

**2012  
Progress Report on Appraisal and  
Professional Development for Principals**

A Report to the 83<sup>rd</sup> Texas Legislature

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**POLICIES FOR EFFECTIVE PRINCIPALS**  
**Progress Report to the Legislature, SB 1383**  
**December 2012**

## **Background**

Senate Bill 1383 was enacted by the Texas legislature in 2011 and codified as TEC Section 21.3541: Appraisal and Professional Development System for Principals (Attachment 1). 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:
  - assist in developing the system
  - 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.

In order 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) as described in Attachment 2. The respective roles of TEA and AREL were further defined as:

- AREL provides:
  - Consultative and technical assistance in the design and implementation of the project
  - Access to national expertise in the development of standards and policies
  - Support for evaluation of the impact of the project
- TEA provides:
  - Opportunities for AREL participation and input into the process
  - Staff participation in national AREL policy and evaluation activities

Additionally, the value propositions for each organization were defined as follows:

- AREL benefits from:
  - Participating in and learning from a large state policy-change effort
  - Using the Texas experience as a model for policy change efforts in other states
  - Collecting data to support the national evaluation of the AREL initiative
- TEA benefits from:
  - Access to expertise and other state agencies engaged in similar large-scale policy efforts
  - Staff and other resource support at no cost to TEA
  - Possible linkages to broader financial support and grant opportunities

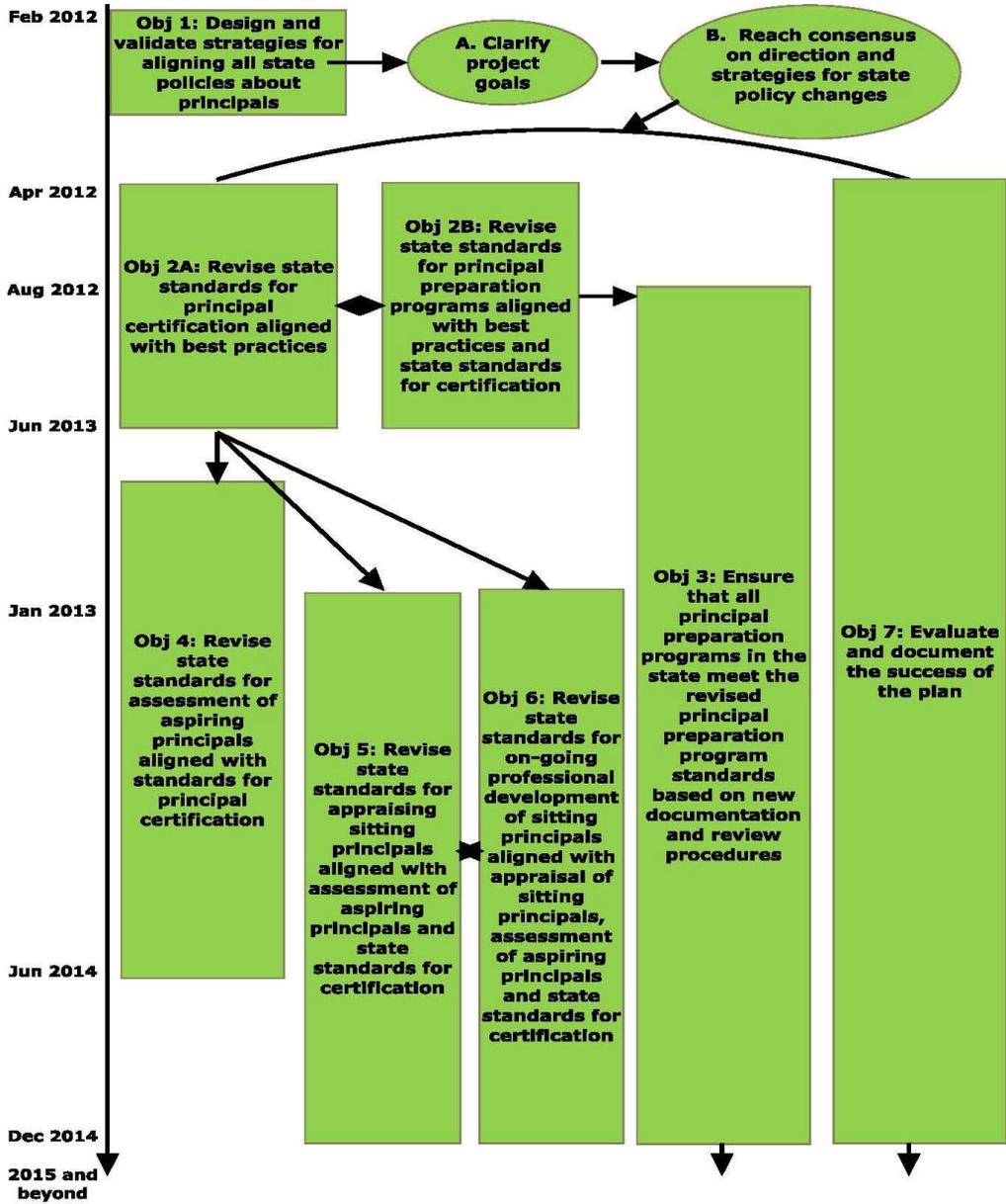
TEA staff worked closely with AREL staff in the initial design phase of the project during the summer and fall of 2011. **The overarching goal of the project is to improve the quality and effectiveness of school principals resulting in high levels of student achievement.** In order to achieve this goal, the project is designed to revise (and make internally consistent) the Texas policies and procedures governing the standards, certification, assessment, appraisal and on-going professional development of Texas school principals. Specifically the project will review and revise:

- State standards for *principal certification* so they are aligned with best practices
- State standards for *assessment of aspiring principals* so they are aligned with standards for principal certification and work with contractors to develop new, more authentic testing forms and procedures

- State standards for *principal preparation programs* so they are aligned with best practices as well as state standards for certification
- *Documentation and review procedures* to ensure that preparation programs in the state meet the revised program standards
- State standards for *appraising sitting principals* that are aligned with both the assessment of aspiring principals and standards for principal certification
- State standards for *on-going professional development of principals* so they are aligned with the appraisal of principals and support continuous improvement of student achievement at the campus.

By addressing every state policy area that impacts principals and ensuring that they are all internally consistent and aligned as well as reflective of best practices, the state of Texas is taking a bold step forward toward improving not only the quality of all of its school leaders but also the quality of the schools and students they lead.

To accomplish these objectives, TEA staff outlined the following scope of work with 7 broad objectives:



**Project activities and outcomes to date include:**

<p>February 29, 2012</p>	<ul style="list-style-type: none"> <li>• TEA Commissioner of Education Robert Scott invites 12 key stakeholders to become members of the Principal Advisory Committee (Committee now includes 15 stakeholders, 3 TEA partners, and 2 TEA staff—see Attachment 3)</li> <li>• While provisions of the law call for a consortium to include national experts, the project was designed to bring in national experts to assist in design and development of products within each specific objective area (different experts are needed for different focus areas, e.g. principal standards, preparation of new principals, appraisal of sitting principals, etc.) with a committee of Texas stakeholders—including the key representative of AREL—to ensure the infusion of national experts as needed—to steer the overall process</li> </ul>
<p>March 21, 2012</p>	<ul style="list-style-type: none"> <li>• First meeting of the Principal Advisory Committee. The committee was provided pre-reading information that included the following documents: <ul style="list-style-type: none"> <li>○ Overview of the Collaborative Project between TEA and AREL;</li> <li>○ Gateways to the Principalship: State Power to Improve the Quality of School Leaders;</li> <li>○ A New Approach to Principal Preparation: Innovative Programs Share Their Practices and Lessons Learned;</li> <li>○ AREL Framework.</li> </ul> </li> <li>• Outcomes of this meeting included the opportunity for members to review: <ul style="list-style-type: none"> <li>○ The rationale for the proposed changes in state policy</li> <li>○ The current state laws and policies governing the principalship</li> <li>○ Best practices in principal preparation and state policies regulating them</li> <li>○ The proposed plan for addressing changes in policy and practice</li> <li>○ Their role and expectations for guiding implementation of the plan</li> </ul> </li> <li>• General project introduction and overview, with validation from committee members for the case for change and the strategies for implementing the changes. The advisory group provided feedback for amendments to the design of the collaborative project</li> </ul>
<p>April 17, 2012</p>	<ul style="list-style-type: none"> <li>• Second meeting of the Principal Advisory Committee. The outcomes for this meeting included: <ul style="list-style-type: none"> <li>○ Validation of the recommendations from the first meeting and review changes planned as a result of the input provided</li> <li>○ Presentations from three external experts provided by AREL: <ul style="list-style-type: none"> <li>○ Erika Hunt—Center for the Study of Education Policy at Illinois State University—facilitated the state of Illinois’ large-scale policy reform that revised standards for principal certification and preparation</li> <li>○ Steve Tozer--Center for Urban Education Leadership at University of Illinois Chicago—advised the Illinois state change process and directs a preparation program which results in highly effective principals</li> <li>○ Ben Fenton—Chief Strategy Officer and Co-Founder of New Leaders—works with other states involved in large-scale policy change</li> </ul> </li> </ul> </li> <li>• Committee produced the first draft of a set of competencies that principals should acquire in order to be effective leaders and improve student achievement (Attachment 4)</li> </ul>
<p>June 5, 2012</p>	<ul style="list-style-type: none"> <li>• Meeting of Educator Preparation Programs (EPPs) that are currently approved to grant principal certification in Texas</li> <li>• The outcomes for this meeting included the opportunity for members to: <ul style="list-style-type: none"> <li>○ Understand the goals and scope of the project to review, revise, and make internally consistent all of the policies and procedures that affect principal standards for preparation, certification, appraisal and on-going professional</li> </ul> </li> </ul>

	<p>development and to reflect on best practices that will result in highly effective school principals</p> <ul style="list-style-type: none"> <li>○ Review and comment on core documents and research that support the process</li> <li>○ Review and respond to the proposed principal framework defining the competencies of principals that should drive all other policies and procedures</li> </ul> <ul style="list-style-type: none"> <li>● Members demonstrated support for the project goals and provided feedback on each stated objective. The feedback included the need for alignment of state standards for principal certification with assessment of aspiring principals and standards for principal preparation programs. Additionally, support for an evaluation system for principals that provides support for professional development was expressed.</li> </ul>
June 12, 2012	<ul style="list-style-type: none"> <li>● Third meeting of the Principal Advisory Committee. The outcome of this meeting included: <ul style="list-style-type: none"> <li>○ Reaching consensus on the concepts for the competency framework and next steps in the process.</li> <li>○ Reaching consensus on the concepts for the preparation program standards and next steps in the process</li> <li>○ Reviewing the communication plan and website content</li> </ul> </li> <li>● Committee produced first draft of desired characteristics of high-quality principal preparation programs. This initial draft included characteristics in four major areas: (1) Vision/Mission; (2) Culture of High Expectations; (3) Leadership; (4) Operations/System Development (Attachment 5)</li> </ul>
June 13-14, 26, 2012	<ul style="list-style-type: none"> <li>● Focus groups at state principal conferences were held: <ul style="list-style-type: none"> <li>○ June 13, 2012 – Texas Association of Secondary School Principals</li> <li>○ June 14, 2012 – Texas Association of Elementary School Principals</li> <li>○ June 26, 2012 – Texas Association of School Administrators</li> </ul> </li> <li>● These groups comprised of elementary, secondary principals and superintendents provided input in the following areas: <ul style="list-style-type: none"> <li>○ The skills, knowledge, and dispositions required of effective principals</li> <li>○ The principal's role in relationship to student achievement</li> <li>○ The preparation and development of effective principals</li> </ul> </li> <li>● Focus group data will inform revisions of competencies and program characteristics and development of next steps</li> </ul>
September 11, 2012	<ul style="list-style-type: none"> <li>● Fourth meeting of the Principal Advisory Committee</li> <li>● Final review of committee recommendations for principal standards and key characteristics of effective principal preparation programs. The recommendations were based on the four major areas: (1) Vision/Mission; (2) Culture of High Expectations; (3) Leadership; (4) Operations/System Development. These will form the basis of the work that will be accomplished by a writing team of national experts.</li> </ul>
November-December, 2012	<ul style="list-style-type: none"> <li>● Writing team of national experts requested from AREL to develop an initial draft of proposed standards for principals</li> <li>● Draft to be reviewed by Steering Committee in January 2013 and finalized by TEA staff for presentation to SBEC in the spring of 2013</li> </ul>

## Next steps:

- **Objective 2A Revise state standards for principal certification aligned with best practices**  
In 2013, the Steering Committee will shift its focus to considering the impact of the new standards in several areas related to both initial certification and training of new principals and appraisal and professional development for current principals. Plans for work and outcomes on objectives on the original plan include:
- **Objective 2B: Revise state standards for principal preparation programs aligned with best practices and state standards for certification, and**  
**Objective 3: Ensure that all principal preparation programs in the state meet the revised program standards based on new documentation and review procedures**  
The steering committee has reached general agreement about key provisions of the standards for principal preparation programs. However, as we have been advised by other states which are going through or have gone through similar processes, the most important piece is how programs will be evaluated and held accountable for the quality and effectiveness of their graduates. Therefore, we are planning to hold up on further development and implementation of these standards until Objective 4 pertaining to the assessment for initial certification is under way.
- **Objective 4: Revise state standards for assessment of aspiring principals aligned with standards for principal certification**  
ETS is the state contractor which provides this assessment, currently the TExAS, or Texas Examinations of Educator Standards for Principals. ETS is represented on the steering committee and has participated in the development of the principal standards which will drive revisions to that assessment. That assessment in turn will be used not only to assess individual candidates' eligibility for certification as principals, but cumulative data from all graduates of a program may be used as part of the evaluation of the program's effectiveness.
- **Objective 5: Revise state standards for appraising sitting principals aligned with assessment of aspiring principals and standards for principal certification and**  
**Objective 6: Revise state standards for on-going professional development of sitting principals aligned with appraisal of sitting principals, assessment of aspiring principals and standards for principal certification**  
The steering committee has already received input from stakeholders during focus sessions held summer 2012 about the needs and concerns of school districts and current principals across the state with regard to changes in these rules. In 2013, the committee will begin considering how the new standards will drive these changes and how to align the results of appraisals with the provision of required professional development.
- **Objective 7: Evaluate and document the success of the plan.**  
The assessment and appraisal instruments will be the core of the evaluation process. Contextual data about the districts, schools, and students served by principals will also be important for understanding their impact on student achievement. We are looking to the project recently launched by TEA and the American Institutes for Research (AIR) to develop educator effectiveness metrics as a parallel to the evaluation process for this project. Most of the data being identified for collection for that project will also be used in the ultimate evaluation of principals' effectiveness in producing high levels of student achievement, the overarching goal established for this project.

**Attachment 1: TEC Section 21.3541: Appraisal and Professional Development System for Principals**

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:

**Attachment 1: TEC Section 21.3541: Appraisal and Professional Development System for Principals**

(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: Collaborative Agreement between TEA and AREL

GEORGE W. BUSH  
INSTITUTE



ALLIANCE TO REFORM EDUCATION LEADERSHIP

STATEMENT OF PRINCIPLES AND SHARED GOALS BY

THE TEXAS EDUCATION AGENCY AND

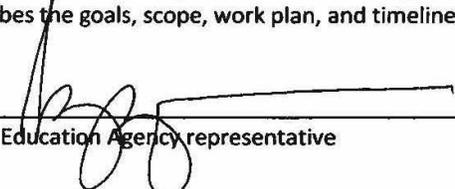
THE GEORGE W. BUSH INSTITUTE

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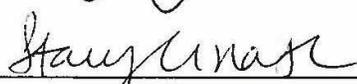
The George W. Bush Institute ("GWBI") is the primary sponsor of the Alliance to Reform Education Leadership ("AREL").

The mission of AREL is to help change the way in which school principals throughout the U.S. are recruited, selected, prepared, certified, empowered, compensated, supported, and evaluated. Through this effort GWBI, along with its national and local partners, will work to alter fundamentally the principal's role enabling measurable improvement in the academic achievement of students. The Texas Education Agency is committed to improving the quality of principals prepared, certified, and working within the state of Texas in order to achieve measurable improvement in the academic achievement of its students. GWBI and the Texas Education Agency believe that this mission can be achieved in part through a collaborative effort to revise and make internally consistent the Texas policies and procedures governing the standards, certification, assessment, and on-going appraisal and professional development of Texas school principals

TEA and AREL staff representatives have agreed to the attached proposal for collaboration which describes the goals, scope, work plan, and timeline for the project.

  
\_\_\_\_\_  
Texas Education Agency representative

3-2-2012  
Date

  
\_\_\_\_\_  
Stacy G. Cinatl, Managing Director  
George W. Bush Institute

2-23-12  
Date

AREL is not a separate entity, formal partnership, or alliance. No participant will be the agent of any other and no one participant can act or attempt to act for any other. Each participant is responsible for ensuring that its activities are in full compliance with all laws of the United States. The purpose of this Statement of Principles is to set forth the understandings and intentions of the collaborative project. The participants entering into this Statement of Principles maintain their own independent missions and mandates, and nothing in this Statement of Principles shall be construed as creating a formal legal partnership or other legal entity or arrangement. Nothing in this Statement of Principles shall be construed as superseding or interfering with other agreements or contracts between the participants or any of them entered into either prior to, or subsequent to, the signing of this Statement of Principles. The participants further specifically acknowledge that this Statement of Principles does not obligate either participant to commit funds, nor does it constitute a legally binding commitment by either Participant or create any rights in a third party.

**Attachment 3: Principal Advisory Committee**

<b>Last Name</b>	<b>Stakeholder Group</b>	<b>Organization</b>	<b>Position</b>
<a href="#">Albright, Shari</a>	Preparation Program	Trinity University Department of Education	Department Chair
<a href="#">Anthony, David</a>	District	Raise Your Hand Texas	CEO
<a href="#">Blaine, Jennifer</a>	District	Spring Branch ISD	Associate Superintendent Curriculum & Instruction
<a href="#">Burniske, Jackie</a>	TEA Partner	Texas Comprehensive Center at SEDL	Program Associate
<a href="#">Casarez, Ken</a>	Principal	Irons Middle School Lubbock ISD	Principal
<a href="#">Conger, Eddie</a>	Principal	Dallas ISD	Executive Director School Leadership
<a href="#">DeLeon, Sandra</a>	Teacher	Monroe May Elementary School, Northside ISD	Gifted/Talented and Enrichment Specialist
<a href="#">Eckhart, Harley</a>	Professional Organization	Texas Elementary Principals and Supervisors Association	Associate Executive Director
<a href="#">Goffney, LaTonya</a>	District	Coldspring-Oakhurst CISD	Superintendent
<a href="#">Huber Diann</a>	Preparation Program	iTeachTexas	Director
<a href="#">Kirby, Cindy</a>	Professional Organization	Texas Association of Secondary School Principals	Director of Professional Development
<a href="#">Lopez, Viviana</a>	TEA	Texas Education Agency Educator Leadership and Quality	Director of Educator Initiatives
<a href="#">Lopez, Janice</a>	TEA	Texas Education Agency Educator Leadership and Quality	Director of Certification and Standards
<a href="#">Mireles, Leonor</a>	Teacher	Memorial High School Pharr-San Juan-Alamo ISD	Teacher, World History AP
<a href="#">Nolly, Glenn</a>	District	The University of Texas at Austin Dept. of Ed. Admin. College of Education	District Site Coordinator UT Collaborative Urban Leadership Project
<a href="#">O'Rourke, Melissa</a>	TEA Partner	Educational Testing Service (ETS)	Assessment Director Teacher Licensure- Certification
<a href="#">Parsons, Lynn</a>	TEA Partner	Alliance to Reform Education Leadership George W. Bush Institute	Consultant

**Attachment 3: Principal Advisory Committee**

<a href="#">Pena, Rosa</a>	Principal	Baldwin Elementary School Austin ISD	Principal
<a href="#">Perlmeeter, Rosemary</a>	Preparation Program	ED-Entrepreneur Center Teaching Trust and SMU School of Education and Human Development	Co-Founder
<a href="#">Thompson, David</a>	Preparation Program	University of Texas at San Antonio Educational Leadership and Policy Studies	Professor

## Attachment 4: Concept Paper

### WHAT SHOULD PRINCIPALS KNOW AND BE ABLE TO DO?

#### Concept Paper

June 12, 2012

The Texas Education Agency has begun a process to review and possibly revise all of the state policies and procedures that affect principal standards for preparation, certification, appraisal and on-going professional development. The ultimate goal of the project is to improve the quality and effectiveness of principals in Texas. A 20-member advisory group includes representatives of Texas principals, preparation programs, teachers, superintendents, and other organizations invested in the work. They have been systematically reviewing existing policies and guidelines and studying research and documents that describe best practices in the field.

The most critical piece of the process is reaching consensus on the competencies—skills, knowledge, and dispositions—that principals must have in order to successfully impact student achievement in their schools. Every aspect of the laws, policies, and guidelines that impact the principalship must be aligned to this competency framework. The purpose of this paper is to present the concepts that should form the basis for any new policy language.

First, these skills must be the driving force for preparation of aspiring principals as well as the continued appraisal and development of sitting principals. All policies and guidelines impacting the principalship must be internally consistent and aligned with a single competency framework.

Second, all assessment (for initial preparation and certification) and appraisal (of sitting principals) must be based on these competencies must have three characteristics: (1) it is based on demonstration of skills in authentic settings, (2) it is based on multiple sources of data, and (3) it is accomplished over a period of time with multiple data collections.

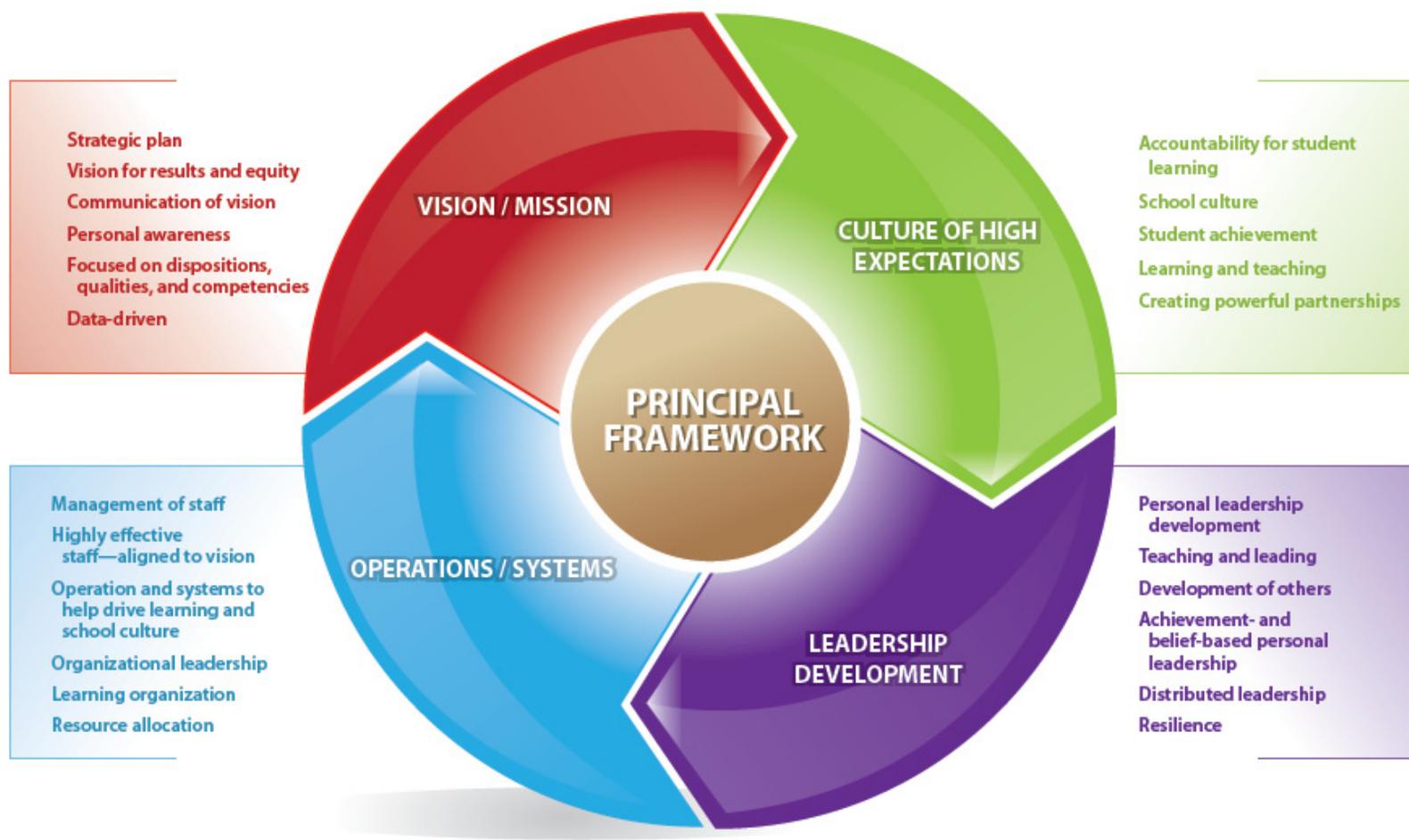
Third, the competencies must address both the support and development of effective teachers and the implementation of effective organizational processes.

Fourth, the competencies must be defined by a rubric of observable behaviors that addresses the continuum of development and demonstration of each area of the framework.

The proposed competency framework for Texas should address the following:

- Vision for Results and Equity (belief and sense of urgency about the potential of every student, high expectations, personal and collective accountability, understand and value diversity)
- Learning and Teaching (curriculum planning aligned to rigorous standards, high-quality instructional strategies and routines across classrooms, supports data-driven instruction, intervention strategies for low-performing students)
- School Culture (culture of high achievement and aspiration, values aligned to mission, supportive discipline measures, family engagement in supporting student learning)
- Staff Development and Management (rigorous hiring and induction processes; high expectations and rigorous evaluation of instructional quality; teacher observations, feedback, and professional development for instructional improvement)
- Planning and Operations (action plans and monitoring for instructional improvement, organizes time effectively, aligns financial and human resources to school improvement goals)
- Personal Leadership (clear communication that motivates and inspires; incorporates multiple perspectives in decision making; self-awareness, ongoing learning, and resiliency in the service of continuous improvement)

Attachment 5: Principal Framework



May 31, 2012  
 In development by the Texas Education Agency



**TEXAS EDUCATION AGENCY**

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December 2012