POLICIES FOR EFFECTIVE PRINCIPALS
Progress Report to the Legislature, SB 1383
December 2014

Background

Senate Bill 1383 was enacted by the Texas Legislature in 2011 and codified as Texas Education Code (TEC) Section 21.3541: Appraisal and Professional Development System for Principals (Attachment I). The bill directs the Commissioner of Education to:
- establish and administer a comprehensive appraisal and professional development system for public school principals
- establish a consortium of nationally recognized experts on educational leadership and policy to:
    o assist in developing the system
    o make recommendations about the training, appraisal, professional development, and compensation of principals
- establish school leadership standards and a set of indicators of successful school leadership to align with such training, appraisal, and professional development.
- use only money available from private sources that may be used for that purpose.

Objectives

Consortium of Nationally Recognized Experts

To address the law's provision for the use of nationally recognized experts and funding support from private sources, the Texas Education Agency entered into a formal collaboration with the George W. Bush Institute's Alliance to Reform Education Leadership of Education (AREL). The respective roles of TEA and AREL were defined as:
- AREL provides:
    o Consultative and technical assistance in the design and implementation of the project
    o Access to national expertise in the development of standards and policies
    o Support for evaluation of the impact of the project
- TEA provides:
    o Opportunities for AREL participation and input into the process
    o Staff participation in national AREL policy and evaluation activities
Additionally, the value propositions for each organization were defined as follows:
- AREL benefits from:
    o Participating in and learning from a large state policy-change effort
    o Using the Texas experience as a model for policy change efforts in other states
    o Collecting data to support the national evaluation of the AREL initiative
- TEA benefits from:
    o Access to expertise and other state agencies engaged in similar large-scale policy efforts
    o Staff and other resource support at no cost to TEA
    o Possible linkages to broader financial support and grant opportunities

During the spring of 2012, the TEA convened a principal advisory committee to review state policy and law governing principals, best practices in principal preparation, and the state policies regulating them. AREL provided support to the committee and brought in experts in the field and from other states to present on policies and processes adopted by other states and the effect they have had on principal effectiveness. The results of this work led to a draft set of competencies that principals should acquire to be effective

leaders and improve student performance. In the summer of 2012, TEA met with educator preparation programs and held focus groups at state principal conferences to review the work done to by the principal advisory committee and to provide feedback and responses to that work.

School Leadership Standards

Starting in the spring of 2012, TEA worked with the principal advisory committee (Attachment II) to build principal standards. This committee began by determining best practices for principals to be effective leaders and improve student performance, primarily by reframing the central role of the principal as the instructional leader of a campus. This work concluded in the fall of 2013 with a comprehensive set of principal standards that capture the aspirational practices all principals can strive toward regardless of their level of experience or the context of their position. These standards were adopted into Chapter 149 of the Texas Administrative Code (TAC) on June 8, 2014 (Attachment III).

The standards capture the five major categories of principal leadership – instructional leadership, human capital, executive leadership, school culture, and strategic operations – and provide the foundation for the Texas Principal Evaluation and Support System (T-PESS).

Appraisal and Professional Development System

During the spring of 2014, a new principal steering committee (Attachment IV), comprised of campus principals, central office administrators, members of the higher education community, and principal association members, was convened to build a state principal evaluation system in response to Texas's pursuit of a waiver from certain provisions of the federal Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001 (NCLB). The committee developed an evaluation system tied to the principal standards and focused on creating a process that would be used for continuous professional growth. The system they created will provide for actionable, timely feedback that will allow principals to reflect consistently on their practice and strive to implement those practices that would improve their performance. The characteristics of this system that will promote these goals include:

- A rubric (www4.esc13.net/pdas/) with five performance levels that clearly differentiate practices. The rubric allows for immediate feedback built into the document itself – any principal can self-assess, and any principal can look to the practices articulated in the levels above their observation score and understand which practices will elevate their performance.
- A principal goal-setting process that allows all principals to determine what their professional growth and implementation goals include, build a plan to attain those goals, and track the progress of their development over the course of the year based on their assessment of their practice within their unique context, the feedback received during the ongoing formative and end-of-year summative conversations with their appraiser, and particular district and campus initiatives.
- Student growth or progress measures that provides principals with a better sense of how much of an impact the campus, under their leadership, has had on the progress of all their students, regardless of the students' achievement levels, and allows principals to make informed decisions about the goals and initiatives that will best impact all students the following year.
- These measures, taken together, will provide a more complete narrative of principal performance than any single measure taken by itself and will comprise a summative evaluation score based on the following weights and the length of time one has been a principal on a particular campus:
  - For a principal's first year on a particular campus, the rubric would count for 70% and the goal-setting would count for 30% of the summative score.

o For a principal's second year on the campus, the rubric would count for 70%, the goal-setting would count for 20%, and student growth or progress would count for 10% of the summative score.
o For the third year and beyond, the rubric would count for 60%, the goal-setting would count for 20%, and student growth or progress would count for 20% of the summative score.

The relative weight of the rubric-based evaluation (between 60% and 70% depending on tenure as principal on a campus) aligns with the idea that a principal's primary focus should include the daily practices captured in the rubric, which have a research base in improving student performance. Although the successful implementation of these practices will lead to improved results in student performance, the rubric itself aligns to the unique context of each principal, whether he or she is new to the profession, new to the campus or has years of experience. For principals new to a particular campus, student growth would not begin to factor in their evaluation scores until their second year as principal on that campus and would be phased in between years two and three of their tenure. This phase-in process acknowledges the limitations of a principal's influence on student growth during his or her first year on a campus, where the principal inherits the conditions that affect student learning and does not have direct instructional access to all students on a daily basis. Although a principal can begin to make appropriate modifications during that first year, a student growth score would not be a reliable indicator of principal effectiveness for that year. By the third year of a principal's tenure on a campus, the principal should have full ownership of student growth and progress results, and from that year forward, student growth would count for 20% of the principal's evaluation score.

The state recommended principal evaluation system will require annual evaluations. During the two-day face-to-face appraiser training on the state principal evaluation system, participants will discuss best-practices for fostering district cultures where feedback and professional growth are valued and stressed, and where dialogue between principals and district leaders allow for both groups to further develop insight into good professional practices for principals. TEA will work with the 20 regional education service centers to offer assistance and support to districts that lack the personnel capacity to implement the necessary evaluation process.

Funding for Work Related to TEC 21.3541

SB 1383 included a provision that public funds could not be used for the purposes of implementing TEC 21.3541. Due to this provision, TEA partnered with AREL, who used funds from private sources, to convene nationally recognized experts to assist with the creation of the principal standards that are now in TAC Ch. 149. Also due to this provision, TEA could not and did not pursue the creation or the administration of an appraisal and professional development system for principals to satisfy the requirements of TEC 21.3541.

In the fall of 2013, however, TEA applied for and was granted a conditional waiver from certain provisions of NCLB. As a condition of the waiver and in compliance with the requirements for creating a principal evaluation system that aligned with specific waiver criteria, TEA was granted permission by the U.S. Department of Education to use state education agency Title II A funds to create a principal evaluation system. This system was built and is being implemented to satisfy the requirements of the federal waiver.

Next Steps

Pilot Year 2014-2015

During the 2014-2015 school year, TEA is piloting the principal evaluation systems with approximately 60 school districts across the state. Participating districts were trained during the summer of 2014, have started implementing the evaluation system beginning in the fall of 2014, and will provide TEA with continuous feedback on components of the systems so that appropriate revisions can be made to training, instruments, and guidelines provided in conjunction with the systems. TEA, with support from McREL International (McREL), will conduct focus groups and facilitate feedback sessions throughout the pilot year so that principals and their appraisers have an opportunity to articulate the strengths and weaknesses of the pilot evaluation systems. In addition, McREL will assist TEA in examining the validity of the principal observation rubric so that adjustments to specific indicators can be made prior to statewide rollout in 2016-2017.

Refinement Year 2015-2016

TEA will seek to include about 135 additional districts for the refinement year during the 2015-2016 school year, bringing total participation to approximately 200 districts. The refinement year will allow TEA to take all 2014-2015 pilot feedback into consideration, adjust appraiser training materials and evaluation tools as appropriate, and expand participation prior to statewide rollout so Texas's regional service centers are not required to train appraisers from approximately 600 districts in a single summer.

In anticipation of a refinement year for the new principal evaluation system, TEA will oversee a train-the-trainer model beginning in early 2015. A train-the-trainer academy will be run by McREL and will bring together regional service center staff, district trainers, and trainers from higher education so that they can become experts on the evaluation system and the delivery of training for the system. The academy will include approximately three face-to-face training days with multiple days for online instruction, follow-up, the inclusion of revisions based on pilot feedback and certification. Once trainers graduate from the train-the-trainer academy, they will co-train with McREL trainers prior to being released to provide training to refinement year districts.

Additionally, TEA will convene stakeholder groups during the fall of 2015 to revise the current administrative rules concerning principal appraisal, housed in Chapter 150 of the Texas Administrative Code, based on feedback from both the stakeholder groups and the pilot districts implementing the new state system.

Sec. 21.3541. APPRAISAL AND PROFESSIONAL DEVELOPMENT SYSTEM FOR PRINCIPALS. (a) The commissioner by rule shall establish and shall administer a comprehensive appraisal and professional development system for principals.

(b) The commissioner may establish a consortium of nationally recognized experts on educational leadership and policy to:

(1) assist the commissioner in effectively researching and developing the comprehensive appraisal and professional development system described by Subsection (a); and

(2) evaluate relevant research and practices and make recommendations to the commissioner to improve the quality of the training, appraisal, professional development, and compensation of principals.

(c) If the commissioner establishes the consortium, the commissioner shall select a presiding officer of the consortium. The presiding officer:

(1) must be an expert on educational leadership and policy;

(2) must have a demonstrated ability to lead a statewide school leadership reform initiative; and

(3) may not be employed by a school district in this state.

(d) The commissioner shall establish school leadership standards and a set of indicators of successful school leadership to align with the training, appraisal, and professional development of principals.

(e) In carrying out the commissioner's powers and duties under this section, the commissioner may use only money available from private sources that may be used for that purpose.

(f) In appraising principals, each school district shall use either:

(1) the appraisal system and school leadership standards and indicators developed or established by the commissioner under this section; or

(2) an appraisal process and performance criteria:

(A) developed by the district in consultation with the district-level and campus-level committees established under Section 11.251; and

(B) adopted by the board of trustees.

(g) Each school district shall appraise each principal annually.

(h) Not later than December 1 of 2012 and 2014, the commissioner shall submit a written report to the governor, lieutenant governor, speaker of the house of representatives, and presiding officer of each standing legislative committee with primary jurisdiction over public education of:

(1) any action taken under this section; and

(2) any recommendations for legislative action concerning the training, appraisal, professional development, or compensation of principals.

(i) Subsection (h) and this subsection expire January 1, 2015.

Added by Acts 2011, 82nd Leg., R.S., Ch. 1093, Sec. 3, eff. June 17, 2011.

Attachment 2: Principal Standards Advisory Committee			
Name	**Stakeholder Group**	**Organization**	**Position**
Albright, Shari	Preparation Program	Trinity University Department of Education	Department Chair
Anthony, David	Advocacy Organization	Raise Your Hand Texas	CEO
Blaine, Jennifer	District	Spring Branch ISD	Associate Superintendent Curriculum & Instruction
Burniske, Jackie	TEA Partner	Texas Comprehensive Center at SEDL	Program Associate
Casarez, Ken	Principal	Irons Middle School Lubbock ISD	Principal
Conger, Eddie	Principal	Dallas ISD	Executive Director School Leadership
DeLeon, Sandra	Teacher	Monroe May Elementary School, Northside ISD	Gifted/Talented and Enrichment Specialist
Eckhart, Harley	Professional Organization	Texas Elementary Principals and Supervisors Association	Associate Executive Director
Goffney, LaTonya	District	Coldspring-Oakhurst CISD	Superintendent
Huber Diann	Preparation Program	iTeachTexas	Director
Kirby, Cindy	Professional Organization	Texas Association of Secondary School Principals	Director of Professional Development
Lopez, Viviana	TEA	Texas Education Agency Educator Leadership and Quality	Director of Educator Initiatives
Lopez, Janice	TEA	Texas Education Agency Educator Leadership and Quality	Director of Certification and Standards
Mireles, Leonor	Teacher	Memorial High School Pharr-San Juan-Alamo ISD	Teacher, AP History
Nolly, Glenn	District	The University of Texas at Austin	District Site Coordinator, UT Collaborative Urban Leadership Project
O'Rourke, Melissa	TEA Partner	Educational Testing Service (ETS)	Assessment Director Teacher Licensure- Certification
Parsons, Lynn	TEA Partner	Alliance to Reform Education Leadership George W. Bush Institute	Consultant
Pena, Rosa	Principal	Baldwin Elementary School, Austin ISD	Principal
Perlmeter, Rosemary	Preparation Program	Southern Methodist University	Co-Founder, ED-Entrepreneur Center Teaching Trust and School of Education & Human Development
Thompson, David	Preparation Program	University of Texas at San Antonio	Professor, Educational Leadership and Policy Studies

Chapter 149. Commissioner's Rules Concerning Educator Standards

Subchapter BB. Administrator Standards

§149.2001. Principal Standards.

(a)   Purpose. The standards, indicators, knowledge, and skills identified in this section shall be used to align with the training, appraisal, and professional development of principals.

(b)   Standards.

    (1)   Standard 1--Instructional Leadership. The principal is responsible for ensuring every student receives high-quality instruction.

        (A)   Knowledge and skills.

            (i)   Effective instructional leaders:

                (I)   prioritize instruction and student achievement by developing and sharing a clear definition of high-quality instruction based on best practices from research;

                (II)   implement a rigorous curriculum aligned with state standards;

                (III)   analyze the curriculum to ensure that teachers align content across grades and that curricular scopes and sequences meet the particular needs of their diverse student populations;

                (IV)   model instructional strategies and set expectations for the content, rigor, and structure of lessons and unit plans; and

                (V)   routinely monitor and improve instruction by visiting classrooms, giving formative feedback to teachers, and attending grade or team meetings.

            (ii)   In schools led by effective instructional leaders, data are used to determine instructional decisions and monitor progress. Principals implement common interim assessment cycles to track classroom trends and determine appropriate interventions. Staff have the capacity to use data to drive effective instructional practices and interventions. The principal's focus on instruction results in a school filled with effective teachers who can describe, plan, and implement strong instruction and classrooms filled with students actively engaged in cognitively challenging and differentiated activities.

        (B)   Indicators.

            (i)   Rigorous and aligned curriculum and assessment. The principal implements rigorous curricula and assessments aligned with state standards, including college and career readiness standards.

            (ii)   Effective instructional practices. The principal develops high-quality instructional practices among teachers that improve student learning.

            (iii)   Data-driven instruction and interventions. The principal monitors multiple forms of student data to inform instructional and intervention decisions and to close the achievement gap.

    (2)   Standard 2--Human Capital. The principal is responsible for ensuring there are high-quality teachers and staff in every classroom and throughout the school.

(A)   Knowledge and skills.

    (i)   Effective leaders of human capital:

        (I)   treat faculty/staff members as their most valuable resource and invest in the development, support, and supervision of the staff;

        (II)   ensure all staff have clear goals and expectations that guide them and by which they are assessed;

        (III)   are strategic in selecting and hiring candidates whose vision aligns with the school's vision and whose skills match the school's needs;

        (IV)   ensure that, once hired, teachers develop and grow by building layered supports that include regular observations, actionable feedback, and coaching and school-wide supports so that teachers know how they are performing;

        (V)   facilitate professional learning communities to review data and support development;

        (VI)   create opportunities for effective teachers and staff to take on a variety of leadership roles and delegate responsibilities to staff and administrators on the leadership team; and

        (VII)   use data from multiple points of the year to complete accurate evaluations of all staff, using evidence from regular observations, student data, and other sources to evaluate the effectiveness of teachers and staff.

    (ii)   In schools with effective leaders of human capital, staff understand how they are being evaluated and what the expectations are for their performance. Staff can identify areas of strength and have opportunities to practice and receive feedback on growth areas from the leadership team and peers. Staff evaluation data show variation based on effectiveness but also show improvement across years as development and retention efforts take effect. Across the school, staff support each other's development through regular opportunities for collaboration, and effective staff have access to a variety of leadership roles in the school.

(B)   Indicators.

    (i)   Targeted selection, placement, and retention. The principal selects, places, and retains effective teachers and staff.

    (ii)   Tailored development, feedback, and coaching. The principal coaches and develops teachers by giving individualized feedback and aligned professional development opportunities.

    (iii)   Staff collaboration and leadership. The principal implements collaborative structures and provides leadership opportunities for effective teachers and staff.

    (iv)   Systematic evaluation and supervision. The principal conducts rigorous evaluations of all staff using multiple data sources.

(3)   Standard 3--Executive Leadership. The principal is responsible for modeling a consistent focus on and commitment to improving student learning.

(A)   Knowledge and skills.

    (i)   Effective executive leaders:

        (I)   are committed to ensuring the success of the school;

<table>
<tr><td></td><td>(II)</td><td>motivate the school community by modeling a relentless pursuit of excellence;</td></tr>
<tr><td></td><td>(III)</td><td>are reflective in their practice and strive to continually improve, learn, and grow;</td></tr>
<tr><td></td><td>(IV)</td><td>view unsuccessful experiences as learning opportunities, remaining focused on solutions, and are not stymied by challenges or setbacks. When a strategy fails, these principals analyze data, assess implementation, and talk with stakeholders to understand what went wrong and how to adapt strategies moving forward;</td></tr>
<tr><td></td><td>(V)</td><td>keep staff inspired and focused on the end goal even as they support effective change management;</td></tr>
<tr><td></td><td>(VI)</td><td>have strong communication skills and understand how to communicate a message in different ways to meet the needs of various audiences;</td></tr>
<tr><td></td><td>(VII)</td><td>are willing to listen to others and create opportunities for staff and stakeholders to provide feedback; and</td></tr>
<tr><td></td><td>(VIII)</td><td>treat all members of the community with respect and develop strong, positive relationships with them.</td></tr>
</table>

      (ii)   In schools with effective executive leaders, teachers and staff are motivated and committed to excellence. They are vested in the school's improvement and participate in candid discussions of progress and challenges. They are comfortable providing feedback to the principal and other school leaders in pursuit of ongoing improvement, and they welcome feedback from students' families in support of improved student outcomes.

   (B)   Indicators.

      (i)   Resiliency and change management. The principal remains solutions-oriented, treats challenges as opportunities, and supports staff through changes.

      (ii)   Commitment to ongoing learning. The principal proactively seeks and acts on feedback, reflects on personal growth areas and seeks development opportunities, and accepts responsibility for mistakes.

      (iii)   Communication and interpersonal skills. The principal tailors communication strategies to the audience and develops meaningful and positive relationships.

      (iv)   Ethical behavior. The principal adheres to the educators' code of ethics in §247.2 of this title (relating to Code of Ethics and Standard Practices for Texas Educators), including following policies and procedures at his or her respective district.

(4)   Standard 4--School Culture. The principal is responsible for establishing and implementing a shared vision and culture of high expectations for all staff and students.

   (A)   Knowledge and skills.

      (i)   Effective culture leaders:

         (I)   leverage school culture to drive improved outcomes and create high expectations;

         (II)   establish and implement a shared vision of high achievement for all students and use that vision as the foundation for key decisions and priorities for the school;

(III)   establish and communicate consistent expectations for staff and students, providing supportive feedback to ensure a positive campus environment;

(IV)   focus on students' social and emotional development and help students develop resiliency and self-advocacy skills; and

(V)   treat families as key partners to support student learning, creating structures for two-way communication and regular updates on student progress. Regular opportunities exist for both families and the community to engage with the school and participate in school functions.

(ii)   In schools with effective culture leaders, staff believe in and are inspired by the school vision and have high expectations for all students. Staff take responsibility for communicating the vision in their classrooms and for implementing behavioral expectations throughout the building, not only in their own classrooms. Teachers regularly communicate with the families of their students to provide updates on progress and actively work with families to support learning at home. Members of the broader community regularly engage with the school community.

(B)   Indicators.

(i)   Shared vision of high achievement. The principal develops and implements a shared vision of high expectations for students and staff.

(ii)   Culture of high expectations. The principal establishes and monitors clear expectations for adult and student conduct and implements social and emotional supports for students.

(iii)   Intentional family and community engagement. The principal engages families and community members in student learning.

(iv)   Safe school environment. The principal creates an atmosphere of safety that encourages the social, emotional, and physical well-being of staff and students.

(v)   Discipline. The principal oversees an orderly environment, maintaining expectations for student behavior while implementing a variety of student discipline techniques to meet the needs of individual students.

(5)   Standard 5--Strategic Operations. The principal is responsible for implementing systems that align with the school's vision and improve the quality of instruction.

(A)   Knowledge and skills.

(i)   Effective leaders of strategic operations:

(I)   assess the current needs of their schools, reviewing a wide set of evidence to determine the schools' priorities and set ambitious and measurable school goals, targets, and strategies that form the schools' strategic plans;

(II)   with their leadership teams, regularly monitor multiple data points to evaluate progress toward goals, adjusting strategies that are proving ineffective;

(III)   develop a year-long calendar and a daily schedule that strategically use time to both maximize instructional time and to create regular time for teacher collaboration and data review;

(IV)   are deliberate in the allocation of resources (e.g., staff time, dollars, and tools), aligning them to the school priorities and goals, and work to access additional resources as needed to support learning; and

(V)   treat central office staff as partners in achieving goals and collaborate with staff throughout the district to adapt policies as needed to meet the needs of students and staff.

(ii)   In schools with effective leaders of strategic operations, staff have access to resources needed to meet the needs of all students. Staff understand the goals and expectations for students, have clear strategies for meeting those goals, and have the capacity to track progress. Members of the staff collaborate with the principal to develop the school calendar. Teacher teams and administrator teams meet regularly to review and improve instructional strategies and analyze student data. Throughout the year, all staff participate in formal development opportunities that build the capacity to identify and implement strategies aligned to the school's improvement goals.

(B)   Indicators.

(i)   Strategic planning. The principal outlines and tracks clear goals, targets, and strategies aligned to a school vision that improves teacher effectiveness and student outcomes.

(ii)   Maximized learning time. The principal implements daily schedules and a year-long calendar that plan for regular data-driven instruction cycles, give students access to diverse and rigorous course offerings, and build in time for staff professional development.

(iii)   Tactical resource management. The principal aligns resources with the needs of the school and effectively monitors the impact on school goals.

(iv)   Policy implementation and advocacy. The principal collaborates with district staff to implement and advocate for district policies that meet the needs of students and staff.

Statutory Authority: The provisions of this §149.2001 issued under the Texas Education Code, §21.3541.

Source: The provisions of this §149.2001 adopted to be effective June 8, 2014, 39 TexReg 4245.

Attachment 4: Principal Evaluation Advisory Committee			
Name	**Stakeholder Group**	**Organization**	**Position**
Allen, Chris	District	Lake Travis ISD	Deputy Superintendent
Allen, Scott	Principal	HSPVA, Houston ISD	Principal
Bernard, Nneka	Principal	Adams Middle School, Grand Prairie ISD	Principal
Elliot, Michelle	Principal	Bennett Elementary School, Frenship ISD	Principal
Fischer, Barbara	Principal	Guyer High School, Denton ISD	Principal
Garcia, Chris	Principal	Peak Preparatory, Uplift Education	Lead and Primary School Director
Gooden, Mark	Preparation Program	The University of Texas at Austin	Director, Principalship Program
Hodge, Andrea	Preparation Program	Rice University	Executive Director, Rice Entrepreneurship Program
Hopkins, Christina	Principal	Rosa Parks Elementary, Fort Bend ISD	Principal
Jones, Tam	Preparation Program	Dallas Baptist University	Program Director, Department of Ed. Leadership
Linton, Pamela	District	Richardson ISD	Executive Director of Human Resources
McClellan, Anne	Preparation Program	University of Houston	Executive Director for Growth and Innovation, College of Education
Morrow, Gene	Principal	Austin Elementary School, Grand Prairie ISD	Principal
Moulton, Kelli	District	Hereford ISD	Superintendent
Padavil, Devin	Principal	Hendrickson High School, Pflugerville ISD	Principal
Rocka, Timothy	District	Bryan ISD	Deputy Superintendent
Terry, Mark	Professional Organization	Texas Elementary Principals and Supervisors Association	Deputy Executive Director
Thompson, David	Preparation Program	University of Texas at San Antonio	Professor, Educational Leadership & Policy Studies
Tovar, Nancy	Principal	Western Hills Elementary School, El Paso ISD	Principal
Trujillo, Duane	Principal	Memorial Elementary School, New Braunfels ISD	Principal
Turner, Texanna	Principal	Ann Richards School, Austin ISD	Principal