor principals' progress because she "made it a point to be at the school sites a lot and talked with teachers quite a bit." While the principal evaluators feel they have mechanisms for monitoring the performance of the principals, they also reported challenges and actions they have taken as part of the principal evaluation process.

### Challenges of Evaluating Principals

Principal evaluators reported difficulty in the evaluation process; specifically it can be a challenge because even if the person is not performing in the way the evaluator wants them to perform, there is still recognition that the role of being a principal is a daunting one. Therefore, telling a hardworking principal they are not being effective is hard. Gary said that is the most challenging aspect of evaluating principals,

The great majority of them are trying so hard . . . so, on the one's that I don't feel are achieving the way I'd like for them to achieve... once I provide them with support in many different ways... If there isn't the kind of improvement I think the school should be seeing, having that hard one-on-one conversation about what's not working. . . . but the bottom line for us is making sure the kids are getting what they should be getting.

Sharon felt it was more of a challenge when she was newer in her position. She commented, "five years ago, it was a challenge because I felt like I was evaluating my colleagues." Now she feels that she has figured out how to balance giving constructive feedback and also letting principals know the positive things they are doing. She said, "I'd say a difficult thing I had to do this year was to tell a principal that if she didn't correct things then she would be looking for a new job." She also felt finding the time to get to the schools enough to accurately assess the principals' performance is also difficult.

For Joyce, the most challenging aspect is making sure that she has a balance between reinforcing all of the good things they are doing, while continuing to challenge them to keep reaching their stretch goals. She laughed and said that at times she wants to tell them, “My God, you’re doing such a great job, lighten up. But I can’t because our system doesn’t let us let up.”

Ultimately, an important part of the process is actually taking action from the information gathered in the principal’s evaluation process. For these evaluators, it often means having to release a principal from his or her job. Gary talked about making the hard decision to remove a principal from his or her role and reassign them back to the classroom. According to Gary, if the principal has worked for the District for three years, unless they do something illegal, you cannot simply fire them, you remove them from their position as a principal and place them back into the classroom. Sharon indicated she would be writing an improvement plan for the principal. Sharon said she would have to determine by February whether to keep the principal for the following year or to reassign her to the classroom.

In sharing his experience of the principal evaluation process, Gary described it as

A very powerful and useful tool that forces communication that otherwise might not happen. I see it underused or not used effectively enough in some of the districts where I’ve worked, by some administrators I’ve worked for... I see it as part of a continuous improvement for an organization such as a school district. I think it is very important.

Gary further shared his own transparency with his evaluation from the School Board, which he shares with all of his Assistant Superintendents and Directors. He feels it is important to model evaluation from the top. He indicated he does not expect anything from anyone that he does not expect from himself.

Joyce shared,

Honestly, it's not about the evaluation, it's not about the paper, it's not about any of that, I don't think. I think the proof is in the pudding, I think you know when the principals know that they're being successful, that's what drives them to continue. And I think when principals aren't successful meeting their own goals, that's when they start suffering from burnout, dissatisfaction or whatever. I think I'm really cynical about evaluations the older I get. I think they take a lot of time and I wonder, seriously, what do you really think the return on investment might be.

She explained that it really depends on what you feel is the evaluation process, because in her mind the evaluation process is not about a piece of paper, "the word is process, not document."

#### Summary of the Principal Evaluation Process as Experienced and Described by Principal Evaluators

In two of the three participating districts, the superintendent exclusively evaluates the principals. In all three of the districts, the evaluation is aligned to their strategic plans, which were developed by the significant stakeholders in the respective districts. The performance measures used in the evaluation are based on student achievement data, and input from students and parents obtained through surveys. All of the evaluators reported the importance of using student achievement data to measure principals' performance, but Folgers does not specifically address student achievement data in their principal evaluations. The monitoring of progress is largely up to the principal as they provide reflection and evidence on their progress towards their annual goals. Evaluators reported the greatest challenges of the evaluation being time, providing balanced feedback and sometimes having to tell a hard working principal they are not being effective enough and therefore need to look for a job elsewhere or be placed back in a classroom.

All evaluators report believing the principal evaluation process is important. One of the superintendents feels it has the potential to be an influential way to communicate and bring continuous improvement in a district. The other superintendent feels the process is valuable, but does not necessarily think there is value in the written aspect of the evaluation process. She feels the value comes in the conversations. Both the principals and the principal evaluators indicated the information provided in the evaluation process was beneficial, so it is important to understand how performance feedback is provided to principals in this process from the perspective of the principals and their evaluators.

#### Performance Feedback

The information provided as part of the principal evaluation process is an important element. It is essential that we understand the type of feedback provided in the process, the benefits of the feedback and ultimately the actions taken as a result of the feedback provided in the principal evaluation process.

Research Question 3: How does the evaluation process provide performance feedback for the principal?

#### Type of Feedback

In understanding how the evaluation process provides performance feedback to principals, it is important to understand the types of feedback that are provided in the evaluation process. Tammy reported the feedback she is typically given in her evaluation is, “she is on the right track,” that she needs to continue the work she is doing, such as her focus on the core instructional program and boosting intervention programs. Kevin reported getting mostly growth feedback, “along the lines of, continue to do this, make

progress with this. It's more about continuing to do certain things." Mary reported that all of the feedback she receives is written on the document. She indicated that in addition to the written information on the evaluation form, she also receives the teachers' responses on the surveys and a copy of all of the comments from the teacher interviews. She then said that she does have conversations with her evaluator and those are not written down. She indicated this is part of the blurry lines because she is unclear if the conversations she has with her evaluator are in Sharon's role as the Assistant Superintendent of Human Resources or if they are in her role as evaluator.

Joyce opined, "we're always quick to let people know when they haven't done a good job, but we probably don't validate them as much as we should." She said one way she provides positive feedback to the principals is at Board meetings. She stated, "I try to get in my shots of praise for the Board, so the Board hears and the principals know the Board is hearing."

Tammy indicated the feedback she gets is all documented, although she recalled the end of her evaluation meeting the previous year in which the superintendent reminded her to make sure she was getting into the classrooms twice a week. She said he did not write that on the evaluation, he just mentioned it as she was leaving. She wondered why he would say that to her. She said, "After he said that, I was thinking, does he think I'm slipping on that?" She then decided if it had been something he was really concerned about, he would have written it on her evaluation. Kevin indicated the conversation during the final evaluation and the information written on the document is the basis for receiving performance feedback.

According to Rhonda, she receives feedback under each of the categories in her evaluation and it is based on data. If the scores drop in an area, she gets feedback like, “work with Ed[ucation] Services to make sure you’re looking at best practices in terms of interventions.” She reports this as being helpful, but not something she would not already have done on her own.

Gary felt his evaluation tool was a good mechanism for providing principals with feedback. He said, “it’s a kind of cross between check boxes and narration.” He acknowledged that some might not think it is that good, “but for me, it’s working pretty well.” Gary indicated that he documents almost everything. The items he does not document are “just friendly scuttlebutt ... not significant enough at that point, or I didn’t hear from enough sources.” He did say that if he continued to get that type of information the following year, then he would document it.

Joyce said the mechanism used for the feedback depends on the severity of what she needs to tell them and whether she anticipates ramifications down the road. She gave an example of a principal that had done something, “really stupid.” Joyce said,

I went to her office and I read her the riot act. I told her how disappointed I was and she apparently took it to heart... I’m not going to document that because it was bad, truthfully, I don’t want to see it concretized. She knows what she did and it’s never going to be tolerated again.

Joyce explained that if it were a principal she wanted to get rid of, she would document the information. But if it is a person she wants to keep that just needs a little work, or even if it is a significant issue, but not something she wants to permanently record, then she would not write it on the document. She indicated that she will give lots of verbal feedback about areas needing improvement and then if she does not think they are a keeper, she will let them know that she plans to remove them as a principal the following

school year. She gives them enough notice so they can choose to resign and try to find a job somewhere else. Since she has to tell them in March if they will not be returning the following year as a principal, she said, "I'm not big on the formal document."

Tammy stated the most common type of information she is given is about a parent contacting the district office to complain about something. She felt the negative comments come more frequently than the positive ones. Natalie did not feel that she was receiving much feedback that she felt was of an evaluative nature. Kevin indicated the most common feedback he receives is on student achievement, attendance data and teacher performance, specifically those few that he is working to improve their performance. The superintendent will debrief with him about how the teacher is progressing or potential next steps. David felt the most common topic of his feedback was the staff interviews. While Rhonda is also in Folgers, she reported the feedback being about student achievement, the budget process, community involvement and relationships with the school community, which includes staff.

Tammy commented that there is a "huge disconnect," regarding the feedback she receives. She feels that her evaluator does not have a true understanding of all of the things she manages at her school. She mentioned many CPS [Child Protective Services] issues that she needs to deal with that result in the police being on her campus. She mentioned several unanticipated things that can occur on a school campus that her evaluator does not even know about. Natalie indicated that when she does hear of a concern regarding something at her campus, she does not necessarily feel it is fair. She recalled an incident where a board member had told the superintendent there was inadequate supervision on her campus, but the superintendent did not bother to check

with her about the matter. She said she did not learn of it until several weeks later and by then it was treated as if it was fact rather than one person's perception. Regarding the evaluation feedback she recently received, Rhonda reported,

My evaluation for the most part was positive and did include test scores and specific ways to address them. My API went down from 941 to 934. And my third grade scores are not what they could be so I will address those areas of need this year. I did not feel good when I left the meeting though. The work just seems to get more and more unattainable... The emphasis on the test scores seems to be all that is discussed or seems to have meaning now. And isn't it interesting that although our API is 934 I feel as though somehow I have failed.

David did not feel the feedback he received was balanced or accurate. He felt it should have been based more on student achievement data rather than on the staff perception surveys and interviews. He said, "I really felt it was unfair and I think if I had been in a different situation I would have gone to somebody... Not that it was bad, but I felt that the information obtained wasn't done in the way that it should have been done."

Although both Rhonda and David expressed some frustration in the feedback received, all participants also reported benefits from the feedback aspect of the principal evaluation process.

#### Benefits of Feedback

Getting information about the job they are doing as perceived by their evaluator is beneficial for principals. Tammy gave an example of a community member letting the superintendent know that she had noticed an emphasis on learning and the instructional program with more attention being paid to supporting students who needed to be accelerated. Kevin reported,

When I do get feedback and information, it helps me kind of make the tweaks that I need or add programs, or reevaluate programs or teachers, so that I can kind of move us in the direction of meeting our goals.



Mary felt there is benefit to knowing how she can do certain things differently, hopefully better and the feedback gives her that information.

Natalie reported she has taken specific action based on the feedback provided to her in her evaluation process. Specifically, she mentioned attending specific professional development based on comments from the superintendent. Rhonda affirmed, "I've done everything that was suggested that I do, that's the point of the evaluation... I actually agree with it because it's data driven... Making something better is not anything I disagree with." Kevin felt the actions tend to come more from the goal setting and not the final evaluation.

Even though David reported feeling the information gathered was not done in a fair way, he did take action on the feedback given by his evaluator. Specifically, when he was told that his staff did not think he had credibility as an elementary principal because the majority of his experience was in middle school. He said, "she told me about a book, so I went through and read that in June and came back and I think I even quoted it in some of my staff memos." Another action he took based on feedback he received was having a frank conversation with his staff about the perception that they were divided into two camps. Mary shared a similar story, when she was given specific feedback about building relationships with staff, specifically her non-teaching staff. She said, "I'd never been at a school with a large classified staff, so coming from that information was an understanding that, oh, I need to pay more attention to that." She affirmed that she does take action on the feedback she is given whether it is in conversations or written on the evaluation document. All principals affirm taking action on the feedback they are given in their evaluation process.

The feedback aspect of the principal evaluation process is an important and beneficial part of the process. The affirmation provided to continue to do things that are working was perceived as helpful by the principals. As an evaluator indicated, it is important to affirm the good work principals are doing because they really do not get as much affirmation as they should for the hard work that they do and this process allows for that positive feedback and confirmation.

Participants reported that much of the feedback is written on the evaluation document, there is also less formal, conversational information provided during the evaluation cycle. Evaluators indicating they do not write those things that are less important or may be more of a gossip like nature that are not confirmed with data. One of the evaluators indicated taking caution about writing the feedback on the evaluation document, even when it is a serious matter. She expressed concern about the permanency of the information, she indicated if the person is going to respond to the corrective verbal feedback, there is not the need to concretize it on the final evaluation document. All participants reported the benefit of the feedback as being valuable for allowing adjustment to practices to continue to improve their performance. Often the adjustment was simply to continue those actions that were bringing positive outcomes.

#### Summary of Findings

This study was designed to examine the principal evaluation process in three public school districts in Northern California. The study explored the evaluation process as experienced by elementary school principals. In addition, the study investigated the process of principal evaluations from the perspective of the principal evaluator. Specifically the study focused on the implementation, performance measurements used

and the feedback provided to principals during the principal evaluation process. The participants shared their experiences of the principal evaluation process.

This study supported understanding the current principal evaluation process and provided insight into areas that principals find beneficial as well as the areas they report not being beneficial. In the two smaller elementary districts, the superintendent conducts all of the principal evaluations. The larger, unified school district has the assistant superintendents evaluate principals. The documents used to support the process are very similar in two of the districts. This common document includes identification of performance objectives and the activities to be performed to meet the objectives. The document also includes a Performance Qualities Continuum, which principals report being aligned to the CPSEL. One of the elementary districts uses a less formal document, which is based on the performance goals chosen by the principals, however these goals are heavily influenced by the data the superintendent has deemed most important. While this document seems the least formal, this district's process is the most focused on data (Appendix C).

All three districts use goal setting as an integral part of the process, with two of the district's using the goals and the principals' reflection of their progress on goals as the greatest contributor to the final evaluation summary. In addition to the principals' self-reflection on progress towards goals, the unified school district also relies heavily on staff surveys and interviews for the evaluation summary. All principals from the three participating districts report the goals needing to be aligned to each district's strategic plan. The superintendents in the study described the strategic plan as the guiding force for the entire district. Therefore, they felt it was important that there be alignment from

the district plan to the superintendent's evaluation, to principals and finally to teachers with the desired effective of benefiting students through improved achievement.

There was some variation reported in monitoring the progress of goals. Two of the districts have an optional midyear check-in process, with one district claiming to have a midyear check-in, but it is used more to share the results of the staff surveys and interviews than to review progress of the goals established by the principal at the beginning of the year. The principal evaluators use a variety of mechanisms for monitoring principal's progress. One superintendent felt the public report was an effective way to gauge progress, while the other superintendent felt the public report was a set up that forced principals to be dishonest in their reflection to save face. All principal evaluators reported using observations, parent and staff input and student benchmark data as a way to monitor progress. Only one surveyed and interviewed staff as part of the process.

Half of the principals in the study did not feel the principal evaluation process contributes to their development and half felt it does support their development. Interestingly, one principal from each of the districts found it was supportive and one from each district did not find it valuable. One principal felt a coach or mentor would be more helpful in her development.

Only one principal reported that her principal evaluation does not influence her evaluation of her staff members. The remaining principals all indicated their evaluation process influenced their evaluation of staff. In one instance, the principal reported the influence as being negative. Essentially, he seeks to make sure that he does not conduct

his evaluation of staff the way his evaluation is conducted because he feels it is unfair, because the lines between personal and professional are blurred for his evaluator.

All of the principals reported finding value in the principal evaluation process. They found value in the conversations with their evaluator - one principal claimed it was therapeutic. Other benefits included validation of knowing they were on the right track, understanding the big picture, gaining someone else's perspective. Additionally, having to demonstrate specific, measurable data to show progress on goals was deemed as helpful. Principal evaluators found benefit in affirming the work their principals were doing as beneficial.

Having to do the paperwork was reported as the least beneficial aspect of the process by both principals and a superintendent. The timing of her district's process was also reported by one of the participants, since she is already in the new school year when she is evaluated for last school year's performance. She felt it was hard to be reflective when she was in the throes of the new school year. Another challenging aspect reported by principal evaluators is having the hard conversation of letting a hard working principal know they may not continue in that role because they are not achieving the necessary results to move the staff and school forward. Having time to do the principal evaluation process well was also a challenge reported by the evaluators.

Principals were largely able to determine the performance measures to be used in their evaluations. All research participants reported student achievement data as being important for determining effective performance, but only two of the principal evaluators claim to use it in the evaluation process. One of the district's seemed to be more focused on student outcome data than the other two as demonstrated by their evaluation timeline.

Principal evaluations are not completed until the student performance data is available, which results in the evaluation not being completed until September of the new school year for last year's performance. The principal from Williams reported wishing his performance were determined more by data and less by staff surveys and interviews. Both principals in the district using staff surveys and interviews felt that was the most influential component of their performance measurement. The information gathered by evaluators regarding principal performance varied from essentially principal self-report in one district, self-report and evidence based on data in one district and one district where the evaluator is frequently on campus to observe the principal in meetings and at various school events. Both principals in this district felt their evaluator was on campus too much and felt the lines between their role at the district and their role as principal evaluator often became blurred.

All participants reported benefits from their principal evaluation process as well as challenges. One of the superintendents in the study felt the principal evaluation process is an important part of a district's continued improvement. Another superintendent believes in the evaluation process, but perceives the paperwork aspect of the process as less beneficial, almost stifling. The next chapter will compare the results of this study to previous literature on the topic the researcher will explore how this study can be used to identify the important aspects of principal evaluations as described by principals and their evaluators. Additional worthy research topics that should be explored further will also be discussed in the next chapter.

## CHAPTER V

### DISCUSSION, IMPLICATIONS, RECOMMENDATIONS AND CONCLUSIONS

#### Summary and Discussion of Findings

The goal of this final chapter is to summarize the study that was conducted and to provide understanding of potential implications the study findings have for current practice and future research. As stated earlier, there is limited research in the area of the principal evaluation process. This study affords additional insight into the principal evaluation process as experienced by the principal and the evaluator of principals. In this chapter, I discuss the findings for each of the research questions and examine the confirmation and inconsistencies of previous research for each question. I then examine and discuss the findings of this entire research study in light of the VAL-Ed conceptual framework as illustrated in Figure 1. I then make recommendations for further research and then I offer implications and recommendations for current practice for educators and policy makers. I end the chapter with my own concluding remarks.

#### Review of the Study

The purpose of this study was to examine the principal evaluation process in three public school districts in Northern California. Specifically, the study explored the experience of the principal evaluation process from the perspectives of the participating elementary school principals. In addition, this study investigated the process of the evaluation from the perspective of the principal evaluator, with specific attention to the implementation process of the evaluation, performance measurements used for the evaluation, and the feedback provided to principals. This study sought to answer three specific questions.

1. How is the principal evaluation process conducted as described and experienced by elementary principals in a Northern California School district?
2. How is the principal evaluation process conducted as described and experienced by principal evaluators in a Northern California school district?
3. How does the evaluation process provide performance feedback for the principal?

In order to address these questions, I developed a qualitative research study of three Northern California school districts. I focused on two elementary school principals and the principal evaluator in each of the three districts. In examining the described experiences, I found many of the described experiences of the principal evaluation process to be similar and I also identified those that were divergent. Additionally, I looked at this case study compared to the limited research on the topic to examine areas of consistency with previous research as well as identifying variation in this study from earlier research.

The first research question focuses on the experience as described by the participating principals. When describing the implementation of the principal evaluation process, there were many consistencies in their description of the implementation. Frequency of the evaluation was consistent across all of the districts and with earlier research findings; with all of the participating principals reporting an annual evaluation (Kimball, Heneman & Milanowski, 2007). Rhonda commented that she did not feel an annual evaluation was necessary for a more experienced principal. She shared that she would like to be able to focus on specific site based issues. She proposed an alternative principal evaluation process similar to the one allowed for teachers in her district that have proven to be successful teachers for a number of years. She suggested principals



could conduct a local research project at their site, “it would have to be something that’s measurable, something that I’m passionate about, something that I’m thinking or where I am in my career as a principal.”

In addition to considering the frequency of the implementation of principal evaluations, it was also important to understand who was responsible for evaluating the principals. In two of the three districts, principals reported the superintendent conducting all of the principal evaluations. This was the case for the two elementary school districts. It is also noted that these two districts are smaller than Folgers, a kindergarten through high school district. The principals in Folgers reported being evaluated by an assistant superintendent with David being evaluated by the Assistant Superintendent of Curriculum and Instruction and Mary being evaluated by the Assistant Superintendent of Human Resources. Neither principal knew why a particular assistant superintendent was assigned to evaluate them. Both shared concern over their perceived blurring of the distinction between the role and responsibilities of the evaluators’ particular job and their role as the principal’s evaluator. David explained that he had requested to be evaluated by the superintendent but was told that for political reasons, he should just be evaluated by the Assistant Superintendent.

Based on this study, there seems to be a preference for having the evaluations conducted by the superintendent, rather than by an assistant superintendent. The superintendent could gather information from the assistants, similar to the process Tammy and Natalie report for Maxwell, in which Gary gathers input from the assistant superintendents in the district, but he conducts the evaluation. As David indicated, this

would allow the principal to be evaluated by the individual responsible for establishing the vision of the district.

Goal setting was an integral aspect of the principal evaluation process as reported by all principals. All of the principals indicated their goals must be aligned to the districts' strategic plan. This district focus would seem to allow for specific context of the individual needs of the district, however, Mary reported simply recycling her former goals from another district where she had been a principal. She indicated she made adjustments so that her goals from her previous district fit the Folgers' form. She felt this was possible because education is grappling with the same issues, regardless of the school or district. If this were true, then a universal principal evaluation process for all schools and districts would be possible. However, contextual, district based and school site specifics should be considered in the goal setting and evaluation process.

The other principals in the study reported addressing the specific needs of their school within their goals. For instance, Tammy reported focusing on communication with the surrounding community because that was a perceived area of need. Rhonda shared her specific focus on 3<sup>rd</sup> and 4<sup>th</sup> grade because of slight loss or minimal gains in student achievement for English Language Arts (ELA) based on the California Standards Test (CST) from the previous year. Clearly, these goals are specific to the individual school needs. In examining the documents provided by the participating districts, it is apparent the goals are intended to have alignment to the districts' strategic plans and to also address specific school site issues (Appendix C).

When looking at Yuban's "Performance Goals and Evaluation" form, the categories to be addressed are: Organizational Leadership, Instructional Leadership,

Communication, Organizational Culture and Climate, and Professionalism. Within these, there are items noted as “non-negotiables,” such as “Use of student data, survey data and walk-through data” within the Organizational Leadership section. While these are scripted for all principals in Yuban, there is still autonomy in the specific principal’s goals and success indicators. This is where the specific school variation and need is evident. This specificity is also noted in reviewing the professional goals from Maxwell, although all principals need to address the district’s strategic plan within their performance objectives, specific site needs are addressed. For instance for the strategic plan section of “Attract and Retain Exemplary Staff,” the focus chosen by the two principals are different (Appendix C). Tammy noted she would provide opportunities for her teachers to observe each other at their school as well as other schools in the district and for the same focus area, Natalie indicated she would provide leadership opportunities and staff development. The need for site-based focus is an important element to the principal evaluation process. These examples demonstrate the ability to align to district goals while addressing the unique needs of the individual school site. In addition to the goals being aligned to the districts’ strategic plans, principals also reported their evaluation process was aligned to the California Professional Standards for Educational Leaders (CAPSEL).

This professed alignment to professional standards is in contrast to earlier research. Previous researchers (Condon & Clifford, 2009; Kimball, Milanowski & McKinney, 2009) found few principal evaluations were aligned to professional standards, which was not the experience reported by the principals in this study. It is noted that while all principals reported their evaluation process being aligned to the CAPSEL, the

actual verbiage from the CAPSEL is not explicitly used in the evaluation documents. However, the attributes of the standards are present in the Continuum, part of the evaluation document used by Folgers and Maxwell (Appendix C). Under the Leadership section, the descriptor for Meets Standard is “Has a vision for the team; is able to empower team members; usually models desired behaviors; offers training opportunities.” In comparing this to the CAPSEL, it is noted the Leadership section on the Key Performance Continuum document derives aspects from Standards 1 and 2 of the CAPSEL.

It is also true of the specific area of focus in Yuban, under the Organizational Leadership section, “fostering a data driven culture of excellence with high expectations and high performance” is consistent with CAPSEL Standard 2, as one of the exemplars of this standard is, “Shape a culture in which high expectations are the norm for each student as evident in rigorous academic work.” Another example of the alignment to professional standards is seen when we compare the exemplar under Yuban’s Communication section of the evaluation document, which states, “successfully communicate with all stakeholders,” which is consistent with the CAPSEL 2, which states a leader should “Communicate the shared vision so the entire school community understands and acts on the school’s mission to become a standard’s based education system.”

This expectation is also demonstrated within Yuban’s document under Instructional Leadership, when it is noted that one of the non-negotiables is to have “Evidence of core curriculum used consistently; standards and objectives posted.” It is clear from these various documents that there is intent to align to the CAPSEL, as further

noted on the documents from Folgers, which explicitly state, “Measurable Objective as related to Strategic Plan, or CA Professional Standards for Educational Leaders (CAPSEL).” This study illustrates a positive change even from relatively recent research conducted by Goldring et al. (2009b), which found nearly half of the evaluation protocols were not directly aligned with professional standards. In addition to the goal setting aspect present in all of the principal evaluations, which are aligned to professional standards and their respective district strategic plans, it is also important to understand how the progress on the chosen goals is monitored during the year.

Essentially, principals were able to determine their own progress monitoring method, with the requirement of a midyear check in on progress towards goals being optional. In addition to this being affirmed by the principals in Maxwell and Folgers, it is also noted on the actual evaluation documents. According to the principals in Yuban, there is no midyear check in process. The principals in Folgers reported a midyear check in with their evaluator, but it was not actually to determine their progress on stated goals, rather it was to share the information obtained from the staff surveys and interviews conducted by the evaluator with the principal. According to David, he had autonomy on the goals he selected and how he would measure the success of those goals. His goals were task oriented, rather than based on student learning outcomes. This was also true for the performance measurement in Maxwell, both principals reported the ability to choose their goals and monitor their own progress. According to Tammy, she provides an update on her accomplishments in late May and then Glen adds additional comments to that, which becomes her final evaluation. Natalie reported the same process, and she indicated that student achievement was important in Maxwell and she knew the

superintendent monitored the achievement data, but she acknowledged that it was not specifically addressed in her evaluation.

It was only in Yuban where the focus on actual student achievement is apparent as part of the evaluation process. This is evident on the evaluation documents that illustrate the non-negotiables as well as the principals' accounts of needing to update their progress on their stated goals based on data. Rhonda further evidenced this when she explained she felt as though she had failed as an administrator when her scores declined by seven Academic Performance Index (API) points, even though the school's API is considered high at 934 points.

In addition to understanding the performance measures used in the principals' evaluations, the researcher also sought to determine whether the participating principals reported the evaluation process as benefiting their professional development, which is a stated goal of the principal evaluation process (U.S. Department of Education, 2009). Similar to the Davis and Hensley (1999) study, principals reported that formal evaluations were not helpful in shaping or directing their professional development or in promoting school effectiveness. In this study only two of the six participating principals reported the process as supporting their professional development. The others did not see any connection to their professional development and the principal evaluation process, Tammy offered receiving explicit coaching from a current or retired principal would benefit her professional development, but did not see a connection between her evaluation and her professional development.

Although four of the six principals reported perceiving no positive impact on their professional development, the researcher contends the positive influence of the

evaluation process was present, but not necessarily perceived as professional development by the principals. Because all of the principals indicated there was benefit from their evaluation process. The benefits reported by the principals were reflecting on the progress made, being validated for their work, understanding the big picture, gaining another perspective, and being able to identify ways do their jobs better. Specifically, Kevin stated he found the conversation with his evaluator to be “validating, therapeutic and cathartic.” These professed benefits all contribute to the continued professional development of the principal.

The results of this study are in contrast to earlier research from Kempher and Robb-Cooper (2002), which indicated principals typically did not find their evaluation process to be beneficial. Additional benefits perceived by the principals in this study were the positive influence their evaluation experience had on their own evaluations of staff members. Another positive influence was the perceived alignment this created throughout the system, according to Rhonda, her evaluation is aligned to the district strategic plan and then she in turn assures her staff align their own goals to her evaluation goals, thus creating a system-wide alignment in the evaluation process for principals as well as for staff members.

It is important to contrast the reported benefits shared by the principals with the elements they did not find helpful. Specifically, principals reported the completion of the paperwork as being of little or no benefit. Rhonda also expressed concern about the timing of the completion of her evaluation. Because districts do not receive student achievement data from the last school year until the beginning of the new school year,

Rhonda found the timing to be “horrible” because it is difficult for her to reflect on last years’ performance when she is so busy preparing for the current year.

The focus on district and school goals present in this study supported the findings of Sun and Youngs (2009), which found principals were more likely to engage in learner-centered leadership behaviors when school districts used evaluation processes to hold principals accountable for important school and district goals and monitoring of student achievement. Holding principals accountable for school and district goals was present in all of the districts, but was most strongly reported by the principals in Yuban who consistently acknowledged the alignment of their goals and evaluation process not only to the district strategic plan, but also to student achievement as demonstrated by the API scores, district benchmark data and classroom walk-throughs. It is also important to note that while David reported that his evaluation did not specifically address student achievement data, this was clearly a focus for him and he acknowledged the need to improve his school’s achievement performance to avoid becoming a Program Improvement school, although he did not report this as being an essential part of his own evaluation. The fact that the district strategic plan is titled, “Close the Achievement Gap (CtAG),” does indicate a focus on improving student achievement, in this case with a specific focus on traditionally underperforming ethnic subgroups of African-Americans and Hispanics.

In spite of his evaluation being aligned to the CtAG, David stated he would like his evaluation to be tied to specific data points rather than, as he perceived it, as being strongly influenced by the staff surveys. The observations were conducting to triangulate the data, but it is noted during the “day in the life observation” of David, he was observed



being engaged in several discreet activities to support student learning and success.

Although the observations were intended to serve only as a contextual frame for the data collected and were not designed to specifically address the research questions, the observations made did demonstrate aspects of the conceptual framework developed by VAL-Ed, which will be discussed later in this chapter.

#### Summary of Discussion of Findings of the Principal Evaluation Process as Described and Experienced by Elementary Principals

Principals reported a preference for the evaluation being conducted by the superintendent rather than by the assistant superintendents. Goal setting was an essential aspect of the evaluation process and was aligned to the districts' strategic plans.

Although the same evaluation instrument and process is not identical, principals reported many similarities, such as the alignment to the districts' plans and professional standards.

Unlike earlier research, this study indicated that the goals were also aligned to the California Professional Standards for Educational Leaders (CAPSEL). The verbiage of the CAPSEL are not explicit, but they are clearly embedded in the principals' evaluations. Student achievement is an element of the principal evaluations, in part because it is embedded in the district plans and in the case of Yuban, the fact that it is explicitly tied to student achievement outcomes. There is autonomy for the principals when determining their goals based on their perceived needs of the school and principals are largely responsible for monitoring their progress towards meeting their stated goals. The principals did not report their evaluation process as contributing to their professional development, but all reported the process as having benefit for them. This is different than earlier research, which indicated principals did not regard the evaluation process as

beneficial. Principals did report the paperwork aspect as being the least beneficial aspect of their evaluation process. Many of the reported findings from the principals were similar to those reported by the principal evaluators.

In attempting to understand how the principal evaluation process is conducted as described and experienced by principal evaluators, the researcher interviewed a principal evaluator in each of the three districts of the six principals. In an effort to understand the entire principal evaluation process, it was also important to understand the process as experienced from the perspective of the principal evaluator. This next section focuses on the second research question of understanding how the principal evaluation process is conducted as described and experienced by principal evaluators in a Northern California school district.

#### The Principal Evaluation Process from the Perspective of the Evaluator

To address the second research question, we examine the principal evaluation process as experienced and described by principal evaluators. Each of the principal evaluators in this study reported receiving no formal training for evaluating principals. They drew upon their experiences of evaluating teachers and of being evaluated as principals. Gary indicated that he had attended workshops and read current literature to understand and support the role of the principal and acknowledged this training was informal, but he felt it enhanced his ability to discern the important elements of being an effective principal that he incorporated into his evaluations of principals. These findings are consistent with earlier research from Ginsberg and Berry (1990), which found very little is known about how principals are evaluated, the outcomes of the evaluations, or the quality of the evaluations.

In all three of the participating districts, the principal evaluators reported the principal evaluation being aligned to the district's strategic plans. The superintendent evaluators both explained the process of forming committees to develop the strategic plan and then from that developing the evaluation forms used to assure principal evaluations were aligned to the plan. Sharon indicated Folgers had borrowed the evaluation document from their County Office of Education and then made some minor adjustments to the form and process to fit Folgers' needs. Joyce reported that she did not like the form she inherited from Yuban's former superintendent because she felt it was too simplistic and she also felt the form used in her previous district was too complex, so she worked to develop a process and documents that would work for her and her perceived needs of the district.

This was also true for Glen when he came to Maxwell. In both instances, the superintendents worked with their constituency of educators, parents other staff and community members to develop a strategic plan. They then worked to align the principal evaluations to the strategic plan. According to Sun & Youngs (2009), when school districts use evaluation processes to hold principals accountable for important school and district goals, principals are more likely to engage in learner-centered leadership behaviors. The evaluators reported alignment of the principal evaluation to the district strategic plan demonstrates this concept. The focus on teaching and learning in these strategic plans is evident when examining the documents used in the evaluation process. For instance in the example from Yuban, student data is explicitly acknowledged as a success indicator; specific instructional strategies are also noted, as is teacher evaluation. Folgers documents address the instructional goals, for instance, "Have staff more actively

engaged in CTAG” [Close the Achievement Gap], with a variety of tasks to be completed in order to accomplish this. Maxwell’s principal evaluation document also explicitly acknowledges instructional strategies, but does not speak as specifically to student data as the other two district document samples (Appendix C).

Joyce’s focus on student achievement was also demonstrated when she explained the process and timeline. She has a very cyclical process with the beginning and ending focused on student achievement. Principals establish their goals for the year based on the needs they perceive by looking at their data from the previous year. Principals examine student achievement, attendance, discipline and parent survey data to establish their goals. The goal setting happens in September and then the evaluation is completed the following September when all of the data is available, this timeline results because the California Standards Test (CST) information is not provided to schools and districts until the middle of August. Joyce shared that she has a data binder for each of her schools. Gary indicated he also looks at student data and he said his principals know he looks at the data, but it is not as explicitly addressed in Maxwell’s principal evaluation as it is in Yuban. Sharon reported Folgers uses a similar process to Maxwell, in which the principals select their three goals from the strategic plan and CAPSEL and then the evaluator writes a narrative on the success of the principal meeting his or her stated goals in a narrative on the evaluation form. This evaluation is done in June, before the principals leave for the summer break. The timeline used by Folgers and Maxwell does not allow the student achievement outcomes from the state assessments to be incorporated. Folgers also has what Sharon termed a universal survey, which acquires information from the school staff of their perception of the principal’s performance. The

survey questions include the areas of focus for the principal. In addition to the staff surveys, Sharon said she conducts interviews with staff. She shared that in a school where there have been many complaints from the staff about the principal, she interviewed every staff member. She then compiled the information and shared it with the principal. This process is similar to the 360-degree evaluation, which gathers input from various stakeholders in the school system (Green, 2004).

There seems to be significant autonomy on the principal evaluation process because both superintendents shared how they had adapted the process and documents when they came to the district. This would indicate that the evaluation process might be changed each time a new superintendent comes to the district. Although it is acknowledged that the individual districts develop these instruments, it is really the superintendent who is able to make adjustments to the process and instrument as they wish. It is noted that in Folgers, where the assistant superintendents conduct the principal evaluations, the process was not changed when a new superintendent came to the district a year ago.

This ability to make adjustments and changes is consistent with the earlier findings regarding home recipe style principal evaluations which are not valid and reliable instruments; rather, the evaluations are developed and based on personal opinions and local practice, not on research findings and these evaluations are often subjective and methodologically flawed (Ginsberg & Berry, 1990). Some of this home recipe variation may be minimized because the principal evaluations are aligned to professional standards and the district strategic plans, which demonstrate a focus on teaching and learning. According to researchers, superintendents where the standards were incorporated

reported the standards as a strong indicator of what principals were expected to do and the standards provided consistency in the evaluation frameworks used to provide a common language of the evaluation criteria for the principal being evaluated and for the evaluator (Derrington & Sharratt, 2008). This would serve to foster consistency and minimize subjectivity.

In order to determine a principal's effectiveness, evaluators reported looking at a variety of data. In addition to the typical student achievement, discipline and attendance data, they also consider staff and parent input. When discussing having a midyear check-in process, Joyce felt there was a readiness required by the principals in the district. She also indicated that having individual data chats with each principal during the year is very time consuming, which becomes a barrier to conducting these meetings. As previously mentioned, Folgers superintendent did have data chats with each principal, but it is not reflected in the principal's evaluation.

Rather, Folgers makes significant effort to gather staff input, but does not have a mechanism for gathering input from parents. Yuban considers the information gathered from parent surveys, requiring principals to have a goal aimed at improvement on any score below 85%. Glen reported he gathers information formally and informally. He seeks input from the district level Directors and Assistant Superintendents, and he acknowledged parents and staff also share information with him informally. Evaluators also gather much of their information from the self-report from the principal through their reflection and evidence of progress towards their annual goals. Although Joyce indicated she does not put credence into principals' self-report, she indicated she does not really care how they view themselves; she only cares how she thinks they are doing. Glen

acknowledged the subjective nature of the evaluations, however he explained he is careful not to listen to the scuttlebutt kinds of things, rather he looks for patterns and does not give weight to one-time instances. This admission of subjectivity is consistent with the research, which found that principals perceive their evaluations to be based on the subjective feelings of the evaluator and community influence rather than by measurable performance indicators (Harrison & Peterson, 1986; Reeves, 2005). Alignment to the district plan and CAPSEL would reduce the dependence on subjective information, specifically if it were aligned to data outcomes.

According to Stine (2001) the principal evaluators need a system to make the appropriate decisions of continued employment, promotion, reassignment, or termination and to provide a diagnostic tool for identifying strengths and areas for improvement in the employee. Each of the evaluators shared the experience of having difficult conversations with a few principals to tell them they would not be continuing in the role of principal the following year. Glen gave an example of placing a principal back into the classroom. He indicated that often principals are aware they are not doing a good job and they will elect to leave rather than being released or reassigned back to the classroom. Sharon indicated she would be placing a principal on an improvement plan and the person understands he or she will be released from the district if the necessary improvements are not made. When this happens, the person is informed by March 15 that they will be released from the position on June 30 of that year. Joyce indicated she often gives principals in this predicament the opportunity to resign before this happens. There are minimal documentation requirements to remove principals from their role as administrators because they do not acquire tenure and therefore are not afforded the same

protections as a tenured teacher. It is relatively easy to remove a principal from his or her position.

Many important decisions are made based on the information obtained in the evaluation process. Joyce opined that it really depends on what you feel is the evaluation process, because in her mind the evaluation process is not about a piece of paper, “the word is process, not document.” She feels principals know when they are being successful and when they are not. When they are being successful, they are driven to continue, but when they are not successful in meeting their goals, they experience dissatisfaction and burnout. She questioned whether the time required for the evaluation was really worth the actual outcome. Gary was more optimistic in his view of the principal evaluation process. He described it, as “a very powerful and useful tool that forces communication that otherwise might not happen.” He feels the process is underused or not used effectively enough in many districts. Gary believes the principal evaluation is part of the continuous improvement for a school district.

#### Summary of Discussion of Findings of the Principal Evaluation Process as Described and Experienced by Principal Evaluators

Evaluators report having no formal training for conducting principal evaluations, but they do align the evaluations to the districts’ strategic plan and professional standards. Evaluators seek to gather input from a variety of sources, with principals’ self-report being an essential input gathered for two of the participating districts. Joyce indicated she does not find value in the self-reported information; rather she looks at achievement and other relevant student and school data. The other evaluators consider those as well,



but not to the degree that they are embedded in Yuban's system as evidenced by the adjusted timeline to include the state assessment data.

When the superintendent is responsible for evaluating the principals, they have the autonomy to change the process and adjust the forms as they perceive will meet their needs as an evaluator or the needs of the district. This whimsical and subjective approach can be minimized by adhering to district plans and standards, such as the CAPSEL, which embed a focus on teaching and learning into the process. Evaluators use the information gathered to make decisions regarding important matters such as continued employment for the principal. It is important to view it as a process, and not simply a piece of paper to be completed.

#### Discussion and Findings on How the Evaluation Process Provides Performance

##### Feedback for the Principal

The feedback provided to principals through the evaluation process is an essential and important aspect. A variety of feedback is afforded to principals, which they report is often affirming in nature, encouraging them to continue those behaviors that are bringing the desired results. This is consistent with earlier research which state the evaluation process is expected to provide the principal with information of ways in which he or she can improve upon skills, attitudes and knowledge (Thomas, et al., 2000). Joyce felt principals should receive more affirmation for the effective work they are doing, she shared, "we are quick to let people know when they haven't done a good job, but we don't validate them as much as we should."

When choosing how to provide the feedback, there was variation with some of the feedback being more informal and conversational, simply verbal feedback and other

information is written on the evaluation document. Kevin reported appreciating the conversational aspect of his evaluation, he indicated this helps him process and reflect on his previous achievements and plan for the upcoming challenges. Rhonda felt the feedback was more focused on what needs to be addressed if an area shows a decline, such as a drop in student scores. This perception is consistent with the research from Harbour (2009), which found the ultimate goal in evaluation is to translate performance data into performance knowledge and meaning that can be effectively and successfully acted upon.

According to Joyce, the mechanism used to provide the feedback depends on the severity of what needs to be expressed and whether she anticipates problems on the same issue in the future. In essence, if the individual is one she does not see as someone she plans to keep as a principal, she may formally document the information so the person realizes the importance of the concern. Glen indicated he does not formally document the items that cannot be validated, those he considered “scuttlebutt” or those things that have not yet occurred multiple times. Joyce said even things that may be really bad, she might not write them on the document because she does not need to demean the individual, she just needs them to make the necessary changes. This can be conveyed verbally and does not have to be concretized in the principal’s file forever. Whether the information was provided verbally or in writing, both principals and evaluators were clear that it was information that should be responded to and acted upon.

All of the principals reported taking action on the feedback that was provided to them in the evaluation process. Researchers found the provision of actionable feedback was an essential role of the principal evaluator because it supports a culture of continuous

growth and improvement (The Wallace Foundation, 2009). The most common types of actionable feedback provided regarded making adjustments to improve student achievement and teacher performance. Kevin said he and his evaluator specifically discuss teachers he is working with to improve their performance. Rhonda said her feedback focuses heavily on student achievement data even though her school has a high API. Principals reported getting actionable feedback allows them to make the tweaks and adjustments to achieve the desired goals.

The evaluators and the principals in Yuban seem to prefer the conversational style of feedback, perhaps because that is their current process. Maxwell and Folgers seem to put the majority of the feedback on the actual evaluation form with the exception being information that is unsubstantiated or not yet perceived as an ongoing concern. The existence of performance feedback is important because earlier researchers determined principal evaluations should provide continuous feedback because it is essential for ongoing professional growth for the principal (Green, 2004).

In Maxwell, performance feedback is explicitly provided on the evaluation document the Key Performance Qualities through a check box process ranging from a rating of commendable to unsatisfactory in 10 areas: Making Decisions and Problem Solving, Managing Change, Relating with People, Instructional Leadership, Learning and Professional Development, Closing the Achievement Gap (CtAG), Serving Customers, Supervising Employees and Assessing Their Performance, Skills and Abilities Required for the Position, and Quality of Work. In addition to the checklist, principals are also provided with narrative. Essentially the evaluator noted the items that had been listed on the previous year's evaluation and then gave narrative on the progress. For instance, the

first bulleted item stated, “Deepen the implementation of Board Math, JiJi, balanced literacy.” The comments added by the evaluator were, “You have successfully pushed this along this year. The Board Math and JiJi are going well now. The balanced literacy work needs to continue to grow, but you are doing a great job with this.” The evaluation document concludes with a summative evaluation rating for the year (Appendix C).

Folgers evaluation document appears to be very similar to Maxwell’s, but the process is slightly different. On the left side of the document under each of the Performance Objectives, the principal notes their goal and the actions necessary to reach that goal. On the right side of the document, the evaluator provides a narrative of the perceived performance. The goal noted by the principal on the Folgers’ document under the first Performance Objective was “Have staff more actively engaged in CtAG.” One of the noted activities by the principal is, “During at least 4 staff meetings throughout the year, teaching staff will set aside 30-45 minutes to discuss and share ongoing goals for CtAG in the classroom as well as intervention programs for African-American students, Hispanic students and low socio-economic students.” The first part of the narrative provided by the evaluator was simply a listing of what had been observed that demonstrated the goal being addressed. The actionable feedback provided by the evaluator stated, “You will be able to further develop your teachers’ skills in these areas by refining your staff meetings so that they are grounded more in staff development.” There were additional noted comments and on this specific Performance Objective, the evaluator had marked “Met Objective.” Folgers also uses the same Key Performance Qualities Continuum as Maxwell.

Yuban's document is divided into five sections: Organizational Leadership, Instructional Leadership, Communication, Organizational Culture and Climate, and Professionalism. The principal fills out his or her goals and success indicators at the beginning of the evaluation cycle and then adds data to show the progress on the goals at the end of the evaluation cycle. This document also notes several items under each of the five sections that are the superintendent's non-negotiables. One example of this under Organizational Leadership is "Encourage appropriate teachers to participate in the Alternative Evaluation Process to leverage our professional learning community and fast-forward effective programs." In the goals and success indicators section, the principal had noted in the fall, "All staff will be evaluated according to the contract. Alternative evaluations will be used to improve core best practices at our school." At the end of the evaluation cycle, underneath that in bold, the principal had noted, "This was accomplished. Four out of 15 teachers selected to complete an Alternative Evaluation Plan and one was on an Improvement Plan. That teacher is now on a regular formal cycle." The evaluator may provide comments under each of the five sections and then provides a "Year-End Overall Evaluation Summary" of the following four options: Continuation with Commendation, Continuation without Reservation, Continuation with Reservation, Recommended Termination (Appendix C).

As discussed earlier, Joyce does not rely heavily on the paperwork aspect of the process, she uses her data binder to have discussions about the goals in the fall and then reviews those after the state assessment data is available the following fall. Based on this timeline, if she was going to recommend for termination, she would have done that in the middle of the evaluation cycle because of the March 15 notification requirement. It

seems that the documentation of the form is inconsistent with the practices and timelines in Yuban.

#### Summary of Discussion and Findings on How the Evaluation Process Provides Performance Feedback for the Principal

In addressing the third research question, we examine the feedback provided in the principal evaluation process. Feedback of performance is provided to principals both verbally and in writing in order to provide them with information of ways they can improve their skills, attitudes and knowledge. The feedback affords an opportunity for the evaluator to affirm principals for the effective work they are doing. A much neglected area in this climate of accountability in education. It seems the focus is on what is not working with little attention being paid to the performances that are bringing about desired outcomes.

The choice to simply provide the information verbally through conversation verses in writing on the formal evaluation document depends on the severity of the concern. If the item is unconfirmed or less serious, it may likely simply be discussed. However, if the matter becomes habitual or a concern of the evaluators, it is likely documented. It also may be written down to demonstrate the importance of the issue and need for the principal's attention. This assures the principal understands it as an area needing to be addressed. Although if the evaluator believes a conversation will bring about the desired change then they may choose not to formally and permanently document the issue.

Regardless of whether the information is provided verbally or in writing, principals respond to the feedback provided. They make adjustments to programs and

address matters of stated concern. This feedback and the actions taken as a result of the feedback demonstrate the principal evaluation as an aspect of professional development. The evaluation documents provided from the districts demonstrate the specific feedback provided and the specific responses expected. It is clear that the intended goal of the principal evaluation is to translate performance data into performance knowledge and meaning that can be effectively and successfully acted upon (Harbour, 2009) was evident in this study.

#### Examining this Study with the VAL-Ed Conceptual Framework

This framework as illustrated in Figure 1 was developed to establish a conceptual model for leadership assessment in the United States (Goldring, et al., 2009). The Vanderbilt Assessment of Leadership in Education (VAL-Ed) focuses on the assessment of leadership job performance, both leadership behaviors and practices. The VAL-Ed is grounded in research literature, is based on standards and is different from current leadership evaluation frameworks being used throughout the nation. The model is anchored and aligned with the Interstate School Leaders Licensure Consortium (ISLLC) standards. The core components refer to the characteristics that support the learning of students.

It is noted that none of the participating evaluators used the VAL-Ed instrument, but the research sought to determine which elements from the VAL-Ed if any were present in the principal evaluation processes in this study. The yellow boxes as illustrated in Figure 1 demonstrate the inputs the principal brings to the job, such as knowledge and skills, personal characteristics and values and beliefs. In this research study, all of the participating principals had similar knowledge and skills, such as having

been classroom teachers and assistant principals. This particular study did not have a mechanism for discerning the values and beliefs of the principals or the personal characteristics. However, during the observations of “a day in the life” of each of the principals, actions were observed to demonstrate a belief that all children can learn and valuing others by including them in decision making. It is noted, the purpose of the observations was not to look for the presence of the elements of the framework, rather to assure contextual understanding and triangulation of the data. However the observations affirmed all of the principals collaborate with staff members to make collective decisions, interact with individual students in ways that demonstrated a personal belief that each child is capable of learning. This was most evident with Tammy and David as each of them was observed interacting with significantly impaired learners in a positive manner. They each have Severely Handicapped Special Education programs at their campuses.

The context that may have bearing on leadership evaluation as shown in the green box on Figure 1 is another type of input. This is the contextual variation that may be present among principals. In this study, the principals were all elementary principals in suburban schools with similar staff compositions. There was some variation of demographics as shown in Table 1, the years of principal experience ranged from 1 to 8 years. There is also a variance in the composite of the schools’ demographics as illustrated in Tables 2 and 3. The evaluation process in this study demonstrated consideration for these contextual variations with the goals being aligned to the specific needs of the specific schools.

The leadership behaviors as shown in Figure 1 in the lavender box are the leadership behaviors the principal engages in. This is essentially combining what the



principal does and how he does it. This involves the principal establishing high expectations for student learning, assuring rigorous curriculum, guaranteeing quality instruction, establishing a culture of learning and professional behavior and maintaining systematic performance accountability. These elements were certainly present in the participating evaluation processes. The documents each demonstrate the focus on student learning, the principals goals of conducting classroom walk-throughs and collecting data around the observed instruction aimed at improving instruction evidence the presence of these behaviors. Developing teacher leadership teams and working with teachers to improve their instruction, and fostering collaboration are all examples of principals demonstrating these core components of leadership behaviors. In addition to the behaviors are the plans for how to get what has been identified as needing to be done, actually completed. This requires the principal to influence the organization to obtain the desired outcomes, such as improved student learning. This is done through planning, implementing, supporting, advocating, communicating and monitoring.

In the participating principal evaluation processes, expectations of these core behaviors and key processes are embedded in the process. There were specific elements that principals needed to accomplish and in order to get the desired outcomes as established by their goals, they would have to plan, monitor, support and advocate for the needs of their school. It is noted that the principals' self-report on their progress towards goals could allow for misrepresentation of behaviors, but in Yuban, the examination of outcome data would allow the evaluator to determine if what was being claimed was what was actually occurring. In Folgers, the frequent visitations to the school site, the staff surveys and interviews all afford the evaluator the opportunity to observe the

leadership behaviors in action. In Maxwell, there did not seem to be a consistent process for assuring the desired leadership behaviors were implemented, however, the solicitation of feedback from Directors and Assistant Superintendents on aspects of Instruction, Human Resources, Student Services and Fiscal management allow the superintendent to have an understanding of the principals behaviors. Glen also stated that one of his evaluation points for a principal is whether they implement the programs identified to support student learning, such as implementing benchmark assessments and intervention programs. In each of the districts, the evaluations included mechanisms for assessing the principals' leadership behaviors. This is evidenced by looking at the documents used for the checklist of Key Performance Qualities as well as in examining the goals that result from the evaluation being aligned to the districts' strategic plans and the CAPSEL.

The next aspect of the VAL-Ed is to look at school performance on core components, which is illustrated as the blue box on Figure 1. This is really about the principal being an instructional leader by having high standards of performance for staff. This was evidenced when Kevin mentioned that he and Joyce discuss the teachers in need of improvement and how that will be monitored and supported. This was evidenced in Maxwell with Tammy putting emphasis on teacher development and creating professional learning communities. Natalie's goals reflect her commitment to developing teacher leadership. Folgers would be able to determine the presence of these performance components through their frequent observations and staff surveys. Specifically, they can determine the existence of a culture of learning and professional behavior. Yuban's use of parent survey data would allow an evaluation of the connections to external conditions. Systematic performance accountability seemed to

have presence in all of the principal evaluation processes because all reference using performance data to determine effectiveness. Yuban was the most aligned to data use, but the connection to the strategic plans in the other two districts demonstrates the importance of accountability. For instance, under Performance Objective 1, Tammy indicated she would “Implement a Comprehensive Assessment Program for ELA [English Language Arts] and Math.” These all demonstrate school performance on core components, which will not happen without effective leadership from the principal (Appendix C).

The final element present in the VAL-Ed framework is the Value added aspect as illustrated in the orange box in Figure 1. These are the ultimate outcomes of student achievement and attendance. Since these were all principals in elementary districts, student graduation and college enrollment were not considered. In each of these instances, principals are being evaluated based on student achievement outcomes. Each of the principals confirmed that their evaluator considers student attendance, but none perceived that as an area of struggle for them, but acknowledged if their school attendance declined, that would be addressed by their evaluator. As mentioned earlier, all principals reported student achievement as important, but only Yuban seemed to purposefully align their evaluation cycle to embed the importance of student achievement into the principal evaluation process. Maxwell principals’ goals illustrate they pay attention to student achievement and the superintendent acknowledges he monitors that, but the principals did not feel student achievement data was specifically used in their evaluation. In Folgers, David expressed a desire to be evaluated more on actual student

achievement outcomes rather than the subjective survey and interview information obtained from his staff.

Each of the principal evaluators report monitoring student data, indicating the student achievement outcomes influence the evaluators perception of the effectiveness of the principal. It is difficult to discern the import placed on the student achievement data. In this study, all but one of the principals' student achievement data improved on the Academic Performance Index (API). Two of the principals made very impressive gains as shown in Table 4. The principal who declined by 7 points in API felt as though she had "somehow failed," even though her school has the highest API of any of the schools in the study. It is noted that while she reported feeling as though she had failed, she indicated that there was not any negative comment about her leadership on her evaluation. She did say that she and the superintendent discussed some strategies for focusing the instruction with specific attention to one grade level. This study indicates that the principals who participated in this study believe student achievement data is an important measure for their success; however, none indicated they fear they will lose their job if their scores take a slight dip. One consideration when looking at the VAL-Ed framework is what should the evaluator consider if the desired leadership behaviors and school performance elements are present and observed, but the student success outcomes do not result as anticipated? These behaviors and performance components should bring about the desired outcomes, but what if there are other factors outside of the principal's control, should they be evaluated negatively because the student success outcomes were not obtained? These are just two questions demonstrating additional needs for research.

In addition to these, there are several others. The following section will discuss additional implications for future research.

#### Recommendations for Further Research

This research study provided a practical understanding of the principal evaluation process in Northern California districts as described by the principals and the principal evaluator for the participants in this study, but more research needs to be conducted to produce descriptions of what is actually occurring in the principal evaluation process across other areas in California and throughout the nation. Involving a larger sample for the research would allow for a broader understanding of practices to determine whether the findings in this study are consistent across a larger population. Extension of this study could include studying the entire evaluation cycle beginning with the goal setting, all the way through the entire school year to the final culminating evaluation. The design of this study asked participants to describe the experience, but interviews, observations and document analysis after each aspect of the cycle was not conducted. If possible, it might also prove insightful to actually observe the evaluation meetings between the principal and the evaluator. One of the principals had agreed to allow the researcher to observe the final evaluation and goal setting for the new school year, and then forgot to inform the researcher when the date was changed.

An additional research worthy topic would be to research the training provided for conducting principal evaluations. Based on this study, there is no provision of any formal training for conducting principal evaluations, rather evaluators draw upon their own experience as evaluators of teachers and their evaluation experience as a principal. This casual approach allows for poor evaluation processes and practices to be perpetuated

throughout a system. Another need for future research would be to develop a type of checks and balances for the principal evaluation process. This study found that the superintendent has considerable autonomy to make adjustments to the process and as a result, the process is rather subjective. In addition to researching the benefits of providing training for principal evaluators, studying the actual scoring and weighting used for the various elements of the principal evaluation would be important and may provide additional insight into ways to prevent subjectivity. This would lend credibility to the principal evaluation process that is currently perceived as highly subjective.

This study found that the time required to be on campus and observe the various roles and responsibilities of the principal was a barrier for principal evaluators. A research study aimed at determining meaningful observational opportunities for the principal evaluator would be a valuable contribution to making this daunting task manageable and meaningful for both the principal and the principal evaluator.

This study also found the evaluation system is often changed with the introduction of a new superintendent when the superintendent is responsible for principal evaluations. Additional research on this topic would provide additional insight into the process; such as does the principal evaluation process change when a new superintendent comes to a district? In that study, it would be important to understand why the changes were being made, what is the superintendents' perceived goal in changing the evaluation system and then determining whether the changed evaluation brings about the superintendents' desired goal.

Potential future research topics also came from participants in this study. One of the principals in this study indicated a desire for an alternative principal evaluation

process for experienced principals. This is a viable topic for further exploration of the possibilities, benefits and challenges of an alternative principal evaluation system for veteran principals based on perceived school needs. Exploring the perceived benefit of an alternative process for principals would contribute to the viable options for effective principal evaluations. Another possible research topic came from another principal who suggested more benefit and professional development with the support of a principal coach rather than the typical principal evaluation process. These types of alternative processes and supports have not been researched and would contribute to the small body of information currently available on effective principal evaluation processes.

This study also found benefit in the discussion and reflection held between the principal and principal evaluator. A potential research study could examine the perceived benefit of a traditional evaluation process compared and contrasted to a regular conversational check in with the principal's supervisor to further explore the finding in this study indicating the value is in the conversation compared to the actual documentation.

An additional area that was touched upon in this study was the decision for principals to be released or reassigned. As was shared in this study, principals often self-select and resign rather than be released or get reassigned back to the classroom. There is virtually no data in this area to indicate how often principals are removed from their schools, where they go after that and whether they are able to demonstrate success whether as a principal at another school or back as a classroom teacher.

As previously noted, the limited amount of research that has been conducted on principal evaluation systems lends itself to a plethora of research potential. While this

research study indicates improvement is being made to align the principal evaluation to professional standards, additional research should be conducted to determine how the alignment is actually demonstrated in the day-to-day operations. Earlier research indicates a principal is responsible for 25% of the student achievement (Marzano, Waters & McNulty, 2005), additional research should be conducted to determine this across specific settings of various subgroups, for instance, additional research looking at each aspect of the conceptual framework would be noteworthy to determine whether particular aspects of the elements of the framework demonstrated better student outcomes than others. Another related area of research would be to develop an observational tool for principal evaluators to demonstrate the presence of the essential aspects of the framework. In light of the limited amount of research that has been done on principal evaluations and the current political pressures to improve the principal evaluation system, this field of study is wide open for a myriad of possibilities for furthering our understanding and ultimately improving the principal evaluation process.

#### Recommendations and Implications for Practice

Professional organizations, such as the Association for California School Administrators (ACSA) and the American Association of School Administrators (AASA) could fill the seemingly neglected training gap by providing training support for principal evaluators. In addition to providing training, these professional organizations along with County Offices of Education could support the principal evaluation process by providing a process for calibrating the principal evaluation with other similar districts. A method of calibration would improve the validity and reliability of the evaluation, which has been a concern throughout the research.



Another proposition from this research study is the need for the evaluation to be conducted by the superintendent. This may be challenging for larger districts, but principals indicate they want to know what the district leader thinks about their performance. This would also limit the blurring of lines that result when the principal evaluator also serves a specific role for the district as that is perceived to skew the evaluation. The superintendent could gather data from the various district office administrators, but the final evaluation should come from the district leader. In instances where the district is too large for the superintendent to conduct all of the principal evaluations, consideration should be made to allow the principal to have some input into determining which district office administrator will be his or her evaluator. At a minimum, the principal should understand why a specific evaluator is assigned to him or her. The district office administrator needs to be purposeful in separating his or her specific job in the district from the role of evaluator.

The need for the principal evaluation to be linked to data was evident in this study; principals want to know which data measurements will be used and they want to know the data is based on verifiable information such as student achievement or attendance data. It is essential that the district be comfortable with using data before this can become an integral part of the system. Midyear data reviews are an important component to performance measurement, but this is very time consuming and therefore, the midyear review is often simply a self-report of progress towards goals. A simple conversation between the principal and the evaluator may actually be perceived as more beneficial than a formalized midyear check-in.

The districts in which the superintendent conducts the principal evaluations report student data as being an important aspect of the principal evaluation. When perception data is used, it should be valid information from reliable sources. The principal evaluation process has the potential to be a powerful and useful tool that fosters communication and is an integral part of the continuous improvement for a school district. It is important to acknowledge it is about the process, not simply a piece of paper, with the conversations and reflections that result from the process being the most beneficial. Validating principals for the hard work they do is not done frequently enough and this should happen within the evaluation system, but not be contained exclusively to the evaluation. The actual written document is the least beneficial component of the principal evaluation process. While there are many areas on this topic still in need of research, this research study yielded supportive information for those responsible for principal evaluations. This study provides important information and contributes to the limited body of research on this necessary topic.

#### Concluding Thoughts

Conducting this study has had an impact on how I now perceive my role and responsibilities as an evaluator of principals. This study demonstrates that both principals and evaluators are in favor of using student data in the principals' evaluation. As a matter of fact, the use of data is felt to reduce the subjectivity of the process. As a result of this study, in my principals' evaluations I assure the performance measures used are agreed upon and based on some sort of affirmed data, such as the school's budget, programs aimed at supporting achievement as well as attendance and achievement data. This study also demonstrated that principals prefer to be evaluated by the superintendent.

As an assistant superintendent, I am responsible for conducting principal evaluations; as a result of this study I now have conversations with my superintendent regarding each of the evaluations. I assure my principals that even though I am the one implementing the evaluation process it is being done in collaboration with and with input from the superintendent.

Because of the concerns expressed by participants in the study regarding the blurring of personal and professional lines, I am explicit when I am working with them in my role as the assistant superintendent contrasted with when I am engaged in a discussion or activity relating to their evaluation. Likewise, I am cautious to not allow personal relationships to influence the principals' evaluation. At a minimum when I hear something in an informal manner, I do not include the information unless some other form of data also validates it. The influence of this study has caused me to overtly tell a principal if the conversation we are having is as friends and not part of my role as their evaluator and supervisor.

Another effect this study has had is the realization that principal evaluations are a process and not simply an end of the cycle summation. As a result, I am striving to use the principal evaluation process in a formative manner to provide direction for professional development needs. Only a few of the principals in this study reported the evaluation process as supporting their own development, but I believe using the process in a formative manner allows district leaders to address needs as they become apparent. For instance, if a principal is demonstrating difficulty managing the school budget, as an evaluator and supporter of principals, I would be remiss to wait for the end of the year evaluation and document this concern. Rather, I should respond to the need by providing

the principal with additional support as soon as the need is identified. Seeing the evaluation process as formative could also support the desire for mentoring mentioned in this study. School districts often have resident experts who can support and work with principals to develop principals' skills and development and I believe it is the responsibility of the evaluators to identify those experts and to find outside experts if internal experts do not exist.

Clearly, this study has influenced my own personal practice and I hope the principals I support and evaluate will also benefit from the information gathered from this research. In addition to my personal development, I intend to work with professional associations, such as the Association of California School Administrators (ACSA) to caution policy makers from simply focusing on the paperwork and documentation of the principal evaluation system. This study was clear in determining it is not about the paperwork, it is about the process. If policy makers and politicians only attend to the paperwork, we will end up with an imposed paperwork structure that is ineffective for bringing desired change. As one participant noted, it is not about the paperwork, it is about who is behind the pen. Training the principal evaluator is a missing and essential component. If the process does not include ongoing and reflective dialogue, it will not bring about the desired improvements. Likewise, the paperwork can be mediocre, but with insightful conversation between the principal and their evaluator as they look at data, behavior and performance can bring about the touted improvements for the principal, which will ultimately result in improvement of staff and student achievement.

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APPENDIX A  
INTERVIEW QUESTIONS

Before launching into the interview questions aimed at the specific Research questions, each participant will be asked to share their background, experience and training.

Introduction: Please provide information about your background in education, your experience, and any specific training you have had that support you in your current role.

*Research Question 1.* How is the principal evaluation process conducted as described and experienced by elementary principals in a Northern California School district?

- 1.1. Please describe the process of your evaluation, including approximate timelines of the process.
- 1.2. Does the process include documents or specific paperwork? (If the process includes paperwork, the researcher will request copies of the documents).
- 1.3. Is there a goal setting process? Are the goals/objectives provided to you or selected by you?
- 1.4. Is there a specific check-in process with your supervisor throughout the year? If so, please describe the process.
- 1.5. Please describe your experience of being evaluated as an elementary principal.
- 1.6. Do you feel the evaluation process supports your development as an elementary principal?
  - 1.6. a. If so, please describe the ways the process supports your development as a principal.
- 1.7. Do you feel your evaluation experience influences the process you use to evaluate your teachers and staff?
- 1.8. What is the most beneficial aspect of your evaluation process?
  - 1.8. a. What is the least beneficial aspect of your evaluation process?
- 1.9 What performance measures are used for your evaluation? (May require eliciting more detail of measures for clarity)

- 1.10. Are the performance measures aligned to professional standards?
- 1.11. Are the performance measures based on other state, district or school goals?
- 1.12. How do you monitor your progress on meeting your goals throughout the year?
- 1.13. What sources of information are used to inform your evaluator of your performance?
- 1.14. Does the information provide helpful information for you as an educational leader? If so, in what ways?
- 1.15. Do you believe the information gathered is an accurate reflection of the work you do as a principal?
- 1.16. Is there any additional information you would like to share about the evaluation process that these questions have not elicited?

*Research Question 2. How is the principal evaluation process conducted as described and experienced by principal evaluators in a Northern California School district?*

- 2.1. Please describe the process for evaluating principals in your district?
- 2.2. Does the process include documents or specific paperwork? (If the process includes paperwork, the research will request copies of the documents).
- 2.3. Is there a goal setting process? If so, how are the goals/objectives determined?
- 2.4. Is there a specific check-in process with you and the principal throughout the year? If so, please describe the process
- 2.5. What performance measures are used to evaluate your elementary principals?
- 2.6. How do you monitor those measures?
- 2.7. What sources of information do you use to inform the principal's evaluation?
- 2.8. Do you feel the information you gather is an accurate reflection of the work you do as a principal?
- 2.9. What is the most challenging aspect of evaluating principals?

2.10. Is there any additional information you would like to share about the evaluation process that these questions have not elicited?

*Research Question 3. How does the evaluation process provide performance feedback for the principal?*

For Principals

3.1. What information do you receive from the evaluation process?

3.2. Is the information formally documented as part of your final evaluation?

3.3. Are you provided with information/feedback that is not formally documented as part of the evaluation?

3.4. What types of information are you most commonly given?

3.5. Do you/have you taken any action based on the feedback provided in your evaluation?

For Principal Evaluators

3.6. Do you provide information or feedback to the principals as part of the evaluation process?

3.7. Do you provide the information or feedback formally on the evaluation document?

3.8. Do you provide information that is not formally documented as part of the evaluation?

3.8. a. If so, how do you decide what you will include in written form and what you will share orally?

3.9. Do you/have you taken any action based on the evaluation process? If so, what actions were taken?

APPENDIX B  
EDUCATION LEADERSHIP STANDARDS

APPENDIX B1

INTERSTATE SCHOOL LEADERS LICENSURE CONSORTIUM (ISLLC)

Educational Leadership Policy Standards: ISLLC 2008 as adapted by the National Policy Board for Education Administration (NPBEA) on December 12, 2007.

Standard I: An educational leader promotes the success of every student by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by all stakeholders.

Functions:

- A. Collaboratively develop and implement a shared vision and mission
- B. Collect and use data to identify goals, assess organizational effectiveness, and promote organizational learning
- C. Create and implement plans to achieve goals
- D. Promote continuous and sustainable improvement
- E. Monitor and evaluate progress and revise plans

Standard II: An education leader promotes the success of every student by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.

Functions:

- A. Nurture and sustain a culture of collaboration, trust, learning and high expectations
- B. Create a comprehensive, rigorous, and coherent curricular program
- C. Create a personalized and motivating learning environment for students
- D. Supervise instruction
- E. Develop assessment and accountability systems to monitor student progress
- F. Develop the instructional and leadership capacity of staff
- G. Maximize time spent on quality instruction
- H. Promote the use of the most effective and appropriate technologies to support teaching and learning

I. Monitor and evaluate the impact of the instructional program

Standard III: An education leader promotes the success of every student by ensuring management of the organization, operation, and resources for a safe, efficient, and effective learning environment.

Functions:

- A. Monitor and evaluate the management and operational systems
- B. Obtain, allocate, align and efficiently utilize human, fiscal, and technological resources
- C. Promote and protect the welfare and safety of students and staff
- D. Develop the capacity for distributed leadership
- E. Ensure teacher and organizational time is focused to support quality instruction and student learning

Standard IV: An educational leader promotes the success of every student by collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community resources.

Functions:

- A. Collect and analyze data and information pertinent to the educational environment
- B. Promote understanding, appreciation, and use of the community's diverse cultural, social and intellectual resources
- C. Build and sustain positive relationships with families and caregivers
- D. Build and sustain positive relationships with community partners

Standard V: An educational leader promotes the success of every student by acting with integrity, fairness, and in an ethical manner.

Functions:

- A. Ensure a system of accountability for every student's academic and social success
- B. Model principles of self-awareness, reflective, practice, transparency, and ethical behavior
- C. Safeguard the values of democracy, equity, and diversity

- D. Consider and evaluate the potential moral and legal consequences of decision-making
  - E. Promote social justice and ensure that individual student needs inform all aspects of schooling
- Standard VI: An education leader promotes the success of every student by

understanding, responding to, and influencing the political, social, economic, legal and cultural context.

Functions:

- A. Advocate for children, families and caregivers
- B. Act to influence local, district, state and national decisions affecting student learning
- C. Assess, analyze, and anticipate emerging trends and initiatives in order to adapt leadership strategies

## APPENDIX B2

## CALIFORNIA PROFESSIONAL STANDARDS FOR EDUCATIONAL LEADERS

## (CPSEL)

**Standard 1**

*A school administrator is an educational leader who promotes the success of all students by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by the school community.*

- Facilitate the development of a shared vision for the achievement of all students based upon data from multiple measures of student learning and relevant qualitative indicators.
- Communicate the shared vision so the entire school community understands and acts on the school's mission to become a standards based education system.
- Use the influence of diversity to improve teaching and learning.
- Identify and address any barriers to accomplishing the vision.
- Shape school programs, plans, and activities to ensure that they are integrated, articulated through the grades, and consistent with the vision.
- Leverage and marshal sufficient resources, including technology, to implement and attain the vision for all students and all subgroups of students.

**Standard 2**

*A school administrator is an educational leader who promotes the success of all students by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.*

- Shape a culture in which high expectations are the norm for each student as evident in rigorous academic work.
- Promote equity, fairness, and respect among all members of the school community.
- Facilitate the use of a variety of appropriate content-based learning materials and learning strategies that recognize students as active learners, value reflection and inquiry, emphasize the quality versus the amount of student application and performance, and utilize appropriate and effective technology.
- Guide and support the long-term professional development of all staff consistent with the ongoing effort to improve the learning of all students relative to the content standards.
- Provide opportunities for all members of the school community to develop and use skills in collaboration, distributed leadership, and shared responsibility.
- Create an accountability system grounded in standards-based teaching and learning.
- Utilize multiple assessments to evaluate student learning in an ongoing process focused on improving the academic performance of each student.



### **Standard 3**

*A school administrator is an educational leader who promotes the success of all students by ensuring management of the organization, operations, and resources for a safe, efficient, and effective learning environment.*

- Sustain a safe, efficient, clean, well-maintained, and productive school environment that nurtures student learning and supports the professional growth of teachers and support staff.
- Utilize effective and nurturing practices in establishing student behavior management systems.
- Establish school structures and processes that support student learning.
- Utilize effective systems management, organizational development, and problem-solving and decision-making techniques.
- Align fiscal, human, and material resources to support the learning of all subgroups of students.
- Monitor and evaluate the program and staff.
- Manage legal and contractual agreements and records in ways that foster a professional work environment and secure privacy and confidentiality for all students and staff.

### **Standard 4**

*A school administrator is an educational leader who promotes the success of all students by collaborating with families and community members, responding to diverse community interests and needs, and mobilizing community resources.*

- Recognize and respect the goals and aspirations of diverse family and community groups.
- Treat diverse community stakeholder groups with fairness and respect.
- Incorporate information about family and community expectations into school decision-making and activities.
- Strengthen the school through the establishment of community, business, institutional, and civic partnerships.
- Communicate information about the school on a regular and predictable basis through a variety of media.
- Support the equitable success of all students and all subgroups of students by mobilizing and leveraging community support services.

### **Standard 5**

*A school administrator is an educational leader who promotes the success of all students by modeling a personal code of ethics and developing professional leadership capacity.*

- Model personal and professional ethics, integrity, justice, and fairness, and expect the same behaviors from others.
- Protect the rights and confidentiality of students and staff.
- Use the influence of office to enhance the educational program, not personal gain.
- Make and communicate decisions based upon relevant data and research about effective teaching and learning, leadership, management practices, and equity.

- Demonstrate knowledge of the standards-based curriculum and the ability to integrate and articulate programs throughout the grades.
- Demonstrate skills in decision-making, problem solving, change management, planning, conflict management, and evaluation.
- Reflect on personal leadership practices and recognize their impact and influence on the performance of others.
- Engage in professional and personal development.
- Encourage and inspire others to higher levels of performance, commitment, and motivation.
- Sustain personal motivation, commitment, energy, and health by balancing professional and personal responsibilities.

### **Standard 6**

*A school administrator is an educational leader who promotes the success of all students by understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context.*

- Work with the governing board and district and local leaders to influence policies that benefit students and support the improvement of teaching and learning.
- Influence and support public policies that ensure the equitable distribution of resources and support for all subgroups of students.
- Ensure that the school operates consistently within the parameters of federal, state, and local laws, policies, regulations, and statutory requirements.
- Generate support for the school by two-way communication with key decision-makers in the school community.
- Collect and report accurate records of school performance.
- View oneself as a leader of a team and also as a member of a larger team.
- Open the school to the public and welcome and facilitate constructive conversations about how to improve student learning and achievement.

APPENDIX C  
EVALUATION AND DOCUMENTATION  
APPENDIX C1

MAXWELL UNIFIED  
SCHOOL DISTRICT

MANAGEMENT TEAM  
PERFORMANCE EVALUATION

<b>Evaluatee's Name</b>	<b>Position Title</b> Principal
<b>Evaluated by</b>	<b>Date of Interim Review (optional)</b> 02-11-11
<b>Period Covered</b> 2010-2011	<b>Date of Final Review</b> 06-08-11

**Purpose** The purpose of the Management Team Performance Evaluation is to promote personal and professional development, and to assist employees in achieving excellence or improving performance.

**Goal** The goal of the evaluation is to tie the evaluation processes to the evaluatee's performance objectives, and ultimately, his/her daily professional activities, directly to the district's strategic goals.

<b>Directions</b>	<b>Timeline</b>
<i>Evaluator and Evaluatee</i> should mutually agree upon performance objectives and professional development objectives. (p. 2)	Complete by October 1 <sup>st</sup> at the <b>beginning</b> of the evaluation process.
Interim progress review ( <i>Evaluator and Evaluatee</i> , p. 2)	Optional
Year-end assessment review ( <i>completed by Evaluator</i> ) 1. Performance Meeting Objectives and Performance Results (p. 2) 2. Key Performance Qualities (pgs. 3-4) 3. Year-end Overall Summary and Commentary (p. 5)	Complete by June 15 <sup>th</sup> (certificated) or June 30 <sup>th</sup> (classified) at the <b>conclusion</b> of the evaluation process.

<b>Definitions</b>	
<i>Performance Objectives</i> (mutually agreed upon)	Performance objectives specifically address the program for which you are responsible. <i>At least one performance objective must be in support of district strategic goals.</i> If you supervise classroom instructional staff, at least one objective must be aimed at improving supervision and assessment activities. You are encouraged to bring to the review sessions a portfolio of work that you believe demonstrates your effort in meeting the objective.
<i>Professional Development Objectives</i> (mutually agreed upon)	Professional development objectives are designed to strengthen professional skills and understandings related to current roles and responsibilities. Professional development objectives should develop, enlarge, expand or augment effectiveness and efficiency of management team members.
<i>Interim Progress Review (Optional)</i>	Meet during the school year to informally review performance, discuss performance and professional objectives, acknowledge any shifts in duties or assignments and agree upon any special course of action needed to stay on track.

*Any questions regarding the Management Team performance evaluation process should be directed to*

## II. KEY PERFORMANCE QUALITIES

**Instructions for Evaluator:** In each section that follows, choose the description that best describes the Evaluatee's performance. Use the EVALUATOR'S COMMENTARY (p. 5) to explain all 'needs improvement' or 'unsatisfactory' or to record any other pertinent comments.

<b>A. Making Decisions and Solving Problems</b>			
<input type="checkbox"/> <b>Commendable</b> Skilled in resolving complex problems; identifies and involves stakeholders, makes effort to understand problem before looking for solution; considers innovative solutions when they are appropriate, takes responsibility.	<input checked="" type="checkbox"/> <b>Meets Standards</b> Informs stakeholders of decisions; seeks out necessary data to make good decisions and solve problems; accepts responsibility for decisions.	<input type="checkbox"/> <b>Needs Improvement</b> Appears to have difficulty knowing who stakeholders are; infrequently seeks out data; decisions are sometimes poor; tends not to accept responsibility.	<input type="checkbox"/> <b>Unsatisfactory</b> Appears not to know who stakeholders are; does not seek out data; most decisions are poor; does not accept responsibility.
<b>B. Managing Change</b>			
<input checked="" type="checkbox"/> <b>Commendable</b> Embraces change and implements it skillfully; actively explores possibilities and can help others do the same; viewed as a change agent.	<input type="checkbox"/> <b>Meets Standards</b> Welcomes change and is able to implement it; recognizes possibilities for change; is there when needed to help cause change.	<input type="checkbox"/> <b>Needs Improvement</b> Tends to focus on present; daunted by change; has difficulty implementing changes; resistant to possibilities; keeps low profile during periods of change.	<input type="checkbox"/> <b>Unsatisfactory</b> Expects certainty and status quo; actively avoids change; unable to discern, much less consider, possibilities; disappears during periods of change.
<b>C. Relating with People</b>			
<input checked="" type="checkbox"/> <b>Commendable</b> Values people; expert listener; tries to see all sides of an issue; sought after to defuse problems; strong communication skills.	<input type="checkbox"/> <b>Meets Standards</b> Respectful of others; good listener; sees all sides; able to help facilitate; good communication skills.	<input type="checkbox"/> <b>Needs Improvement</b> Sometimes is disrespectful of others; has trouble listening; focused on own point of view; inconsistent communication skills.	<input type="checkbox"/> <b>Unsatisfactory</b> Tends to discount others; doesn't listen and cuts people off; adamantly clings to own position; ignites instead of diffuses situations; poor communication skills.
<b>D. Instructional Leadership (Mark 'NA' if the descriptor is not applicable to the evaluatee's position.)</b>			
<input checked="" type="checkbox"/> <b>Commendable</b> Has and communicates a vision; consistently empowers team; consistently models desired behaviors; leads the team's learning; shares organization-wide information.	<input type="checkbox"/> <b>Meets Standards</b> Has a vision for the team; is able to empower team members; usually models desired behaviors; offers training opportunities.	<input type="checkbox"/> <b>Needs Improvement</b> Difficulty focusing on a vision; uncomfortable empowering team; doesn't model desired behaviors; infrequently offers team training.	<input type="checkbox"/> <b>Unsatisfactory</b> Exhibits no sense of vision; resists empowering team; models undesirable behaviors; rarely, if at all, offers team training.
<b>E. Learning and Professional Development</b>			
<input checked="" type="checkbox"/> <b>Commendable</b> Works to stay current with required job knowledge; able to integrate new learning and routinely applies to everyday work; anticipates new learning needs.	<input type="checkbox"/> <b>Meets Standards</b> Is aware of need to stay current with job knowledge; benefits from new learning and applies to work; open to new learning opportunities.	<input type="checkbox"/> <b>Needs Improvement</b> Tends not to benefit from new learning; has trouble seeing connection between new learning and everyday work; reluctant to attend trainings.	<input type="checkbox"/> <b>Unsatisfactory</b> Does not benefit from new learning; unable to see connection between new learning and everyday work; is unwilling to attend trainings.
<b>F. Closing the Achievement Gap (CTAG)</b>			
<input checked="" type="checkbox"/> <b>Commendable</b> Understands and consistently uses organization-wide approach to better understand institutional racism and its relation to student achievement; focuses on the relationship of the individual effort to the whole; is conscious of alternatives and their consequences on CTAG. Demonstrates understanding through frequent communication and daily interaction with others.	<input type="checkbox"/> <b>Meets Standards</b> Has some understanding of CTAG dynamics and its relation to student achievement; is aware of the need to consider most district strategies when making decisions to CTAG. Demonstrates understanding through periodic communication with others.	<input type="checkbox"/> <b>Needs Improvement</b> Lacks practical understanding of organization wide dynamics in relation to CTAG and student achievement; frequently makes decisions without considering the impact on district CTAG goals.	<input type="checkbox"/> <b>Unsatisfactory</b> Seems unaware of the relationship between departments and systems in CTAG; consistently makes decisions without considering district strategic goals.

<b>G. Serving Customers</b>			
<input type="checkbox"/> <b>Commendable</b>	<input checked="" type="checkbox"/> <b>Meets Standards</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Consistently identifies customer needs and takes action to meet those requirements; continually seeks customer feedback; very skillful in modifying action to improve service.	Frequently identifies customer needs and takes action to meet those requirements; seeks customer feedback; modifies action to improve service based upon customer feedback.	Has difficulty identifying internal and external customers and their needs; seldom seeks customer feedback; seldom modifies activities based upon customer feedback.	Is not knowledgeable about customer needs; does not solicit customer feedback; resists modifying services to better meet customer requirements
<b>H. Supervising Employees and Assessing Their Performance</b> (Mark 'NA' if the descriptor is not applicable to the evaluatee's position.) <input type="checkbox"/> NA			
<input checked="" type="checkbox"/> <b>Commendable</b>	<input type="checkbox"/> <b>Meets Standards</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Understands and attempts to balance staff needs with those of organization; communicates high expectations; consistently achieves high morale and productivity; uses performance assessment for encouraging growth.	Works well with supervised staff; tends to hold high expectations; good staff morale and productivity; helps staff reach full potential; uses performance assessment appropriately.	Has difficulty working with supervised staff; ineffective in helping staff reach full potential; sometimes uses performance assessment inappropriately.	Unable to supervise staff or help them in improvement; consistently uses performance assessment process inappropriately.
<b>I. Skills and Abilities Required for the Position</b>			
<input type="checkbox"/> <b>Commendable</b>	<input checked="" type="checkbox"/> <b>Meets Standards</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Skill and ability level is high; seen as an expert by peers; eager to try new tools; excellent at planning and organizing work.	Skill and ability is good; stays current; shows initiative in using new tools; plans and organizes work well.	Skill and ability level is below standard; sometimes does not stay current with required tools; does not consistently use new tools; generally unable to organize work.	Skill and ability level is inadequate; makes little effort to keep current with tools required by job; consistently resists using new tools; ability to organize work.
<b>J. Quantity of Work</b>			
<input checked="" type="checkbox"/> <b>Commendable</b>	<input type="checkbox"/> <b>Meets Standards</b>	<input type="checkbox"/> <b>Needs improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Quantity of work produced is high, continually exceeds job requirements; nearly always completes assignments well before deadline; excellent manager of time.	Quantity of work produced meets requirements of the job; nearly always meets deadlines; manages time well.	Quantity of work is below standard; deadlines are sometimes missed; time management skills need improvement.	Quantity of work is inadequate; deadlines are frequently missed; management of time is poor.

**Other Key Performance Qualities / Achievements (Optional)**

You may use the space below to review any other performance qualities that were identified for rating at the beginning of the assessment cycle or to document additional achievements.

- Last year, I ended my final evaluation document with the following. I'll comment on each in blue font.
- Deepen the implementation of Board Math, Jiji, balanced literacy You have successfully pushed this along this year. The Board Math and Jiji are going well now. The balanced literacy work needs to continue to grow, but you are doing a great job with this.
  - Create an organization chart that shows what your assistant principal and teacher on special assignment will do, then make sure you allow them to do their work. You will need to do this again this summer. Share the chart with your team members so they know too.
  - Continue to build your relationships with parents, especially the parent leaders. You have made progress in this area, but it needs to continue. Continue to identify the key political leaders in your parent group then connect with them and use them as sounding boards to measure your success in this area. This will need to be an ongoing priority for you.
  - It will be okay! Relax a little. Just as our own children pick up on our moods and intensity, so do our staffs. Then the mood permeates the interactions of everyone on your campus. I can tell you have worked on this. You need to continue to do this too, but know that the changes you're making to make the school better for the students will cause discomfort to some staff. All change does.

Your goals and objectives for this year captured what I believe the work for ] School needed to be. Your

08/01/08

reports to me of your progress in each area were exemplary and honest. Keep up the great job!

08/01/08

## YEAR-END OVERALL EVALUATION SUMMARY

*Evaluator: transfer ratings from pages 2-4 here. Mark 'NA' if the performance quality ('D' or 'H') is not applicable to the evaluatee's position.*

		Commendable	Meets Standards	Needs Improvement	Unsatisfactory
I.	Performance in Meeting Performance Objectives	X			
II.	Performance in Meeting Professional Development Objectives	X			
III.	Key Performance Qualities Summary				
A.	Making Decisions and Problem Solving		X		
B.	Managing Change	X			
C.	Relating with People	X			
D.	Instructional Leadership <input type="checkbox"/> NA	X			
E.	Learning and Professional Development	X			
F.	Closing the Achievement Gap	X			
G.	Serving Customers		X		
H.	Supervising Employees and Assessing Their Performance <input type="checkbox"/> NA	X			
I.	Skills and Abilities Required for the Position		X		
J.	Quantity of Work	X			

Continuation with Commendation     
  Continuation without Reservation     
  Continuation with Reservation     
  Recommended Termination

### EVALUATOR'S COMMENTARY

**Instructions for Evaluator:** Describe the evaluatee's strengths and development needs based upon the 'Key Performance Qualities.' (pages 3-4)

You have set high expectations and are clear in communicating them to your staff. The focus of the staff is more apparently the achievement of each student, and the concept of professional learning conversations has taken hold. You have communicated your high standards and expectations consistently through evaluations, conversations, and meetings. You confront issues, such as the non-re-elected candidates. You draft effective performance improvement plans. You document conversations and follow the progressive discipline model to hold staff accountable. You are recognized by your peers as a strong instructional leader and collaborative team player.

You have addressed one particular area I asked you to strengthen. That is the work to improve the public relations with the families of the high achieving students. Several of the parents have shared with me their approval of the positive growth and improvements you have made for their students at

Your work to strengthen teaching at home by parents is a positive step toward improving overall student achievement. The parents have provided positive feedback about your Family Education Nights.

Your many years as a teacher are serving you well in your relatively new role as principal. After two years, you have established yourself as an outstanding principal whom others seek for advice. I am very pleased with how much you have grown in these two years. Payne School has improved significantly under your leadership. I anticipate continued growth in student achievement this year.

Thank you for all the hard work you have put into turning \_\_\_\_\_ School around and getting it going in the right direction for all of the students.

[Empty signature box]

[Empty signature box]

Evaluatee's Signature \_\_\_\_\_ Date 06-08-11  
*My signature acknowledges that my evaluator has discussed the contents of this final evaluation with me and does not necessarily indicate agreement with the contents. I am aware that I have the right to attach a written response to this evaluation in my personnel file.*

Evaluator's Signature \_\_\_\_\_ Date 06-08-11



**Professional Goals  
2010-2011**

**Performance Objective**

**Objective #1:** Implement a comprehensive assessment program for ELA and Math  
*Strategic Plan: Closing the Achievement Gap*

- Continue to assist with the implementation of benchmark assessments and curriculum mapping for ELA (Grades 2-5) and Math (Grades 1-5).
- Work with teachers to select 10 essential ELA standards and to create “I Can” statements (approximately 25) as a way to focus and further assess classroom ELA instruction and learning.
- Create an assessment timeline that coordinates benchmark assessments, curriculum mapping, monthly/quarterly writing assessments, and ROLA.
- Continue to run Edusoft analysis sheets and train teachers how to use the data to inform classroom instruction.
- Create and track custom groups in Edusoft for students participating in intervention initiatives such as Read 180, System 44, and after school tutoring.
- Participate in ongoing discussions with colleagues and district office staff regarding the use of data and successful strategies to close the achievement gap.

**Objective #2** Implement and monitor research-based curricular programs and instructional strategies to increase student achievement.  
*Strategic Plan: Closing the Achievement Gap*

- Continue to support and refine the many programs implemented last school year at : Board Math, System 44, Read 180, JiJi (ST Math).
- Implement JiJi Fluency for our neediest students in Grades 3-5.
- Work with staff to examine ways to implement Tenth Planet and Education City, and to refine the use of Scholastic Reading Counts.
- Work with teachers to support their work with selecting and implementing essential ELA standards and “I Can” statements..
- Conduct classroom visits at least two times per week and continue to have conversations about best practices with all teachers.
- Use bimonthly staff meets and weekly grade-level planning time to explore and model best instructional strategies (cooperative learning, EL instructional strategies, guided process reading, multiple intelligence, etc.).

**Objective #3** Strengthen the connection between school and community  
*Strategic Plan: Ensure Effective Communication*

- Attend and actively participate in the Home and School Club. Work with the H&SC leadership team to explore ways to increase parent participation.
- Attend and actively participate in the Payne ELAC. Explore ways to support our English Language Learners and their families. Work with the ELAC leadership team to explore ways to increase parent participation.
- Continue to create family education opportunities. Host K-1 Family Literacy Nights, K-5 Family Reading Night in conjunction with Dr. Seuss' Birthday, K-5 Family Science Night, and K-5 Family Math Nights.
- Research the School Loop and/or Connect Ed website builder as a means for improving home and school communication.
- Provide opportunities for teachers to have their classroom information available on our school website.

**Objective #4** Provide opportunities for teachers to develop and pursue career goals.

*Strategic Plan: Attract and Retain Exemplary Staff*

- Provide opportunities for teachers to attend trainings and to share instructional strategies from trainings with the staff.
- Provide opportunities for teachers to observe each other at and other schools throughout SD.
- Provide opportunities for teachers to curriculum map and analyze assessment data.
- Continue to have a school leadership team and PBIS leadership team to develop opportunities for shared leadership at .
- Assist first- and second-year teachers in their BTSA program.

**Objective #5** Collaborate with staff on ways to incorporate citizenship into the curriculum.

*Strategic Plan: Preparing students to become caring and responsible citizens.*

- Continue to work with the staff on implementing our school wide PBIS program.
- Meet with Cornerstone student leaders throughout the year to support their work at
- Continue to work with student and teacher leaders to develop a Morning Greeter Program, Junior Yard Duty Program, and Puddle Jumper Program.
- Work with staff to create lunchtime clubs for students.
- Work with the PBIS leadership team to explore ways to improve student behavior and to increase school pride/spirit.

**Professional Development Objective**

**Objective #1:** Participate in professional development opportunities focused on raising student achievement

*Strategic Plan: Closing the Achievement Gap*

- Seek out conferences and workshops focused on closing the achievement gap.
- Continue to improve upon ways of using data to improve student learning.
- Continue to explore ways to become more versed in curriculum, instruction, and assessment.
- Actively participate as a member of the \_\_\_\_\_ Literacy Team.
- Continue to research and learn about Professional Learning Communities and explore what form of PLCs is appropriate for Payne.

**Objective #2** Develop long-lasting and supportive relationships with \_\_\_\_\_ staff and community members.

*Strategic Plan: Attract and Retain Exemplary Staff*

- Continue to develop long-lasting and supportive relationships with staff members.
- Acknowledge and celebrate staff accomplishments and expertise.
- Build time into staff meetings for teachers to share exemplary practices.
- Recognize and celebrate important events in staff members' lives such as birthdays, engagements, weddings, anniversaries, graduations, the birth of children and grandchildren, etc.
- Work with \_\_\_\_\_'s SSC, H&SC, and ELAC to develop long-lasting and supportive relationships.
- Work with the \_\_\_\_\_ neighborhood Association to develop a supportive relationship between the community group and the school. This will include submitting a written article in their newsletters as well as attending their meetings.
- Anticipate and address any staff and community questions and concerns in a timely and professional manner.

MAXWELL UNIFIED  
SCHOOL DISTRICT

**MANAGEMENT TEAM  
PERFORMANCE EVALUATION**

<b>Evaluatee's Name</b>	<b>Position Title</b> Principal
<b>Evaluated by</b>	<b>Date of Interim Review (optional)</b>
<b>Period Covered</b> July 1, 2009, through June 30, 2010	<b>Date of Final Review</b> June 17, 2010

**Purpose** The purpose of the Management Team Performance Evaluation is to promote personal and professional development, and to assist employees in achieving excellence or improving performance.

**Goal** The goal of the evaluation is to tie the evaluation processes to the evaluatee's performance objectives, and ultimately, his/her daily professional activities, directly to the district's strategic goals.

**Directions**

**Timeline**

<i>Evaluator and Evaluatee</i> should mutually agree upon performance objectives and professional development objectives. (p. 2)	Complete by October 1 <sup>st</sup> at the <b>beginning</b> of the evaluation process.
Interim progress review ( <i>Evaluator and Evaluatee</i> , p. 2)	Optional
Year-end assessment review ( <i>completed by Evaluator</i> ) 1. Performance Meeting Objectives and Performance Results (p. 2) 2. Key Performance Qualities (pgs. 3-4) 3. Year-end Overall Summary and Commentary (p. 5)	Complete by June 15 <sup>th</sup> (certificated) or June 30 <sup>th</sup> (classified) at the <b>conclusion</b> of the evaluation process.

**Definitions**

<i>Performance Objectives</i> (mutually agreed upon)	Performance objectives specifically address the program for which you are responsible. <i>At least one performance objective must be in support of district strategic goals.</i> If you supervise classroom instructional staff, at least one objective must be aimed at improving supervision and assessment activities. You are encouraged to bring to the review sessions a portfolio of work that you believe demonstrates your effort in meeting the objective.
<i>Professional Development Objectives</i> (mutually agreed upon)	Professional development objectives are designed to strengthen professional skills and understandings related to current roles and responsibilities. Professional development objectives should develop, enlarge, expand or augment effectiveness and efficiency of management team members.
<i>Interim Progress Review (Optional)</i>	Meet during the school year to informally review performance, discuss performance and professional objectives, acknowledge any shifts in duties or assignments and agree upon any special course of action needed to stay on track.

*Any questions regarding the Management Team performance evaluation process should be directed to*

## II. KEY PERFORMANCE QUALITIES

**Instructions for Evaluator:** In each section that follows, choose the description that best describes the Evaluatee's performance. Use the EVALUATOR'S COMMENTARY (p. 5) to explain all 'needs improvement' or 'unsatisfactory' or to record any other pertinent comments.

<b>A. Making Decisions and Solving Problems</b>			
<input type="checkbox"/> <b>Commendable</b>	<input checked="" type="checkbox"/> <b>Meets Standards</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Skilled in resolving complex problems; identifies and involves stakeholders, makes effort to understand problem before looking for solution; considers innovative solutions when they are appropriate, takes responsibility.	Informs stakeholders of decisions; seeks out necessary data to make good decisions and solve problems; accepts responsibility for decisions.	Appears to have difficulty knowing who stakeholders are; infrequently seeks out data; decisions are sometimes poor; tends not to accept responsibility.	Appears not to know who stakeholders are; does not seek out data; most decisions are poor; does not accept responsibility.
<b>B. Managing Change</b>			
<input checked="" type="checkbox"/> <b>Commendable</b>	<input type="checkbox"/> <b>Meets Standards</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Embraces change and implements it skillfully; actively explores possibilities and can help others do the same; viewed as a change agent.	Welcomes change and is able to implement it; recognizes possibilities for change; is there when needed to help cause change.	Tends to focus on present; daunted by change; has difficulty implementing changes; resistant to possibilities; keeps low profile during periods of change.	Expects certainty and status quo; actively avoids change; unable to discern, much less consider, possibilities; disappears during periods of change.
<b>C. Relating with People</b>			
<input type="checkbox"/> <b>Commendable</b>	<input checked="" type="checkbox"/> <b>Meets Standards</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Values people; expert listener; tries to see all sides of an issue; sought after to defuse problems; strong communication skills.	Respectful of others; good listener; sees all sides; able to help facilitate; good communication skills.	Sometimes is disrespectful of others; has trouble listening; focused on own point of view; inconsistent communication skills.	Tends to discount others; doesn't listen and cuts people off; adamantly clings to own position; ignites instead of diffuses situations; poor communication skills.
<b>D. Instructional Leadership</b> (Mark 'NA' if the descriptor is not applicable to the evaluatee's position.)			
<input type="checkbox"/> <b>Commendable</b>	<input checked="" type="checkbox"/> <b>Meets Standards</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Has and communicates a vision; consistently empowers team; consistently models desired behaviors; leads the team's learning; shares organization-wide information.	Has a vision for the team; is able to empower team members; usually models desired behaviors; offers training opportunities.	Difficulty focusing on a vision; uncomfortable empowering team; doesn't model desired behaviors; infrequently offers team training.	Exhibits no sense of vision; resists empowering team; models undesirable behaviors; rarely, if at all, offers team training.
<b>E. Learning and Professional Development</b>			
<input checked="" type="checkbox"/> <b>Commendable</b>	<input type="checkbox"/> <b>Meets Standards</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Works to stay current with required job knowledge; able to integrate new learning and routinely applies to everyday work; anticipates new learning needs.	Is aware of need to stay current with job knowledge; benefits from new learning and applies to work; open to new learning opportunities.	Tends not to benefit from new learning; has trouble seeing connection between new learning and everyday work; reluctant to attend trainings.	Does not benefit from new learning; unable to see connection between new learning and everyday work; is unwilling to attend trainings.
<b>F. Closing the Achievement Gap (CTAG)</b>			
<input type="checkbox"/> <b>Commendable</b>	<input checked="" type="checkbox"/> <b>Meets Standards</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Understands and consistently uses organization-wide approach to better understand institutional racism and its relation to student achievement; focuses on the relationship of the individual effort to the whole; is conscious of alternatives and their consequences on CTAG. Demonstrates understanding through frequent communication and daily interaction with others.	Has some understanding of CTAG dynamics and its relation to student achievement; is aware of the need to consider most district strategies when making decisions to CTAG. Demonstrates understanding through periodic communication with others.	Lacks practical understanding of organization wide dynamics in relation to CTAG and student achievement; frequently makes decisions without considering the impact on district CTAG goals.	Seems unaware of the relationship between departments and systems in CTAG; consistently makes decisions without considering district strategic goals.

<b>G. Serving Customers</b>			
<input type="checkbox"/> <b>Commendable</b>	<input checked="" type="checkbox"/> <b>Meets Standards</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Consistently identifies customer needs and takes action to meet those requirements; continually seeks customer feedback; very skillful in modifying action to improve service.	Frequently identifies customer needs and takes action to meet those requirements; seeks customer feedback; modifies action to improve service based upon customer feedback.	Has difficulty identifying internal and external customers and their needs; seldom seeks customer feedback; seldom modifies activities based upon customer feedback.	Is not knowledgeable about customer needs; does not solicit customer feedback; resists modifying services to better meet customer requirements
<b>H. Supervising Employees and Assessing Their Performance</b> (Mark 'NA' if the descriptor is not applicable to the evaluatee's position.) <input type="checkbox"/> NA			
<input checked="" type="checkbox"/> <b>Commendable</b>	<input type="checkbox"/> <b>Meets Standards</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Understands and attempts to balance staff needs with those of organization; communicates high expectations; consistently achieves high morale and productivity; uses performance assessment for encouraging growth.	Works well with supervised staff; tends to hold high expectations; good staff morale and productivity; helps staff reach full potential; uses performance assessment appropriately.	Has difficulty working with supervised staff; ineffective in helping staff reach full potential; sometimes uses performance assessment inappropriately.	Unable to supervise staff or help them in improvement; consistently uses performance assessment process inappropriately.
<b>I. Skills and Abilities Required for the Position</b>			
<input type="checkbox"/> <b>Commendable</b>	<input checked="" type="checkbox"/> <b>Meets Standards</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Skill and ability level is high; seen as an expert by peers; eager to try new tools; excellent at planning and organizing work.	Skill and ability is good; stays current; shows initiative in using new tools; plans and organizes work well.	Skill and ability level is below standard; sometimes does not stay current with required tools; does not consistently use new tools; generally unable to organize work.	Skill and ability level is inadequate; makes little effort to keep current with tools required by job; consistently resists using new tools; ability to organize work.
<b>J. Quantity of Work</b>			
<input checked="" type="checkbox"/> <b>Commendable</b>	<input type="checkbox"/> <b>Meets Standards</b>	<input type="checkbox"/> <b>Needs improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Quantity of work produced is high, continually exceeds job requirements; nearly always completes assignments well before deadline; excellent manager of time.	Quantity of work produced meets requirements of the job; nearly always meets deadlines; manages time well.	Quantity of work is below standard; deadlines are sometimes missed; time management skills need improvement.	Quantity of work is inadequate; deadlines are frequently missed; management of time is poor.

**Other Key Performance Qualities / Achievements (Optional)**

You may use the space below to review any other performance qualities that were identified for rating at the beginning of the assessment cycle or to document additional achievements.

I applaud your work to train staff to analyze data. This skill will be the foundation for your work to improve student achievement and to close the achievement gap. Your work in the areas you noted - curriculum mapping, professional development for your staff, flexible grouping, lesson designing, and differentiating instruction – will catapult the achievement of all students. Your implementation of Board Math and Jiji in all K-5 classrooms will immediately begin improving the learning of all of your students. The parent education component is another area you have addressed this year. Your 5 Family Education Nights (2 math, 2 reading, and 1 science) will show your parents how to help their children at home. Attending the ELAC and Home and School Club meetings helped you to begin building relationships with parents and to focus their enthusiasm.

Your multi-faceted approach to support your teachers in their learning will ensure sustainability. Having your teachers share what they learn and contribute to the decisions about good instructional practices makes the work their own. This ownership will ensure that this will continue after the leadership changes. In your case, this is because you've chosen to move on.

I am pleased with the breadth of trainings you have attended this year. The ACSA Principals' Institute provided a strong foundation for your first assignment. Throughout the year your participation in workshops

and trainings for Special Ed, RtI, Board Math, PBIS, and Closing the Achievement Gap sessions with ... and A ... clearly broadened your knowledge and skills. I hope you have found ways to integrate what you've learned into your daily practice.

I'm looking forward to seeing your updated ... website in the fall.

You have had an exceptionally great first year. I'm looking forward to seeing your follow-up next year.

### YEAR-END OVERALL EVALUATION SUMMARY

*Evaluator: transfer ratings from pages 2-4 here. Mark 'NA' if the performance quality ('D' or 'H') is not applicable to the evaluatee's position.*

		Commendable	Meets Standards	Needs Improvement	Unsatisfactory
I.	Performance in Meeting Performance Objectives	X			
II.	Performance in Meeting Professional Development Objectives	X			
III.	Key Performance Qualities Summary				
A.	Making Decisions and Problem Solving		X		
B.	Managing Change	X			
C.	Relating with People		X		
D.	Instructional Leadership <input type="checkbox"/> NA		X		
E.	Learning and Professional Development	X			
F.	Closing the Achievement Gap		X		
G.	Serving Customers		X		
H.	Supervising Employees and Assessing Their Performance <input type="checkbox"/> NA	X			
I.	Skills and Abilities Required for the Position		X		
J.	Quantity of Work	X			

Continuation with Commendation     
  Continuation without Reservation     
  Continuation with Reservation     
  Recommended Termination

#### EVALUATOR'S COMMENTARY

**Instructions for Evaluator:** Describe the evaluatee's strengths and development needs based upon the 'Key Performance Qualities.' (pages 3-4)

Doing the right things for our students is not always easy. You handled some difficult staff issues correctly and deftly. I am confident you will be pleasantly surprised by the improvement in the culture of your school because you made the correct decisions on these difficult issues. I hope you learned that we, in the district office, are going to support and back you. We understand how difficult your work is because five of the seven certificated district office administrators have been principals. This is also why we are going to back you when you need it.

Your staff is coming along. I can see that they are willing to try what you ask of them. I hope the STAR results bear the improvement in data that I anticipate. These kinds of results will strengthen your credibility and further motivate your staff.

Over the summer I suggest you reflect on your year. What successes do you want to build on? What areas

do you feel you haven't addressed but must in your second year? How? Which teachers will you involve?  
 Among the areas I suggest you consider are

- Deepen the implementation of Board Math, Jiji, balanced literacy
- Create an organization chart that shows what your assistant principal and teacher on special assignment will do, then make sure you allow them to do their work
- Continue to build your relationships with parents, especially the parent leaders
- It will be okay! Relax a little. Just as our own children pick up on our moods and intensity, so do our staffs. Then the mood permeates the interactions of everyone on your campus.

Evaluatee's Signature \_\_\_\_\_

Date 6-17-10

*My signature acknowledges that my evaluator has discussed the contents of this final evaluation with me and does not necessarily indicate agreement with the contents. I am aware that I have the right to attach a written response to this evaluation in my personnel file.*

Evaluator's Signature \_\_\_\_\_

Date 6-17-10



MAXWELL UNIFIED  
SCHOOL DISTRICT

# Strategic Plan 2010 - 2015

Superintendent

Board of Trustees

*Adopted by the Board of Trustees August 7, 2007  
Revisions Adopted by the Board of Trustees August 12, 2008  
Revisions Presented for Adoption by the Board of Trustees, December 14, 2010*

School District  
 (as adopted during the Strategic Plan Retreat, April 2007)

### DISTRICT MISSION

The School District, a caring learning partnership of students, parents, staff, and community, will empower all students through innovative and exemplary educational practices, with knowledge, skills and critical thinking abilities, to become contributing and responsible members of a global society. *Created by Governance Team-Oct. 2006*

### CORE BELIEFS

Education should prepare students to think critically, to problem solve, and to make decisions.  
 Education should be challenging, rigorous, and developmentally appropriate.  
 Education should support students in the acquisition of important personal traits, such as honesty, responsibility, caring, and respect.  
 Education should respond to the needs of the students - consistent and current with the changes in culture, society, and the world.

### FIVE-YEAR GOALS

*(not in priority order)*

*Close the achievement gap while raising the achievement of all students*  
*Ensure effective communication*  
*Attract, support, and retain exemplary staff*  
*Prepare students to become responsible and caring citizens*  
*Ensure Fiscal Responsibility*

## School District Learning Standards

**STUDENTS WILL BE EFFECTIVE COMMUNICATORS**  
Students will be able to express themselves clearly in their writing.

Students will be able to deliver confident oral presentations.  
Students will be able to dialogue successfully with others.  
Students will be good listeners and will respect the viewpoints of others.

**STUDENTS WILL BE ACADEMICALLY PREPARED FOR  
THE RIGORS OF HIGH SCHOOL**

Students will achieve proficiency in the California content standards in all curricular areas.  
Students will gain strategies and study skills that will facilitate learning.  
Students will learn organizational skills that will maximize learning.  
Students will develop the social and emotional skills necessary to succeed.

**STUDENTS WILL BE PHYSICALLY FIT**  
Students will meet California physical fitness standards.  
Students will gain an understanding of making healthy lifestyle choices.  
Students will lead physically active lives.

**STUDENTS WILL BECOME RESPONSIBLE AND  
CARING CITIZENS**

Students will become contributing members of society.  
Students will learn the principles of personal integrity and social responsibility in a democratic society.

**STUDENTS WILL BE EFFECTIVE PROBLEM SOLVERS**

Students will be able to work in teams and individually to problem solve successfully.  
Students will be able to work cooperatively, setting aside individual perspectives and differences for the good of the team.  
Students will utilize unique approaches to find creative solutions to problems.

**STUDENTS WILL BE CRITICAL THINKERS**

Students will be discerning readers, able to extract relevant information from text.  
Students will be able to apply the scientific method.  
Students will be able to employ successful processes and procedures in solving mathematical problems.  
Students will be able to utilize technology appropriately in research and as a tool to convey information.

**' School District - Strategic Plan 2010-2015**  
**GOAL: Close the Achievement Gap While Raising the Achievement of all Students**

Objective	How Will We Achieve?	How Will We Measure?	Who?	By When?
<ul style="list-style-type: none"> <li>All students will receive challenging, rigorous, appropriate instruction to achieve academic success.</li> </ul>	<ul style="list-style-type: none"> <li>Monitor a rigorous standards-based instruction, including curriculum maps, pacing guides, formative assessments and benchmarks.</li> </ul>	<ul style="list-style-type: none"> <li>Improved student performance in state, local and District assessments as indicated in each site's Single Plan for Student Achievement with the percentage increase set by the site administration in the School Plan.</li> </ul>	<ul style="list-style-type: none"> <li>Superintendent, Educational Services, site leadership, teachers, staff</li> </ul>	<ul style="list-style-type: none"> <li>Annually: Fall, Winter, and Spring</li> </ul>
	<ul style="list-style-type: none"> <li>Implement the goals, objectives, and strategies of the Local Educational Agency Plan, English Learner Plan and the GATE Plan.</li> </ul>	<ul style="list-style-type: none"> <li>Improved student performance in state, local and District assessments.</li> </ul>	<ul style="list-style-type: none"> <li>Educational Services, site leadership, teachers, parents, staff</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> </ul>
	<ul style="list-style-type: none"> <li>Continuously develop and implement District-wide intervention strategies and programs for math and English/Language Arts.</li> </ul>	<ul style="list-style-type: none"> <li>Improved student performance in state, local and District assessments.</li> </ul>	<ul style="list-style-type: none"> <li>Educational Services, site leadership, teachers, staff</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> </ul>
	<ul style="list-style-type: none"> <li>Document, in the Local Educational Agency Plan and School Site Plans, the specific instructional interventions implemented to support the following groups: English Learner, Special</li> </ul>	<ul style="list-style-type: none"> <li>Completion of state and federal plan mandated updates.</li> </ul>	<ul style="list-style-type: none"> <li>Educational Services, site leadership</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> </ul>

School District – Strategic Plan 2010-2015

GOAL: Close the Achievement Gap While Raising the Achievement of all Students

Objective                      How Will We Achieve?                      How Will We Measure?                      Who?                      By When?

<ul style="list-style-type: none"> <li>All students will receive challenging, rigorous, appropriate instruction to achieve academic success. (continued)</li> </ul>	<p>Education, Gifted and Talented Education, Ethnic Subgroups, Low Socio-Economic, and all students not meeting grade level standards.</p>			
<ul style="list-style-type: none"> <li>All students will develop critical thinking strategies and academic skills enabling them to learn effectively and succeed.</li> </ul>	<ul style="list-style-type: none"> <li>Teach study skills and technology strategies explicitly as part of the core program.</li> <li>Provide opportunities for articulation within the District between grade levels during grade level meetings, and with the local high school district, including site visitations.</li> </ul>	<ul style="list-style-type: none"> <li>Improve student performance in state, local and District assessments.</li> <li>Increase in number of students meeting grade level requirements and enrolled in higher level courses.</li> </ul>	<ul style="list-style-type: none"> <li>Educational Services, site leadership, teachers, staff</li> <li>Educational Services, site leadership, teachers</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> <li>Ongoing</li> </ul>

School District – Strategic Plan 2010-2015  
**GOAL: Ensure Effective Communication**

Objective	How Will We Achieve?	How Will We Measure?	Who?	By When?
<ul style="list-style-type: none"> <li>Maintain a clearly articulated communication plan.</li> </ul>	<ul style="list-style-type: none"> <li>Continue to reassess communications needs, including most efficient communication methods.</li> <li>Review plan annually.</li> </ul>	<ul style="list-style-type: none"> <li>Results of Communications Survey; 100% of agendas and minutes posted on District website within 5 business days of meetings.</li> <li>Agenda/minutes for leadership and site staff meetings; report to Board of Trustees.</li> </ul>	<ul style="list-style-type: none"> <li>Communications Committee, site administration, teachers, staff, parents</li> <li>Communications Committee, site and district administration</li> </ul>	<ul style="list-style-type: none"> <li>Annually</li> <li>Ongoing; annual report in June</li> </ul>
<ul style="list-style-type: none"> <li>Continue to provide effective communication with staff, students, parents and the community.</li> </ul>	<ul style="list-style-type: none"> <li>Use various forms of communication to enhance two-way communication.</li> <li>Administer annual Communications Survey to elicit input from staff, students, parents, and the community.</li> <li>Hold monthly CBAC meetings.</li> <li>Include community members on district committees, as</li> </ul>	<ul style="list-style-type: none"> <li>Newsletters, websites, Connect-ed, marquees, surveys, email, conferences.</li> <li>Communications Survey results</li> <li>Posting of 100% of agendas and minutes on the District website within 5 business days of meetings.</li> <li>Documentation of number of community</li> </ul>	<ul style="list-style-type: none"> <li>District and site administration</li> <li>Director, Human Resources, Communications Committee</li> <li>CBAC Committee, district administration</li> <li>District and site administration</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> <li>May 2011</li> <li>Ongoing</li> <li>Ongoing</li> </ul>

School District - Strategic Plan 2010-2015  
**GOAL: Ensure Effective Communication**

Objective	How Will We Achieve?	How Will We Measure?	Who?	By When?
<ul style="list-style-type: none"> <li>Continue to provide effective communication with staff, students, parents and the community. (continued)</li> </ul>	<p>appropriate.</p> <ul style="list-style-type: none"> <li>Review school websites to ensure consistency and make recommendations.</li> <li>Maintain proactive relationship with the press/media.</li> <li>Expand translation services at all schools and on websites, as needed. All schools with student populations of over 15% of any home language will have materials translated for identified language.</li> <li>Invite community to school-wide events.</li> <li>Maximize use of technology tools, including but not limited to, email, Connect Ed, School Loop, and district/site websites.</li> </ul>	<p>members on committees posted on minutes.</p> <ul style="list-style-type: none"> <li>90% overall consistent look of school websites</li> <li>Increased media coverage by 50% over the previous school year.</li> <li>Documentation of increase in translated materials.</li> <li>All school newsletters will be posted on school websites and events will be posted on school marquees.</li> <li>Documentation of increase in use of ConnectEd options to communicate with families.</li> </ul>	<ul style="list-style-type: none"> <li>Technology and Communications Committees</li> <li>District staff, site administrators, and staff</li> <li>District staff, site administrators, and staff</li> <li>District and site administrators</li> <li>District and site administrators</li> </ul>	<ul style="list-style-type: none"> <li>May 2011</li> <li>Ongoing</li> <li>Ongoing</li> <li>Ongoing</li> <li>Ongoing</li> </ul>

School District – Strategic Plan 2010-2015

GOAL: Ensure Effective Communication

Objective	How Will We Achieve?	How Will We Measure?	Who?	By When?
<ul style="list-style-type: none"> <li>Continue to provide effective communication with staff, students, parents and the community. (continued)</li> </ul>	<ul style="list-style-type: none"> <li>Continue to produce and distribute teacher, school and District newsletters, including the Annual Report to the community.</li> <li>Maintain procedures for timely responses.</li> <li>Post current information on school and District websites, marquees, and/or banners.</li> </ul>	<ul style="list-style-type: none"> <li>Inclusion in the District technology plan and administrators' binders; Communications Survey results.</li> <li>All sites will communicate current information through newsletters and posted calendars on websites, marquees and banners.</li> </ul>	<ul style="list-style-type: none"> <li>District and site administrators, and site staff</li> <li>Technology and Communications Committees and District administrators</li> <li>District and site administrators</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> <li>Ongoing</li> <li>Ongoing</li> </ul>



**School District – Strategic Plan 2010-2015**  
**GOAL: Attract, Support, and Retain Exemplary Staff**

Objective	How Will We Achieve?	How Will We Measure?	Who?	By When?
<ul style="list-style-type: none"> <li>Implement meaningful, relevant professional development.</li> </ul>	<ul style="list-style-type: none"> <li>Analyze student data to identify areas of need for professional development.</li> <li>Survey all staff, and administrators to determine identified areas of professional development need and interest.</li> <li>Utilize staff experts within the District and outside consultants to provide relevant professional development activities.</li> </ul>	<ul style="list-style-type: none"> <li>Improved student achievement (STAR, MARS, ROLA, Writing Assessment, classroom observations, results of surveys)</li> <li>Survey results</li> <li>Conduct evaluations after all professional development activities.</li> </ul>	<ul style="list-style-type: none"> <li>Educational Services and site administration</li> <li>Educational Services</li> <li>Educational Services</li> </ul>	<ul style="list-style-type: none"> <li>Annually</li> <li>Ongoing</li> <li>Ongoing</li> </ul>
<ul style="list-style-type: none"> <li>Foster a culture of valued staff.</li> </ul>	<ul style="list-style-type: none"> <li>Provide opportunities for staff leadership through attendance at conferences and workshops (using trainer of trainer's model).</li> <li>Establish, update as needed and review norms for all meetings.</li> </ul>	<ul style="list-style-type: none"> <li>Upon completion of professional development workshops teacher leaders will then conduct trainings for other District staff.</li> <li>Norms printed on all agendas</li> </ul>	<ul style="list-style-type: none"> <li>All administrators, teachers, and staff</li> <li>All Administrators and meeting facilitators</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> <li>Ongoing</li> </ul>

**School District - Strategic Plan 2010-2015**  
**GOAL: Attract, Support, and Retain Exemplary Staff**

Objective	How Will We Achieve?	How Will We Measure?	Who?	By When?
<ul style="list-style-type: none"> <li>Foster a culture of valued staff. (continued)</li> </ul>	<ul style="list-style-type: none"> <li>Encourage site and District professional development teams to attend conferences and workshops to remain current with educational practices and research.</li> <li>Utilize outside professional development to design and deliver site and District level professional development.</li> <li>Schedule time during collaboration meetings to share best practices.</li> <li>Schedule time with all staff to ensure effective two-way communication.</li> <li>Maintain staff efficiency.                             <ul style="list-style-type: none"> <li>Streamline workload and work processes to support staff.</li> <li>Develop time-saving practices to improve ongoing daily</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>All conference participants complete reporting form detailing what they have learned and subsequently share knowledge with site and District.</li> <li>Evaluations from professional development activities show that at least 2/3 of participants indicate that the training was beneficial.</li> <li>Meeting Notes/Charts</li> <li>Printed agendas and/or meeting evaluations</li> <li>Survey all staff on activities and systems that they feel could be streamlined. Provide professional</li> </ul>	<ul style="list-style-type: none"> <li>Site administrator and two designated representatives from each site with Assistant Superintendent</li> <li>Site and District professional development team.</li> <li>Principals/grade level leaders</li> <li>Site and District administrators</li> <li>Directors or Assistant Superintendents of Human Resources, Business, and Educational Services</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> <li>May 2011</li> <li>Ongoing</li> <li>Ongoing</li> <li>Ongoing</li> </ul>

School District – Strategic Plan 2010-2015

GOAL: Attract, Support, and Retain Exemplary Staff

Objective	How Will We Achieve?	How Will We Measure?	Who?	By When?
<ul style="list-style-type: none"> <li>Foster a culture of valued staff. (continued)</li> </ul>	<ul style="list-style-type: none"> <li>activities.</li> </ul>	<ul style="list-style-type: none"> <li>development opportunities to improve organizational support services.                             <ul style="list-style-type: none"> <li>- Maintain staff retention rate of 80% or higher.</li> </ul> </li> <li>Documented number of events, surveys, articles/notices in District or community publications.</li> </ul>	<ul style="list-style-type: none"> <li>Director, Human Resources; District and site administrators</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> </ul>
<ul style="list-style-type: none"> <li>Ensure the availability and accessibility of technology to allow staff and students to remain competitive.</li> </ul>	<ul style="list-style-type: none"> <li>Provide necessary tools and equipment for staff members to perform job responsibilities.</li> <li>Build a networking and telecommunications infrastructure.</li> <li>Maintain working condition of equipment.</li> <li>Ensure technology is used successfully to support and assist all students.</li> </ul>	<ul style="list-style-type: none"> <li>Staff satisfaction survey</li> <li>Technology Survey of existing capabilities and future needs</li> <li>Technology Replacement Plan</li> <li>Survey number and usage of computers; Adequate number of</li> </ul>	<ul style="list-style-type: none"> <li>Business Services; District and site administrators</li> <li>Assistant Superintendent, Business Services; Technology Committee</li> <li>Assistant Superintendent, Business Services</li> <li>Assistant Superintendent, Business Services</li> </ul>	<ul style="list-style-type: none"> <li>Annually</li> <li>May 2011</li> <li>Ongoing</li> <li>May 2011</li> </ul>

**School District – Strategic Plan 2010-2015**  
**GOAL: Attract, Support, and Retain Exemplary Staff**

Objective	How Will We Achieve?	How Will We Measure?	Who?	By When?
<ul style="list-style-type: none"> <li>• Ensure the availability and accessibility of technology to allow staff and students to remain competitive. (continued)</li> </ul>	<ul style="list-style-type: none"> <li>• Provide professional development to staff on how to integrate technology as an effective instructional strategy in all curricular areas.</li> <li>• Utilize technology-based learning tools to reinforce District's curriculum goals.</li> <li>• Provide access to assessment data and management systems.</li> <li>• Secure funding to purchase and maintain technology.</li> </ul>	<ul style="list-style-type: none"> <li>• computers in classrooms and labs.</li> <li>• Evaluations from professional development opportunities.</li> <li>• Survey results</li> <li>• Evaluations from District/grade level/collaboration meetings; survey</li> <li>• Increased funding from bond or grants.</li> </ul>	<ul style="list-style-type: none"> <li>• Business Services, Educational Services</li> <li>• Business Services, Educational Services</li> <li>• Business Services, Educational Services</li> <li>• District administrators; Technology Committee</li> </ul>	<ul style="list-style-type: none"> <li>• Ongoing</li> <li>• Ongoing</li> <li>• Ongoing</li> <li>• May 2011</li> </ul>

School District - Strategic Plan 2010-2015  
**GOAL: Prepare Students to Become Responsible and Caring Citizens**

Objective	How Will We Achieve?	How Will We Measure?	Who?	By When?
<ul style="list-style-type: none"> <li>All students will demonstrate social responsibility by contributing to school and community.</li> </ul>	<ul style="list-style-type: none"> <li>Empower students with social skills, conflict-resolution strategies and Developmental Assets through Project Cornerstone, Positive Behavioral Interventions &amp; Supports (PBIS), Advancement Via Individual Determination (AVID), and Peacebuilders, and Parent Project.</li> </ul>	<ul style="list-style-type: none"> <li>Documented enrollment and participation in school programs and community activities.</li> <li>Improved attendance, decreased tardies, and discipline data.</li> </ul>	<ul style="list-style-type: none"> <li>Site administration, teachers, parents, community, students</li> <li>Site administration, teachers, parents, community, students</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> <li>Ongoing</li> </ul>
<ul style="list-style-type: none"> <li>All students will demonstrate an awareness and respect for school, community, world and the environment.</li> </ul>	<ul style="list-style-type: none"> <li>Provide opportunities to engage all students in service learning to instill a sense of school pride and individual responsibility to the greater community.</li> <li>Recognize achievement in academics and citizenship.</li> </ul>	<ul style="list-style-type: none"> <li>Documented participation in service learning, school and community events.</li> <li>Regularly scheduled recognition ceremonies</li> </ul>	<ul style="list-style-type: none"> <li>Site administration, teachers, parents, community, students</li> <li>Site administration and staff</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> <li>Ongoing</li> </ul>

1/4/2011

School District - Strategic Plan 2010-2015  
**GOAL: Prepare Students to Become Responsible and Caring Citizens**

Objective	How Will We Achieve?	How Will We Measure?	Who?	By When?
<ul style="list-style-type: none"> <li>• Ensure a safe, supportive school environment that fosters student learning.</li> </ul>	<ul style="list-style-type: none"> <li>• Review and update School Safety Plans annually.</li> <li>• Design and administer an annual survey to measure school climate and safety.</li> <li>• Evaluate data from school climate and safety survey.</li> </ul>	<ul style="list-style-type: none"> <li>• Documentation in Single Plan for Student Achievement</li> <li>• Results of completed surveys</li> <li>• Implement changes as reflected in the survey to address relevant needs.</li> </ul>	<ul style="list-style-type: none"> <li>• District and site administration; School Site Council; Safety Committee</li> <li>• Site Safety, Leadership or Climate Committees</li> <li>• Site Safety, Leadership or Climate Committees</li> </ul>	<ul style="list-style-type: none"> <li>• Annually</li> <li>• Annually</li> <li>• Ongoing</li> </ul>

1/4/2011

School District – Strategic Plan 2010-2015  
**GOAL: Ensure Fiscal Stability**

Objective	How Will We Achieve?	How Will We Measure?	Who?	By When?
<ul style="list-style-type: none"> <li>Designate, communicate, and review District's fiscal goals</li> </ul>	<ul style="list-style-type: none"> <li>Effectively communicate District fiscal issues to stakeholders.</li> <li>Set annual program priorities.</li> <li>Establish an organized budget prioritization process that allocates resources based upon student educational needs.</li> <li>Review and report effectiveness of programs such as:               <ul style="list-style-type: none"> <li>- Food Services</li> <li>- After School Enrichment</li> <li>- Preschool</li> <li>- Extended Care</li> <li>- Class Size Reduction</li> <li>- Intervention Programs</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Assess through attendance and evaluations of four-part budget workshop.</li> <li>Board of Trustees' findings and actions.</li> <li>Completion of budget matrix for line item budgets.</li> <li>Completion of report presented to Board of Trustees.</li> </ul>	<ul style="list-style-type: none"> <li>Staff, Director, Fiscal Services and Assistant Superintendent</li> <li>Board of Trustees</li> <li>Cabinet</li> <li>Director, Fiscal Services and Assistant Superintendent</li> </ul>	<ul style="list-style-type: none"> <li>Annually</li> <li>Prior to May each year</li> <li>April 2010</li> <li>Annually in August for prior year</li> </ul>
<ul style="list-style-type: none"> <li>Examine innovative methods that will reduce costs and expand revenues in order to maintain quality educational programs.</li> </ul>	<ul style="list-style-type: none"> <li>Develop "green" initiatives that will provide savings.</li> </ul>	<ul style="list-style-type: none"> <li>Reduced energy and operating costs.</li> <li>Increased participation in school and community activities, projects.</li> </ul>	<ul style="list-style-type: none"> <li>District and site administration, students, teachers, parents and community</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> </ul>

**School District - Strategic Plan 2010-2015**  
**GOAL: Ensure Fiscal Stability**

Objective	How Will We Achieve?	How Will We Measure?	Who?	By When?
<ul style="list-style-type: none"> <li>Examine innovative methods to reduce costs and expand revenues in order to maintain our quality educational programs. (continued)</li> </ul>	<ul style="list-style-type: none"> <li>Increase revenue income through leases, transportation money, field fees, grants, donations, preschool, extended care.</li> </ul>	<ul style="list-style-type: none"> <li>100% of facilities leased.</li> <li>Bus pass and field trip revenues to eliminate 100% of encroachment.</li> <li>Implement PM preschool class.</li> <li>Expand enrollment at EDS and Payne by 10 %.</li> <li>Maintain current enrollment at Baker and Country Lane.</li> </ul>	<ul style="list-style-type: none"> <li>Facilities Principal on Special Assignment and Assistant Superintendent</li> <li>Lead Bus Driver, Manager Maintenance, Operations Transportation and Director, Fiscal Services</li> <li>Director, Preschool and Assistant Superintendent</li> <li>Directors, Extended Care and Director, Fiscal Services</li> <li>Directors, Extended Care and Director, Fiscal Services</li> </ul>	<ul style="list-style-type: none"> <li>Annually</li> <li>Annually</li> <li>Ongoing</li> <li>Ongoing</li> <li>Ongoing</li> </ul>
<ul style="list-style-type: none"> <li>Continue to maximize use of resources by funding programs through grants whenever possible.</li> <li>Evaluate costs of programs, such as solar, to minimize fiscal impact on the general fund.</li> </ul>	<ul style="list-style-type: none"> <li>5% increase in grant revenues.</li> <li>Expansion of solar usage.</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Superintendents, Directors, site administration</li> <li>Facilities Principal On Special Assignment, Manager, Maintenance, Operations, Transportation and Assistant Superintendent</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> <li>Ongoing</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> <li>Ongoing</li> </ul>



School District - Strategic Plan 2010-2015  
**GOAL: Ensure Fiscal Stability**

Objective	How Will We Achieve?	How Will We Measure?	Who?	By When?
<ul style="list-style-type: none"> <li>Optimize financial resources and District assets.</li> </ul>	<ul style="list-style-type: none"> <li>Develop long range strategy for fiscal solvency for next five years.</li> </ul>	<ul style="list-style-type: none"> <li>Establishment of a Board Budget Committee.</li> </ul>	<ul style="list-style-type: none"> <li>Board of Trustees, Superintendent and Budget Task Force or Budget Committee</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> </ul>
<ul style="list-style-type: none"> <li>Balance budget – ongoing expense covered by ongoing revenue.</li> </ul>	<ul style="list-style-type: none"> <li>Review at first, second interim and budget adoption.</li> </ul>	<ul style="list-style-type: none"> <li>Monthly reports to sites and departments.</li> </ul>	<ul style="list-style-type: none"> <li>Board of Trustees, Superintendent and Assistant Superintendent</li> </ul>	<ul style="list-style-type: none"> <li>2012-2013</li> </ul>
<ul style="list-style-type: none"> <li>Ensure timely monitoring of site and District budgets.</li> </ul>	<ul style="list-style-type: none"> <li>Effectively manage the budget process to maintain a general operating reserve.</li> </ul>	<ul style="list-style-type: none"> <li>Maintaining a 3% Statutory Reserve.</li> </ul>	<ul style="list-style-type: none"> <li>Director, Fiscal Services</li> </ul>	<ul style="list-style-type: none"> <li>Monthly</li> </ul>
<ul style="list-style-type: none"> <li>Successfully pass a "no tax increase" bond amount for the purpose of upgrading and modernizing school facilities.</li> </ul>	<ul style="list-style-type: none"> <li>Ensure continuous improvement by conferring with neighboring districts, attending county, state and federal fiscal workshops.</li> </ul>	<ul style="list-style-type: none"> <li>Passage of General Obligation Bond.</li> </ul>	<ul style="list-style-type: none"> <li>Director, Fiscal Services and Assistant Superintendent</li> </ul>	<ul style="list-style-type: none"> <li>December, March, and June each year</li> <li>November 2010</li> </ul>
<ul style="list-style-type: none"> <li>Incorporate relevant data gathered into budget development.</li> </ul>	<ul style="list-style-type: none"> <li>Attend Santa Clara County Chief Business Officer meetings and related workshops.</li> </ul>	<ul style="list-style-type: none"> <li>Budget development presentations to Board of Trustees.</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Superintendent and Director, Fiscal Services</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> </ul>

**Professional Goals  
2009-2010**

**Performance Objective**

**Objective #1:** Implement a comprehensive assessment program for ELA and Math  
*Strategic Plan: Closing the Achievement Gap*

- Assist with the implementation of benchmark assessments for ELA and Math. ELA in Grades 2-5 and Math Grades 1-5.
- Create an assessment timeline that coordinates benchmark assessments, monthly/quarterly writing assessments, ROLA, and teacher planning days.
- Enter assessments and student data into EduSoft.
- Run Edusoft analysis sheets and train teachers how to use the data to inform classroom instruction.
- Participate in ongoing discussions with peers and district office staff regarding the use of data and successful strategies to close the achievement gap.

**Objective #2** Implement and monitor research-based curricular programs and instructional strategies to increase student achievement.  
*Strategic Plan: Closing the Achievement Gap*

- At the beginning of the year, implement Board Math in Grades 2-5. Over the course of the year, work with staff to implement Board Math in Grades K-1.
- Implement Board Language in Grade 5.
- Provide Board Math and Board Language feedback sheets and conduct debriefing meetings.
- Analyze achievement data and student usage data on Imagination Station and Scholastic Reading Counts to evaluate the effectiveness of these programs at Payne.
- Work with the staff to explore scheduling options for Imagination Station and Scholastic Reading Counts.
- Conduct classroom visits at least two times per week and continue to have conversations about best practices with all teachers.
- Use bimonthly staff meets and weekly grade-level planning time to explore and model best instructional strategies (cooperative learning, EL instructional strategies, guided process reading, multiple intelligence, etc.).

**Objective #3** Strengthen the connection between school and community  
*Strategic Plan: Ensure Effective Communication*

- Attend and actively participate in the Home and School Club. Work with the H&SC leadership team to explore ways to increase parent participation.

- Attend and actively participate in the ELAC. Explore ways to support our English Language Learners and their families.
- Create family education opportunities. Host Family Literacy Night, Family Science Night, and Family Math Night.
- Research the School Loop website builder as a means for improving home and school communication at both the classroom and school wide level.
- Provide opportunities for teachers to have their classroom information available on our school website.

**Objective #4** Provide opportunities for teachers to develop and pursue career goals.

*Strategic Plan: Attract and Retain Exemplary Staff*

- Provide opportunities for teachers to attend trainings and to share instructional strategies from trainings with the staff.
- Provide opportunities for teachers to observe each other at \_\_\_\_\_ and other schools throughout SD.
- Provide opportunities for teachers to observe Board Math and Board Language at Anderson.
- Create a school leadership team and develop opportunities for shared leadership at Payne.
- Assist first- and second-year teachers in their BTSA program.

**Objective #5** Collaborate with staff on ways to incorporate citizenship into the curriculum.

*Strategic Plan: Preparing students to become caring and responsible citizens.*

- Meet with Cornerstone teacher leaders for initial project planning and throughout the year to monitor activities.
- Meet with Cornerstone student leaders throughout the year to support their work at Payne.
- Work with student and teacher leaders to develop a Morning Greeter Program, Junior Yard Duty Program, and Puddle Jumper Program.
- Work with staff to create lunchtime clubs for students.
- Work with school leadership team to explore ways to improve student behavior and to increase school pride/spirit.

### **Professional Development Objective**

**Objective #1:** Participate in professional development opportunities focused on raising student achievement

*Strategic Plan: Closing the Achievement Gap*

- Attend Board Math and Board Language trainings.
- Work with staff to implement Board Math in Grades 2-5 and Board Language in Grade 5.
- Work with \_\_\_\_\_ to implement Board Math in Grades 2-5 and Board Language in Grade 5. Specifically focus upon implementation, teacher feedback, and monitoring of these programs.
- Work with my mentor, \_\_\_\_\_, throughout my first year as principal.
- Seek out conferences and workshops focused on closing the achievement gap.

**Objective #2** Develop long-lasting and supportive relationships with \_\_\_\_\_ staff and community members.

*Strategic Plan: Attract and Retain Exemplary Staff*

- Continue to develop long-lasting and supportive relationships with staff members.
- Acknowledge and celebrate staff accomplishments and expertise.
- Build time into staff meetings for teachers to share exemplary practices.
- Recognize and celebrate important events in staff members' lives such as birthdays, engagements, weddings, anniversaries, graduations, the birth of children and grandchildren, etc.
- Work with \_\_\_\_\_ SSC, H&SC, and ELAC to develop long-lasting and supportive relationships.
- Anticipate and address any staff and community questions and concerns in a timely and professional manner.



5. Use evaluation process to coach and support staff.
6. Provide both public and positive affirmation of successful practices
7. Continue to provide release time for collaboration *All grade levels had at least one collab day*

**Strategic Plan Goal: Ensure Effective Communication**

1. Provide clear, timely, and relevant information to the \_\_\_\_\_ staff, parents, and student  
*School Loop, MomFolder pilot, ConnectEd*
2. Increase visibility as the positive leader of \_\_\_\_\_. *Followed your advice to "drop in" at community meetings*
3. Expand use of ConnectEd to teachers. *Several teachers used it this year to send messages about field trips*
4. Practice open, honest, respectful communication in all my interactions with staff at sites and at the district level.
5. Work closely with SSC Community and Staff Members to develop our school plan and analyze instructional programs. *Very involved, supportive SSC*

**Strategic Plan Goal: Prepare Students to Become Responsible and Caring Citizens**

1. Continue Positive Behavior Incentives such as Good Job tickets *Just finished last GJT Store today!*
2. Continue involvement in Cornerstone Project
3. Begin Year One of PBIS *Board Report regarding PBIS last month, excellent group of staff on committee*
4. Support School Wide Service Learning Projects- *Two Second Harvest drives, Pennies for Peace, Socks for Japan, Meals on Wheels Sandwiches*

Professional Development for Myself:

1. At our Leadership Retreat I reflected that I wanted to be supportive without being threatening. I want to focus on being direct in a non-threatening way. Continue to look for a workshop on Effective Coaching. (The COE session began the week in July when I was in Boston.) *You and I discussed this several times and couldn't find an appropriate class.*
2. \_\_\_\_\_ students are well behaved and compliant for the most part, and I want to help teachers focus on whether or not they are also highly engaged. Last year many began flexing which ensured that the work was more appropriate. In order to continue this work I would like to gain more background on research based instructional strategies to increase student engagement. *We identified an appropriate workshop through Soluntion Tree but it conflicted with the first meeting for PBIS.*
3. *I attended a conference with \_\_\_\_\_ on RTI and am attending another one at the end of the month.*
4. *Also attended 4 sessions of PBIS.*
5. *Workshop on Autism in the classroom with several of my staff.*
6. *I was a member of the District Literacy Committee and helped develop and present staff development to 4/5 teachers.*

FOLGERS UNIFIED  
SCHOOL DISTRICT  
MANAGEMENT TEAM

<b>Evaluatee's Name</b> Principal Elementary	<b>Position Title</b> Principal, Elementary
<b>Evaluated by</b>	<b>Date of Interim Review (optional)</b>
<b>School Year</b> 2007-2008	<b>Date of Final Review -- We held initial conference</b> 10/30/07 at 9:30 am. Mid year- 4-7-08 Reflection – 6-16-08

**Purpose** The purpose of the Management Team Performance Evaluation is to promote personal and professional development, and to assist employees in achieving excellence.

**Goal** The goal is to tie the evaluation processes to the Evaluatee's performance objectives, and ultimately, his/her daily professional activities, directly to the vision and goals of the MUSD.

**Directions**

**Timeline**

<i>The Evaluator and Evaluatee</i> should mutually agree upon performance objectives. (p. 2) The Evaluatee completes objectives and gives a copy to the Evaluator. The Evaluator will observe the Evaluatee working towards one of the objectives at least once during the evaluation year. The staff survey must be incorporated in the evaluation (staff interviews are optional, and if completed, should also be a part of the evaluation).	Complete by October 1 <sup>st</sup> at the <b>beginning</b> of the evaluation process.
Interim progress review ( <i>Evaluator and Evaluatee</i> , p. 2) Although the write-up is optional, the Evaluator must informally meet with the Evaluatee to discuss progress towards objectives as well as progress on the continuum for <i>Key Performance Qualities</i> .	Mid-year
Year-end assessment review ( <i>completed by Evaluator</i> ) The Evaluatee will write notes on a copy of the evaluation tool to give to the Evaluator as part of the self-reflection process. The Evaluator completes official copy of evaluation, filling in <i>Professional Objectives</i> results and <i>Key Performance Qualities Continuum</i> . 1. Professional Objectives Results (p. 2) 2. Key Performance Qualities Continuum (pgs. 3-4) 3. Year-end Overall Summary and Commentary (p. 5)	Complete by June 30 <sup>th</sup>

**Definitions**

<i>Performance Objectives</i> (mutually agreed upon)	Performance objectives specifically address the program for which you are responsible. If you supervise classroom instructional staff, at least one objective must be aimed at CTAG. You are encouraged to bring evidence that demonstrates your effort in meeting the objective.
<i>Interim Progress Review (Optional)</i>	Meet during the year to <i>informally</i> review performance, discuss performance and professional objectives, acknowledge any shifts in duties or assignments and agree upon any special course of action needed to stay on track.

Any questions regarding the Management Team Performance Evaluation process should be directed to the Director of Human Resources,

<b>PERFORMANCE OBJECTIVES</b> <i>(Use additional pages, as necessary)</i>		
<p><b>I. Performance Objectives</b> <i>(Complete at the beginning of the evaluation process. August 1<sup>st</sup>-October 1<sup>st</sup>.)</i></p> <p>1. <b>Measurable Objective as related to Strategic Plan Goals:</b></p> <p>Have staff more actively engaged in CTAG.</p> <p><b>Activities to meet objective:</b></p> <ul style="list-style-type: none"> <li>*During at least 4 staff mtgs. throughout the year, teaching staff will set aside 30-45minutes to discuss and share ongoing goals for CTAG in the classroom as well as intervention programs for African American students, Hispanic students, and low socio economic students.</li> <li>*Provide CTAG Plan for 2007-2008 through 2009-2010 to all staff members and discuss how they can make changes in their classrooms to meet the individual needs of these students.</li> <li>*Read articles that support the importance of the teacher's role in the classroom.</li> <li>*Have inservice(s) and show teachers how to use Edusoft for students who are at or below the Basic levels on the STAR testing.</li> <li>*Use Multiple Intelligence assessments with teaching staff to show how they can define their classroom students' natural abilities.</li> <li>*Have more staff members attend the parent ed. nights throughout the school year.</li> </ul>	<p><b>Interim Completed by Evaluator</b> <i>(Optional)</i> <i>(Complete at the conclusion of the evaluation process, June 30<sup>th</sup>.)</i></p>	<p><b>Performance Results Completed by Evaluator</b> <i>(Complete at the conclusion of the evaluation process, June 30<sup>th</sup>.)</i></p> <p>Principal, you provided your staff members with opportunities to take action in closing the achievement gap as evidenced by the discussions they held during staff development for SIOP and multiple intelligences. At your Open House I observed two teachers talking with parents about how students learn and steps that need to be taken to encourage metacognitive development. For example, in a 2<sup>nd</sup> grade classroom, the teacher had her students demonstrating science experiments for their parents, and the students had to share their self-assessments with them. In another classroom the 5<sup>th</sup> grade teacher shared with the parents the different strategies she used to strengthen each child's thinking skills through an awareness of their own multiple intelligences. In our own discussions, you shared with me that you hoped to have teachers making connections between multiple intelligences, SIOP, and CTAG.</p> <p>You will be able to further develop your teachers' skills in these areas by refining your staff meetings so that they are grounded more in staff development. You have tapped in to the expertise of a few of your tech savvy teachers and TST lead so that they share with the staff the highlights from their lessons. As we discussed, your plan to set aside time for your teachers to discuss these and other strategies such as SIOP and MI will deepen their understanding and assist them in applying them in their teaching.</p>



<p><b>Measurement Specifications:</b>          The achievement GAP is narrowed.          Teachers use more activities in classroom as documented through observation.</p> <p><input checked="" type="checkbox"/> Met objective – Teachers are using MI and SIOP in classes; we will need to see the STAR results to determine a narrowing of the GAP.</p> <p><input type="checkbox"/> Did not meet objective</p>		<p>You have discovered that you are able to meet your objectives for recruiting teachers to participate in activities that will further Jordan in its efforts to CTAG by speaking with them individually in order to gain a critical mass for making change. As you know from our in-services on the change process that we had with Glen Ishiwata and again with Michelle Dimas, it is important to nurture your teachers in this process through recognition of their efforts publicly and privately, and you have decided that for next year, you will focus on making sure your staff members get feedback on their performance more frequently than you were able to do this year. You will also continue to move your staff forward through individual and small group conversations so that you can facilitate change. You are going to have these teachers share their successes in staff meetings so that more reluctant staff members will become convinced of the need to apply SIOP, tech, MI, and differentiation in their teaching.</p> <p>This year you were able to share some articles with your staff about pedagogy, and you will share more with them informally through newsletters and articles that you put in their mail boxes.</p>
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<p><b>2. Measurable Objective as related to Strategic Plan, CA Professional Standards for Educational Leaders (CPESL), Job Description, or Key Performance Qualities:</b></p> <p>Strengthen home and school connection with parents so that we can work together to close the achievement gap.</p> <p><b>Activities to meet objective:</b>          Have 3 Hispanic and 2 African American parent educational nights to inform parents of details of STAR data on their children and set goals with the parents for their children in Language Arts and Math.          *Provide parents with STAR data and detailed Edusoft data during Parent Ed. nights.          *Discuss in detail the areas of focus/concern for Language Arts and Math for each of their children.          *Have parents write down one goal for L.A. and Math for each child.          *Provide opportunities during Parent Ed. nights for them to discuss their concerns for home and school communication and goals.          *Provide staff and SD who can translate during the Parent Ed. nights.          *Have various teachers and support staff members attend Parent Ed. nights through the school year.          *Parents will fill out a form for these goals. Principal will keep this data and use for student goals/data also.</p> <p><b>Measurement Specifications:</b>          *More conversions with students and parents.          *sign in sheets at Parent Ed. nights.          *parents are aware of DRA and Benchmarks.</p> <p>✓ Met objective  <input type="checkbox"/> Did not meet objective</p>	<p>You were able to strengthen the school and home connection through various means this past school year. You held five parent education nights, particularly aimed at the parents of students in the gap. At these meetings you explained to parents what the STAR results indicate and what the achievement gap is. You also tied in their goals for their children with the school and District goals for CTAG. You further developed this connection by spending time talking with individual students about their test scores and helping them to create their own learning goals for the school year. As you weren't able to get to all of the students due to the many demands on a principal's time, we discussed strategies that you could use next year in order to meet with more students as this was a powerful strategy that you employed in order to CTAG. You will meet with students scoring at the far below basic level of the STAR first, then meet with others in small groups. It would be powerful if you would share these goals with the staff members, so that they can also support the students in meeting their goals. If you look at the strategy that the staff at uses to check in with their students in the gap about their attendance issues and achievement progress, you might get some ideas about how you might adapt this to your own that you have put in place this school year.</p> <p>An outcome that might result from including the teachers as active participants in this process is that you will have informal conversations with them about what they are doing in the classroom to enhance these students' successes, thereby offering them an opportunity for reflection and also an opportunity for you to provide them with input on how they are growing as teachers. ---</p>
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<p>Play the conductor of your orchestra as we learned from in-service in 2006.</p>		
<p>4. In addition to comments described above: As you think about how you can create your log to track student progress in meeting their learning goals and escaping the achievement gap, think about how you can use this log to provide on-going communication with parents and teachers so that they can assist you in providing the students with specific praise and support as the students work to meet their goals.</p>		<p><b>3. Measurable Objective as related to Strategic Plan, CPESL, Job Description, or Key Performance Qualities: Students will better understand the STAR test and will set goals for the 2007-2008 school year. Activities to meet objective:</b>          Administrators and teachers will meet with Hispanic and African American students who are scoring at/around 350 or below on the 2006-2007 STAR testing.          *Administrators will meet individually and discuss areas of concern for Language Arts and Math for each student at risk.          *Students will fill out their part of the form and give input as to one area they will work on for Language Arts as well as Math.          *Administrators will keep and share this data with child's teacher and discuss ways in which they will monitor students' ongoing progress.          *Teachers will use DRA and Benchmark assessments to guide their classroom interventions.          *Administrators will place students in intervention programs that will provide added support to the classroom instruction.          *Develop a monitoring system to log and keep track of student progress or lack of progress.  <b>Measurement Specifications:</b>          ✓ Met objective – still in progress</p>

## II. KEY PERFORMANCE QUALITIES CONTINUUM

**Instructions for Evaluator:** In each section that follows, choose the description that best describes the Evaluatee's performance. Use Evaluator's Commentary to explain all *needs improvement*, *unsatisfactory*, or other pertinent comments. Specific terms/areas for improvement may be highlighted in order to provide more specific feedback.

<b>A. Making Decisions and Solving Problems</b>			
<input type="checkbox"/> Exceeds Standards Skilled in resolving complex problems; identifies and involves stakeholders, makes effort to understand problem before looking for solution; considers innovative solutions when they are appropriate, takes responsibility.	<input checked="" type="checkbox"/> Meets Standards Informs stakeholders of decisions; seeks out necessary data to make good decisions and solve problems; accepts responsibility for decisions.	<input type="checkbox"/> Approaching Standards Appears to have difficulty knowing who stakeholders are; infrequently seeks out data; decisions are sometimes poor; tends not to accept responsibility.	<input type="checkbox"/> Unsatisfactory Appears not to know who stakeholders are; does not seek out data; most decisions are poor; does not accept responsibility.
<b>B. Managing Change</b>			
<input type="checkbox"/> Exceeds Standards Embraces change and implements it skillfully; actively explores possibilities and can help others do the same; viewed as a change agent.	<input checked="" type="checkbox"/> Meets Standards Welcomes change and is able to implement it; recognizes possibilities for change; is there when needed to help cause change.	<input type="checkbox"/> Approaching Standards Tends to focus on present; daunted by change; has difficulty implementing changes; resistant to possibilities; keeps low profile during periods of change.	<input type="checkbox"/> Unsatisfactory Expects certainty and status quo; actively avoids change; unable to discern, much less consider, possibilities; disappears during periods of change.
<b>C. Relating and Communicating with People</b>			
<input type="checkbox"/> Exceeds Standards Values people; expert listener; tries to see all sides of an issue; sought after to defuse problems; strong communication skills.	<input checked="" type="checkbox"/> Meets Standards Respectful of others; good listener; sees all sides; able to help facilitate; good communication skills.	<input type="checkbox"/> Approaching Standards Sometimes is disrespectful of others; has trouble listening; focused on own point of view; inconsistent communication skills.	<input type="checkbox"/> Unsatisfactory Tends to discount others; doesn't listen and cuts people off; adamantly clings to own position; ignites instead of diffuses situations; poor communication skills.
<b>D. Leadership</b> (Mark 'NA' if the descriptor is not applicable to the evaluatee's position.) <input type="checkbox"/> NA			
<input type="checkbox"/> Exceeds Standards Has and communicates a vision; consistently empowers team; consistently models desired behaviors; leads the team's learning; shares organization-wide information.	<input checked="" type="checkbox"/> Meets Standards Has a vision for the team; is able to empower team members; usually models desired behaviors; offers training opportunities.	<input type="checkbox"/> Approaching Standards Difficulty focusing on a vision; uncomfortable empowering team; doesn't model desired behaviors; infrequently offers team training.	<input type="checkbox"/> Unsatisfactory Exhibits no sense of vision; resists empowering team; models undesirable behaviors; rarely, if at all, offers team training.
<b>E. Learning and Professional Development</b>			
<input type="checkbox"/> Exceeds Standards Works to stay current with required job knowledge; able to integrate new learning and routinely applies to everyday work; anticipates new learning needs.	<input checked="" type="checkbox"/> Meets Standards Is aware of need to stay current with job knowledge; benefits from new learning and applies to work; open to new learning opportunities.	<input type="checkbox"/> Approaching Standards Tends not to benefit from new learning; has trouble seeing connection between new learning and everyday work; reluctant to attend trainings.	<input type="checkbox"/> Unsatisfactory Does not benefit from new learning; unable to see connection between new learning and everyday work; is unwilling to attend trainings.
<b>F. Serving Customers</b>			
<input checked="" type="checkbox"/> Exceeds Standards Consistently identifies customer needs and takes action to meet those requirements; continually seeks customer feedback; very skillful in modifying action to improve service.	<input type="checkbox"/> Meets Standards Frequently identifies customer needs and takes action to meet those requirements; seeks customer feedback; modifies action to improve service based upon customer feedback.	<input type="checkbox"/> Approaching Standards Has difficulty identifying internal and external customers and their needs; seldom seeks customer feedback; seldom modifies activities based upon customer feedback.	<input type="checkbox"/> Unsatisfactory Is not knowledgeable about customer needs; does not solicit customer feedback; resists modifying services to better meet customer requirements.

<b>G. Closing the Achievement Gap (CTAG)</b>			
<input type="checkbox"/> Exceeds Standards	<input checked="" type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Understands and consistently uses organization-wide approach to better understand institutional racism and its relation to student achievement; focuses on the relationship of the individual effort to the whole; is conscious of alternatives and their consequences on CTAG. Demonstrates understanding through frequent communication and daily interaction with others.	Has some understanding of CTAG dynamics and its relation to student achievement; is aware of the need to consider most MUSD strategies when making decisions to CTAG. Demonstrates understanding through periodic communication with others.	Lacks practical understanding of organization wide dynamics in relation to CTAG and student achievement; frequently makes decisions without considering the impact on MUSD CTAG goals.	Seems unaware of the relationship between departments and systems in CTAG; consistently makes decisions without considering MUSD CTAG goals.
<b>H. Supervising Employees and Assessing Their Performance</b> (Mark 'NA' if the descriptor is not applicable to the Evaluatee's position.) <input type="checkbox"/> NA			
<input type="checkbox"/> Exceeds Standards	<input checked="" type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Understands and attempts to balance staff needs with those of organization; communicates high expectations; consistently achieves high morale and productivity; uses performance assessment for encouraging growth.	Works well with supervised staff; tends to hold high expectations; good staff morale and productivity; helps staff reach full potential; uses performance assessment appropriately.	Has difficulty working with supervised staff; ineffective in helping staff reach full potential; sometimes uses performance assessment inappropriately.	Unable to supervise staff or help them in improvement; consistently uses performance assessment process inappropriately.
<b>I. Instructional Leadership</b> (Mark 'NA' if the descriptor is not applicable to the Evaluatee's position.) <input type="checkbox"/> NA			
<input type="checkbox"/> Exceeds Standards	<input checked="" type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Shapes culture of high expectations for students; facilitates use of content-based learning materials and strategies in the classrooms; guides and supports long-term professional development of all staff in order to increase student achievement; provides opportunities for all staff to collaborate, distributes leadership, and shares responsibility; utilizes multiple assessments to evaluate student learning.	Facilitates culture of high expectations for student achievement; works to enhance content-based learning materials and meaningful staff development; opportunities for shared leadership are usually present; benchmark assessments are analyzed with staff.	Staff's achievement expectations are high for most students; works to enhance learning materials on occasion; some conversations with staff about teaching strategies and student achievement; does little to empower staff leadership or to encourage professional development.	Staff does not have high achievement expectations for all students; learning materials and teaching strategies are not updated or improved; staff rarely engages in professional development; leadership is not shared.
<b>J. Quality of Work/Quality Improvement</b>			
<input checked="" type="checkbox"/> Exceeds Standards	<input type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Quality of work product is high; continually explores new ways to improve quality, accuracy and usefulness of work; consistently succeeds at improving work.	Quality of work product is good; tries new ways of improving quality; accuracy and usefulness of work is good; generally succeeds in improving work.	Quality of work product is inconsistent and generally below standard; low accuracy and usefulness of work; infrequent success in improving work.	Quality of work product is inadequate; makes minimal to no effort to improve quality and rarely succeeds in effort; accuracy and usefulness of work is poor.
<b>K. Quantity of Work</b>			
<input checked="" type="checkbox"/> Exceeds Standards	<input type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Quantity of work produced is high, continually exceeds job requirements; nearly always completes assignments well before deadline; excellent manager of time.	Quantity of work produced meets requirements of the job; nearly always meets deadlines; manages time well.	Quantity of work is below standard; deadlines are sometimes missed; time management skills need improvement.	Quantity of work is inadequate; deadlines are frequently missed; management of time is poor.

## YEAR-END OVERALL EVALUATION SUMMARY

**Evaluator's Commentary**

Recommendations:

- ♫ Use your leadership team to help you determine the focus for your staff meetings so that they evolve in to opportunities for staff development, which will enhance your efforts in creating a sense of a learning community.
- ♫ Your listening skills and ability to show people that they are valued an asset, make sure that all of your staff members have the opportunity to realize this about you through constant communication with each of them.
- ♫ You have a strong vision for your school, make sure everyone on staff knows what it is, and make it a point of your daily interactions with staff members.
- ♫ Make sure all staff members have feedback several times per year so that they all know where they stand and can improve accordingly.

Commendations:

- ♫ You recognize opportunities for change and are strong in planting seeds through your individual interactions with staff, students and parents. This is evidenced in your ability to bring difficult parent situations to resolutions that effect partnerships between you and the parents, as well as your ability to enlist staff help in creating the parent education nights at Jordan.
- ♫ You are always open to suggestions, new ideas, and resolving conflict. You do all in a calm and inviting manner.

You are a dynamic leader, as demonstrated through your openness to change, new ideas, and willingness to empower others.

**Overall Summary**                       Satisfactory       Needs Improvement       Unsatisfactory

Evaluatee's Signature \_\_\_\_\_ Date \_\_\_\_\_

Evaluator's Signature \_\_\_\_\_ Date \_\_\_\_\_

Signature indicates knowledge of contents and receipt. It does not indicate agreement. Employee has a right to respond in writing within ten (10) working days.

FOLGERS UNIFIED  
SCHOOL DISTRICT  
MANAGEMENT TEAM  
**EVALUATEE END OF YEAR SELF REFLECTION**

<b>Evaluatee's Name</b>	<b>Position Title</b> Principal
<b>Evaluated by</b>	<b>Date of Interim Review (optional)</b>
<b>School Year</b> 2010-2011	<b>Date of Final Review</b>

**Purpose** The purpose of the Management Team Performance Evaluation is to promote personal and professional development, and to assist employees in achieving excellence.

**Goal** The goal is to tie the evaluation processes to the Evaluatee's performance objectives, and ultimately, his/her daily professional activities, directly to the vision and goals of the MUSD.

<b>Directions</b>	<b>Timeline</b>
<i>The Evaluator and Evaluatee</i> should mutually agree upon performance objectives. (p. 2) The Evaluatee completes objectives and gives a copy to the Evaluator. The Evaluator will observe the Evaluatee working towards one of the objectives at least once during the evaluation year. The staff survey must be incorporated in the evaluation (staff interviews are optional, and if completed, should also be a part of the evaluation).	Complete by October 1 <sup>st</sup> at the <b>beginning</b> of the evaluation process.
Interim progress review ( <i>Evaluator and Evaluatee</i> , p. 2) Although the write-up is optional, the Evaluator must informally meet with the Evaluatee to discuss progress towards objectives as well as progress on the continuum for <i>Key Performance Qualities</i> .	Mid-year
Year-end assessment review ( <i>completed by Evaluator</i> ) The Evaluatee will write notes on a copy of the evaluation tool to give to the Evaluator as part of the self-reflection process. The Evaluator completes official copy of evaluation, filling in <i>Professional Objectives</i> results and <i>Key Performance Qualities Continuum</i> . 1. Professional Objectives Results (p. 2) 2. Key Performance Qualities Continuum (pgs. 3-4) 3. Year-end Overall Summary and Commentary (p. 5)	Complete by June 30 <sup>th</sup>

<b>Definitions</b>	
<i>Performance Objectives</i> (mutually agreed upon)	Performance objectives specifically address the program for which you are responsible. If you supervise classroom instructional staff, at least one objective must be aimed at CTAG. You are encouraged to bring evidence that demonstrates your effort in meeting the objective.
<i>Interim Progress Review (Optional)</i>	Meet during the year to <i>informally</i> review performance, discuss performance and professional objectives, acknowledge any shifts in duties or assignments and agree upon any special course of action needed to stay on track.

Any questions regarding the Management Team Performance Evaluation process should be directed to the Director of Human Resources, c

## PERFORMANCE OBJECTIVES

*(Use additional pages, as necessary)*

### Performance Results Reflection Completed by Evaluatee

*(Complete at the conclusion of the evaluation process, June 30<sup>th</sup>).*

**I. Performance Objectives**

*(Complete at the beginning of the evaluation process, August 1<sup>st</sup> - October 1<sup>st</sup>).*

**1. Measurable Objective as related to Strategic Plan Goals:**

The year began on a positive note with teacher morale fairly high for several reasons: increased CST test scores=relief from the threat of entering state Program Improvement status, healing from the loss of \_\_\_\_\_ and a desire for an "easier" second implementation year of Board Math and Strategies That Work professional development in reading comprehension.

As this year progressed and the stress levels increased, I fell short in recognizing and providing the specific kind of support my staff was asking for, and I fell short in providing the time for staff to balance and support their diverse needs. This year I experienced my staff without the stress of losing a staff member, or admired administrator. As a result, the support needed this year by staff was very different than support that was needed last year. How did this happen? Upon reflection, I believe there are several explanations.

Early this year the staff indicated to me that they felt Educational Services had too much influence on the decisions I was making for \_\_\_\_\_. So, by design, this year I leaned less on Educational Services for guidance and learned more on my staff to work with me to identify \_\_\_\_\_ needs and the direction of our professional development. But at times there were too many cooks in the kitchen, and I was in the middle - I did too much explaining and not enough active listening.

I actively sought out staff ideas and suggestions at formal and informal meetings and on the grade-level summary forms returned to me after their meetings. As a result, this provided the staff with a strong "voice" which, once unleashed, presented situations I did not have the experience to rein-in as effectively as a more experienced principal could, especially with my many strong and influential teachers. While I maintained an open-door policy and consistently requested input, some staff members did not trust me enough to come to me with their concerns and sought support from each other instead. Positive notes left in mailboxes, informal conversations, email acknowledgements and appreciations that supported the staff last year was not the right kind of support the majority of the staff needed this for this year.

I have learned that my staff needs to feel they have been "heard" which requires time and respectful listening on my part, while at the same time they want decisions and actions to be immediate. While they want my flexibility, they are very resistant to changes and they require time to discuss issues in order to come to their conclusions. This is a delicate balancing act I expect I will be working on for some time. I know I have a better understanding of my staff, their needs and how they change. Although this is only my second year as principal, I measure my performance against the most experienced and respected principals/administrators in the district and I will continue to learn and improve as a principal from them. Ensuring that all voices have been heard requires communication channels broader than I have used this year and I will glean new insights, strategies and applications from my mentor next year. In addition, I plan to read a couple of resources on working effectively with staff and on crucial conversations to shore up my communication skills with staff to better meet their needs and move forward in a more positive way.

Activities to meet objective:

Measurement Specifications:

Met objective

Did not meet objective



<p>2. <b>Measurable Objective as related to Strategic Plan, CA Professional Standards for Educational Leaders (CPESL),</b></p> <p><b>Description, or Key Performance Qualities:</b></p> <p>Activities to meet objective: Measurement Specifications: <input type="checkbox"/> Met objective <input type="checkbox"/> Did not meet objective</p>	<p>Attendance and participation at the district CTAG meetings, the Management Meetings, and the Principal Problem Solving Meetings have provided important strategies/concepts and practical ideas which I have applied at my site.</p> <p>The goal of expanding my understanding of the Title 1 budget has been met and continues to grow. I have grown accustomed to running a Financial Activity report, a Summary Report, a Vendor report as well as the Look-up report to stay aware of the site budget and to know how/when to make a budget transfer/revision from one cost center to another, a huge leap over last year! This year I worked closely with the Title 1 Intervention Specialist who assisted me through the steps of the School wide Title 1 application process, which was successfully approved by the School Board on June 14<sup>th</sup>. This new School wide status will allow the flexibility of our Title 1 funds to be spent on all Spangler students, not restricted to only Title 1 students as before.</p> <p>Now that I am familiar with manipulating the QSS system, my next step will be to show the secretary the steps to take each month to run the reports for me and to monitor and highlight the balances and to alert me of monthly budget balances. Additionally, the staff will be involved again in the allocation of Title I program funds and other categorical funds as we work on our Single Plan for Student Achievement objectives/goals in the fall.</p>
<p>3. <b>Measurable Objective as related to Strategic Plan, CPESL, Job Description, or Key Performance Qualities:</b></p> <p>Activities to meet objective: Measurement Specifications: <input type="checkbox"/> Met objective <input type="checkbox"/> Did not meet objective</p>	<p>Closing the Achievement Gap is a priority at _____ school. One of our in-service professional development days was devoted to Carol Ann Tomlinson's Differentiated Instructional Strategies presented by our two _____ CTAG teachers. Another in-service was devoted to examining the culture of Spangler School and outlining what our target students need to succeed; and then based on those discussions, revising the Spangler mission statement to reflect our values and goals. Both professional development in-services were modeled after the district CTAG meetings. In addition, teachers selected 2-3 Latino students in their classes to target for additional assistance and attention, and intervention placement. Latino Parent Evening focused on literacy strategies and parents helping with homework. Benchmark-test results were examined by grade levels and updated interventions, assistance was provided to target students. In an effort to get a head start on 2011-2012 CTAG, the schedules (bell, preps, and computer labs), professional development, and intervention schedules have been developed cooperatively with staff for the purpose of early identification of target students and their needs/intervention placements in August.</p> <p><b>Overall Reflection Questions:</b> In looking at how you worked to meet your objectives, and also taking in to consideration how you rated yourself on the Key Performance Qualities, assess your areas of strength. What are your plans to further develop your skills as a manager and if applicable, instructional leader?</p> <p>Areas of strength: Taking responsibility when things are not going well at Spangler, either with staff or programs. Working with staff to improve weak areas, both in communication and in the operation of school programs. Student discipline - suspensions &amp; student referrals lower than last year.</p>

Areas to further develop skills: Re-incorporate staff "appreciations" into the Monday Memo, summer reading on skillful, effective and supportive conversations with staff, collaboration with mentor, increased class visitations.

The 2010-2011 school year was a year of ups and downs for Spangler.

Ups:

- CST scores had a 46 points gain and the API was the highest to date.
- The total number of Reading Counts books went up from our record last year of 7,630 to 12,083 books.
- Began a new monthly "Birthday Party" pizza luncheon for students and staff to recognize each student/staff member
- Welcomed 4 new certificated staff members who were well received by staff
- Implemented "Steps to Success" Program
- Continued Year 2 of Board Math implementation
- Art in Action Program –fine arts program used by most teachers
- Student Council participated in "Pennies for Patients" –fund raiser/cancer awareness program
- Modified Monday Memo to include more staff requested information
- Worked effectively with the Special Ed. team and Student Services on two high-profile student cases.
- Chorus and Talent Show programs successful
- Literacy Intervention Specialist worked with 2<sup>nd</sup>/3<sup>rd</sup> graders on comprehension
- Worked effectively with staff to develop professional development needs and plans for 2011-2012 year- now in place
- Garden - Saturday community clean-up was successful
- Title I School Wide application approved by the School Board on June 14, 2011
- New computer lab to be installed in July for Fall ST Math program implementation
- New computer lab Instruction Assistant to run ST Math program in the Fall.
- Staff member committed to running the Video Rama technology program next year
- Staff collectively made 15 children's quilts to donate to the "Linus Project" in honor of a teacher's retirement
- Positive school articles in both the Post and the Patch

Downs:

- Some staff/Administrator communications were not positive
- We lost another (district) colleague to cancer
- A staff member's mother passed away
- Another staff members parent's were seriously ill and needed medical/home care (stress)
- Several staff members had serious financial difficulties
- Two staff members planned weddings for this July (stress)
- Bathroom fire emergency- thankfully no one hurt
- State Attendance Audit revealed problems in use of K-retention form, incomplete Independent Study forms

## II. KEY PERFORMANCE QUALITIES CONTINUUM – SELF REFLECTION

**Instructions for Evaluatee:** In each section that follows, choose the description that best describes your performance. You may underline or highlight indicators that are significant to you as you reflect on your professional growth this year.

<b>A. Making Decisions and Solving Problems</b>			
<input type="checkbox"/> Exceeds Standards	<input checked="" type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Skilled in resolving complex problems; identifies and involves stakeholders, makes effort to understand problem before looking for solution; considers innovative solutions when they are appropriate, takes responsibility.	Informs stakeholders of decisions; seeks out necessary data to make good decisions and solve problems; accepts responsibility for decisions.	Appears to have difficulty knowing who stakeholders are; infrequently seeks out data; decisions are sometimes poor; tends not to accept responsibility.	Appears not to know who stakeholders are; does not seek out data; most decisions are poor; does not accept responsibility.
<b>B. Managing Change</b>			
<input type="checkbox"/> Exceeds Standards	<input checked="" type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Embraces change and implements it skillfully; actively explores possibilities and can help others do the same; viewed as a change agent.	Welcomes change and is able to implement it; recognizes possibilities for change; is there when needed to help cause change.	Tends to focus on present; daunted by change; has difficulty implementing changes; resistant to possibilities; keeps low profile during periods of change.	Expects certainty and status quo; actively avoids change; unable to discern, much less consider, possibilities; disappears during periods of change.
<b>C. Relating and Communicating with People</b>			
<input type="checkbox"/> Exceeds Standards	<input checked="" type="checkbox"/> Meets Standards	<input checked="" type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Values people; expert listener; tries to see all sides of an issue; sought after to defuse problems; strong communication skills.	Respectful of others; good listener; sees all sides; able to help facilitate; good communication skills.	Sometimes is disrespectful of others; has trouble listening; focused on own point of view; inconsistent communication skills.	Tends to discount others; doesn't listen and cuts people off; adamantly clings to own position; ignites instead of diffuses situations; poor communication skills.
<b>D. Leadership</b> (Mark 'NA' if the descriptor is not applicable to the evaluatee's position.) <input type="checkbox"/> NA			
<input type="checkbox"/> Exceeds Standards	<input checked="" type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Has and communicates a vision; consistently empowers team; consistently models desired behaviors; leads the team's learning; shares organization-wide information.	Has a vision for the team; is able to empower team members; usually models desired behaviors; offers training opportunities.	Difficulty focusing on a vision; uncomfortable empowering team; doesn't model desired behaviors; infrequently offers team training.	Exhibits no sense of vision; resists empowering team; models undesirable behaviors; rarely, if at all, offers team training.
<b>E. Learning and Professional Development</b>			
<input type="checkbox"/> Exceeds Standards	<input checked="" type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Works to stay current with required job knowledge; able to integrate new learning and routinely applies to everyday work; anticipates new learning needs.	Is aware of need to stay current with job knowledge; benefits from new learning and applies to work; open to new learning opportunities.	Tends not to benefit from new learning; has trouble seeing connection between new learning and everyday work; reluctant to attend trainings.	Does not benefit from new learning; unable to see connection between new learning and everyday work; is unwilling to attend trainings.
<b>F. Serving Customers</b>			
<input type="checkbox"/> Exceeds Standards	<input checked="" type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Consistently identifies customer needs and takes action to meet those requirements; continually seeks customer feedback; very skillful in modifying action to improve service.	Frequently identifies customer needs and takes action to meet those requirements; seeks customer feedback; modifies action to improve service based upon customer feedback.	Has difficulty identifying internal and external customers and their needs; seldom seeks customer feedback; seldom modifies activities based upon customer feedback.	Is not knowledgeable about customer needs; does not solicit customer feedback; resists modifying services to better meet customer requirements

<b>G. Closing the Achievement Gap (CTAG)</b>			
<input type="checkbox"/> Exceeds Standards	<input checked="" type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Understands and consistently uses organization-wide approach to better understand institutional racism and its relation to student achievement; focuses on the relationship of the individual effort to the whole; is conscious of alternatives and their consequences on CTAG. Demonstrates understanding through frequent communication and daily interaction with others.	Has some understanding of CTAG dynamics and its relation to student achievement; is aware of the need to consider most MUSD strategies when making decisions to CTAG. Demonstrates understanding through periodic communication with others.	Lacks practical understanding of organization wide dynamics in relation to CTAG and student achievement; frequently makes decisions without considering the impact on MUSD CTAG goals.	Seems unaware of the relationship between departments and systems in CTAG; consistently makes decisions without considering MUSD CTAG goals.
<b>H. Supervising Employees and Assessing Their Performance</b> (Mark 'NA' if the descriptor is not applicable to the Evaluatee's position.) <input type="checkbox"/> NA			
<input type="checkbox"/> Exceeds Standards	<input checked="" type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Understands and attempts to balance staff needs with those of organization; communicates high expectations; consistently achieves high morale and productivity; uses performance assessment for encouraging growth.	Works well with supervised staff; tends to hold high expectations; good staff morale and productivity; helps staff reach full potential; uses performance assessment appropriately.	Has difficulty working with supervised staff; ineffective in helping staff reach full potential; sometimes uses performance assessment inappropriately.	Unable to supervise staff or help them in improvement; consistently uses performance assessment process inappropriately.
<b>I. Instructional Leadership</b> (Mark 'NA' if the descriptor is not applicable to the Evaluatee's position.) <input type="checkbox"/> NA			
<input type="checkbox"/> Exceeds Standards	<input checked="" type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Shapes culture of high expectations for students; facilitates use of content-based learning materials and strategies in the classrooms; guides and supports long-term professional development of all staff in order to increase student achievement; provides opportunities for all staff to collaborate, distributes leadership, and shares responsibility; utilizes multiple assessments to evaluate student learning.	Facilitates culture of high expectations for student achievement; works to enhance content-based learning materials and meaningful staff development; opportunities for shared leadership are usually present; benchmark assessments are analyzed with staff.	Staff's achievement expectations are high for most students; works to enhance learning materials on occasion; some conversations with staff about teaching strategies and student achievement; does little to empower staff leadership or to encourage professional development.	Staff does not have high achievement expectations for all students; learning materials and teaching strategies are not updated or improved; staff rarely engages in professional development; leadership is not shared.
<b>J. Quality of Work/Quality Improvement</b>			
<input type="checkbox"/> Exceeds Standards	<input checked="" type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Quality of work product is high; continually explores new ways to improve quality, accuracy and usefulness of work; consistently succeeds at improving work.	Quality of work product is good; tries new ways of improving quality; accuracy and usefulness of work is good; generally succeeds in improving work.	Quality of work product is inconsistent and generally below standard; low accuracy and usefulness of work; infrequent success in improving work.	Quality of work product is inadequate; makes minimal to no effort to improve quality and rarely succeeds in effort; accuracy and usefulness of work is poor.
<b>K. Quantity of Work</b>			
<input type="checkbox"/> Exceeds Standards	<input checked="" type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Quantity of work produced is high, continually exceeds job requirements; nearly always completes assignments well before deadline; excellent manager of time.	Quantity of work produced meets requirements of the job; nearly always meets deadlines; manages time well.	Quantity of work is below standard; deadlines are sometimes missed; time management skills need improvement.	Quantity of work is inadequate; deadlines are frequently missed; management of time is poor.

### YEAR-END OVERALL EVALUATION SUMMARY

**Evaluator's Commentary**

**Overall Summary**                       Satisfactory     Needs Improvement     Unsatisfactory

Evaluatee's Signature \_\_\_\_\_ Date \_\_\_\_\_

Evaluator's Signature \_\_\_\_\_ Date \_\_\_\_\_

Signature indicates knowledge of contents and receipt. It does not indicate agreement. Employee has a right to respond in writing within ten (10) working days.

FOLGERS UNIFIED  
SCHOOL DISTRICT  
MANAGEMENT TEAM

**PERFORMANCE EVALUATION**

<b>Evaluatee's Name</b> Principal Elementary	<b>Position Title</b> Principal
<b>Evaluated by</b>	<b>Date of Interim Review (optional)</b>
<b>School Year</b> 2010-2011	<b>Date of Final Review</b> June 27, 2011

**Purpose** The purpose of the Management Team Performance Evaluation is to promote personal and professional development, and to assist employees in achieving excellence.

**Goal** The goal is to tie the evaluation processes to the Evaluatee's performance objectives, and ultimately, his/her daily professional activities, directly to the vision and goals of the MUSD.

**Directions**

**Timeline**

<b>Start of School Year</b> ( <i>Evaluator and Evaluatee</i> ) <ul style="list-style-type: none"> <li>The Evaluator notifies the Evaluatee that they will be their Evaluator and schedules the performance objectives planning meeting.</li> <li>The Evaluatee prepares a draft of proposed performance objectives and sends to the Evaluator at least one week before the formal performance objective meeting.</li> <li>The Evaluator and Evaluatee meet and mutually agree upon performance objectives.</li> <li>The Evaluator sends an official copy of the mutually agreed upon performance objectives to the Evaluatee.</li> </ul>	August/September
<b>Expectations of Evaluator</b> The Evaluator will observe the Evaluatee working towards a minimum of one of the performance objectives during the evaluation year. Evaluator sends out the required <i>Staff Perception Survey</i> . Staff interviews maybe be held, but are optional.	Complete by September 30 <sup>th</sup>
<b>Interim Progress Review</b> ( <i>Evaluator and Evaluatee</i> ) Although the write-up is optional, the Evaluator must meet with the Evaluatee to discuss progress towards the <i>Performance Objectives</i> as well as progress on the <i>Key Performance Qualities Continuum</i> .	Complete by February 15 <sup>th</sup>
<b>Year-End Review</b> ( <i>completed by Evaluator</i> ) The Evaluatee will complete the self-reflection packet and submit it to the Evaluator one week prior to the <b>Year-End Assessment Review</b> .	Complete one week prior to Assessment Meeting
<b>Year-End Assessment Review</b> ( <i>completed by Evaluator</i> ) The Evaluator meets with the Evaluatee and completes the final copy of evaluation, filling in: <ol style="list-style-type: none"> <li>Performance Objectives Results</li> <li>Key Performance Qualities Continuum</li> <li>Staff Perception Survey results</li> <li>Staff interviews if applicable</li> <li>Year-end Overall Evaluation Summary</li> </ol>	Complete by June 30 <sup>th</sup>

**Definitions**

<b>Performance Objectives</b> (mutually agreed upon)	Performance objectives specifically address the program for which you are responsible. If you supervise classroom instructional staff, at least one objective must be aimed at CTAG. You are encouraged to bring evidence that demonstrates your effort in meeting the objective.
<b>Interim Progress Review</b>	Meet during the year to <i>informally</i> review performance, discuss performance and professional objectives, acknowledge any shifts in duties or assignments and agree upon any special course of action needed to stay on track.

*Any questions regarding the Management Team Performance Evaluation process should be directed to Human Resources.*

<b>PERFORMANCE OBJECTIVES</b> <i>(Use additional pages, as necessary)</i>	
<p><b>I. Performance Objectives</b> <i>(Complete at the beginning of the evaluation process, August 1<sup>st</sup> - October 1<sup>st</sup>)</i></p> <p><b>1. Measurable Objective as related to Strategic Plan Goals:</b> <i>Continue to develop positive relationships with Jordan staff.</i></p> <p>Activities to meet objective:</p> <ul style="list-style-type: none"> <li>• Meet with teachers individually for goal setting and "fireside chats".</li> <li>• Visit classrooms/leave positive notes.</li> <li>• Continue to ask for general input and feedback from staff.</li> <li>• Maintain an open-door policy to continue building positive staff relationships and to maintain visibility.</li> </ul> <p>Measurement Specifications:</p> <ul style="list-style-type: none"> <li>• Individual notes, emails, comments/conversations from staff both formal and informal.</li> </ul> <p><input type="checkbox"/> Met objective <input checked="" type="checkbox"/> Did not meet objective</p>	<p><b>Performance Results Completed by Evaluator</b> <i>(Complete at the conclusion of the evaluation process, June 30<sup>th</sup>).</i></p> <p>Building rapport and trust with your staff is critical because without these you can't move the staff forward. As you have found, they will not readily share concerns or challenges with you so that together you can find solutions. Trust is a key factor in building rapport with the staff, and with a few of your primary grades teachers, you do have this as evidenced by my interviews with them and observations of their interactions with you during staff meetings. However, many of your staff members have stated that you do not treat each person equitably; for example, one teacher observed you speaking to another teacher for being late to her line while you said nothing to a second teacher who was not at her line and was instead talking with a colleague. Other teachers expressed concerns about retaliation when I asked them why they didn't bring their concerns to you. An example they gave of retaliation is that your tone of voice with certain teachers is not friendly and is at times condescending. They also said that you seem to single out some teachers by calling them to duty over the loudspeaker, but for others you don't. You did share with me that you ask your secretary to call teachers to their duties if they aren't on time, if you do this, make sure you do it consistently with all teachers who are not out for supervision or are late to a meeting.</p> <p>Three parent volunteers and classified staff members also expressed concerns about your tone of voice and felt that you do not value their input. Parents, particularly those who are frequently at the site to volunteer, will sense a lack of cohesion just as readily as they will find that a school environment is positive and collaborative. Parents share their insights with other parents, and this is important to recognize because it will affect the culture of Jordan if you are not able to make changes for 2011-12. Parents will watch to determine if what they heard is valid or not, so it is important that you reach out to them and consider them an extension of building a positive school climate. Several of your classified staff members are also parents. Strong rapport with your staff is the foundation of a school climate that is joyful and focused on student learning.</p> <p>As we've discussed, you will need to be consistent in what you expect of each person such as being at the lines to pick up their students when the bell rings. You need to really listen to what people share with you so you can respond to their concerns, and remember to make time for them. People often say of leaders they admire that no matter how busy the person is, they always had time for people. I know you care about your staff members, show them that you do by using those active listening skills that you said you need to do more of for next year. Continue with your open door policy, that is also a key to strengthening rapport and communication with your staff.</p> <p>When staff gives you input on direction for school vision, staff development, student activities and</p>

<p>procedures, listen to them, and then figure out the best course of action and tell them what you are going to do and why. They want to have a voice, but they also want to have someone leading the way, so you are correct, it is a balance on your part. Take advantage of your assistant principal and discuss ideas and input with him if you are feeling stuck, and of course call on other successful principals as well as your colleagues in the district office. Once you have the direction you want to take, look at your school plan and at the goals you and your staff developed in May for staff development and CTAG next year, and see how the decision fits and supports those goals, if it does, then take action and move forward.</p>	<p>You know the managerial parts of the principal's position and have worked to gain an understanding of your school budget and the stipulations of Title I funding.</p> <p>You allow yourself to get bogged down in the details of running a school, delegate so you can focus more on being an instructional leader. Allow your staff and assistant principal to facilitate meetings and programs such as Safety, SRT, Peace Builders, and to maintain school environment such as hallway bulletin boards and the staff lounge. You need to make sure these management items are addressed, but you don't have to actually do them. Delegate more to your principal's secretary such as running budget reports for you to review each month and to follow your direction on budget revisions. You can also have your secretary post the supervision schedule and send reminders to the staff members when it is their turn to do yard duty.</p> <p>Now that you understand how the categorical funds are to be spent and how to check on your accounts monthly, plan ahead so that you can involve staff in expenditures far in advance, preferably by January for planning purposes unless items are already specified in your school plan. Your school plan should be the guide that you refer to in determining funding to use that supports your school goals for student achievement. Think of how you can use funding most effectively to support student learning. Spending large sums of money at the last minute on books is not something that would most benefit student learning.</p> <p>JiJi Math is a powerful learning tool for assisting students in advancing their math skills, this is an example of an effective expenditure. The difficult aspect of selecting this program to spend your Title I funds on, was that you waited too late in the year to make the determination and you were not able to get input ahead of time from teachers. Teachers will make this program successful, and as you know, they need training in how to use it, so planning ahead would have allowed you to collaborate with your staff in making sure all components needed to make it useful were considered.</p> <p>For 2011-12, map out an expenditure timeline for each categorical fund and incorporate it with</p>
<p>2. <b>Measurable Objective as related to Strategic Plan, CA Professional Standards for Educational Leaders (CPESEL), Job Description, or Key Performance Qualities:</b>  <i>Learn the roles and responsibilities of the job of principal as outlined in the job description with special emphasis on expanding my budget knowledge.</i></p> <p>Activities to meet objective:</p> <ul style="list-style-type: none"> <li>Apply information and strategies learned from the Principal Problem Solving meetings, CTAG &amp; Management meetings, collaboration &amp; consultation with administrators in the Business Office as well as other administrative departments.</li> </ul> <p>Measurement Specifications:</p> <ul style="list-style-type: none"> <li>Attendance &amp; participation in meetings/trainings.</li> <li>Running monthly budget report with the secretary and monitor expenditures.</li> </ul> <p><input checked="" type="checkbox"/> Met objective</p> <p><input type="checkbox"/> Did not meet objective</p>	



<p>your school plan with dates to update staff on how funds are being used to support your school wide Title I plan. Give yourself a target date for when all major expenditures should be complete, and remember to check the Business Services memo on deadlines for in and out of state purchases.</p>	<p><b>3. Measurable Objective as related to MUSD Strategic Plan, CPESL, Job Description, or Key Performance Qualities:</b>  <i>Continue partnership between Jordan and Educational Services to develop professional development plan for Jordan School staff.</i></p> <p>Activities to meet objective:</p> <ul style="list-style-type: none"> <li>• Collaborate with Academic Vision Team, Leadership Team and staff to continue to develop professional development needs.</li> <li>• Develop and support/coach implementation of PD plans.</li> </ul> <p>Measurement Specifications:</p> <ul style="list-style-type: none"> <li>• Teacher reflections of professional development progress and growth.</li> <li>• Attendance at trainings, collaboration meetings.</li> <li>• Observations of new Board Math and Steps to Success strategies implemented in classroom instruction.</li> </ul> <p><input type="checkbox"/> Met objective  <input type="checkbox"/> Did not meet objective</p>
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## II. KEY PERFORMANCE QUALITIES CONTINUUM

**Instructions for Evaluator:** In each section that follows, choose the description that best describes the Evaluatee's performance. Use the EVALUATOR'S COMMENTARY to explain all 'needs improvement,' 'unsatisfactory' or other pertinent comments. Specific terms/areas for improvement may be highlighted in order to provide more specific feedback.

<b>A. Making Decisions and Solving Problems</b>			
<input type="checkbox"/> Exceeds Standards	<input type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Skilled in resolving complex problems; identifies and involves stakeholders, makes effort to understand problem before looking for solution; considers innovative solutions when they are appropriate, takes responsibility.	Informs stakeholders of decisions; seeks out necessary data to make good decisions and solve problems; accepts responsibility for decisions.	Appears to have difficulty knowing who stakeholders are; infrequently seeks out data; decisions are sometimes poor; tends not to accept responsibility.	Appears not to know who stakeholders are; does not seek out data; most decisions are poor; does not accept responsibility.
<b>B. Managing Change</b>			
<input type="checkbox"/> Exceeds Standards	<input type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Embraces change and implements it skillfully; actively explores possibilities and can help others do the same; viewed as a change agent.	Welcomes change and is able to implement it; recognizes possibilities for change; is there when needed to help cause change.	Tends to focus on present; daunted by change; has difficulty implementing changes; resistant to possibilities; keeps low profile during periods of change.	Expects certainty and status quo; actively avoids change; unable to discern, much less consider, possibilities; disappears during periods of change.
<b>C. Relating and Communicating with People</b>			
<input type="checkbox"/> Exceeds Standards	<input type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Values people; expert listener; tries to see all sides of an issue; sought after to defuse problems; strong communication skills.	Respectful of others; good listener; sees all sides; able to help facilitate; good communication skills.	Sometimes is disrespectful of others; has trouble listening; focused on own point of view; inconsistent communication skills.	Tends to discount others; doesn't listen and cuts people off; adamantly clings to own position; ignites instead of diffuses situations; poor communication skills.
<b>D. Leadership (Mark 'NA' if the descriptor is not applicable to the evaluatee's position.) <input type="checkbox"/> NA</b>			
<input type="checkbox"/> Exceeds Standards	<input type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Has and communicates a vision; consistently empowers team; consistently models desired behaviors; leads the team's learning; shares organization-wide information.	Has a vision for the team; is able to empower team members; usually models desired behaviors; offers training opportunities.	Difficulty focusing on a vision; uncomfortable empowering team; doesn't model desired behaviors; infrequently offers team training.	Exhibits no sense of vision; resists empowering team; models undesirable behaviors; rarely, if at all, offers team training.
<b>E. Learning and Professional Development</b>			
<input type="checkbox"/> Exceeds Standards	<input type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Works to stay current with required job knowledge; able to integrate new learning and routinely applies to everyday work; anticipates new learning needs.	Is aware of need to stay current with job knowledge; benefits from new learning and applies to work; open to new learning opportunities.	Tends not to benefit from new learning; has trouble seeing connection between new learning and everyday work; reluctant to attend trainings.	Does not benefit from new learning; unable to see connection between new learning and everyday work; is unwilling to attend trainings.
<b>F. Serving Customers</b>			
<input type="checkbox"/> Exceeds Standards	<input type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Consistently identifies customer needs and takes action to meet those requirements; continually seeks customer feedback; very skillful in modifying action to improve service.	Frequently identifies customer needs and takes action to meet those requirements; seeks customer feedback; modifies action to improve service based upon customer feedback.	Has difficulty identifying internal and external customers and their needs; seldom seeks customer feedback; seldom modifies activities based upon customer feedback.	Is not knowledgeable about customer needs; does not solicit customer feedback; resists modifying services to better meet customer requirements

<b>G. Closing the Achievement Gap (CTAG)</b>			
<input type="checkbox"/> Exceeds Standards	<input type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Understands and consistently uses organization-wide approach to better understand institutional racism and its relation to student achievement; focuses on the relationship of the individual effort to the whole; is conscious of alternatives and their consequences on CTAG. Demonstrates understanding through frequent communication and daily interaction with others.	Has some understanding of CTAG dynamics and its relation to student achievement; is aware of the need to consider most MUSD strategies when making decisions to CTAG. Demonstrates understanding through periodic communication with others.	Lacks practical understanding of organization wide dynamics in relation to CTAG and student achievement; frequently makes decisions without considering the impact on MUSD CTAG goals.	Seems unaware of the relationship between departments and systems in CTAG; consistently makes decisions without considering MUSD CTAG goals.
<b>H. Supervising Employees and Assessing Their Performance</b> (Mark 'NA' if the descriptor is not applicable to the Evaluatee's position.) <input type="checkbox"/> NA			
<input type="checkbox"/> Exceeds Standards	<input type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Understands and attempts to balance staff needs with those of organization; communicates high expectations; consistently achieves high morale and productivity; uses performance assessment for encouraging growth.	Works well with supervised staff; tends to hold high expectations; good staff morale and productivity; helps staff reach full potential; uses performance assessment appropriately.	Has difficulty working with supervised staff; ineffective in helping staff reach full potential; sometimes uses performance assessment inappropriately.	Unable to supervise staff or help them in improvement; consistently uses performance assessment process inappropriately.
<b>I. Instructional Leadership</b> (Mark 'NA' if the descriptor is not applicable to the Evaluatee's position.) <input type="checkbox"/> NA			
<input type="checkbox"/> Exceeds Standards	<input type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Shapes culture of high expectations for students; facilitates use of content-based learning materials and strategies in the classrooms; guides and supports long-term professional development of all staff in order to increase student achievement; provides opportunities for all staff to collaborate, distributes leadership, and shares responsibility; utilizes multiple assessments to evaluate student learning.	Facilitates culture of high expectations for student achievement; works to enhance content-based learning materials and meaningful staff development; opportunities for shared leadership are usually present; benchmark assessments are analyzed with staff.	Staff's achievement expectations are high for most students; works to enhance learning materials on occasion; some conversations with staff about teaching strategies and student achievement; does little to empower staff leadership or to encourage professional development.	Staff does not have high achievement expectations for all students; learning materials and teaching strategies are not updated or improved; staff rarely engages in professional development; leadership is not shared.
<b>J. Quality of Work/Quality Improvement</b>			
<input type="checkbox"/> Exceeds Standards	<input type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Quality of work product is high; continually explores new ways to improve quality, accuracy and usefulness of work; consistently succeeds at improving work.	Quality of work product is good; tries new ways of improving quality; accuracy and usefulness of work is good; generally succeeds in improving work.	Quality of work product is inconsistent and generally below standard; low accuracy and usefulness of work; infrequent success in improving work.	Quality of work product is inadequate; makes minimal to no effort to improve quality and rarely succeeds in effort; accuracy and usefulness of work is poor.
<b>K. Quantity of Work</b>			
<input type="checkbox"/> Exceeds Standards	<input type="checkbox"/> Meets Standards	<input type="checkbox"/> Approaching Standards	<input type="checkbox"/> Unsatisfactory
Quantity of work produced is high, continually exceeds job requirements; nearly always completes assignments well before deadline; excellent manager of time.	Quantity of work produced meets requirements of the job; nearly always meets deadlines; manages time well.	Quantity of work is below standard; deadlines are sometimes missed; time management skills need improvement.	Quantity of work is inadequate; deadlines are frequently missed; management of time is poor.

**YEAR-END OVERALL EVALUATION SUMMARY**

**Evaluator's Commentary**

**Overall Summary**

Satisfactory     Needs Improvement     Unsatisfactory

Evaluatee's Signature \_\_\_\_\_ Date \_\_\_\_\_

Evaluator's Signature \_\_\_\_\_ Date \_\_\_\_\_

Signature indicates knowledge of contents and receipt. It does not indicate agreement. Employee has a right to respond in writing within ten (10) working days.

\_\_\_\_\_ Survey  
Date

1. How has the principal worked to decrease the achievement gap in math and ELA for our target students in CTAG?
2. What kinds of interventions and activities has the school done this year to CTAG?
3. How did the SIOP training go this year?
4. How does the principal work with you in your classroom to CTAG?
5. What do you think about the Rigor and Relevance Framework and how has the principal assisted you in implementing it this year?
6. What do you think worked well this year?
7. In what ways would you like the principal's support for your success in the classroom next year?

Evaluatee: Principal, School

Evaluator: \_\_\_\_\_, Assistant Superintendent, Human Resources

1. How are things going for you at your school?
2. How would you describe the climate?
3. How would you describe the principal's leadership style?
4. How would you describe your interactions with the principal?
5. Have you ever had any student or parent issues? How did the principal handle those that came to her/his attention?
6. Do you have any comments about the principal's handling of employee discipline?
7. In what ways has the principal involved the staff in designing the professional development for CTAG?
8. How do you think the principal has worked this year to help in closing the achievement gap?
9. How does the principal use the school site plan to close the achievement gap?
10. Do you have any comments about the principal's leadership that we have not addressed?

**Evaluatee: Principal, Site**

**Evaluator: [redacted] Director, Human Resources**

1. How did the WASC process take place? Were all staff members included in the process for WASC?
2. How has the principal worked to ensure a nurturing school environment?
3. How has staff development been conducted in regards to ethnicity, learning styles and interventions?
4. How has the principal worked to convey goals of the site to staff, students, and parents?
5. How do you feel about your interactions with the principal as a leader and in support of your professional development?

CHOOOL DISTRICT  
CERTIFICATED/CLASSIFIED MANAGEMENT

*she'll return them  
1-14-11*

STAFF PERCEPTION OF ADMINISTRATOR'S/SUPERVISOR'S LEADERSHIP

Administrator/ Supervisor:

Supervisor's Superviso

**Please return this survey to \_\_\_\_\_  
she'll return them all to me, and your anonymity will be maintained.**

Staff opinions are important to the supervisor in assessment of past performance and planning for the future. Similarly, the results of this assessment should be shared with the people who have provided the information. Supervisors/Administrators find individual's written comments a great help in evaluating their own performance. Please comment on any part of this questionnaire where you think you may help your supervisor/administrator. Please check your rating of the supervisor/administrator on each item for which you feel you have knowledge and which is applicable to the supervisor/administrator whose performance you are rating.

20 Respondents

On a scale of 1- 5 with 5 being high, please rate the performance of your supervisor/administrator in each of the following areas:	1	2	3	4	5
1. Is approachable, listens and is responsive.	5	5	5	4	1
2. Is interested in my work related problems and concerns.	4	6	6	3	1
3. Follows through with action on staff issues.	7	7	4	1	
4. Assists in my job by removing obstacles.	2	6	8	3	
5. Strives for equitable treatment of all staff members, students, and community. Works to overcome racial institutionalism.	7	4	6	1	1
6. Informs staff members of where they stand in regards to their job performance.	5	7	6	2	
7. Supports personal and professional development for all staff members.	2	8	8		1
8. Is effective in helping me establish work related objectives.	6	4	5	4	
9. Has an understanding of the needs of my site/dept., and uses resources effectively to meet the needs of the site/dept.	5	7	5	2	
10. Develops and implements clear procedures for site/dept. operations.	7	6	4	2	
11. Communicates clear directions, priorities, and goals for the site.	7	10	1	2	
12. Creates an overall site/department atmosphere dedicated to high expectations and standards for all.	6	7	5	2	
13. Is committed to ongoing systemic improvement.	3	4	10		2
14. Has my respect.	3	7	7	1	1

Is there anything you would like your supervisor to know? Please use the other side of this form for additional space.

Information placed on this form shall not be used to affect adversely the individual completing the form. The purpose of the STAFF PERCEPTION OF SUPERVISOR'S PERFORMANCE is to assist the supervisor in improving his/her own job performance. Completion of the assessment is voluntary. The district encourages employees to take advantage of the opportunity to comment on their supervisor's performance.

Signature (optional): \_\_\_\_\_



### Comments from Surveys 12/17/10

is still finding her way to effectively communicate with the staff. It's important that she follows through with her suggestions. She should respect the relationships the staff has and try to build on them. Not all staff have confidence that will support them.

1) Does not communicate. 2) Does not see big picture as far as scheduling things. 3) Is disorganized. 4) Asks questions but does not listen. 5) Knows everything about everything, but really doesn't. 6) Is not an instructional leader. 7) Changes her mind with each person she talks to. 8) Has difficulty making decisions. 9) Wants to be friends rather than a leader. If teachers are expected to be at school 30 minutes ahead, the principal should be her also- minimum.

1. If you are going to ask for advice you should be willing to listen to it and not cut the person off when they are speaking.
2. Focus is on negativitly – There is no positive reinforcement.
3. There is no follow through. Communication is lacking. Staff is not kept up to date.
4. Classified staff seems to be treated with less respect than certificated staff.
5. No work objectives have been discussed.
6. I don't feel that district processes are followed correctly.
7. Too much procrastination.
8. Doesn't know how to act in a professional manner.
9. Everyone can learn something new, but she feels as if she already knows everything.

Needs to follow through with things she tells the staff. She needs to be more positive!

Please be more positive and professional!

Classified staff is treated different than certificated staff.

YUBAN UNIFIED  
SCHOOL DISTRICT  
PERFORMANCE GOALS AND EVALUATION

Evaluatee's Name:	Position Title: Principal
Evaluated by:	Date of Goal Setting: Sept. 29, 2009
Period Covered : 2009 - 2010	Date of Final Review : August 10, 2010

**PERFORMANCE AND PROFESSIONAL GOALS & OBJECTIVES**

❖ *Indicates focus areas for site administrators*

**I. ORGANIZATIONAL LEADERSHIP**

- Foster a data driven culture of excellence - high expectations and high performance
- Ensure progress toward district & school goals/success indicators
  - ❖ Use of student data, survey data, walk-through data
- Manage fiscal human and material resources to support student learning and ensure fiscal stability both now and in the future
  - ❖ Leveraging walk-throughs to improve instruction
  - ❖ Allocating resources to meet identified student learning needs with appropriate research-based programs and deliver those identified students with consistency and fidelity
  - ❖ Continue Year Two with consultant Cara Bergen emphasizing Progress Monitoring and thereby deepening the learning of Response to Instruction
- Effectively monitor and evaluate assigned staff
  - ❖ Encourage appropriate teachers to participate in the Alternative Evaluation Process to leverage our professional learning community and fast-forward effective programs

**Evaluatee's Goals and Success Indicators:**

- Student data from a variety of sources including CST, benchmark assessments, surveys, and walk-throughs will be used to plan and drive instruction. i.e. Create and utilize a RtI walk-through document- **Based on the test scores- this was achieved, with the exception of ELA 3rd grade by loss of 1 point and a minimal gain of 1 point in 4<sup>th</sup> grade ELA.**
- Instructional materials, RtI interventions, and other resources will be solicited and used as appropriate to support student learning.
  - Examples: Use of "Non-Negotiables", Daily agendas, RtI support staff, Academic Language, Writing Workshop materials, Step Up To Writing, Six Traits, FOSS Kits, ELL support staff and materials.
- All staff will be evaluated according to the contract. Alternative evaluations will be used to improve core best practices at our school and/or district- **This was accomplished. Four out of 15 teachers selected to complete an Alternative Evaluation and one was on an Improvement Plan. That teacher is now on a regular formal cycle for the 2010-11 school-year.**
- Third grade before school Reading Intervention – Read Naturally- nine students to attend. **All nine excelled and met benchmark.**

Fall 2009

<ul style="list-style-type: none"> <li>o Fourth/Fifth Grade REWARDS after-school program-target specific students &amp; offer more to them- <b>All 12 students excelled and met proficiency.</b></li> <li>o Based on parent survey results, 100% (2009) &amp; 95% (2010) report that they feel their child is safe at school.</li> <li>o Based on 4<sup>th</sup> grade student survey results, 98% (same as 2008) &amp; 99% (2010)report that they feel safe at school</li> </ul>	
<b>Evaluator's Assessment &amp; Comments:</b>	<input type="checkbox"/>

<p><b>II. INSTRUCTIONAL LEADERSHIP</b></p> <ul style="list-style-type: none"> <li>• Ensure a rigorous, standards based curriculum             <ul style="list-style-type: none"> <li>❖ <i>Evidence of core curriculum used consistently; standards and objectives posted</i></li> </ul> </li> <li>• Implement a data driven improvement process that involves all stakeholders and ensures progress toward district/school goals.             <ul style="list-style-type: none"> <li>❖ <i>Goal setting processes for students</i></li> <li>❖ <i>Use of benchmark assessments, released Blueprint items, test prep materials</i></li> <li>❖ <i>Targeting student needs through interventions, RtI flexible groupings in grades K-5</i></li> </ul> </li> <li>• Support professional development for all staff in order to meet district/school goals.             <ul style="list-style-type: none"> <li>❖ <i>Evidence of SUTW/6 Traits, academic vocabulary, No Excuse word lists, etc.</i></li> <li>❖ <i>Effective use of time, walk-throughs, in-house and visitations, in-house expertise to cascade best practices</i></li> </ul> </li> <li>• Increase data based collaboration to identify and meet students' instructional needs.             <ul style="list-style-type: none"> <li>❖ <i>Structured collaboration time spent on data and results</i></li> </ul> </li> </ul>	
<p><b>Evaluattee's Goals and Success Indicators:</b></p> <ul style="list-style-type: none"> <li>o The core curriculum will be used and standards will be posted in all classrooms</li> <li>o TSWL posted for RtI instruction</li> <li>o Objectives will be articulated to students- they were Grade Level written and verbalized</li> <li>o Class goals will be set for students in grades K-2. Data from the CST, AR, benchmark assessments and other sources will be used for students and teachers to set individual student goals in grades 3-5.</li> <li>o The ALL process will be used to target specific students for interventions- Noddin will begin the 2010-12 school year with 13 students with an IEP.</li> <li>o Popcorn words (Dolce list), Word Walls, Big Words for Big Kids, will be used along the other strategies to teach academic vocabulary. We met this goal, including "Scholarly Speak".</li> <li>o Techniques from Writer's Workshop, SUTW, Handwriting Without Tears, Six Traits, and other professional development programs will be demonstrated in student writing.</li> <li>o As stated on the parent survey, 96% (2009) &amp; 95% (2010) of parents indicated that the school strives for continual improvement</li> <li>o As stated on the 4<sup>th</sup> grade student survey, 90% (2009) &amp; 90 % (2010)of students report the school provides opportunities to challenge all students and 98% (2009) &amp; 90% (2010) report my teacher makes sure that we understand a concept before moving on to a new one</li> <li>o Based on Parent Survey results, 91%(2009) report that the school provides challenging academic opportunities and helps all students succeed-90%(2010) and 96% (2009 results)report that their child's school strives for continuous improvement- 2010 results are 95%</li> </ul>	
<b>Evaluator's Assessment &amp; Comments:</b>	<input type="checkbox"/>

Fall 2009

<b>III. COMMUNICATION</b>	
<ul style="list-style-type: none"> <li>• Successfully communicate with all stakeholders <ul style="list-style-type: none"> <li>❖ <i>Use of parent and staff survey data to identify areas of strength and of concern-</i></li> </ul> </li> <li>• Effectively respond to concerns and comments of stakeholders <ul style="list-style-type: none"> <li>❖ <i>Plan for increasing survey satisfaction in identified areas and offer incentives to parents to take the survey in April 2010- 184 parents (16%) completed the survey</i></li> </ul> </li> </ul>	
<b>Evaluatee's Goals and Success Indicators:</b>	
<ul style="list-style-type: none"> <li>○ Use a variety of media to communicate with staff including the newsletter, signage, websites (school and District) and our phone system.</li> <li>○ Work to improve the following areas identified on our school/parent survey: technology usage (Tech Parent Support Team), music program, positive interactions with the principal –Based on the Parent Survey, 78% (2009) &amp; 74% (2010) reported that the principal responds to their concerns with integrity and fairness</li> <li>○ Additional positive /informational articles will be added to the newsletter to continue the communication cycle of improvement- Staff was provided articles to read and we discussed at meetings-Topics included: RtI, Guided Reading, Thinking Maps, How to Increase the Rigor, Grand Conversations, How to effectively use technology in the classroom, etc.</li> </ul>	
<b>Evaluator's Assessment &amp; Comments:</b>	<input type="checkbox"/>
<b>IV. ORGANIZATIONAL CULTURE AND CLIMATE</b>	
<ul style="list-style-type: none"> <li>• Foster and sustain positive relations with staff and/or employee groups</li> <li>• Promote parent and community support for school/district goals</li> <li>• Build and promote a safe, positive, student centered culture</li> </ul>	
<b>Evaluatee's Goals and Success Indicators:</b>	
<ul style="list-style-type: none"> <li>○ Continue to effectively communicate to teachers and all staff the impact of the state budget crisis and connect to our district and school site</li> <li>○ Continue to work in tandem with H&amp;S Club and offer fun evening activities that promote positive school communities i.e. Movie Nights, Bingo, Spring Fair, Winter Festival, etc. Earned \$35,000 at our Walk-A-Thon.</li> <li>○ Continue to work with the Home and School Club to support school and district needs and increase their understanding of the state budget process and increase fundraising opportunities</li> <li>○ Continue to effectively work with Project Cornerstone, Peace Builders, the AV Counseling program, and other after-school organizations that promote a community of learners</li> <li>○ Offer evening programs to parents: i.e. Rosetta Stone &amp; SUTW with Maria Smith- Family Nights</li> <li>○ Continue our in school climate project to promote a safe school, a positive climate, and a student centered culture</li> <li>○ Continue to sustain positive relations with staff by treating all staff with respect</li> <li>○ As stated on the parent survey, 96% (2009) &amp; 95% (2010) of parents reported that they receive frequent communication about programs and events via newsletters, website, emails, Principal Chats, Peace Builders, Friday Forecast, Assemblies, Community Events, phone calls, the School Bell, Home &amp; School Club Mtgs., School Site Council, School Board Mtgs., etc.</li> <li>○ Provide teacher, parent and students with appropriate leadership opportunities via SSC, Student Council, Principal Leadership Team, "Go Green" Student &amp; Parent Committees, Technology Committee, Newsletter articles written by parents on topics such as Wellness, Cornerstone and Going</li> </ul>	

Green, Fundraising Events –i.e. Walk-A-Thon, Relay for Life, City of San Jose Beautification & Environmental Departments, etc. was selected as the District’s 2010 Teacher of the Year & was selected by the San Jose Environmental Department as a “2010 Green Star ” recipient and was honored by as a star.

- o As stated on the parent survey, 99% (2009) & 98% (2010) report that school promotes environmental awareness & 98% (2009) reported that the school promotes healthy lifestyle choices 93% (2010)
- o As stated on the parent survey, 96%(2009) & 89% (2010) report that teachers responds effectively to concerns and requests
- o As stated on the parent survey, 91% (2009) & 90% (2010) are able to talk to a staff member between 8:00-4:00 p.m.
- o As stated on the 4<sup>th</sup> grade student survey, 92% (same as 2008) & 90% (2010)reported they are treated fairly at school and 98% (same as 2008) reported that they know how to behave at school
- o

<b>Evaluator’s Assessment &amp; Comments:</b>	<input type="checkbox"/>
<p><b>V. PROFESSIONALISM</b></p> <ul style="list-style-type: none"> <li>• Model life long learning</li> <li>• Exhibit personal attributes and characteristics of successful leaders</li> </ul>	
<b>Evaluatee’s Goals and Success Indicators:</b>	
<ul style="list-style-type: none"> <li>o Continue to collaborate with during the 2009-10 school year and advance to Year Two of <b>Progress Monitoring</b> to deepen the understanding of student movement - worked with us throughout the year and coached us as a whole staff and in grade level teams.</li> <li>o Provide RtI training to the collective staff-certificated and classified, secured additional support via retired teachers &amp; grandparents to assist in RtI delivery. had approximately 12 parent and/or community members volunteered on a regular basis for the 2009-10 school year.</li> <li>o Teacher Leads presented at Staff Meetings, ELA, mathematics, Technology, Fit for Learning, Cornerstone, etc.- This was done in a timely basis after a training at the district level</li> <li>o Encourage Action Research Projects, if appropriate, for the Formal Evaluation process emphasizing Best Practices – 4 out of 15 were conducted.</li> <li>o Continue to implement a Parent Education component for our English Language Learners –one class per week for Rosetta Stone- offered student assistance at the same time as parent received English instruction- This goal was met and we had an article published in the Times.</li> <li>o Continue to conduct a Kindergarten Round-Up in June 4, 2010 and assess student readiness – Goal was met. 84 parents and entering Kindergarten students attended.</li> <li>o Utilize the Kindergarten Round-Up working in conjunction with H&amp;S Club to positively induct new parents as well.</li> <li>o Create and develop a parent education brochure to ready themselves and students for a successful tips to work with school and H&amp;S Club – this was accomplished.</li> <li>o Participate in a book club with other principals to read and learn Best Practices and improve in areas of need. This goal was met.</li> </ul>	
<b>Evaluator’s Assessment &amp; Comments:</b>	<input type="checkbox"/>

**YEAR-END OVERALL EVALUATION SUMMARY**

<input checked="" type="checkbox"/> Continuation with	<input type="checkbox"/> Continuation	<input type="checkbox"/> Continuation with	<input type="checkbox"/> Recommended
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Fall 2009

Commendation	without Reservation	Reservation	Termination
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Evaluatee's Signature \_\_\_\_\_ Date \_\_\_\_\_

*My signature acknowledges that my evaluator has discussed the contents of this final evaluation with me and does not necessarily indicate agreement with the contents. I am aware that I have the right to attach a written response to this evaluation in my personnel file.*

Evaluator's Signature \_\_\_\_\_ Date \_\_\_\_\_

**YUBAN UNIFIED  
SCHOOL DISTRICT  
PERFORMANCE GOALS AND EVALUATION**

<b>Evaluatee's Name:</b>	<b>Position Title:</b>
<b>Evaluated by:</b>	<b>Date of Goal Setting: 10/14/10</b>
<b>Period Covered : 2010 - 2011</b>	<b>Date of Final Review :</b>

**PERFORMANCE AND PROFESSIONAL GOALS & OBJECTIVES**

❖ *Indicates focus areas for site administrators*

<p><b>I. ORGANIZATIONAL LEADERSHIP</b></p> <ul style="list-style-type: none"> <li>• Foster a data driven culture of excellence - high expectations and high performance</li> <li>• Ensure progress toward district &amp; school goals/success indicators             <ul style="list-style-type: none"> <li>❖ <i>Use of student data, survey data, walk through data (PD 1; 10)</i></li> </ul> </li> <li>• Manage fiscal human and material resources to support student learning and ensure fiscal stability both now and in the future             <ul style="list-style-type: none"> <li>❖ <i>Leveraging walk throughs and alternative evaluations to improve instruction (PD 4)</i></li> <li>❖ <i>Allocating resources to meet identified student learning needs (PD 1)</i></li> </ul> </li> <li>• Effectively monitor and evaluate assigned staff</li> </ul>
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<p><b>Evaluatee's Goals and Success Indicators:</b></p> <ol style="list-style-type: none"> <li>1. Walkthrough each classroom every two weeks and provide feedback to teachers about rigor in their classrooms.             <ul style="list-style-type: none"> <li>• Walkthrough Log will reflect being in classrooms every two weeks</li> <li>• Feedback forms will spark more reflective conversations with staff</li> </ul> </li> <li>2. Make the Benchmark Assessment Data more beneficial to teachers             <ul style="list-style-type: none"> <li>• Monitor the accuracy of assessments in Edusoft, STAR Reading, Lexia, and Read Naturally</li> <li>• Sit in on Grade Level team meetings and listen for conversations around student data</li> <li>• Teachers will start asking for more ways to assess their students</li> </ul> </li> <li>3. Do a better job at utilizing resources throughout the year to provide time, materials, and subs.             <ul style="list-style-type: none"> <li>• Teachers will feel supported when they have needs</li> <li>• There won't be a pot of money left over at the end of the year that needs to be spent</li> </ul> </li> </ol>
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<b>Evaluator's Assessment &amp; Comments:</b>	<input type="checkbox"/>
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<p><b>II. INSTRUCTIONAL LEADERSHIP</b></p> <ul style="list-style-type: none"> <li>• Ensure a rigorous, standards based curriculum               <ul style="list-style-type: none"> <li>❖ <i>Evidence of core curriculum used consistently (PD 4)</i></li> </ul> </li> <li>• Implement a data driven improvement process that involves all stakeholders and ensures progress toward district/school goals.               <ul style="list-style-type: none"> <li>❖ <i>Goal setting processes for students (PD 2)</i></li> <li>❖ <i>Use of benchmark assessments, released Blueprint items, test prep materials (PD 8)</i></li> <li>❖ <i>Targeting student needs through interventions, flex groupings, etc. (PD 1)</i></li> </ul> </li> <li>• Support professional development for all staff in order to meet district/school goals.               <ul style="list-style-type: none"> <li>❖ <i>Evidence of SUTW/6 Traits, academic vocabulary, No Excuse word lists, etc.(PD 5)</i></li> </ul> </li> <li>• Increase data based collaboration to identify and meet students' instructional needs.               <ul style="list-style-type: none"> <li>❖ <i>Structured collaboration time spent on data and results (PD 2)</i></li> </ul> </li> </ul>	
<p><b>Evaluatee's Goals and Success Indicators:</b></p> <ol style="list-style-type: none"> <li>1. Continue to emphasize the use of Thinking Maps and train teachers across all content areas           <ul style="list-style-type: none"> <li>• Thinking Maps will be posted in classrooms, instructed during walkthroughs, and found in students work regularly.</li> <li>• Trainings provided by our two teacher trainers</li> </ul> </li> <li>2. More emphasis on writing, especially non-fiction writing           <ul style="list-style-type: none"> <li>• Younger grades will be using Step-Up- To Writing frequently</li> <li>• Grades 3-5 will be using 6 Traits after they have been trained in November</li> <li>• Writing samples will be posted and scored on established rubrics</li> </ul> </li> <li>3. Continue to shift the focus of student support towards intervention and away from SpEd testing.           <ul style="list-style-type: none"> <li>• Teachers will have a menu of interventions to choose from</li> <li>• Less students will be referred for ALL meetings and more students needs will be addressed during weekly collaboration</li> </ul> </li> </ol>	
<p><b>Evaluator's Assessment &amp; Comments:</b></p>	<input type="checkbox"/>
<p><b>III. COMMUNICATION</b></p> <ul style="list-style-type: none"> <li>• Successfully communicate with all stakeholders           <ul style="list-style-type: none"> <li>❖ <i>Use of parent and staff survey data to identify areas of strength and of concern</i></li> </ul> </li> <li>• Effectively respond to concerns and comments of stakeholders           <ul style="list-style-type: none"> <li>❖ <i>Plan for increasing survey satisfaction in identified areas</i></li> </ul> </li> </ul>	
<p><b>Evaluatee's Goals and Success Indicators:</b></p> <ol style="list-style-type: none"> <li>1. Produce a bi-weekly newsletter that highlights successes and provides needed information to community.           <ul style="list-style-type: none"> <li>• More parents show up to events or provide support in the form of volunteering</li> <li>• Increased satisfaction on survey</li> </ul> </li> <li>2. Improve teacher to home communication           <ul style="list-style-type: none"> <li>• Teachers sending home regular newsletters</li> <li>• Less complaints from parents about them not being informed or issues with teachers</li> </ul> </li> </ol>	



- 3. Provide more opportunities to share information and solicit feedback from parents
  - Parents email me
  - Successful turnouts to Parent information nights and Principal's coffee

**Evaluator's Assessment & Comments:**



**IV. ORGANIZATIONAL CULTURE AND CLIMATE**

- Foster and sustain positive relations with staff and/or employee groups
- Promote parent and community support for school/district goals
- Build and promote a safe, positive, student centered culture.

**Evaluatee's Goals and Success Indicators:**

1. Ensure that new teachers are getting the support they need and are aware of processes and procedures.
  - New teachers feel welcome and part of the staff
  - They know where to go to get what they need.
  - They are able to meet deadlines and understand expectations of them
2. Continue building positive relationships with staff but also maintaining the rigor and drive we need to achieve.
  - Teachers will be open to trying new strategies and approaches
  - Positive interactions with staff
  - Teachers will come to me with problems and solutions to try. Not just problems.
  - Teachers will feel listened to, even if the outcome is not what they desired as demonstrated in survey results.
3. Figure out how to provide more enrichment opportunities to ours students (ie Music, Arts, PE)
  - Establish a plan for providing music education and a sustainable funding source
  - A menu of afterschool opportunities that are available to our students at reasonable prices
  - Increased satisfaction on the parent surveys

**Evaluator's Assessment & Comments:**



<p><b>V. PROFESSIONALISM</b></p> <ul style="list-style-type: none"> <li>• Model life long learning</li> <li>• Exhibit personal attributes and characteristics of successful leaders</li> </ul>	
<p><b>Evaluatee's Goals and Success Indicators:</b></p> <ol style="list-style-type: none"> <li>1. Bring in more articles and professional writings for teachers to analyze and discuss during meetings             <ul style="list-style-type: none"> <li>• Teachers will engage in meaningful conversation around relevant topics that lead to actions in the classroom</li> </ul> </li> <li>2. Listen to and be available to staff, students, and parents.             <ul style="list-style-type: none"> <li>• Maintained or improved satisfaction on staff and parent surveys about Principal Fairness.</li> </ul> </li> </ol>	
<p><b>Evaluator's Assessment &amp; Comments:</b></p>	<input type="checkbox"/>

**YEAR-END OVERALL EVALUATION SUMMARY**

<input checked="" type="checkbox"/> Continuation with Commendation	<input type="checkbox"/> Continuation without Reservation	<input type="checkbox"/> Continuation with Reservation	<input type="checkbox"/> Recommended Termination
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Evaluatee's Signature \_\_\_\_\_ Date \_\_\_\_\_

*My signature acknowledges that my evaluator has discussed the contents of this final evaluation with me and does not necessarily indicate agreement with the contents. I am aware that I have the right to attach a written response to this evaluation in my personnel file.*

Evaluator's Signature \_\_\_\_\_ Date \_\_\_\_\_

**MANAGEMENT TEAM  
PERFORMANCE GOALS AND EVALUATION**

<b>Evaluatee's Name:</b>	<b>Position Title: Principal</b>
<b>Evaluated by:</b>	<b>Date of Goal Setting: 10/14/10</b>
<b>Period Covered : 2010 - 2011</b>	<b>Date of Final Review : 8/17/11</b>

**PERFORMANCE AND PROFESSIONAL GOALS & OBJECTIVES**

❖ *Indicates focus areas for site administrators*

**I. ORGANIZATIONAL LEADERSHIP**

- Foster a data driven culture of excellence - high expectations and high performance
- Ensure progress toward district & school goals/success indicators
  - ❖ *Use of student data, survey data, walk through data (PD 1; 10)*
- Manage fiscal human and material resources to support student learning and ensure fiscal stability both now and in the future
  - ❖ *Leveraging walk throughs and alternative evaluations to improve instruction (PD 4)*
  - ❖ *Allocating resources to meet identified student learning needs (PD 1)*
- Effectively monitor and evaluate assigned staff

**Evaluatee's Goals and Success Indicators:**

1. Walkthrough each classroom every two weeks and provide feedback to teachers about rigor in their classrooms.

- Walkthrough Log will reflect being in classrooms every two weeks
- Feedback forms will spark more reflective conversations with staff

8/2011

I used the reflection forms with regular frequency. While I was in every classroom weekly, I did not always provide feedback. I wish I had done a better job coaching specific teachers.

2. Make the Benchmark Assessment Data more beneficial to teachers

- Monitor the accuracy of assessments in Edusoft, STAR Reading, Lexia, and Read Naturally
- Sit in on Grade Level team meetings and listen for conversations around student data
- Teachers will start asking for more ways to assess their students

8/2011

I think teachers made progress in using additional measures of assessment data for their collaboration time. Lexia data was readily available and teachers used it for collaboration. In addition, teachers began investigating other forms of data more aligned with the CST test. We had our greatest success at the 3<sup>rd</sup> grade level and their use of the Curriculum Associates assessments. The district benchmarks are still a point of contention as teachers have a hard time utilizing the data provided from them.

3. Do a better job at utilizing resources throughout the year to provide time, materials, and subs.
- Teachers will feel supported when they have needs
  - There won't be a pot of money left over at the end of the year that needs to be spent

8/2011

We did have some money left over at the end of this year that we had to spend. It was not spent on things rather it was used to purchase some materials for the upcoming year. Teachers have gotten better at knowing how to ask for specific instruction support materials. I feel they only ask for things after knowing that it has to tie into our instructional focus.

**Evaluator's Assessment & Comments:** Your amazing estimated API gain of 39 points for this year's API of 874 certainly evidences your success in using data to drive instruction and leveraging walkthroughs and the reflection forms. In three years your API has risen by 94 points! Quite a success story! Congratulations! Your third grade team's gain of 36 points in ELA and 24 points in math is very indicative of their success in looking at student data and the results of the Curriculum Associates assessments during collaboration.

Excellent Job!

It is always comforting to have a small amount of money at the end of the school year since it is a safety net for unexpected expenditures that might come up. I'm happy to learn that your teachers have a better awareness of the need to align their expenditures to your school's instructional priorities. That's quite an accomplishment!

**II. ; INSTRUCTIONAL LEADERSHIP**

- Ensure a rigorous, standards based curriculum
  - ❖ *Evidence of core curriculum used consistently (PD 4)*
- Implement a data driven improvement process that involves all stakeholders and ensures progress toward district/school goals.
  - ❖ *Goal setting processes for students (PD 2)*
  - ❖ *Use of benchmark assessments, released Blueprint items, test prep materials (PD 8)*
  - ❖ *Targeting student needs through interventions, flex groupings, etc. (PD 1)*
- Support professional development for all staff in order to meet district/school goals.
  - ❖ *Evidence of SUTW/6 Traits, academic vocabulary, No Excuse word lists, etc. (PD 5)*
- Increase data based collaboration to identify and meet students' instructional needs.
  - ❖ *Structured collaboration time spent on data and results (PD 2)*

**Evaluatee's Goals and Success Indicators:**

1. Continue to emphasize the use of Thinking Maps and train teachers across all content areas
  - Thinking Maps will be posted in classrooms, instructed during walkthroughs, and found in students work regularly.
  - Trainings provided by our two teacher trainers

8/2011

We did continue our training and utilization of Thinking Maps last year. From data analysis, we also saw a need for more instruction in Academic Vocabulary. Thinking Maps had a whole section devoted to Academic Vocabulary so it was nice that teachers were able to see how both could be done in conjunction

and not necessarily in isolation.

2. More emphasis on writing, especially non-fiction writing

- Younger grades will be using Step-Up- To Writing frequently
- Grades 3-5 will be using 6 Traits after they have been trained in November
- Writing samples will be posted and scored on established rubrics

8/2011

The decision was made that we were going to emphasize 6 Traits across all grade levels. Training was delivered by one of our teachers and she was able to do professional development around 3 of the 6 traits . Teachers appreciated that the training was delivered by one of their own. We had more entries into the Writing Faire this year than we have had in the past.

3. Continue to shift the focus of student support towards intervention and away from SpEd testing.

- Teachers will have a menu of interventions to choose from
- Less students will be referred for ALL meetings and more students needs will be addressed during weekly collaboration

We were able to add a few more things to our menu of interventions this year. Specifically, Lexia, Kindergarten Intervention Group, and After School Math for 5<sup>th</sup> graders. Our ALL meetings were much more focused around what the assessment data was telling us and less about teacher’s gut feelings.

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<p><b>Evaluator’s Assessment &amp; Comments:</b> Your school wide focus on Thinking Maps and Six Traits certainly paid off! The 24 point gain in 4<sup>th</sup> grade writing scores and your increased participation in Writing Faire entries show great success from these initiatives. Great job!! I hope you continue to keep focused on these successful initiatives this coming year.</p> <p>Your additional interventions have also been extremely successful. Your estimated ELL API is 810 – quite an accomplishment – and you had twice as many “gainers” as “sliders.”</p>	<input type="checkbox"/> Excellent Job!
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**III. COMMUNICATION**

- Successfully communicate with all stakeholders
  - ❖ *Use of parent and staff survey data to identify areas of strength and of concern*
- Effectively respond to concerns and comments of stakeholders
  - ❖ *Plan for increasing survey satisfaction in identified areas*

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**Evaluatee’s Goals and Success Indicators:**

1. Produce a bi-weekly newsletter that highlights successes and provides needed information to community.

- More parents show up to events or provide support in the form of volunteering
- Increased satisfaction on survey

8/2011

We still had high marks for communication on the survey, yet it always seemed like parents were saying they had no idea of what was going on. Newsletters went home every other week. We had greater turnouts at events this year.

2. Improve teacher to home communication

- Teachers sending home regular newsletters
- Less complaints from parents about them not being informed or issues with teachers

<p>8/2011 Teachers did send home regular newsletters. Parents still complained that they did not know what was going on even though everything was posted to the website and sent home in the Thursday Envelope.</p> <p>3. Provide more opportunities to share information and solicit feedback from parents</p> <ul style="list-style-type: none"> <li>• Parents email me</li> <li>• Successful turnouts to Parent information nights and Principal's coffee</li> </ul> <p>8/2011 I held two Parent Coffees and a couple information nights. We also held ELAC and DELAC meetings. I wish these events had been better attended. I do feel like parents think that I am approachable and feel comfortable emailing and calling me.</p>	
<p><b>Evaluator's Assessment &amp; Comments:</b> You have definitely done a good job in improving communication and participation. Your parent leaders are pleased with the direction of the school and overall parent survey data is very positive. Ninety-nine percent of parents surveyed said they felt welcome at school and ninety-eight said they believed that the school communicated well. (Pretty compelling evidence of a job well done!!) I agree with you that in spite of good efforts to communicate, many parents remain unaware of what you are doing. Although you increased support for students, only 79% of your parents surveyed expressed satisfaction with the availability of additional support for students. My own belief is that "communication is a black hole" that we continually need to strive to fill with information. Keep up the great efforts and have faith that your work is not in vain. Remember that you are receiving fewer complaints and you have definitely increased parent participation. Your 50<sup>th</sup> Birthday Celebration was a huge success! Kudos for making it a great community event!</p>	<input type="checkbox"/> Excellent!
<p><b>IV. ORGANIZATIONAL CULTURE AND CLIMATE</b></p> <ul style="list-style-type: none"> <li>• Foster and sustain positive relations with staff and/or employee groups</li> <li>• Promote parent and community support for school/district goals</li> <li>• Build and promote a safe, positive, student centered culture.</li> </ul>	
<p><b>Evaluatee's Goals and Success Indicators:</b></p> <p>1. Ensure that new teachers are getting the support they need and are aware of processes and procedures.</p> <ul style="list-style-type: none"> <li>• New teachers feel welcome and part of the staff</li> <li>• They know where to go to get what they need.</li> <li>• They are able to meet deadlines and understand expectations of them</li> </ul> <p>8/2011 The new teachers on our staff last year felt very supported and included. They quickly became acclimated to our site and based on my conversations I had with them, they stated they were very happy with their decision to come to .</p> <p>2. Continue building positive relationships with staff but also maintaining the rigor and drive we need to achieve.</p> <ul style="list-style-type: none"> <li>• Teachers will be open to trying new strategies and approaches</li> </ul>	

- Positive interactions with staff
- Teachers will come to me with problems and solutions to try. Not just problems.
- Teachers will feel listened to, even if the outcome is not what they desired as demonstrated in survey results.

8/2011

I feel like I have broken through with my staff and they have let down a lot of the nervous trepidation with me. Our relationships are much more meaningful and less robotic. As a whole, I felt like the whole staff has become much closer and happier. I think that some of our academic success can be attributed to their high satisfaction.

3. Figure out how to provide more enrichment opportunities to ours students (ie Music, Arts, PE)
  - Establish a plan for providing music education and a sustainable funding source
  - A menu of afterschool opportunities that are available to our students at reasonable prices
  - Increased satisfaction on the parent surveys

8/2011

Music is set to go this year. K-5 program with Home and School Club/Site Funds. Students will receive weekly instruction. Hopefully we will have positive responses on our Parent Surveys. Additional after school programs were offered this year. (Drama and chess) Drama was a huge success. Chess has bombed twice.

**Evaluator's Assessment & Comments:** You have definitely succeeded in all of these areas. When we did our Spring Road Show and intimated that we may be moving Principals, your staff screamed at us not to move you under any circumstances! (No one else's staff said a peep!!) That definitely speaks volumes about your success in this area.

Excellent!

I am very happy that you have nailed down a plan for offering music instruction. This will go far in helping parents (and teachers!) feel that there is an equitable program offered to students. You should be proud of your drama success – another successful endeavor that really goes far in having parents feel that their students are being offered equitable opportunities. In terms of chess, nothing ventured, nothing gained. You win some, you lose some. Move on. Zumba, perhaps? I am thrilled you are exploring opportunities to engage students.

**V. PROFESSIONALISM**

- Model life long learning
- Exhibit personal attributes and characteristics of successful leaders

**Evaluatee's Goals and Success Indicators:**

1. Bring in more articles and professional writings for teachers to analyze and discuss during meetings
  - Teachers will engage in meaningful conversation around relevant topics that lead to actions in the





APPENDIX D  
IRBPHS APPROVAL

August 1, 2011

Dear Ms. Viramontez:

The Institutional Review Board for the Protection of Human Subjects (IRBPHS) at the University of San Francisco (USF) has reviewed your request for human subjects approval regarding your study.

Your application has been fully approved by the committee (IRBPHS #11-057). Please note the following:

1. Approval expires twelve (12) months from the dated noted above. At that time, if you are still in collecting data from human subjects, you must file a renewal application.
2. Any modifications to the research protocol or changes in instrumentation (including wording of items) must be communicated to the IRBPHS. Re-submission of an application may be required at that time.
3. Any adverse reactions or complications on the part of participants must be reported (in writing) to the IRBPHS within ten (10) working days.

If you have any questions, please contact the IRBPHS at (415) 422-6091.

On behalf of the IRBPHS committee, I wish you much success in your research.

Sincerely,

Terence Patterson, EdD, ABPP  
Chair, Institutional Review Board for the Protection of Human Subjects

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