Appendix B

The Balanced Leadership Framework: Connecting Vision with Action

Principal Application

About the Authors

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"Wisdom is knowing what to do next, skill is knowing how to do it, and virtue is doing it."

David Starr Jordan, *scientist and educator*

Introduction

Over the past several years, Mid-continent Research for Education and Learning (McREL) has completed multiple meta-analytic studies on the practices of effective schools, teachers, and principals. These studies provide general guidance for *what* school leaders and teachers can do to increase student achievement.

We recognize, however, that simply knowing *what* to do is often not enough to transform schools and classrooms. Leaders also must know *why* certain practices are important, *when* they should be used, and *how* to apply them skillfully in their own schools and classrooms.

That is why we developed the Balanced Leadership Framework—to help school leaders apply findings from our recent research on effective principals to their own leadership behaviors. In so doing, we hope that this Framework will help leaders connect vision (i.e., knowing *what* to do and *why* to do it) with action (i.e., knowing *how* to do it) in their schools.

McREL's research on leadership

Between 1998 and 2003, McREL conducted three major quantitative studies on the effects of classroom, school, and leadership practices on student achievement. The first reported on nine clusters of research-based instructional strategies with statistically significant effects on student achievement (Marzano, 1998; Marzano, Gaddy, & Dean, 2000). McREL described these strategies in the 2001 ASCD

publication, *Classroom Instruction that Works*. The second study reported on school practices, also with statistically significant effects on student achievement (Marzano, 2000; 2003).

The meta-analysis

These two studies set the stage for McREL's meta-analysis of school-level leadership and its effects on student achievement (Waters, Marzano, & McNulty, 2003). This analysis began in 2001 with the review of more than 5,000 studies that purported to have examined the effects of principal leadership on student achievement. From these 5,000 studies, 69 were selected based on the quality of their design, rigor, reliability and relevance of data to the questions McREL was attempting to answer about school-level leadership. In all cases, the studies shared four characteristics:

- The dependent variable in each study was student achievement.
- The independent variable in each study was leadership.
- Student achievement measures were all quantitative and standardized.
- Measures of school-level leadership were all quantitative and standardized.

The 69 studies included more than 14,000 teacher ratings of principal leadership for 2,802 principals. Ratings of principal leadership were correlated with more than 1.4 million student achievement scores. To our knowledge, this is the largest-ever sample for conducting this type of analysis. The findings, conclusions, and technical notes from this meta-analysis have been published in *School Leadership that Works: From Research to Results* (Marzano, Waters, & McNulty, 2005).

The purpose of any meta-analysis is to determine relationships between dependent and independent variables. McREL's meta-analysis of research on school leaders examined the relationship between student achievement and school-level leadership. It produced three major findings.

First, we found a statistically significant correlation between school-level leadership and student achievement of .25, which translates to a one standard deviation increase in principal leadership behavior corresponding with a 10 percentile point difference in student achievement on a norm referenced test. No longer is there a question about the effect of leadership on student achievement. Clearly, leadership makes a difference.

Second, we identified 21 leadership responsibilities with statistically significant correlations to student achievement and 66 practices or behaviors for fulfilling these responsibilities. With this finding, the concept of "instructional leadership" is no longer an abstraction or left only to theory. As shown in Exhibit 1, we now have a well-defined set of research-based leadership responsibilities and associated practices correlated with student achievement.

Exhibit 1: Principal leadership responsibilities & practices

Responsibilities (extent to which the principal …)	Associated practices
Culture: *fosters shared beliefs and a sense of community and cooperation*	Promotes cooperation among staff Promotes a sense of well-being Promotes cohesion among staff Develops an understanding of purpose Develops a shared vision of what the school could be like
Order: *establishes a set of standard operating procedures and routines*	Provides and enforces clear structure, rules, and procedures for students Provides and enforces clear structures, rules, and procedures for staff Establishes routines regarding the running of the school that staff understand and follow
Discipline: *protects teachers from issues and influences that would detract from their teaching time or focus*	Protects instructional time from interruptions Protects/shelters teachers from distractions
Resources: *provides teachers with materials and professional development necessary for the successful execution of their jobs*	Ensures teachers have necessary materials and equipment Ensures teachers have necessary staff development opportunities that directly enhance their teaching

Responsibilities (extent to which the principal …)	Associated practices
Involvement in curriculum, instruction, and assessment: *is directly involved in the design and implementation of curriculum, instruction, and assessment practices*	Is involved in helping teachers design curricular activities Is involved with teachers to address instructional issues in their classrooms Is involved with teachers to address assessment issues
Focus: *establishes clear goals and keeps those goals in the forefront of the school's attention*	Establishes high, concrete goals and expectations that all students meet them Establishes concrete goals for all curriculum, instruction, and assessment Establishes concrete goals for the general functioning of the school Continually keeps attention on established goals
Knowledge of curriculum, instruction, and assessment: *is knowledgeable about current curriculum, instruction, and assessment practices*	Is knowledgeable about instructional practices Is knowledgeable about assessment practices Provides conceptual guidance for teachers regarding effective classroom practice
Visibility: *has quality contact and interactions with teachers and students*	Makes systematic frequent visits to classrooms Maintains high visibility around the school Has frequent contact with students

Responsibilities (extent to which the principal …)	Associated practices
Contingent rewards: *recognizes and rewards individual accomplishments*	Recognizes individuals who excel Uses performance versus seniority as the primary criterion for reward and advancement Uses hard work and results as the basis for reward and recognition
Communication: *establishes strong lines of communication with teachers and among students*	Is easily accessible to teachers Develops effective means for teachers to communicate with one another Maintains open and effective lines of communication with staff
Outreach: *is an advocate and spokesperson for the school to all stakeholders*	Assures the school is in compliance with district and state mandates Advocates on behalf of the school in the community Advocates for the school with parents Ensures the central office is aware of the school's accomplishments
Input: *involves teachers in the design and implementation of important decisions and policies*	Provides opportunity for input on all important decisions Provides opportunities for staff to be involved in developing school policies Uses leadership team in decision making

Responsibilities (extent to which the principal …)	Associated practices
Affirmation: *recognizes and celebrates school accomplishments and acknowledges failures*	Systematically and fairly recognizes and celebrates accomplishments of teachers Systematically and fairly recognizes and celebrates accomplishments of students Systematically acknowledges failures and celebrates accomplishments of the school
Relationship: *demonstrates an awareness of the personal aspects of teachers and staff*	Remains aware of personal needs of teachers Maintains personal relationships with teachers Is informed about significant personal issues within the lives of staff members Acknowledges significant events in the lives of staff members
Change agent: *is willing to and actively challenges the status quo*	Consciously challenges the status quo Is comfortable with leading change initiatives with uncertain outcomes Systematically considers new and better ways of doing things
Optimize: *inspires and leads new and challenging innovations*	Inspires teachers to accomplish things that might seem beyond their grasp Portrays a positive attitude about the ability of the staff to accomplish substantial things Is a driving force behind major initiatives

Responsibilities (extent to which the principal …)	Associated practices
Ideals/beliefs: *communicates and operates from strong ideals and beliefs about schooling*	Holds strong professional beliefs about schools, teaching, and learning Shares beliefs about schools, teaching, and learning with the staff Demonstrates behaviors that are consistent with beliefs
Monitors/ evaluates: *monitors the effectiveness of school practices and their impact on student learning*	Monitors and evaluates the effectiveness of curriculum, instruction, and assessment
Flexibility: *adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent*	Is comfortable with major changes in how things are done Encourages people to express opinions contrary to those with authority Adapts leadership style to needs of specific situations Can be directive or non-directive as the situation warrants
Situational awareness: *is aware of the details and undercurrents in the running of the school and uses this information to address current and potential problems*	Is aware of informal groups and relationships among staff of the school Is aware of issues in the school that have not surfaced but could create discord Can predict what could go wrong from day to day

Responsibilities (extent to which the principal ...)	Associated practices
Intellectual stimulation: *ensures faculty and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school's culture*	Keeps informed about current research and theory regarding effective schooling Continually exposes the staff to cutting-edge ideas about how to be effective Systematically engages staff in discussions about current research and theory Continually involves the staff in reading articles and books about effective practices

The third finding in the meta-analysis was somewhat surprising. In spite of finding the average effect of student achievement correlated at .25, this study also found that not all strong leaders have a positive impact on student achievement. There were a number of studies in which principals were rated by teachers as strong leaders in schools with below average achievement.

While there are many possible explanations for this third finding, described as "the differential impact of leadership," two emerged as most plausible to the researchers. First, the effect of strong leadership could be mitigated if a principal is focused (and focuses the school) on practices that are not likely to impact student achievement. There are many practices and activities on which a principal can focus the attention, energy, talent, and other assets of a school. Not all of them have the potential to positively influence student achievement. They may be important in the running of a school, but not essential for improving achievement.

Accordingly, the researchers concluded that one possible explanation of the differential impact of leadership is the *focus* of leadership. Focused on the "right" classroom and school practices, leaders can have a powerful positive effect. Focused on practices unlikely to make a difference, a strong (but ineffective) leader can have a minimal or even negative effect on student performance.

The second explanation for the differential impact of leadership is the *order of magnitude* of change implied by the principal's improvement efforts. Simply stated, even when principals focus on the right classroom and school practices, they must understand the implications these changes have for stakeholders and adjust their leadership behaviors accordingly.

Experts in the field of leadership, change, and the adoption of new ideas, including Heifetz, Fullan, Beckard, Pritchard, Hesslebein, Johnson, Kanter, Bridges, Rogers, Nadler, Shaw, and Walton, make the case that not all change is of the same magnitude. Some changes have greater implications than others for stakeholders. Although there are a variety of labels given to differing magnitudes of change (technical vs. adaptive challenges, incremental vs. fundamental, continuous vs. discontinuous), we use the terms "first-order" and "second-order" change to make this distinction. Exhibit 7 in a later section of this document describes these distinctions in greater detail.

Failing to understand these implications and manage them can result in a good idea—even one that is focused on the right school or classroom practices—being poorly implemented. As a result, even the best laid plans can have a minimal, if not detrimental, impact on student performance.

The factor analysis

Following the meta-analysis, McREL researchers conducted a factor analysis. The purpose of a factor analysis is to reveal inter-correlations among independent variables and underlying "factor" structures that might not be easily recognized by researchers, but that could substantially enhance understanding of the independent variables.

Thus, the first purpose in conducting the factor analysis was to determine if there were inter-correlations among the 21 leadership responsibilities identified in the meta-analysis. For example, it was anticipated that the leadership responsibilities of *Relationships, Communication*, and *Culture* might be inter-related to the degree that the number of responsibilities could be reduced to a more manageable set. The second purpose was to test the hypothesis that the "differential impact of leadership" might be related to a leader's understanding of their leadership initiatives as first- and second-order change for staff and the shareholders.

To conduct this analysis, McREL collected data from more than 700 principals using a 92-item McREL online survey, which was designed to measure principals' behaviors in terms of the 21 responsibilities as well as the extent to which the school was involved in first-order change or second-order change.

The researchers were surprised by the results of this analysis. First, they did *not* find sufficient inter-correlations among the 21 responsibilities to warrant eliminating or combining any of them. They found that each responsibility is distinct enough to include it in our set of 21 responsibilities. This finding indicates strong construct validity in the results of the meta-analysis.

Second, they found an empirical relationship between the 21 leadership responsibilities and change. That is, principals reported varying their emphasis of the 21 responsibilities based on their estimates of the order of magnitude of change associated with improvement initiatives. Specifically, we found that all 21 responsibilities were *positively* correlated with first-order change. This finding indicates that principals appear to evenly balance their emphasis of all 21 responsibilities when leading change perceived as routine or first-order.

The researchers were most surprised, however, by the second factor that emerged in this analysis: second-order change. Eleven of the leadership responsibilities correlated at a level of statistical significance with second-order change. As shown in Exhibit 2, seven were *positively* correlated with second-order change, and four were *negatively* correlated with second-order change.

Exhibit 2: Responsibilities correlated with second-order change

Positively correlated	Negatively correlated
• Knowledge of Curriculum, Instruction, and Assessment • Flexibility • Change Agent • Ideals and Beliefs • Monitor and Evaluate • Intellectual Stimulation • Optimize	• Culture • Communication • Input • Order

This finding suggests that when leading second-order changes, principals emphasize the seven responsibilities in the

left-hand column of Exhibit 2 while struggling to effectively fulfill the four responsibilities in the right-hand column.

This is *not* to suggest that these four responsibilities have a *negative* impact on second-order change. Indeed, fulfilling these responsibilities effectively will likely increase the prospects for successful implementation of second-order change initiatives.

Nor does this finding suggest that principals are not working hard to fulfill these responsibilities effectively. Rather, we think of this finding as the "unintended negative consequence" of second-order change.

Michael Fullan (2001) and others have written about "implementation dip" associated with second-order change. Declines in performance in schools (and other organizations) when struggling to implement changes requiring new knowledge and skills, that challenge prevailing norms, or conflict with personal values are well documented. The implementation dip is the experience of things getting worse before they get better.

McREL's factor analysis offers some empirical validation of the implementation dip. It suggests that when schools undertake an initiative with second-order implications for most stakeholders, teachers may feel there is less cohesion and more fragmentation in the school and less clarity regarding the school's vision *(culture)*. They may also feel like the principal is less accessible and less willing to listen to their concerns *(communication)*. Furthermore, they may feel like they have less influence on the day-to-day functions and direction of the school *(input)*. Finally, they may feel like patterns of behavior, communication, and decision making are no longer predictable (*order*).

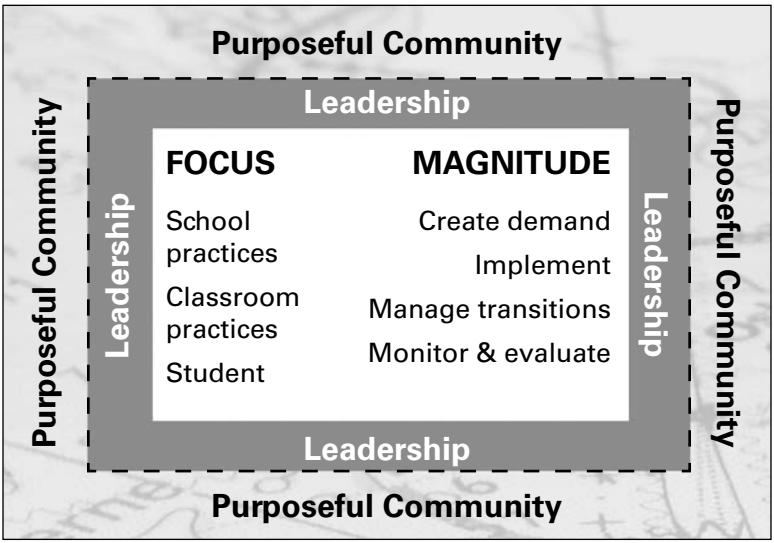
As stated earlier, this finding does not imply that principals are not attending to these responsibilities. Rather, it suggests that it is difficult to fulfill these four responsibilities effectively when leading changes with second-order implications for stakeholders—especially when they are heavily emphasizing the six responsibilities positively correlated with second-order change. This is what we mean by the "unintended negative consequence" of second-order change—the possibility that teachers' perceptions of a principal's effectiveness in these areas of responsibility will be negatively affected *by* second-order change.

We encourage principals to consider sharing leadership of the four negatively correlated responsibilities with others—members of their leadership team or staff members—when leading initiatives they estimate as second-order change for the majority of their staff. While emphasizing the seven responsibilities positively correlated with second-order change, a principal should consider asking others to attend to the responsibilities of Culture, Communication, Order, and Input.

The Balanced Leadership Framework

McREL developed the Balanced Leadership Framework because we understood the difficulty of keeping 21 leadership responsibilities and 66 practices in mind. We also wanted to connect our research findings to existing research-based knowledge on change management, diffusion theory, collective efficacy, institutional theory, living systems theory, community development, asset utilization, and school improvement. The result of this effort is the Balanced Leadership Framework (see Exhibit 3), which groups the 21 responsibilities into an organizing structure: Leadership, Focus, Magnitude of Change, and Purposeful Community.

Exhibit 3: McREL's Balanced Leadership Framework



We believe this Framework, which serves as the foundation for our Balanced Leadership professional development program, not only organizes the myriad of responsibilities of school leaders, but also, and perhaps more importantly, helps them connect their vision for their schools with a plan of action.

Leadership

Leadership is the foundation component in the Framework. We place it within the Framework strategically as the interface among Focus, Magnitude, and Purposeful Community. It is our view that leaders are continually engaged in focusing the work of the school, leading change with varying orders or magnitude, and developing purposeful community both within the school and in the larger community. The dotted lines between leadership and the other three Framework components are intended to reflect permeable, rather than hardened or rigid, boundaries between leadership and school and classroom practices, students, change, and the community.

The Framework also provides guidance to principals as they fulfill the 21 leadership responsibilities. Focusing the work of the school, leading change, and developing purposeful communities is what effective principals do. Skillfully emphasizing the 21 leadership responsibilities is how they do it.

To guide the use of these findings, we have placed combinations of the 21 responsibilities in the three Framework components, as shown in Exhibit 4. The following sections describe each of these components in detail, including what one might expect to observe as a principal emphasizes responsibilities to focus his or her school, lead change, and develop purposeful community.

It should be noted that principals fulfill multiple responsibilities simultaneously. Our primary placement of the responsibilities and how they are fulfilled is intended as the beginning of this application, not the last word on when, why, and how these findings should be applied.

Exhibit 4: Primary placement of leadership responsibilities in Framework

Purposeful Community	Focus	Magnitude
Affirmation Communication Culture Ideals/beliefs Input Relationships Situational awareness Visibility	Contingent rewards Discipline Involvement in curriculum, instruction, and assessment Focus Order Outreach Resources	Change agent Flexibility Ideals/beliefs* Intellectual stimulation Knowledge of curriculum, instruction, and assessment Monitor/evaluate Optimize

*All 21 leadership responsibilities are divided among the three components of the Framework. However, the *Ideals/beliefs* responsibility appears in two components: Purposeful Community and Magnitude of Change.

Although McREL's factor analysis identified it as one of the seven leadership responsibilities positively associated with second-order change, it is also included in Purposeful Community due to its importance in building collective efficacy.

Why "Balanced" Leadership?

These studies were initially published as *Balanced Leadership: What 30 Years of Research Tells Us about the Effect of Leadership on Student Achievement* (Waters, Marzano, and McNulty, 2003). The notion of "balanced leadership" as the concept for presenting this work emerged from the observations of McREL's research team as they reflected on the research findings through the lens of decades of combined experience working with and in schools.

Principals are asked to fulfill many and varied responsibilities that are important in running a school. Not all of them, however, are *essential* to improving student achievement. For example, maintaining facilities, managing budgets, complying with regulations, and arranging transportation are all *important* aspects of running a school, but not *essential* to creating higher levels of student achievement. Thus, we hope our research findings can help principals balance their time and efforts in fulfilling *important* and *essential* responsibilities.

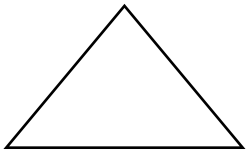
In addition, we observed something of a paradox in the 21 responsibilities identified through the meta-analysis. Some of the responsibilities have the effect of stabilizing or "normalizing" patterns of organizational and personal behavior. For example, emphasizing the responsibilities of *culture, discipline, focus, order,* and *involvement in curriculum, instruction, and assessment* reinforce the status quo of routines, procedures, and practices.

At the same time, as depicted in Exhibit 5, many other responsibilities tend to have the effect of *de*-stabilizing or challenging "normal" organizational and individual behavior patterns. Most notably, the responsibilities of *change agent, flexibility, ideals and beliefs, intellectual stimulation,* and *optimize*, are likely to disrupt routines, procedures, and practices.

Balancing when and how to maintain the status quo with when and how to challenge it is often the difference between effective and ineffective leadership. Highly successful principals strike an appropriate balance between answering questions with asking them, between stepping up and taking charge with stepping back and letting others lead, between pushing people and systems with supporting them, and between speaking and listening.

Exhibit 5: "Balancing" leadership responsibilities

"Destabilizing" responsibilities	"Stabilizing" responsibilities
Change agent	Culture
Flexibility	Discipline
Ideals and beliefs	Focus
Intellectual stimulation	Order
Optimize	Involvement in curriculum, instruction, and assessment



In summary, we hope that these research findings and this Framework help practitioners balance their emphasis of destabilizing or "challenge" responsibilities with stabilizing or "maintenance" responsibilities.

Focus of leadership

We have already summarized McREL's finding of the strong positive general effect of principal leadership on student achievement. Yet several of the 69 studies included in the meta-analysis reported a negative correlation between leadership and student achievement.

This variance was described as the "differential impact" of leadership. We have also presented what we view as the most plausible explanation for this finding: the *focus* of a leader's improvement initiatives and the magnitude of *change* associated with these improvement initiatives. Accordingly, focus and change are two of the components in the Framework.

Following are examples of how the focus of a strong principal's improvement initiatives could have a differential impact on student achievement.

- A principal might focus attention on improving school practices and classroom practices that are already well developed and effectively implemented. As a result, focusing on these practices is not likely to produce measurable impact on student and school performance. This might be thought of as putting new spark plugs into an automobile that is already running well. It doesn't hurt, but it doesn't help because it's not what's needed.

- A principal might focus attention on school and classroom practices for which the staff lacks the knowledge and skills to implement effectively. This would result in marginal implementation. For research-based classroom and school practices to improve achievement, they must be implemented with quality, fidelity, consistency, and intensity. Marginal, inconsistent, or unskillful implementation is not likely to produce desired results. This might be thought of as providing spark plugs to someone to install in a poorly running automobile without instructions for installing them. Providing the right parts and tools for improving performance without the knowledge to use them correctly will not produce needed improvements.

- A principal might focus his or her school on practices with weak relationships to student achievement. This might be akin to putting new seat covers in a car that is backfiring or stalling. Superficial or trendy changes that neglect the real problem will not result in better performance.

Based on this explanation of the "differential impact" of leadership, we suggest that school-level leaders strengthen their knowledge and use of research on the school and classroom practices with the largest effect sizes or predictable influence on student achievement.

McREL's ongoing examination of the past 30 years of research on effective schools and classrooms has been reported in several Association for Supervision and Curriculum Development (ASCD) publications, including *Transforming Classroom Grading* (Marzano, 2000), *Classroom Instruction that Works* (Marzano, Pickering, & Pollock, 2001),

What Works in Schools (Marzano, 2002), and *Classroom Strategies for Helping At-Risk Students* (Snow, 2003). Additional research and insights into effective schools and classrooms have been captured in the McREL reports, *The Effectiveness of Out-of-School-Time Strategies in Assisting Low-Achieving Students in Reading and Mathematics: A Research Synthesis* (Lauer, et al., 2004), *Noteworthy Perspectives: Success In Sight* (Dean, Galvin & Parsley, 2005), and *McREL Insights: Schools that Beat the Odds* (2005).

While we do not claim that these analyses represent all that there is to know from the research on school and classroom practices, we believe they are as good a collection as any available to help principals focus their schools on the "right" things to do. For example, a principal might ensure that his or her school has a "guaranteed and viable curriculum" or that teachers are using the nine strategies presented in *Classroom Instruction that Works*. Exhibit 6 demonstrates how principals can use seven key leadership responsibilities to focus their schools on research-based classroom and school practices that have statistically significant effects on student achievement.

Exhibit 6: Leadership responsibilities used to focus schools on research-based practices

Responsibilities	Classroom & school practices
Resources: *provides teachers with the materials and professional development necessary for the successful execution of their jobs*	Research-based instructional strategies, classroom management, and curriculum design are the primary focus of school improvement. Ongoing professional development is provided to enhance teachers' use of research-based instructional strategies, curriculum design, and classroom management practices.

Responsibilities	Classroom & school practices
Involvement in curriculum, instruction, and assessment: *is directly involved in the design and implementation of curriculum, instruction, and assessment practices*	There is agreement on a "guaranteed and viable" curriculum, i.e., essential content, knowledge, and skills that all students are expected to learn. There is adequate time for students to learn essential knowledge and skills. Instruction and assessment are aligned with essential knowledge and skills. All classes teach the vocabulary students will need to succeed on assessments. Attention remains focused on the goals for learning the essential curriculum regardless of distractions that may arise during a year.
Focus: *establishes clear goals and keeps those goals in the forefront of the school's attention*	Challenging goals are set for the school as a whole as well as for individual teachers and students. Concrete performance targets are set for the school as well as for students and teachers. Students and teachers are expected to meet performance targets. Teachers and students have easy access to meaningful formative data on their performance. Performance is reported in relation to goals and performance targets.
Outreach: *is an advocate and spokesperson for the school with all stakeholders*	Parents and community are involved—parents are invited and genuinely encouraged to become involved in the school. Parents are involved as classroom aides, monitor school activities, and are used as expert resources in classrooms. Parents are included in school-level governance processes and decisions when appropriate.

Responsibilities	Classroom & school practices
Order: *establishes a set of standard operating procedures and routines* **Discipline:** *protects teachers from issues and influences that would detract from their teaching time or focus*	There is a safe and orderly environment—students and teachers know and understand expected behaviors. Consequences are clear, fair, and consistently applied. Time for teaching and learning is protected from external distractions.
Contingent rewards: *recognizes and rewards individual accomplishments*	There is a high level of collegiality and professionalism—norms and standards for professional conduct are formalized and modeled by teachers and staff. Effort and quality performance are the bases for recognition.

Magnitude of change

Our second explanation for the differential impact of leadership is based on our understanding of the nature of change, the implications of change, the change process, and the leadership of change. We have asserted that strong leaders, even when focusing their change initiatives on the right school and classroom practices, can have a negative impact on achievement if they fail to understand the implications for stakeholders. This assertion is the underlying basis for the *change* component of our Framework.

McREL's earlier work describes the characteristics of change that will be perceived as either first-order or second-order based on the implications of change for community members. It is important to note that the terms first-order and second-order have less to do with the actual change initiatives themselves and more to do with the *implications* of change for individuals expected to carry out the change effort.

In other words, like beauty, magnitude of change lies in the eye of the beholder. As described in Exhibit 7, whether stakeholders perceive a change as first-order or second-order has less to do with the change itself than it does with their own knowledge, experience, values, and flexibility. As a result, few changes are of the same magnitude for *all* stakeholders. Indeed, the same change can be perceived as a first-order change for some stakeholders and a second-order change for others.

Exhibit 7: Comparison of first-order change & second-order change

First-order Change When a change is perceived as:	Second-order Change When a change is perceived as:
An extension of the past	A break with the past
Within existing paradigms	Outside of existing paradigms
Consistent with prevailing values and norms	Conflicted with prevailing values and norms
Implemented with existing knowledge & skills	Requiring new knowledge & skills to implement

Examples of first- and second-order changes

An example of a change that most teachers might view as first-order is teaching the vocabulary students must understand to perform well in their school's assessment and accountability program. Teaching vocabulary that appears in the essential curriculum and in assessment instruments makes sense to most teachers. It is consistent with their prior experience, an incremental step that builds on the existing knowledge of pedagogy, and is consistent with their personal values and the perceived norms of their school and district. However, this is not true for all teachers. For some, vocabulary instruction can be a second-order change, one that is not consistent with their prior experience, conflicts with their personal values and the prevailing norms of their school or district, or requires them to gain new knowledge and skills. As a result, even a seemingly simple effort to encourage direct teaching of vocabulary can have second-order implications for some stakeholders.

Consider a second example: implementing a system of standards-based record keeping, grading, and reporting. This initiative asks teachers to base their assessment of student performance on the standards or benchmarks adopted for their grade level or course of study. In other words, teachers now calculate grades based on students' demonstrated learning at the end of a grading period, rather than averaging performance from the beginning to the end of the grading period. Grades reflect how students perform against a rubric tied to each benchmark and report cards reflect student performance against those rubrics. In such a standards-based grading system, poor performance might earn no grade, based on the premise that "if the work does not meet a high standard, it isn't finished." Conversely, meeting high standards results in good grades. As a result, there is no "bell curve" and, thus, it becomes possible for all students to earn good grades.

In most schools and districts, this approach to grading would represent a second-order change for the majority of stakeholders. However, some teachers and principals might view this change as a logical next step to their work with standards and benchmarks, consistent with their personal values, and in step with school and district policy development. For these educators, this initiative would simply be a first-order change.

In order to avoid the "differential impact of leadership," principals must understand and accurately estimate the order of magnitude of their improvement initiatives for all stakeholders. Moreover, they must also understand the change process—that is, they must understand which leadership responsibilities to emphasize and *how* to emphasize them when working with stakeholders for whom the change may have different implications.

Leading change

In light of rising global competition, the universal call for higher levels of student achievement, and increasingly rigorous systems of accountability, schools are confronted with the need to make dramatic changes in the ways they operate. Research-based practices, when successfully implemented, are generally viewed as good for teachers, good for principals, and good for students. However, even the most well-documented, well-defined, and powerful research-based practices, can be met with resistance—especially when they require new knowledge, new relationships, and new procedures for those expected to implement them.

In this section, we describe phases of the change process and the leadership responsibilities that must be fulfilled to effectively lead second-order changes (see Exhibit 8). The results of the factor analysis described earlier provide important new information for principals leading second-order change. In many ways, these data confirm what seasoned school and district leaders already understand: that leading change initiatives with major implications for stakeholders can be a high-stakes proposition, and fulfilling key responsibilities exceptionally well is both difficult and imperative.

Exhibit 8: Responsibilities positively correlated with second-order change

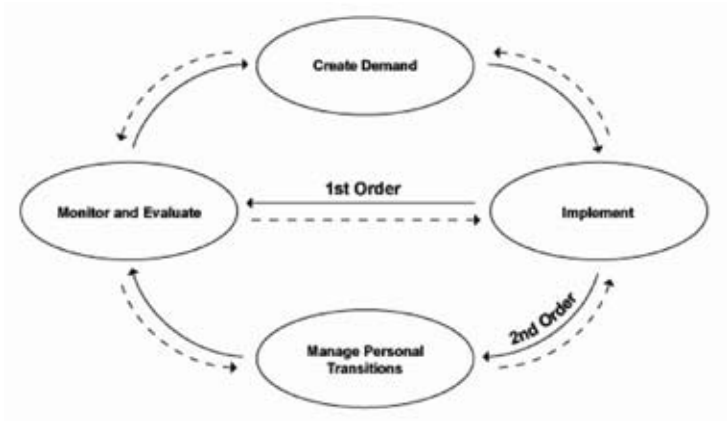
Responsibilities (the extent to which the principal...)	Associated practices
Ideal/beliefs: *communicates and operates from strong ideals and beliefs about schooling*	Holds strong professional beliefs about schools, teaching, and learning Shares beliefs about schools, teaching, and learning with the staff Demonstrates behaviors that are consistent with beliefs
Optimize: *inspires and leads new and challenging innovations*	Inspires teachers to accomplish things that might seem beyond their grasp Portrays a positive attitude about the ability of the staff to accomplish substantial things Is a driving force behind major initiatives
Flexibility: *adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent*	Is comfortable with major changes in how things are done Encourages people to express opinions contrary to those with authority Adapts leadership style to needs of specific situations Can be directive or non-directive as the situation warrants

Responsibilities (the extent to which the principal...)	Associated practices
Knowledge of curriculum, instruction, and assessment: *is knowledgeable about current curriculum, instruction, and assessment practices*	Is knowledgeable about instructional practices Is knowledgeable about assessment practices Provides conceptual guidance for teachers regarding effective classroom practice
Intellectual stimulation: *ensures faculty and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school's culture*	Keeps informed about current research and theory regarding effective schooling Continually exposes the staff to cutting-edge ideas about how to be effective Systematically engages staff in discussions about current research and theory Continually involves the staff in reading articles and books about effective practices
Change agent: *is willing to and actively challenges the status quo*	Consciously challenges the status quo Is comfortable with leading change initiatives with uncertain outcomes Systematically considers new and better ways of doing things
Monitor and evaluate: *monitors the effectiveness of school practices and their impact on student learning*	Monitors and evaluates the effectiveness of curriculum, instruction, and assessment

Phases of change

Effective change leadership requires a deep understanding of the change process, which is complex, non-linear, and recursive. This makes it difficult for leaders to have a clear understanding of where they are in the process. In an effort to support a leader's understanding of the change process, Exhibit 9 presents a simplified diagram illustrating McREL's theory of change, composed of four phases: *Create Demand*, *Implement*, *Manage Personal Transitions*, and *Monitor and Evaluate*.

Exhibit 9: Four phases of the change process



There are several important characteristics of the process of change illustrated in this figure. First, they are highly interdependent. For example, successful implementation requires effective management of personal transitions, which is based on close monitoring of the implementation of a change. Monitoring and evaluating the quality, fidelity, consistency, and intensity of implementation may increase or decrease demand for change.

Second, the phases of change are not sequential; they are recursive. For example, at the implementation phase, it is likely that leaders continue to create demand as a means to revitalize change initiatives that are losing ground.

Third, the change process is substantially different for change perceived as first-order from change perceived as second-order. For example, as shown in the exhibit, the phase "Manage Personal Transitions" is related only to change perceived as second-order. Because first-order change is perceived as an extension of the past and consistent with stakeholders' accepted ways of doing things, leaders do not typically need to manage the personal transitions that accompany change perceived as first-order.

However, because the change process is dynamic and complex, it is possible that for a change perceived as first-order for most members of an organization there may be some stakeholders for whom change will be second-order. This means that leaders must be highly attuned to their staff, their organization, their community, the magnitude of change implied by their improvement initiatives, and the phases of change.

Create demand

Little change occurs in an organization or community that is satisfied with the status quo. If a change is to be initiated, it is generally the result of one of two possibilities. The first is the emergence of a shared vision that challenges the current reality. In this case, the vision is attractive and compelling enough that individuals or groups are willing to accept changes required to realize the vision, in spite of risk and discomfort that might be associated with it.

The second possibility is that the current reality is so unpleasant that individuals or groups are willing to accept the risk and discomfort associated with changing the status quo, hoping that a new reality will ultimately be less painful than the current one. In both cases, the tension between the current reality and a preferred future develops sufficient energy and motivation to move individuals or groups away from the status quo.

The tension that contributes to a demand for change can be a product of many different forces. As shown in Exhibit 10, two of the seven leadership responsibilities positively correlated with second-order change, *Intellectual Stimulation*, *Change Agent,* and *Ideals and Beliefs* can create demand for change.

By fulfilling the *Change Agent* responsibility, the principal focuses directly on the change process by actively challenging the status quo, modeling a comfort level with leading change with uncertain outcomes, and systematically considering new and better ways of doing things. Principals who create demand by fulfilling the *Intellectual Stimulation* responsibility use current research, cutting-edge ideas, and books and articles about effective practices to create a tension between current and desired practices.

Exhibit 10: Leadership responsibilities associated with creating demand

Responsibilities associated with 2nd-order change	Phase of change process
Intellectual stimulation: *ensures teachers and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school's culture* **Change agent:** *is willing to and actively challenges the status quo* **Ideals and beliefs**: *communicates and operates from strong ideals and beliefs about schooling*	**Create demand** — A pervasive expectation of continuous improvement, regardless of perceived obstacles or limitation contributes to a push for continuous improvement. Principals expose teachers to research and related information about effective practices, and then engage them in discussions about how to apply research findings in their classrooms. School leaders challenge the status quo, always considering new and better ways of doing things. Principals also keep themselves up-to-date on cutting-edge ideas about how to improve individual and school effectiveness. They routinely share beliefs about teaching and learning, modeling these beliefs through actions.

Implement

Once leaders have created demand for change, the challenge becomes implementing appropriate research-based practices effectively. To sustain the tension that was created in the previous phase and to guide teachers and others through this phase of the change process requires principals to maintain a relentless focus on the quality, fidelity, consistency, and intensity of implementation. All too often, change initiatives fail at this phase because leaders assume that the demand created in the initial phase will carry the initiative forward.

However, sustaining the tension and effectively implementing the change requires that principals develop a deep and shared understanding of the content of the change initiative while supporting and inspiring others to embrace the change. As shown in Exhibit 11, two leadership responsibilities support principals in this effort: (1) *Knowledge of curriculum, instruction, and assessment* and, (2) *Optimize*.

Exhibit 11: Leadership responsibilities associated with implementing change

Responsibilities associated with 2nd-order change	Phase of change process
Knowledge of curriculum, instruction, and assessment: *is knowledgeable about current curriculum, instruction, and assessment practices* **Optimize:** *inspires and leads new and challenging innovations*	**Implement** — Principals develop knowledge of effective, research-based curriculum, instruction, and assessment practices, and then use this knowledge to provide conceptual guidance to teachers. Principals also inspire teachers to use demanding, research-based classroom practices and believe that teachers can successfully implement these practices and convey this belief to teachers. Principals should interpret disappointments in ways that help school staff to see them as temporary and isolated and interpret successes in ways that help staff view them as permanent and universal.

First, principals must be highly knowledgeable about curriculum, instruction, and assessment and the research-based practices associated with the change initiative. They must also provide conceptual guidance regarding the related school and classroom practices. Second, they must support teachers and others in realizing and implementing the change through inspiration, by portraying a positive attitude about their abilities, and being a driving force behind the initiative.

Manage personal transitions

Often, changes in programs and practices, which represent a *gain* for students, schools, or school districts, can be perceived as a *loss* for teachers or principals—especially, when they must gain new knowledge, develop new approaches and procedures, redefine relationships, and re-examine their norms and values. School improvement initiatives often require stakeholders to undergo personal transitions, which they often respond to by resisting change.

It is important to note that managing personal transitions created by second-order change is *not* the same as managing change. Bridges (1991) makes the distinction between *change* and *transition* by describing the former as external and the latter as internal (p. 3). *Personal* transitions, according to Bridges, are *internal*, personal, psychological processes that are often the result of *external* changes.

For principals, managing personal transitions created by second-order change, and understanding individual responses and managing them effectively is imperative to successful change leadership. Because personal transitions vary between individuals and groups, principals must fulfill the leadership responsibility *Flexibility* (see Exhibit 12). That is, they must be flexible in their approach to leadership and differentiate their

leadership behaviors by being directive or non-directive as the situation warrants.

This flexibility includes understanding when to use authority to direct resources and to answer questions, as well as knowing when to step back, frame strategic questions, and encourage others to help find answers. Principals must find the balance between setting direction for the school with listening to beliefs and opinions contrary to their own. Finally, principals themselves must be comfortable with

Exhibit 12: Leadership responsibilities associated with managing personal transitions

Responsibilities associated with 2nd-order change	Phase of change process
Flexibility: *adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent*	**Manage personal transitions** — The principal understands when to direct, when to step back, when to answer questions and when to ask them, when to speak and when to listen. He or she understands the fear and stress of second-order change for stakeholders. There is attention to the importance of symbolic events and a willingness to establish temporary agreements to assist those who need extra support. The principal makes clear the reasons for change, shares an attractive vision of what will be different because of the change, develops a change management plan, and specifies the new roles, responsibilities, and activities for all stakeholders.

major changes in how things are done. Often, principals may need to lead changes that are for themselves second-order. This requires that principals engage in reflective practice and maintain an awareness of the implications of change for themselves as well as others.

Finally, it is important to remember that poorly managed personal transitions are likely to exacerbate the feeling of loss that people may experience when engaged in what they view as second-order change. When people feel like they are losing something, they may look for someone to blame for their loss. The easiest person to blame in any organization is the one responsible for the change itself: the principal. For precisely this reason, change leadership can be a high-stakes proposition.

Monitor and evaluate

Monitoring the implementation of research-based improvement initiatives requires that principals fulfill the responsibility *monitor and evaluate* (see Exhibit 13). They do this by

- Collecting and analyzing data on the quality, fidelity, consistency, and intensity of implementation.
- Assessing the impact of implementation on student achievement.
- Determining the impact of implementation on implementers.

By monitoring the impact of change on those who are responsible for implementing it, principals will know how accurately they estimated the order of magnitude of change implied by their improvement initiatives and thus, be able to adjust their leadership behaviors accordingly.

Exhibit 13: Leadership responsibilities associated with monitoring & evaluating change

Responsibilities associated with 2nd-order change	Phase of change process
Monitor and evaluate: *monitors the effectiveness of school practices and their impact on student learning*	**Monitor and evaluate** — There is real-time access to and use of all relevant data on needs and performance of individuals, groups, and the organization. Attention is paid to the quality of implementation of research-based instructional and classroom practices. Analyses of formative data on leading indicators of implementation and impact are fed into decisions about the pace and intensity of additional changes. Change implementation is also carefully monitored.

The consequences of second-order change

McREL's factor analysis provided an additional insight into the dynamics of change leadership. Just as the three leadership responsibilities included in Exhibit 10 are *positively* correlated with leading second-order change, there were four responsibilities *negatively* correlated with second-order change: *Culture*, *Order*, *Communication*, and *Input*.

The fact that principals struggle to fulfill these responsibilities when leading second-order changes is not altogether surprising. We have all experienced second-order change that produced feelings of disorientation, breakdowns in communication, leaders who seem less accessible, personal vulnerability, and the loss of voice or influence in the decision-making process. Regardless of how much

additional attention and effort a principal might give to these responsibilities, the results of our factor analysis suggest teachers and others in the school community are likely to perceive that their leaders are not attending to these responsibilities as well as they should.

To help mitigate the negative consequences of second-order change, we advise principals to consider asking others to share these responsibilities when leading second-order changes in their schools. Exhibit 14 provides examples of how a school leadership team or a designated transition team (e.g., school-level administrators, central office resource staff, teachers, parents, students, and other community members) might fulfill these responsibilities while the principal emphasizes the seven responsibilities positively correlated with second-order change.

Exhibit 14: Sharing leadership responsibilities negatively associated with second-order change

Responsibilities	The leadership and/or transition team...
Culture: *fosters shared beliefs and a sense of community cooperation*	Help articulate a vision or picture of where the school or program is heading. They help set up vicarious and mastery experiences that support acquisition of new knowledge and new skills. They encourage positive attitudes. They focus on successes and interpret disappointments as opportunities for improvement. They help clarify parts that individuals can play in successfully implementing changes.

Responsibilities	The leadership and/or transition team...
Order: *establishes a set of standard operating procedures and routines*	Plan and stage ceremonial events that honor the past, clarify what is ending, and what is beginning. They develop or negotiate temporary agreements or policies to provide new structures to guide and support behavior as new norms emerge.
Communication: *establishes strong lines of communication with teachers, staff, and among students*	Listen to concerns about clarity of the plan for change, implementation of the plan, and needed support. They continually articulate the new direction of the organization, clarify and simplify, when possible, helping individuals see connections between shared values and aspirations and new direction, focusing on the relative advantage of changes to everyone involved. They highlight short-term successes to feature evidence of impact as well as learning opportunities.
Input: *involves teachers in the design and implementation of important decisions and policies*	Encourage and actively seek experiences of the staff with implementation. They plan and facilitate periodic study sessions to learn what is working, what is not working, and to reiterate the reasons or purpose for the change initiative.

Purposeful Community

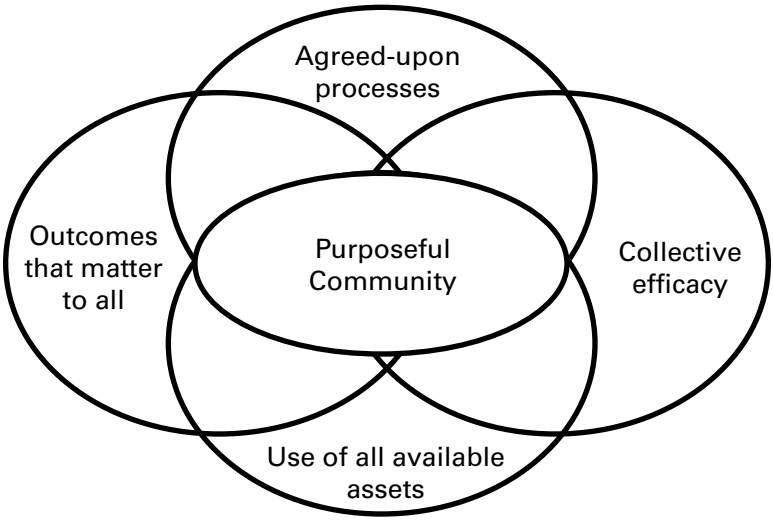
The idea of principals, teachers, and community members joining forces to improve student achievement is not new. Indeed, a long list of researchers have noted the importance of collegiality and professionalism. Rosenholtz (1991) documented the conditions of teacher workplaces. Newmann and Wehlage (1995) examined successful schools, tracing the relationship between increased student achievement and the level of professional community. Fullan (1993) discussed the power of collaboration in schools that are grounded in relationships where trust, compassion, and respect abound. Similarly, Dee Hock, founder and former CEO of Visa (1999), asserts that

> It is essential to determine with absolute clarity, shared understanding, and deep conviction the purpose of the community. From that, all else must flow. It is what will bind the group together as worthy of pursuit. (p. 7)

After reviewing hundreds of studies on school improvement, we have concluded that virtually everything in a school occurs within the context of a community, composed of students, parents, teachers and other school staff members, central office administrators and support personnel, the school board, other social agencies, and businesses. The more this diverse community is able to coalesce around shared purposes, the more sustainable and effective a school's change efforts will be.

Thus, one of the key components of the Balanced Leadership Framework is what we call "Purposeful Community." We define *Purposeful Community* as one with the *collective efficacy* and capability to *use all available assets* to accomplish purposes and produce *outcomes that matter to all* community members through *agreed-upon processes* (see Exhibit 15).

Exhibit 15: McREL's Definition of Purposeful Community



A compelling body of research evidence demonstrates the impact of leadership on the development of these attributes of Purposeful Communities (Bandura, 1997; Hoy, Smith, and Sweetland, 2002; Seligman, 1990). In the following sections, we describe in more detail how leaders can develop these four interconnected characteristics of purposeful communities.

Outcomes that matter to all

There are many types and forms of community; some more purposeful or intentional than others. In *Making the Grade*,

Wagner (2002) describes how purposeful or intentional communities are different than "coincidental communities":

> Historically, most communities were created by accident. They were usually the result of some physical proximity or immediate shared need. Sometimes they furthered the goals and growth and development of their members, sometimes they didn't—as any long-time resident of a small town will tell you. By contrast, an intentional community is created for a purpose. In fact, the intentional community was first widely used to describe efforts of the nineteenth century utopians to create communities whose goal was the intellectual and spiritual growth of its members. (pp. 148–149)

Leaders create purposeful or intentional communities by developing a vision of meaningful outcomes that they can only achieve as a community. Simply stated, they help community members answer the question, *What is it that we can do together than we cannot do as individuals?*

Obviously, individuals can accomplish many things. A Purposeful Community does not discourage them from completing individual tasks that lead to important outcomes. Rather, it helps them identify which outcomes can only be accomplished because the community exists and works together. Indeed, one distinguishing difference between purposeful and coincidental communities is the agreement among community members on what they can accomplish only because they are together as a community.

Use of all available assets

The second characteristic of McREL's definition of Purposeful Community is the development and use of

all available assets to accomplish outcomes that matter to all community members. Assets can be tangible—that is, physical, observable, and measurable. For example, computers, software, textbooks, science laboratory equipment, personnel, and financial resources are all tangible assets, which can be touched, seen, and easily measured.

Intangible assets, though more difficult to measure, are equally important. In fact, in the view of some financial analysts, they are as important as tangible assets because without intangible assets, the value and impact of tangible assets are typically marginalized. Low and Kalafut (2002), for example, report that 35 percent of the market value of "for profit" companies involved in mergers and/or acquisitions is based on an analysis of their intangible assets. Examples of intangible assets include leadership, strategy execution, transparency, customer reputation, innovation, and adaptability. These intangible assets and the ability of the community to capitalize on them are a reflection of leadership at all levels of the community (Kaplan & Norton, 2004).

It is important to understand that all communities have the potential to develop and utilize these assets. Some communities, however, use their assets more effectively than others. In school settings, the strategic and effective use of these assets can dramatically enhance the sustainability of improvement efforts and the impact of research-based school and classroom practices.

Agreed-upon processes

Complex living systems emerge around simple, but powerful, organizing principles. These principles are made operational through agreements that exist among members of the system. Regardless of whether these principles and the agreements

are explicit or implicit, conscious or unconscious, they produce relationships and complex patterns of behavior that can be at times elegant and productive, and at other times, confusing and conflicted. The most basic examples of simple, but powerful, organizing principles that produce elegant, complex, productive, and synchronous patterns of behavior can be observed in flocks of birds and schools of fish.

Every member of a flock of birds or school of fish understands how to flock or how to move at the same speed, banking or turning in the same direction at precisely the same moment without colliding into one another. They behave in accordance with the principles of flocking or of schooling, yet no one tells them to do it. Without regulations, policies, guidelines, or leaders telling them what to do, selected species of birds and fish demonstrate a deep understanding of "organizing principles" of flocking and schooling.

This dynamic of simple organizing principles producing complex, synchronous patterns of behavior is dependent on all members of the system honoring the principles. In fact, in the earliest computer simulations developed by scientists at the Santa Fe Institute, complex patterns of behavior emerged around simple organizing principles given to "boids," the term they gave to computer simulations of birds. The principles given to their computer-simulated birds were these:

- Maintain a minimum distance from other objects in the environment, including other birds.
- Match the velocity with other birds in the neighborhood.
- Move toward the perceived center of the mass of birds in the neighborhood.

With only these organizing principles, elaborate flocking behavior developed. Note that there is no specific direction given to the flock (Waldrop, 1994).

Similar phenomena can be observed in formal organizations. In her groundbreaking work, Margaret Wheatley (1992) describes organizations in which one can tell "what the organization's values and ways of doing business are by watching anyone, whether it be a production floor employee or a senior manager. There is a consistency and predictability to the quality of behavior." According to Wheatley, these organizations

> trust in the power of guiding principles or values, knowing that they are strong enough influencers of behavior to shape every employee into a desired representative of the organization. These organizations expect to see similar behaviors show up at every level in the organization because those behaviors were patterned into the organizing principles at the very start (p. 132).

Wheatley is describing the organizational example of flocking and schooling behavior; every member of the system understands the organizing/operating principles at a deep level and agrees to honor them. The "right" set of organizing principles, and agreements among members to honor them, produce consistent, elegant, synchronous, productive patterns of behavior. These become the "ways of doing business," or agreed-upon processes.

Agreed-upon processes in a Purposeful Community are those that contribute to stability within the community. They are processes that lead to patterns of communication, relationships among community members, a sense of individual well-being, connections between the school and

other critical institutions, shared leadership opportunities, and a sense of order and discipline.

On the other hand, they also can be processes that provoke the community into action, especially when stability, or the status quo, is not moving the community toward achieving its purposes. When instability rather than stability is needed, these processes will challenge the community to examine current realities in light of preferred futures and produce the energy and direction necessary to move in new directions.

Collective efficacy

The final characteristic of Purposeful Community is collective efficacy, which is a *shared perception or belief* held by a group that they can organize and execute a course of action that makes a difference (Goddard, 2001). In schools with high levels of collective efficacy, there is a shared belief among teachers that collectively they will have a positive impact on student achievement (Goddard, Hoy & Hoy, 2004). According to Goddard, Hoy, and Hoy, collective efficacy is measurable and varies from group to group. It is, in fact, a better predictor of student and school success than student socio-economic status or race (Goddard, 2003; Hoy, Smith, & Sweetland, 2002).

Moreover, collective efficacy is task specific. For example, when faculty members perceive their colleagues as being competent in instructional strategies, there is a higher level of collective efficacy than in schools where this perception does not exist. Collective efficacy is diminished when faculty members perceive their colleagues as incompetent in particular curricular or instructional areas. Collective efficacy, or a strong belief among members that they can exert some measure of control over their circumstances and make a positive difference through their united effort, is the

characteristic that distinguishes a purposeful community from other learning communities.

Why Collective Efficacy?

Fundamentally, the research on collective efficacy has shown that students achieve at higher levels in schools where the culture is characterized by having a high sense of collective efficacy (see Goddard, 2003; Goddard, LoGerfo, & Hoy, 2004; Hoy, Smith, & Sweetland, 2002). This critical characteristic of purposeful community is necessary for schools to transcend challenging goals and ultimately create student success. Furthermore, research provides guidance on how to constructively nurture and sustain collective efficacy. Bandura (1997) identified the following sources of collective efficacy:

- **Mastery experiences**. Efficacy grows when people experience initial success and have opportunities to build on these successes. Establishing conditions for "early wins" and building on these experiences reinforces group beliefs.

- **Vicarious experiences**. Efficacy is strengthened when individuals and groups have the opportunity to observe successful individuals in situations with similar circumstances.

- **Social persuasion.** This source of efficacy is also referred to as "normative press." Influential individuals within a group create high expectations and provide encouragement and support to others to persist in pursuit of desired outcomes.

- **Affective states**. A shared sense of hope and optimism that the group can accomplish its desired outcomes, even after disappointments, is another key source of collective efficacy.

- **Group enablement**. Groups build efficacy when they have opportunities to provide input on challenges/ problems and to develop their own responses and solutions to these challenges.

Of these five processes, researchers have found that mastery experiences have the most positive effect on collective efficacy (Goddard, 2001; Hoy, Smith, & Sweetland, 2002; Ross, Hogaboam-Gray, & Gray, 2004).

Purposeful vs. Professional Learning Community

While much has been written about the role that community plays in schools (e.g., DuFour & Eaker, 1998; Hord, 1997), we contend that the traditional view of community, including shared goals and a collaborative setting, is insufficient. The notion of "purposeful community," with its more robust characteristics, more adequately distinguishes highly effective from less effective school communities. In particular, the notion of "collective efficacy" distinguishes McREL's definition of purposeful community from other models of school communities, as shown in Exhibit 16.

Exhibit 16: Purposeful community compared with other models

Purposeful Community Waters, McNulty, & Marzano, 2005	Professional Learning Community DuFour & Eaker, 1998	Professional Learning Community Hord, 1997	Communities of Practice Wenger & Snyder, 2000
"A Purposeful Community is one with the collective efficacy and capability to develop and use assets to accomplish goals that matter to all community members through agreed upon processes."	"PLC schools have (1) a solid foundation consisting of collaboratively developed and widely shared missions, visions, values and goals, (2) collaborative teams that work interdependently to achieve common goals, and (3) a focus on results as evidenced by a commitment to continuous improvement."	"A school in which the professionals (administrators and teachers) continuously seek and share learning to increase their effectiveness for students and act on what they learn."	"Groups of people informally bound together by shared expertise and passion for a joint enterprise."
Accomplish purpose and produce outcomes that matter to all	Shared mission, vision, values and goals Focus on results	Shared values and vision	Joint enterprise

Purposeful Community Waters, McNulty, & Marzano, 2005	Professional Learning Community DuFour & Eaker, 1998	Professional Learning Community Hord, 1997	Communities of Practice Wenger & Snyder, 2000
Use of all available assets	Commitment to continuous improvement	Collective learning and application of learning	Passion, commitment and identification with group's expertise
Agreed-upon processes	Collaborative teams that work inter-dependently	Supportive conditions Shared personal practice Shared and supportive leadership	Build and exchange knowledge
Collective efficacy			

Purposeful Community and Leadership

A purposeful community develops largely as a result of its leadership. McREL identified 21 leadership responsibilities that are positively associated with student achievement. Exhibit 17 lists the eight leadership responsibilities that McREL suggests that principals emphasize to develop a purposeful community and provides guidance for translating these eight responsibilities into specific and potentially measurable indicators of purposeful communities.

Exhibit 17: Leadership responsibilities to create purposeful community

Leadership responsibilities	Characteristics of purposeful communities
Culture: *fosters shared beliefs and a sense of community and cooperation* **Ideals and beliefs:** *communicates and operates from strong ideals and beliefs about schooling*	There is consensus on reasons for working together – general agreement exists on why the community exists, what can only be accomplished because the members of the community are together as a community, and that they can accomplish what is important to them. The principal promotes cooperation, a sense of well-being, and cohesion among the staff. There is a shared understanding of purpose and a vision of what the school could be like. The principal holds and shares strong beliefs about teaching, learning, and the capability of the community to accomplish specific outcomes. The principal demonstrates behaviors that are consistent with his or her espoused beliefs.
Communication: e*stablishes strong lines of communication with teachers and among students* **Visibility:** *has quality contact and interactions with teachers and students*	There are critical connections among key members of the community – the principal is easily accessible to teachers, other staff, students, and community members. The principal uses systematic and frequent visits to classrooms, within the school, and in the community, to reinforce the importance of learning and the community's capability of accomplishing outcomes that matter.

Leadership responsibilities	Characteristics of purposeful communities
Input: *involves teachers in the design and implementation of important decisions*	Leadership is widely shared throughout the community. Rather than being seen as a position and defined only through positional authority, leadership becomes everyone's responsibility and all community members have opportunities to lead. The principal reinforces this density of leadership by providing opportunities for input on all important decisions. Leadership density is also increased through the development and use of a leadership team.
Relationships: *demonstrates an awareness of the personal aspects of teachers and staff* **Situational awareness:** *is aware of the details and undercurrents in the running of the school and uses this information to address current and potential problems*	Consensus is developed on ways of working together. The "ways of working" reflect the "agreed-upon processes" that characterize purposeful communities. These agreements are a product of the human and personal connections created by remaining aware of personal needs, staying informed about significant issues in the lives of community members, and acknowledging significant events in the lives of community members. These connections allow the principal to stay informed about relationships among groups and issues that might not surface on their own. These connections contribute to the ability of the principal to predict what could go wrong from day to day.

Leadership responsibilities	Characteristics of purposeful communities
Affirmation: *recognizes and celebrates school accomplishments and acknowledges failures.*	Attention is given to building on strengths in addition to addressing weaknesses – most communities focus on weaknesses or needs. Productive communities (and organizations) balance their attention on needs or weaknesses with a focus on community strengths and the importance of playing to them. These strengths are among the community's most important assets. The principal systematically and fairly recognizes and celebrates accomplishments of teachers, staff, and students. The principal is also willing to acknowledge failures along with successes. Failures are viewed as learning opportunities. The principal reinforces and builds on the individual strengths of all community members.

Generally, schools serve "accidental" communities (Wagner, 2002). Communities created by political or policy decisions always start as accidental. The nature of how they are created or designated makes them accidental. Members of these communities do not have a common understanding of what they can only accomplish because they are a community. They do not have agreed upon ways of working together. They do not share knowledge of their tangible and intangible assets. They have not developed collective efficacy.

They can, however, be developed into purposeful communities through strong and effective leadership. For this to happen, principals must understand the value and attributes of Purposeful Community, and emphasize leadership responsibilities in ways that contribute to this development. Without Purposeful Community, it is difficult to imagine schools successfully implementing and sustaining the changes necessary to prepare all of their students to live and work in an increasingly competitive, fast-paced global economy. Within a Purposeful Community, it is difficult to imagine anything else.

Conclusion

At no time in recent memory has the need for effective and inspired leadership been more pressing than it is today. With increasing expectations in society and in the workplace for knowledgeable, skilled, responsible citizens, the pressure on schools intensifies. The importance of truly effective educational leadership is clear and the time for improving schools is short. It is our hope that the Balanced Leadership Framework will provide the guidance principals need to enhance effectiveness, translate vision and aspirations into action, and improve achievement for all students.

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McREL's Balanced Leadership Profile®

How well are you fulfilling the Balanced Leadership responsibilities and practices in your school?

With McREL's online feedback tool, the Balanced Leadership Profile, you can benchmark your performance against the 21 responsibilities and 66 practices of highly effective leaders described in this publication.

Take the ***free*** self-assessment or invite your school staff to give you feedback on your performance. You'll get an objective picture of your strengths and opportunities for growth as an instructional leader as well as how stakeholders perceive changes in your school.

Learn more at
http://www.educationleadershipthatworks.org/

Appendix C

Principal Effectiveness Ratings:
Simple example of converting categorical ratings to leadership effectiveness ratings

Principal Application

Principal effectiveness ratings

Simple example of converting categorical ratings to leadership effectiveness ratings

McREL

6/6/2011

This document illustrates how McREL's categorical ratings for determining school-leader performance converts to other rating categories. Additionally, this EXAMPLE document illustrates how to potentially include student performance factors as a constituent part of determining principal effectiveness. This document is for illustrative purposes only. McREL's Research and Evaluation department will assist states and local districts in determining their definition of effectiveness.

Example 1

Sample Rating with Student Achievement for an "Average" Principal
(Student Achievement Equal to a Standard – accounting for 20% of the total score)
3 different ratings for student achievement

1. Ratings on Framework Components		
Framework Component	**Rating**	**Score***
Purposeful Community	**Proficient**	**10**
Managing Change	**Accomplished**	**15**
Focus of Leadership	**Proficient**	**10**
Core Principal Responsibilities (not included in the evaluation tool, but can be locally developed with McREL)	**Proficient**	**10**
Overall Rating on Performance on Framework Components		**45**

2. Ratings on Student Achievement			
Student Achievement (Choose one of the following ratings)	**# Points**		
Aggregate scores of students do not meet expected gains (are equal to 0.99 or less)	**0**		
Aggregate scores of students meet expected gain scores or exceed them by a factor of less than 1.49.	**10**	✓	**10**
Aggregate scores of students exceed expected gains by a factor of 1.5 or more.	**20**		

3. Principal Effectiveness Rating		
Add the **Overall Rating on Performance Against Standards** and the **Total Points for Rating on Student Achievement**		**55**
Determine effectiveness rating		
** Below 40 = Not Effective		
40– 69 = Effective	✓	
70 and above = Highly Effective		

*Not Demonstrated = 0
Developing = 5
Proficient = 10
Accomplished = 15
Distinguished = 20

Example 2

Sample Rating with Student Achievement for an "Average" Principal
(Student Achievement Equal to a Standard – accounting for 20% of the total score)
4 different ratings for student achievement

1. Ratings on Framework Components		
Standards	**Rating**	**Score***
Purposeful Community	**Proficient**	**10**
Managing Change	**Accomplished**	**15**
Focus of Leadership	**Proficient**	**10**
Core Principal Responsibilities (not included in the evaluation tool, but can be locally developed with McREL)	**Proficient**	**10**
Overall Rating on Performance Against Standards		**45**

2. Ratings on Student Achievement			
Student Achievement (Choose one of the following ratings)	**# Points**		
Aggregate scores of students do not meet expected gains (are equal to 0.99 or less)	**0**		
Aggregate scores of students meet expected gain scores or exceed them by a factor of 1.00 to 1.24.	**5**	✓	**5**
Aggregate scores of students exceed expected gain scores by a factor of 1.25 to 1.49.	**15**		
Aggregate scores of students exceed expected gains by a factor of 1.5 or more.	**20**		

3. Principal Effectiveness Rating		
Add the **Overall Rating on Performance Against Standards** and the **Total Points for Rating on Student Achievement**		**50**
Determine effectiveness rating		
** Below 40 = Not Effective		
40 – 69 = Effective	✓	
70 and above = Highly Effective		

*Not Demonstrated = 0
Developing = 5
Proficient = 10
Accomplished = 15
Distinguished = 20

Example 3
Sample Rating with Student Achievement for an "Average" Principal
(Student Achievement Equal to 50% of the total score)
3 different ratings for student achievement

1. Ratings on Framework Components		
Standards	**Rating**	**Score***
Purposeful Community	**Proficient**	**12**
Managing Change	**Accomplished**	**18**
Focus of Leadership	**Proficient**	**12**
Core Principal Responsibilities (not included in the evaluation tool, but can be locally developed with McREL)	**Proficient**	**12**
Overall Rating on Performance Against Standards		**54**

2. Ratings on Student Achievement			
Student Achievement (Choose one of the following ratings)	# Points		
Aggregate scores of students do not meet expected gains of (are equal to 0.99 or less)	**0**		
Aggregate scores of students between 1.01 and 1.49 (50 points).	**50**	✓	**50**
Aggregate scores of students exceed expected gains by a factor of 1.5 or more. (100 points)	**100**		

3. Principal Effectiveness Rating			
Add the **Overall Rating on Performance Against Standards** and the **Total Points for Rating on Student Achievement**			**104**
Determine effectiveness rating:			
** Below = Not Effective			
100 – 149 = Effective		✓	
150 and above = Highly Effective			

*Not Demonstrated = 0
Developing = 6
Proficient = 12
Accomplished = 18
Distinguished = 25

Example 4
Sample Rating with Student Achievement for an "Average" Principal
(Student Achievement Equal to 50% of the total score)
4 different ratings for student achievement

1. Ratings on Framework Components		
Standards	**Rating**	**Score***
Purposeful Community	**Proficient**	**12**
Managing Change	**Accomplished**	**18**
Focus of Leadership	**Proficient**	**12**
Core Principal Responsibilities (not included in the evaluation tool, but can be locally developed with McREL)	**Proficient**	**12**
Overall Rating on Performance Against Standards		**54**

2. Ratings on Student Achievement			
Student Achievement (Choose one of the following ratings)	# Points		
Aggregate scores of students do not meet expected gains (equal to 0.99 or less).	**0**		
Aggregate scores of students meet expected gain scores or exceed them by a factor of 1.00 to 1.25.	**50**	✓	**50**
Aggregate scores of students exceed expected gain scores by a factor of 1.26 to 1.49.	**75**		
Aggregate scores of students exceed expected gains by a factor of 1.5 or more.	**100**		

3. Principal Effectiveness Rating		
Add the **Overall Rating on Performance Against Standards** and the **Total Points for Rating on Student Achievement**		**104**
Determine effectiveness rating		
** Below 100 = Not Effective		
100 to 149 = Effective	✓	
150 and above = Highly Effective		

*Not Demonstrated = 0
Developing = 6
Proficient = 12
Accomplished = 18
Distinguished = 25

Example 5
Sample Rating with Student Achievement for an "Average" Principal
(Student Achievement Equal to 65% of the total score)
4 different ratings for student achievement

1. Ratings on Framework Components		
Standards	**Rating**	**Score***
Purposeful Community	**Proficient**	**12**
Managing Change	**Accomplished**	**18**
Focus of Leadership	**Proficient**	**12**
Core Principal Responsibilities (not included in the evaluation tool, but can be locally developed with McREL)	**Proficient**	**12**
Overall Rating on Performance Against Standards		**54**

2. Ratings on Student Achievement			
Student Achievement (Choose one of the following ratings)	# Points		
Aggregate scores of students do not meet expected gains (equal to 0.99 or less).	**0**		
Aggregate scores of students meet expected gain scores or exceed them by a factor of 1.00 to 1.25.	**50**	✓	**50**
Aggregate scores of students exceed expected gain scores by a factor of 1.26 to 1.49.	**75**		
Aggregate scores of students exceed expected gains by a factor of 1.5 or more.	**100**		

3. Principal Effectiveness Rating			
Overall Rating on Performance Against Standards X 0.35	54 X 0.35	18.90	
+ **Total Points for Rating on Student Achievement** X 0.65	50 X 0.65	31.90	
= **Total Points for Principal Effectiveness**			**51.40**

Determine effectiveness rating		
** Below 34 = Not Effective		
34 to 86 = Effective	✓	
87 and above = Highly Effective		

*Not Demonstrated = 0
Developing = 6
Proficient = 12
Accomplished = 18
Distinguished = 25

Example 6
Make Your Own Model

1. Ratings on Framework Components		
Standards	**Rating**	**Score***
Purposeful Community	**Proficient**	**12**
Managing Change	**Accomplished**	**18**
Focus of Leadership	**Proficient**	**12**
Core Principal Responsibilities (not included in the evaluation tool, but can be locally developed with McREL)	**Proficient**	**12**
Overall Rating on Performance Against Standards		**54**
2. Ratings on Other Measures		
2a. Student Achievement (Choose one of the following ratings) # Points **Weight or total points for student achievement****		
Aggregate scores of students do not meet expected gains (equal to 0.99 or less)	**0**	
Aggregate scores of students meet expected gain scores or exceed them by a factor of 1.00 to 1.25.		
Aggregate scores of students exceed expected gain scores by a factor of 1.26 to 1.49.		
Aggregate scores of students exceed expected gains by a factor of 1.5 or more.		
2b. Measure #2: Weight or total points for Measure 2:		
Level 1:		
Level 2:		
Level 3:		
Level 4:		
2c. Measure #3: Weight for Measure 3:		
Level 1:		
Level 2:		
Level 3:		
Level 4:		

2d. Measure #4: Weight for Measure 4:		
Level 1:		
Level 2:		
Level 3:		
Level 4:		
Total Points for Other Measures		
3. Principal Effectiveness Rating		
Add the **Overall Rating on Performance Against Standards** and the **Total Points for Rating on Student Achievement**		
Determine effectiveness rating		
** Below 100 = Not Effective		
100 to 149 = Effective		
150 and above = Highly Effective		

*Not Demonstrated = 0
Developing = 6
Proficient = 12
Accomplished = 18
Distinguished = 25
**Total points available for all "Other Measures" combined = 100.

Appendix D

McREL's Principal Evaluation System: User Guide

Principal Application

McREL's

PRINCIPAL
EVALUATION SYSTEM

About McREL

Mid-continent Research for Education and Learning (McREL) is a nationally recognized, private, nonprofit organization dedicated to improving education for all students through applied research, product development, and service. Established in 1966, McREL now maintains a staff of 110 in its Denver, Colorado, office.

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McREL's Principal Evaluation System

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INTRODUCTION

> Effective leadership means more than simply knowing what to do—it's knowing when, how, and why to do it. Effective leaders understand how to balance pushing for change while at the same time, protecting aspects of culture, values, and norms worth preserving. They know which policies, practices, resources, and incentives to align and how to align them with organizational priorities. They know how to gauge the magnitude of change they are calling for and how to tailor their leadership strategies accordingly. Finally, they understand and value the people in the organization. They know when, how, and why to create learning environments that support people, connect them with one another, and provide the knowledge, skills, and resources they need to succeed. This combination of knowledge and skills is the essence of balanced leadership.[1]

This combination of knowledge and skills is also the focus of McREL's Principal Evaluation System. By using the results of the evaluation to guide their own professional development, principals and central office administrators will be able to chart a course for professional growth and development from the novice principal who is developing into an effective school leader to a distinguished professional who leads the school to ever greater accomplishments and commands the respect of colleagues.

Research on Leadership

Researchers at Mid-continent Research for Education and Learning (McREL) and other organizations have analyzed key traits of educational leaders and those attributes which contribute to the success of schools. Portin et al. (2003) analyzed in-depth interviews with educators across 21 schools and identified seven types of leadership needs: instructional, cultural, managerial, human resources, strategic, external development, and micropolitical.[2] Cotton's (2003) review of 81 research reports on principals and student achievement showed that principals must take on a variety of roles (25 leadership practices) ranging from emotional and interpersonal support to community outreach and fundraising, in addition to academic leadership, in order to effectively empower the school to improve student achievement.[3] It is clear that the role of the school principal has become one of instructional improvement, relationship building, delegation of key responsibilities, and leadership by example.

McREL's Research: Balanced Leadership® and School Leadership that Works®

In 2003, McREL researchers examined more than 5,000 studies that purported to examine the effects of principal leadership on student achievement. Of these, 69 met rigorous criteria for inclusion in a meta-analytic research study. Three important findings emerged, which first were published in *Balanced Leadership: What 30 Years of Research Tells Us about the Effects of Leadership on Student Achievement*.[4]

The first finding is that **leadership matters**. The general effect of principal leadership on student achievement has a correlation of 0.25. This means that in schools where teachers on average rated their principal at the 84th percentile of leadership (one standard deviation above the mean), student achievement was 10 percentile points higher on norm-referenced tests. Expressed differently, the studies in the meta-analysis suggest that improving principals' leadership abilities by one standard deviation from the 50th to the 84th percentile can lead to an increase in the average student achievement from the 50th to 60th percentile—a substantial improvement.

---

[1]Waters, T. J., Marzano, R. J., & McNulty, B. (2003). *Balanced leadership: What 30 years of research tells us about the effect of leadership on student achievement.* Retrieved from http://www.mcrel.org/products/144

[2]Portin, B., Schneider, P., DeArmond, M., & Gundlach, L. (2003, September). *Making sense of leading schools: A study of the school principalship*. Seattle: University of Washington, Center on Reinventing Public Education.

[3]Cotton, K. (2003). *Principals and student achievement: What the research says.* Alexandria, VA: Association for Supervision and Curriculum Development.

[4]Waters, T. J., Marzano, R. J., & McNulty, B. (2003). *Balanced leadership: What 30 years of research tells us about the effect of leadership on student achievement.* Retrieved from http://www.mcrel.org/products/144

Second, the meta-analysis identified 21 **leadership responsibilities associated with 66 leadership practices**, which all have statistically significant relationships with student achievement. These responsibilities and practices are strongly aligned with the seven standards of executive leadership identified by Portin and others.[5]

Third, McREL researchers discovered that principal leadership has a differential **impact on student achievement**. In some of the studies included in the meta-analysis, the principals were perceived by teachers as strong leaders, yet student achievement was low. This finding shows that not all leaders perceived as strong have a positive impact on student achievement. Two explanations underlie McREL's theory of the differential impact of principal leadership on student achievement: (1) strong principals may not be focused on the right things, namely the use of research-based classroom or school practices known to have a positive effect on student achievement, and (2) strong principals may miscalculate the implications of a change initiative for the stakeholders in the school, causing inconsistent implementation of the initiative.

Factor Analysis

Building on the results of the meta-analysis, McREL collected survey data from nearly 650 principals about their leadership initiatives and use of the 21 responsibilities reported in *School Leadership that Works.*[6] These data were used in a factor analysis to identify the underlying structures and inter-correlations among the 21 leadership responsibilities. The factor analysis revealed three important findings:

1. There are two main factors associated with principal leadership: first-order change and second-order change. First-order change is incremental. It can be thought of as the next obvious step to take in a school or a district. Second-order change is anything but incremental. It involves dramatic departures from the expected, both in defining a given problem and in finding a solution.
2. All 21 leadership responsibilities are important and necessary for leading changes with first-order implications—that is, managing day-to-day functions of the school and leading routine changes.
3. Eleven of the 21 leadership responsibilities are associated with second-order change (see Table 1). There are specific leadership responsibilities that principals can emphasize to effectively lead change with second-order implications. Specifically, 7 of the 11 were positively correlated with second-order change. Four were negatively correlated with second-order change. This means that when schools undertake changes with second-order implications, most staff members are likely to perceive these four responsibilities as not being carried out effectively. The ramification of this is that staff may feel frustration and even anger from changes that are perceived as deteriorating the organization. Effective leadership is perhaps most crucial when dealing with such perceptions.

Table 1: Responsibilities correlated with second-order change

Positively Correlated	Negatively Correlated
Knowledge of curriculum, instruction, and assessment	Culture
Optimize	Communication
Intellectual stimulation	Input
Change agent	Order
Monitor and evaluate	
Flexibility	
Ideals and beliefs	

[5]Portin, B., Schneider, P., DeArmond, M., & Gundlach, L. (2003, September). *Making sense of leading schools: A study of the school principalship.* Seattle: University of Washington, Center on Reinventing Public Education.

[6]Marzano, R. J., Waters, T., & McNulty, B. A. (2005). *School leadership that works: From research to results.* Alexandria, VA: Association for Supervision and Curriculum Development.

McREL's Balanced Leadership Framework®

Please see Appendix B for the complete synthesis, titled *The Balanced Leadership Framework: Connecting Vision with Action*. The Framework connects McREL's findings to existing research-based knowledge on change management, diffusion theory, collective efficacy, institutional theory, living systems theory, community development, asset utilization, and school improvement. The Framework puts the 21 leadership responsibilities into an organizing structure: 1) leadership, 2) focus of change, 3) magnitude of change, and 4) purposeful community (see Figure 1).

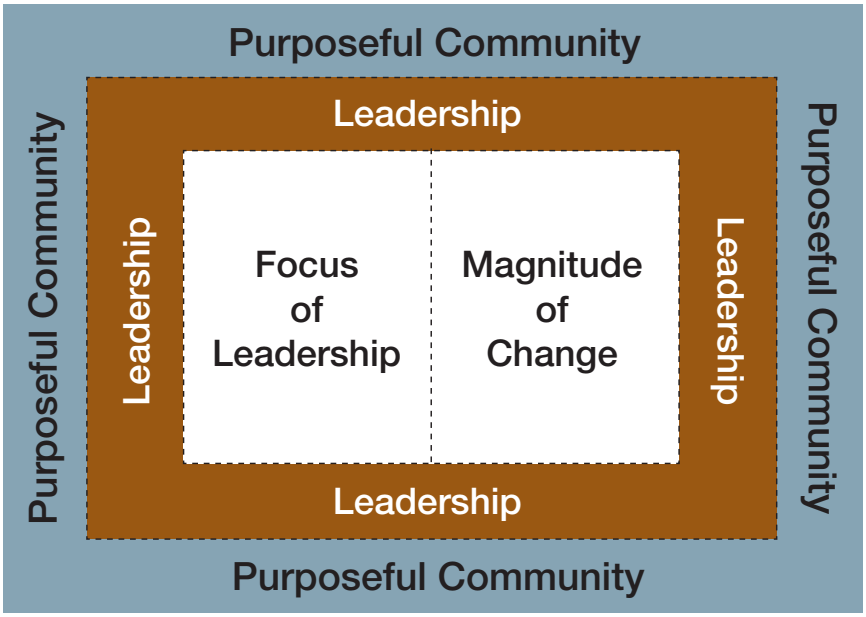


Figure 1: McREL's Balanced Leadership Framework

Purposes of the Evaluation

The intended purpose of McREL's Principal Evaluation System is to assess the principal's performance in relation to the research-based strategies that have been proven to be effective. The evaluation should take place in a collegial and non-threatening manner. The principal will take the lead in conducting the evaluation through the use of self-assessment, reflection, and input gathered from the various stakeholders with an interest in the leadership in the school. The evidence and documentation gathered by the principal is not intended to become a portfolio. Rather, it should provide a basis for self-assessment, goal setting, professional development planning, and demonstration of performance on specific standards.

McREL's Principal Evaluation System will:

- Serve as a guide for principals as they reflect upon and improve their effectiveness as school leaders;
- Measure and support professional practice consistently and fairly;
- Focus the goals and objectives of districts as they support, monitor, and evaluate their principals;
- Guide professional development for principals;
- Serve as a tool in developing coaching and mentoring programs for principals; and
- Inform higher education programs in developing the content and requirements of degree programs that prepare future principals.

Figure 2 on the next page provides an overview of the required elements of McREL's Principal Evaluation System.

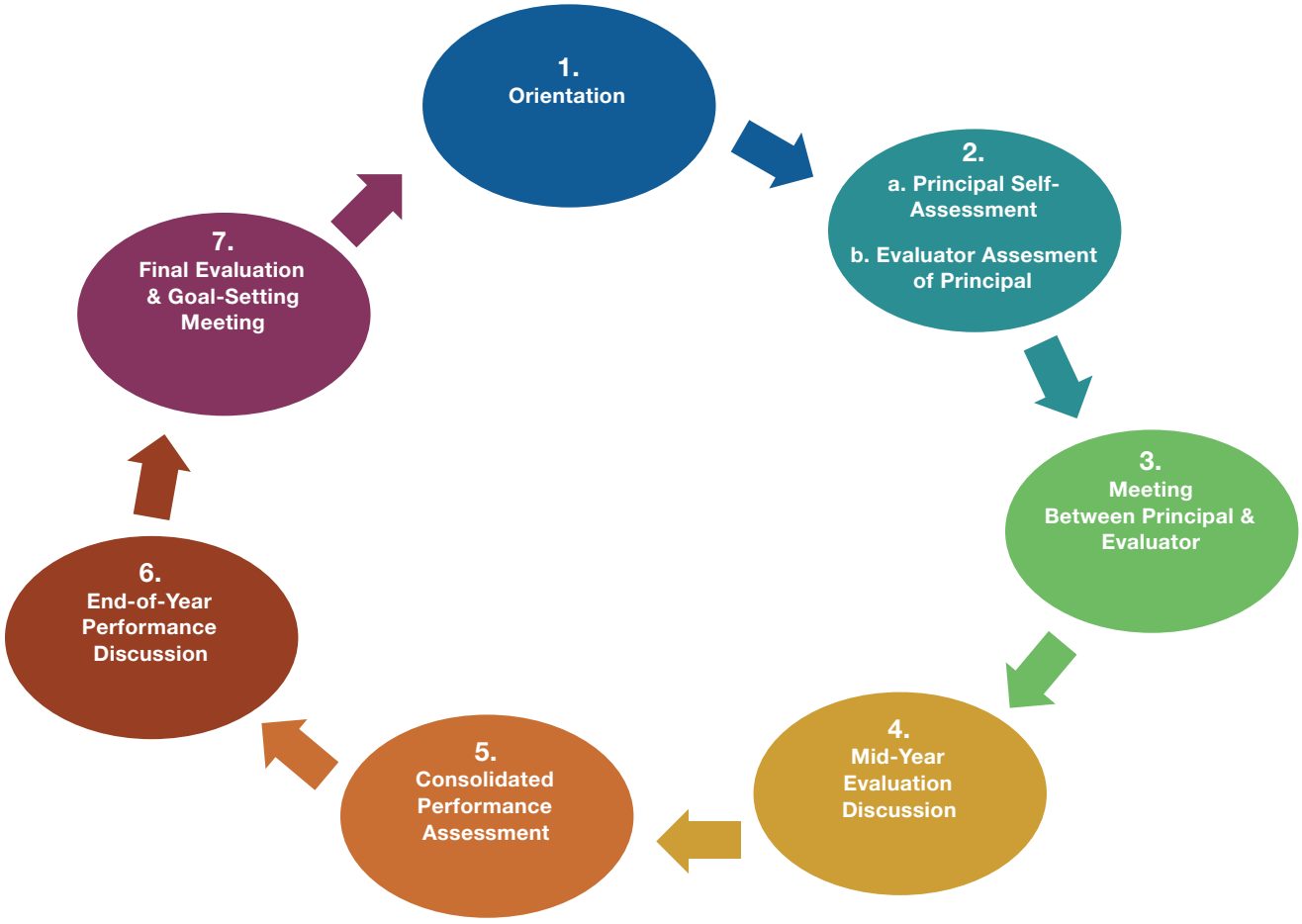


Figure 2: Principal Evaluation Process

Steps of the process

Step 1: Orientation

Each school year, evaluators will conduct a group orientation with all principals. At this orientation, each principal will receive a complete set of materials outlining the evaluation process and an explanation of the timeline and how performance will be measured. Each principal should become thoroughly familiar with McREL's Principal Evaluation System and all of the materials associated with it, including definitions and forms.

Step 2: Principal and Evaluator Each Complete Principal Evaluation Rubric

a. Principals will assess their own performance using the Principal Evaluation Rubric. This self-assessment will serve as the basis for the preliminary goals form, which should be completed prior to Step 3.

b. Concurrently (with step a), the evaluator will assess the performance of the principal using the Principal Evaluation Rubric. Along with the principal's self-assessment, this will serve as the foundation for the performance discussion to be held as Step 3.

Step 3: Meeting between Principal and Evaluator

Principals will meet individually with their evaluator to discuss the results of self assessment, the evaluator's ratings of the principal, preliminary performance goals, and any artifacts or other evidence the principal and evaluator believe are critical to understanding the principal's performance. The principal and evaluator will agree on the data, evidence, and documentation necessary to complete the evaluation process and confirm the principal's level of performance.

Step 4: Mid-Year Evaluation Discussion

Principals will meet individually with their evaluator to discuss their progress toward achieving annual goals. This mid-year discussion will focus on the status of goal attainment and necessary mid-year adjustments to action plans that must be made in order to achieve goals by the end of the school year.

Step 5: Consolidated Performance Assessment

The principal will synthesize the information from Steps 3 and 4 in order to prepare a consolidated assessment or comprehensive view of performance throughout the year. This brief summary of the data and artifacts used to judge performance should be provided to the evaluator well in advance of the end-of-year performance discussion.

Step 6: End-of-Year Performance Discussion

The principal and evaluator will meet at the school to discuss progress toward completing the evaluation process. They will discuss the self-assessment, consolidated assessment, and superintendent's summary evaluation of the principal, which have been prepared in advance of the meeting. Should additional data or artifacts be needed for the discussion, the principal will have them available at that time.

Step 7: Final Evaluation and Goal-Setting Meeting

At this meeting, the principal and evaluator will agree upon performance goals and recommendations for the Professional Development Plan. All forms needed to complete this process are included in this manual. While all of the forms are highly recommended, use of the following is required:

- Principal Evaluation Rubric (see pp. 9–17). The Rubric will be used for the following steps:
  - Self-Assessment
  - Evaluator Assessment
  - Meeting Between Principal and Evaluator
  - Final Evaluation and Goal-Setting Meeting
- Principal Summary Evaluation Worksheet (see p.18)
- Principal Summary Goal-Setting Form (see p. 19)
- Mid-year Evaluation: Progress toward Achieving Goals (see p. 20)

It will be helpful to understand the responsibilities of the principal and evaluator as they engage in this process (see Table 2, p. 6).

Table 2: Principal and Evaluator Responsibilities

Principal Responsibilities	Evaluator Responsibilities
▪ Understand McREL's Principal Evaluation System. ▪ Prepare for the Pre-Evaluation Conference, including a self-assessment, identification of performance goals, and identification of change initiatives underway at his or her school. ▪ Gather data, artifacts, and evidence to support performance in relation to the three framework components and progress toward attaining goals. ▪ Develop and implement strategies to improve personal performance/attain goals in areas individually or collaboratively identified. ▪ Participate in the Mid-year and Final Evaluation Conferences and End-of-Year meeting to set preliminary goals for subsequent year prior to receiving student achievement data. ▪ Finalize goals and End-of-Year Evaluation with evaluator as soon as student achievement data is available.	▪ Participate in professional development to understand and implement the system. ▪ Supervise McREL's Principal Evaluation System, and ensure that all steps are conducted according to the approved process. ▪ Identify the principal's strengths and areas for improvement and make recommendations for improving performance. ▪ Ensure that the contents of the Principal Summary Evaluation Report contain accurate information and accurately reflect the principal's performance. ▪ Leverage skills and knowledge required to implement McREL's Principal Evaluation System. ▪ Participate in the Mid-year and Final Evaluation Discussions and End-of-Year Performance Discussion to set preliminary goals prior to receiving student achievement data.

PRINCIPAL EVALUATION RUBRIC

This instrument serves as the foundation for McREL's Principal Evaluation System. It should be used throughout the process to monitor principals' progress toward consistently using practices that leadership research has identified as necessary to improve the amount of learning that takes place in a school.

The Principal Evaluation Rubric beginning on page 10 should be completed by principals as a self-assessment of the performance during the year. Evaluators will use the rubric to complete their assessment of the principals' performance for the same time period. Likewise, the principal and evaluator will use this rubric as a guide for performance discussions and as a tool to determine the final evaluation rating for the principal. Figure 3 provides a guide to the elements of the Rubric.

How the rubric is constructed

Responsibility

Framework Component

Ratings

Principal Leadership Responsibilities Associated with **Managing Change**

Managing Change involves understanding the implications of change efforts for stakeholders and adjusting leadership behaviors accordingly.

a. Change Agent: Is willing to and actively challenges the status quo.

Developing	Proficient	Accomplished	Distinguished (Comment Required)	Not Demonstrated (Comment Required)
❑ Uses a variety of data to identify necessary change initiatives.	. . . and ❑ Builds on data analysis to define processes and protocols in order to create or adopt new and better ways to improve school and classroom practices.	. . . and ❑ Consistently attempts to operate at the edge instead of the center of the schools' competence by leading the implementation of research-based initiatives even though outcomes may be uncertain.	. . . and ❑ Leverages the influence of opinion leaders to strategically target and frame change initiatives in order to increase the rate of adoption. ❑ Is recognized in the education community as an advocate for new and innovative ways of schooling.	

Practices

Figure 3: Example of How the Rubric is Constructed

Instructions for completing the rubric

To complete this form, begin in the first column, *Developing.* If the practice listed in the *Developing* column describes the principal's performance throughout the year, mark the box beside the practice. Continue to work down the column of *Developing* practices. The evaluator should continue to the *Proficient* category and work down that column, marking all of the practices that describe the principal's work throughout the year. The evaluator should continue to mark all practices that describe the principal's performance under the *Accomplished*, and *Distinguished* categories. Each responsibility should be rated in a similar fashion.

Figure 4 provides an example of what a completed responsibility might look like. Please note that, in the example, nothing is checked in the *Not Demonstrated* column, so the evaluator continued to the other columns to rate the principal. If practices are checked in either the *Not Demonstrated* or *Distinguished* category, the evaluator should provide an explanatory comment in the space provided at the end of the framework component.

Principal Responsibilities Associated with **Purposeful Community**				
A **Purposeful Community** is one with the collective efficacy and capability to develop and use assets to accomplish goals that matter to all community members through agreed upon processes.				
a. Affirmation: Recognizes and celebrates school accomplishment and acknowledges failures.				
Developing	Proficient	Accomplished	Distinguished (Comment Required)	Not Demonstrated (Comment Required)
Privately or individually acknowledges successes and failures of ☑ Students. ☑ Teachers. ☑ Staff. ☑ The school as a whole. ❑ Communicates the nature of failures and the need to take action to address them.	**. . . and** Publicly and fairly recognizes the successes and failures of ☑ Students. ❑ Teachers. ❑ Staff. ☑ The school as a whole. ❑ Communicates to teachers and staff actions taken and how they contributed to success or failure of school initiatives.	**. . . and** Has a plan for systematically and fairly recognizing successes and failures of ☑ Students. ❑ Teachers. ❑ Staff. ☑ The school as a whole. ❑ Utilizes the recognition of failure as an opportunity to create demand for improvement.	**. . . and** Publicly interprets and communicates ❑ Failure as temporary and specific. ❑ Success as permanent and pervasive. ❑ Uses successes and failures to increase the belief of teachers and staff in their ability to impact student achievement.	

If the evaluator does not mark any of the practices under *Developing*, *Proficient*, *Accomplished*, or *Distinguished*, then the principal has not demonstrated proficiency on that responsibility. In such cases, the principal is rated *Not Demonstrated*, and a comment in the *Not Demonstrated* column is required.

Figure 4: Example of How to Complete the Rubric

The Principal Evaluation Rubric

Principal Leadership Responsibilities Associated with **Managing Change**				
Managing Change involves understanding the implications of change efforts for stakeholders and adjusting leadership behaviors accordingly.				
a. Change Agent: Is willing to and actively challenges the status quo.				
Developing	Proficient	Accomplished	Distinguished (Comment Required)	Not Demonstrated (Comment Required)
❑ Uses a variety of data to identify necessary change initiatives.	. . . and ❑ Builds on data analysis to define processes and protocols in order to create or adopt new and better ways to improve school and classroom practices.	. . . and ❑ Consistently attempts to operate at the edge instead of the center of the schools' competence by leading the implementation of research-based initiatives even though outcomes may be uncertain.	. . . and ❑ Leverages the influence of opinion leaders to strategically target and frame change initiatives in order to increase the rate of adoption. ❑ Is recognized in the education community as an advocate for new and innovative ways of schooling.	
b. Flexibility: Adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent.				
❑ Understands the importance of how different change initiatives may be perceived differently by various stakeholders and how they may impact others.	. . . and ❑ Adapts leadership style to the needs of specific situations. ❑ Implements procedures that encourage teachers and staff to express opinions and perceptions even if they are contrary to those held by individuals in positions of authority.	. . . and Creates and uses transitions teams during times of change to ❑ Assist individuals in transitioning into the new ways of doing things. ❑ Adapt quickly to changing environments and contexts.	. . . and Improves collective efficacy by ❑ Effectively managing change. ❑ Building on the collective ability of the school community to adapt to contextual conditions.	
c. Ideals and Beliefs: Communicates and operates from strong ideals and beliefs about school and schooling.				
❑ Possesses well-defined ideals and beliefs about schools and schooling that align with district non-negotiable goals.	. . . and ❑ Creates demand for change through sharing beliefs about school, teaching, and learning with teachers and staff. ❑ Demonstrates behaviors that exemplify stated beliefs about school and schooling.	. . . and ❑ Creates demand for change by communicating ideals and beliefs throughout the community. ❑ Creates opportunities to implement change that exemplifies ideals and beliefs.	. . . and ❑ Shares leadership in a manner that extends and promotes the ideals and beliefs about schools and schooling throughout the community. ❑ Perseveres in the face of challenges to effectively sustain positive change.	

d. Intellectual Stimulation: Ensures that the faculty and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school culture.				
Developing	Proficient	Accomplished	Distinguished (Comment Required)	Not Demonstrated (Comment Required)
❑ Understands and articulates the current rigorous and relevant research and theory on effective schooling.	. . . and ❑ Uses rigorous and relevant research and theory on effective schooling to create demand for change by providing professional development opportunities.	. . . and ❑ Uses the outcomes of professional development on rigorous and relevant research and theory on effective schooling to guide professional learning community discussions and activities.	. . . and ❑ Provides vicarious and mastery experiences for teachers that capitalize on staff development outcomes and discussions of effective schools practice.	
e. Knowledge of Curriculum, Instruction, and Assessment: Is knowledgeable about the current curriculum, instruction, and assessment practices.				
❑ Articulates knowledge of curriculum, instruction, and assessment in a way that enables staff to understand and apply the knowledge.	. . . and ❑ Provides guidance regarding curriculum, instruction, and assessment in order to ensure effective practices in every classroom.	. . . and ❑ Provides mastery and vicarious experiences of research-based practices in curriculum design, instructional strategies, and assessment practices through professional development and action research.	. . . and ❑ Leverages mastery and vicarious experiences to increase the collective efficacy of teachers and staff.	
f. Monitor and Evaluate: Monitors the effectiveness of school practices and their impact on student learning.				
❑ Understands the impact of school practices on student learning and achievement. ❑ Understands the impact that change may have on individuals in the school.	. . . and Uses a variety of data and processes to ❑ Drive decisions about initiating new and innovative research-based programs and interventions. ❑ Monitor the needs and performance of individuals, groups, and the school as a whole.	. . . and ❑ Routinely works collaboratively with teachers and staff to assess the impact of research-based programs and interventions on student learning and achievement.	. . . and ❑ Monitors the fidelity and consistency of the implementation of research-based practices and their impact on student learning and achievement.	
g. Optimize: Inspires and leads new and challenging innovations.				
❑ Portrays a positive attitude about the ability of teachers and staff to accomplish school goals.	. . . and ❑ Inspires teachers and staff to individually and collectively accomplish school goals.	. . . and ❑ Inspires and motivates teachers and staff to accomplish things they consider to be beyond their grasp.	. . . and ❑ Promotes perseverance and hope during challenging times.	

Comments:

Recommended Actions:

Resources Needed to Complete These Actions:

Evidence or Documentation that May Be Used to Support Ratings:

- ❑ ELL Monitoring Notebook
- ❑ Professional Development Plan
- ❑ Regular Feedback to Teachers and Staff Regarding Performance
- ❑ Planning and Leading Professional Development
- ❑ Classroom Walkthrough Data
- ❑ Monitoring Plan
- ❑ Operating Principles and Working Agreements
- ❑ _____
- ❑ _____

Principal Responsibilities Associated with **Focus of Leadership** **Focus of leadership** involves accurately and pro-actively targeting appropriate areas for school improvement efforts.				
a. Contingent Rewards: Recognizes and rewards individual accomplishments.				
Developing	Proficient	Accomplished	Distinguished (Comment Required)	Not Demonstrated (Comment Required)
❑ Develops criteria and procedures for recognizing hard work and results from individuals and groups.	**. . . and** Capitalizes on formal and informal opportunities to ❑ Recognize the accomplishments and hard work of all stakeholders. ❑ Maximize the intangible assets of a school.	**. . . and** ❑ Involves all stakeholder groups in the recognition and reward process.	**. . . and** ❑ Promotes the accomplishments of the school. ❑ Inspires all stakeholders to make significant contributions. ❑ Improves perceptions of stakeholders that they have the ability to contribute to increases in student achievement.	
b. Discipline: Protects teachers from issues and influences that would detract from their time or focus.				
❑ Communicates to the entire school community the importance of an effective learning environment, and that instructional time and focus are the school's top priority.	**. . . and** Establishes systems that minimize or eliminate interruptions and distractions to classroom instruction, including ❑ A school schedule that maximizes instructional time. ❑ Policies and procedures that maximize the use of instructional time.	**. . . and** ❑ Enforces policies and procedures related to instruction time to assure that all staff members and all students benefit from periods of focused instruction.	**. . . and** ❑ Serves as a champion for protecting and maximizing instructional time and focus to assure an effective learning environment.	
c. Focus: Establishes clear goals and keeps those goals in the forefront of the school's attention.				
❑ Understands the importance of setting high expectations for student learning and achievement.	**. . . and** ❑ Leads the school community in the establishment of rigorous and concrete goals to ensure student learning and achievement.	**. . . and** Creates processes and procedures to ❑ Clearly communicate the goals and progress toward achieving them to all members of the school community. ❑ Maintain a consistent focus on the school's goals.	**. . . and** ❑ Leverages high, concrete goals in order to continually create demand for innovation and improvement.	

d. Involvement in Curriculum, Instruction, and Assessment: Is directly involved in helping teachers design curricular activities and address assessment and instructional issues.				
Developing	Proficient	Accomplished	Distinguished (Comment Required)	Not Demonstrated (Comment Required)
❑ Demonstrates knowledge and understanding of curriculum, instruction, and assessment issues.	**. . . and** ❑ Actively initiates activities to address curriculum, instruction, and assessment issues. Provides and actively participates with teachers in meaningful professional development and opportunities to ❑ Reflect upon their practice. ❑ Engage in peer-to-peer learning. ❑ Design instructional and curricular activities. ❑ Address assessment issues.	**. . . and** Models effective pedagogy that includes ❑ Communicating learning goals. ❑ Acquiring and integrating knowledge. ❑ Extending and refining knowledge. ❑ Applying knowledge.	**. . . and** ❑ Helps teachers adopt, adapt, or design rigorous research-based curriculum, instruction, and assessment practices, programs, and interventions.	
e. Order: Establishes a set of standard operating procedures and routines.				
❑ Is developing clear structures, rules, procedures, and routines for student and staff behavior.	**. . . and** ❑ Has established and consistently enforces policies, procedures, and routines that maximize opportunities for all students to learn.	**. . . and** ❑ Maximizes the established policies, procedures, and routines to build a culture that is safe, orderly, and enhances student and teacher abilities to engage in meaningful and productive work.	**. . . and** ❑ Uses an orderly environment to sustain confidence in the school's ability to educate all children.	
f. Outreach: Is an advocate and spokesperson of the school to all stakeholders.				
❑ Communicates with stakeholder groups about school initiatives and activities.	**. . . and** Advocates for the school with ❑ The Community. ❑ Parents. ❑ Central Office. ❑ Teachers. ❑ Staff. ❑ Students.	**. . . and** ❑ Collects perception data from the school community to inform advocacy activities.	Uses community relationships as both tangible and intangible assets to engage all stakeholders in ❑ Family and community involvement initiatives. ❑ School governance and improvement. ❑ Contributing to improving student learning and achievement.	

g. Resources: Provides teachers with material and professional development necessary for the execution of their jobs.				
Developing	Proficient	Accomplished	Distinguished (Comment Required)	Not Demonstrated (Comment Required)
Assesses the resource needs of teachers and staff, including ❑ Professional development needs. ❑ Tools, materials, and equipment needs.	**. . . and** Ensures that teachers and staff have ❑ Professional development that enhances their teaching. ❑ Tools, materials, and equipment necessary to perform their duties.	**. . . and** ❑ Seeks out additional resources to maximize outcomes for all students.	**. . . and** ❑ Implements processes and procedures that ensure the long-term viability of effective programs and practices.	

Comments:

Recommended Actions:

Resources Needed to Complete These Actions:

Evidence or Documentation that May Be Used to Support Ratings:

- ❑ Principal Training
- ❑ University/School Associations
- ❑ Formal Evaluations
- ❑ New Program Adoptions
- ❑ Grade-Level Meeting Agendas
- ❑ Progress Toward Achieving Goals
- ❑ Student Handbook
- ❑ Safety Plan
- ❑ Budget Notebook
- ❑ Student Support Plan
- ❑ Recognition Events
- ❑ Staff Handbook
- ❑ Site Calendar
- ❑ Master Schedule
- ❑ Staff and Teacher Surveys
- ❑ Community Activities
- ❑ Student Achievement Meetings, Protocols, and Schedules
- ❑ _____
- ❑ _____
- ❑ _____

Principal Responsibilities Associated with **Purposeful Community**				
A **Purposeful Community** is one with the collective efficacy and capability to develop and use assets to accomplish goals that matter to all community members through agreed upon processes.				
a. Affirmation: Recognizes and celebrates school accomplishment and acknowledges failures.				
Developing	Proficient	Accomplished	Distinguished (Comment Required)	Not Demonstrated (Comment Required)
Privately or individually acknowledges successes and failures of ❑ Students. ❑ Teachers. ❑ Staff. ❑ The school as a whole. ❑ Communicates the nature of failures and the need to take action to address them.	**. . . and** Publicly and fairly recognizes the successes and failures of ❑ Students. ❑ Teachers. ❑ Staff. ❑ The school as a whole. ❑ Communicates to teachers and staff actions taken and how they contributed to success or failure of school initiatives.	**. . . and** Has a plan for systematically and fairly recognizing successes and failures of ❑ Students. ❑ Teachers. ❑ Staff. ❑ The school as a whole. ❑ Utilizes the recognition of failure as an opportunity to create demand for improvement.	**. . . and** Publicly interprets and communicates ❑ Failure as temporary and specific. ❑ Success as permanent and pervasive. ❑ Uses successes and failures to increase the belief of teachers and staff in their ability to impact student achievement.	
b. **Communication:** Establishes strong lines of communication with teachers and among students.				
❑ Implements a variety of strategies to communicate with the teachers, staff, and the larger school community. ❑ Is accessible to some stakeholder groups.	**. . . and** ❑ Implements a variety of strategies to encourage effective open communication between and among students, teachers, staff, and the larger school community. ❑ Is easily accessible to all stakeholder groups.	**. . . and** ❑ Systematically monitors and takes steps to improve communication structures within the school. ❑ Develops and monitors effective systems and protocols to enable stakeholder groups to communicate with each other and with the principal.	**. . . and** ❑ Leverages communications among and between stakeholder groups to increase the adoption of new and innovative change initiatives within the district or school.	
c. Culture: Fosters shared beliefs and a sense of community and cooperation.				
❑ Demonstrates a belief through words and actions that teachers and staff can impact student learning and achievement. ❑ Demonstrates an understanding of how unity of purpose, teamwork, and commitment to the work are interrelated and support the work of the school.	**. . . and** ❑ Is the driving force behind a community-wide belief that teachers and staff can impact student learning and achievement. ❑ Leads the development of an understanding of a unified purpose and a shared vision for the school.	**. . . and** ❑ Routinely and systematically monitors the level of collective efficacy in the school. ❑ Assures that unity of purpose, teamwork, and commitment to the work are at the core of all decisions, activities, and initiatives.	**. . . and** ❑ Leverages vicarious and mastery experiences to build collective efficacy around teacher and staff ability to impact student learning and achievement. ❑ Monitors, evaluates, and annually updates the school's purpose, shared vision, and the systems and procedures that support the schools purpose and vision.	

d. Input: Involves teachers in the design and implementation of important decisions.				
Developing	Proficient	Accomplished	Distinguished (Comment Required)	Not Demonstrated (Comment Required)
❑ Demonstrates an understanding of the importance of providing opportunities for stakeholder input on important issues and decisions.	. . . and ❑ Seeks input from and provides opportunities for stakeholder groups to be involved in the school's decision-making processes.	. . . and ❑ Creates opportunities and sets expectations for stakeholder groups to assume meaningful leadership and decision-making roles.	. . . and ❑ Leverages stakeholder group input in order to create systems and processes that support rigorous education and relevant outcomes that matter to all.	
e. Relationships: Demonstrates awareness of the personal aspects of teachers and staff.				
❑ Knows teachers and staff on an appropriate personal level in order to keep informed about issues within their lives that may enhance or detract from their performance.	. . . and ❑ Creates opportunities for teachers and staff to share personal and professional aspirations, prior experiences and successes, interests, and outside activities. ❑ Acknowledges significant events in the lives of teachers and staff.	. . . and ❑ Identifies and uses the collection of skills, knowledge, and interests teachers and staff members bring to their jobs to provide opportunities for professional growth.	. . . and ❑ Strategically uses the strengths and interests of staff to significantly improve student performance.	
f. Situational Awareness: Is aware of the details and the undercurrents in the running of the school and uses this information to address current and potential problems.				
❑ Understands the nature and impact on the school culture of informal groups and relationships among teachers and staff.	. . . and ❑ Recognizes and addresses potential conflicts and undercurrents among stakeholder groups, and/or issues in the school that could create discord.	. . . and ❑ Implements strategies to ensure that relationships among formal and informal groups impact the school in a positive way.	.. . . and ❑ Leverages opportunities to build and strengthen trusting and productive relationships in order to strengthen the school's capacity to meet future challenges.	
g. Visibility: Has quality contacts and interactions with teachers and students.				
Develops a systematic and strategic plan for visibility that includes ❑ Frequent visits to classrooms. ❑ Frequent interactions with all stakeholder groups.	. . . and Implements the strategic plan for visibility that includes ❑ Frequent visits to classrooms. ❑ Frequent interactions with all stakeholder groups.	. . . and ❑ Uses classroom visitations and interactions with stakeholder groups to reinforce the outcomes that matter to all and the overall purpose of the school.	. . . and ❑ Has established a purposeful community and developed meaningful networks and strategic alliances to accomplish the school's goals.	

Comments:

Recommended Actions:

Resources Needed to Complete These Actions:

Evidence or Documentation that May Be Used to Support Ratings:

- ❑ School Vision and Mission Statements
- ❑ Progress Toward Achievement of Smart Goals
- ❑ Staff Conference Agendas and Minutes
- ❑ Staff Bulletins and Newsletters
- ❑ Team Meeting Agendas
- ❑ Teacher Survey Data
- ❑ Community Survey Data
- ❑ Identification and Use of Human and Fiscal Resources
- ❑ PTA/Principal's Newsletter
- ❑ Master Schedule
- ❑ PTA Calendar
- ❑ School Calendar
- ❑ ELL Support Schedule
- ❑ Faculty Meeting Agendas, Sign In Sheets, Minutes
- ❑ Clear Vision and Mission about Improving Student Achievement
- ❑ Student Achievement Data
- ❑ Student Attendance Data
- ❑ Teacher Attendance Data
- ❑ Graduation and Promotion Rates
- ❑ _____
- ❑ _____

RECORDING EVALUATION RESULTS

Principal Summary Evaluation Worksheet

This form is used to summarize self-assessment and evaluate ratings in preparation for the mid-year and summary evaluation conferences. The principal and superintendent or designee independently complete the form by recording ratings of individual responsibilities based on the ratings of practices collected on the rubric. During mid-year and summary evaluation conferences, the principal and superintendant or designee will jointly complete the final version of this form and agree on the final ratings.

Name of Principal: _____ Date: _____

School: _____ District: _____

Name of Evaluator: _____ Title: _____

Distinguished																								
Accomplished																								
Proficient																								
Developing																								
Not Demonstrated																								
	Affirmation	Communication	Culture	Input	Relationships	Situational Awareness	Visibility	**Overall: Purposeful Community**	Change Agent	Flexibility	Ideals and Beliefs	Intellectual Stimulation	Knowledge of Curriculum, Instruction, and Assessment	Monitor and Evaluate	Optimize	**Overall: Managing Change**	Contingent Rewards	Discipline	Focus	Involvement in Curriculum, Instruction, and Assessment	Order	Outreach	Resources	**Overall: Focus of Leadership**
	Purposeful Community									Managing Change							Focus of Leadership							

Principal Summary Evaluation Rating Form

This form is to be jointly completed by the principal and superintendent or designee during the Summary Evaluation Conference conducted at the end of the year.

Name: _____

School: _____ School Year: _____

Evaluator: _____ District: _____

Date Completed: _____ Evaluator's Title: _____

Framework Component 1: Principal Leadership Responsibilities Associated with Managing Change

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. **Change Agent**: Is willing to and actively challenges the status quo.					
B. **Flexibility:** Adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent.					
C. **Ideals and Beliefs:** Communicates and operates from strong ideals and beliefs about school and schooling.					
D. **Intellectual Stimulation:** Ensures that the faculty and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school culture.					
E. **Knowledge of Curriculum, Instruction, and Assessment:** Is knowledgeable about the current curriculum, instruction, and assessment practices.					
F. **Monitor and Evaluate:** Monitors the effectiveness of school practices and their impact on student learning.					
G. **Optimize:** Inspires and leads new and challenging innovations.					
Overall Rating for Managing Change					

Comments:

Recommended Actions:

Resources Needed to Complete These Actions:

Evidence or Documentation that May Be Used to Support Ratings:

- ❑ ELL Monitoring Notebook
- ❑ Professional Development Plan
- ❑ Regular Feedback to Teachers and Staff Regarding Performance
- ❑ Planning and Leading Professional Development
- ❑ Classroom Walkthrough Data
- ❑ Monitoring Plan
- ❑ Operating principals and Working Agreements
- ❑ _____
- ❑ _____

Framework Component 2: Principal Responsibilities Associated with Focus of Leadership

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. **Contingent Rewards:** Recognizes and rewards individual accomplishments.					
B. **Discipline:** Protects teachers from issues and influences that would detract from their time or focus.					
C. **Focus:** Establishes clear goals and keeps those goals in the forefront of the school's attention.					
D. **Involvement in Curriculum, Instruction, and Assessment:** Is directly involved in helping teachers design curricular activities and address assessment and instructional issues.					
E. **Order:** Establishes a set of standard operating procedures and routines.					
F. **Outreach:** Is an advocate and spokesperson of the school to all stakeholders.					
G. **Resources:** Provides teachers with material and professional development necessary for the execution of their jobs.					
Overall Rating for Foucus on Leadership					

Comments:

Recommended Actions:

Resources Needed to Complete These Actions:

Evidence or Documentation that May Be Used to Support Ratings:

- ❑ Principal Training
- ❑ University/School Associations
- ❑ Formal Evaluations
- ❑ New Program Adoptions
- ❑ Grade-Level Meeting Agendas
- ❑ Progress Toward Achieving Goals
- ❑ Student Handbook
- ❑ Safety Plan
- ❑ Budget Notebook
- ❑ Student Support Plan
- ❑ Recognition Events
- ❑ Staff Handbook
- ❑ Site Calendar
- ❑ Master Schedule
- ❑ Staff and Teacher Surveys
- ❑ Community Activities
- ❑ Student Achievement Meetings, Protocols, and Schedules
- ❑ _____
- ❑ _____
- ❑ _____

Framework Component 3: Principal Responsibilities Associated with Purposeful Community

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. **Affirmation:** Recognizes and celebrates school accomplishment and acknowledges failures.					
B. **Communication:** Establishes strong lines of communication with teachers and among students.					
C. **Culture:** Fosters shared beliefs and a sense of community and cooperation.					
D. **Input:** Involves teachers in the design and implementation of important decisions.					
E. **Relationships:** Demonstrates awareness of the personal aspects of teachers and staff.					
F. **Situational Awareness:** Is aware of the details and the undercurrents in the running of the school and uses this information to address current and potential problems.					
G. **Visibility:** Has quality contacts and interactions with teachers and students.					
Overall Rating for Purposeful Community					

Comments:

Recommended Actions:

Resources Needed to Complete These Actions:

Evidence or Documentation that May Be Used to Support Ratings:

- ❑ School Vision and Mission Statements
- ❑ Progress Toward Achievement of Smart Goals
- ❑ Staff Conference Agendas and Minutes
- ❑ Staff Bulletins and Newsletters
- ❑ Team Meeting Agendas
- ❑ Teacher Survey Data
- ❑ Community Survey Data
- ❑ Identification and Use of Human and Fiscal Resources
- ❑ PTA/Principal's Newsletter
- ❑ Master Schedule
- ❑ PTA Calendar
- ❑ School Calendar
- ❑ ELL Support Schedule
- ❑ Faculty Meeting Agendas, Sign In Sheets, Minutes
- ❑ Clear Vision and Mission about Improving Student Achievement
- ❑ Student Achievement Data
- ❑ Student Attendance Data
- ❑ Teacher Attendance Data
- ❑ Graduation and Promotion Rates
- ❑ _____
- ❑ _____

Principal Summary Goal-Setting Form

Name of Principal: _____ School: _____ School Year: _____

Instructions: This goal-setting form may be completed by the principal following the self-assessment process. The goals, as well as activities, outcomes and timeline, will be reviewed by the principal's supervisor. Each principal must establish one (1) goal related to the core responsibilities for principals and two (2) additional goals, for a total of at least three (3) goals. It is recommended that no more than five (5) goals be established for a single school year. It is not necessary for the principal to have a goal for each framework component.

Framework Component	Responsibilities	Goal(s)	Key Activities/Strategies (What you need to do to accomplish the goal)	Outcomes	Timeline For Achieving Goal	Resources Needed
Managing Change						
Focus of Leadership						
Purposeful Community						

Principal Signature: _____ Date: _____

Supervisor Signature: _____ Date: _____

Mid-Year Evaluation: Progress toward Achieving Goals

Name: _____ District: _____

School: _____ School Year: _____

Evaluator: _____ Title: _____

The evaluator determines whether the principal is making acceptable progress toward goal attainment within each leadership component. Mark this category as **(P)—progressing or (NP)—not progressing**.

Goal	P	NP	NA*
Purposeful Community			
Managing Change			
Focus of Leadership			

*na = No goal was established for this framework component.

Goal:

Revised Plan/Comment:

Goal:

Revised Plan/Comment:

Principal Signature: _____ Date: _____

Supervisor Signature: _____ Date: _____

APPENDIX A: GLOSSARY

1. **Affective States —** The level of anxiety or excitement generated by past experiences. The level of anxiety or excitement adds to individual's or organization's perceptions of self-capability or incompetence. Organizations with strong beliefs in group capability can tolerate pressure and crises and continue to function without debilitating consequences; indeed, such organizations learn to rise to the challenge when confronted with disruptive forces.

2. **Artifact —** A product resulting from a school leader's work. Lists of suggested artifacts are included at the end of each framework component on the rubric and on the Summary Evaluation Rating Form. These lists are not all-inclusive and should be considered as examples of items a principal may share with the evaluator.

3. **Collective Efficacy —** A shared perception or belief held by a group that they can organize and execute a course of action that makes a difference.

4. **Data —** Factual information used as the basis for reasoning, discussion, or planning.

5. **Fidelity of implementation —** The delivery of an intervention in the way in which it was designed to be delivered. Fidelity must also address the integrity with which screening and progress-monitoring procedures are completed and an explicit decision-making model is followed.

6. **Leverage —** Obtain an outcome greater than an individual's investment. An example of this would be for relatively small groups with common interests to exert their collective influence to exert immense political leverage.

   In school settings, principals might leverage their knowledge by sharing it with others, therefore multiplying the amount of knowledge about a topic that is available in the school. For example, the knowledge a teacher learns from a principal does not leave the principal. Instead, that knowledge has effectively doubled because it now resides in both the principal and the teacher.

7. **Mastery Experience —** The perception that a specific performance task has been executed successfully. Mastery experience is the most powerful source of efficacy information. Successful experiences tend to raise efficacy beliefs, contributing to the expectation that performance will be proficient in the future.

8. **Performance Goals —** Goals for improvement in professional practice based on the self-assessment and/or supervisor recommendation.

9. **Performance Rating Scale —** The following rating scale will be used for evaluating school principals:

   - *Developing:* Principal demonstrated adequate growth toward achieving standard(s) during the period of performance, but did not demonstrate competence on standard(s) of performance.
   - *Proficient:* Principal demonstrated basic competence on standard(s) of performance.
   - *Accomplished:* Principal exceeded basic competence on standard(s) for performance most of the time.
   - *Distinguished:* Principal consistently and significantly exceeded basic competence on standards of performance.
   - *Not Demonstrated:* Principal did not demonstrate competence on or adequate growth toward achieving standard(s) of performance.

     Note: If the Not Demonstrated rating is used, the evaluator must comment about why it was used.

10. **Research-based practice —** Education practice that is backed by rigorous evidence of effectiveness.

11. **Self-assessment —** Personal reflection about one's professional practice to identify strengths and areas for improvement conducted without input from others.

12. **Self-efficacy —** Future-oriented judgments that one is capable of performing in a certain manner to attain certain goals.

13. **Social Persuasion —** Encouragement or specific performance feedback from a supervisor or a colleague. Social persuasion is another means of strengthening a faculty's conviction that it has the capabilities to set and achieve goals. Where positive persuasions increase self-efficacy, negative persuasions decrease it. It is generally easier to decrease someone's self-efficacy than it is to increase it.

14. **Summary Evaluation Form —** A composite assessment of the school executive's performance based on the evaluation rubric and supporting evidence.

15. **Vicarious Experience —** Learning that occurs as a function of observing, retaining and, in the case of imitation learning, replicating novel behavior executed by others. It involves the process of learning to copy or model the action of another through observing another.

APPENDIX B: THE BALANCED LEADERSHIP FRAMEWORK®: CONNECTING VISION WITH ACTION

by Tim Waters, Ed.D. & Greg Cameron, M.A.

McREL's research on leadership

Between 1998 and 2003, McREL conducted three major quantitative studies on the effects of classroom, school, and leadership practices on student achievement. The first reported on nine clusters of research-based instructional strategies with statistically significant effects on student achievement (Marzano, 1998; Marzano, Gaddy, & Dean, 2000). McREL described these strategies in the 2001 ASCD publication, *Classroom Instruction that Works.* The second study reported on school practices, also with statistically significant effects on student achievement (Marzano, 2000; 2003).

The meta-analysis

These two studies set the stage for McREL's meta-analysis of school-level leadership and its effects on student achievement (Waters, Marzano, & McNulty, 2003). This analysis began in 2001 with the review of more than 5,000 studies that purported to have examined the effects of principal leadership on student achievement. From these 5,000 studies, 69 were selected based on the quality of their design, rigor, reliability and relevance of data to the questions McREL was attempting to answer about school-level leadership. In all cases, the studies shared four characteristics:

- The dependent variable in each study was student achievement.
- The independent variable in each study was leadership.
- Student achievement measures were all quantitative and standardized.
- Measures of school-level leadership were all quantitative and standardized.

The 69 studies included more than 14,000 teacher ratings of principal leadership for 2,802 principals. Ratings of principal leadership were correlated with more than 1.4 million student achievement scores. To our knowledge, this is the largest-ever sample for conducting this type of analysis. The findings, conclusions, and technical notes from this meta-analysis have been published in *School Leadership that Works: From Research to Results* (Marzano, Waters, & McNulty, 2005).

The purpose of any meta-analysis is to determine relationships between dependent and independent variables. McREL's meta-analysis of research on school leaders examined the relationship between student achievement and school-level leadership. It produced three major findings.

First, we found a statistically significant correlation between school-level leadership and student achievement of .25, which translates to a one standard deviation increase in principal leadership behavior corresponding with a 10 percentile point difference in student achievement on a norm referenced test. No longer is there a question about the effect of leadership on student achievement. Clearly, leadership makes a difference.

Second, we identified 21 leadership responsibilities with statistically significant correlations to student achievement and 66 practices or behaviors for fulfilling these responsibilities. With this finding, the concept of "instructional leadership" is no longer an abstraction or left only to theory. As shown in Exhibit 1, we now have a well-defined set of research-based leadership responsibilities and associated practices correlated with student achievement.

Exhibit 1: Principal leadership responsibilities & practices

Responsibilities (extent to which the principal …)	Associated practices
Culture: Fosters shared beliefs and a sense of community and cooperation.	▪ Promotes cooperation among staff ▪ Promotes a sense of well-being ▪ Promotes cohesion among staff ▪ Develops an understanding of purpose ▪ Develops a shared vision of what the school could be like
Order: Establishes a set of standard operating procedures and routines.	▪ Provides and enforces clear structure, rules, and procedures for students ▪ Provides and enforces clear structures, rules, and procedures for staff ▪ Establishes routines regarding the running of the school that staff understand and follow
Discipline: Protects teachers from issues and influences that would detract from their teaching time or focus.	▪ Protects instructional time from interruptions ▪ Protects/shelters teachers from distractions
Resources: Provides teachers with materials and professional development necessary for the successful execution of their jobs.	▪ Ensures teachers have necessary materials and equipment ▪ Ensures teachers have necessary staff development opportunities that directly enhance their teaching
Involvement in curriculum, instruction, and assessment: Is directly involved in the design and implementation of curriculum, instruction, and assessment practices.	▪ Is involved in helping teachers design curricular activities ▪ Is involved with teachers to address instructional issues in their classrooms ▪ Is involved with teachers to address assessment issues
Focus: Establishes clear goals and keeps those goals in the forefront of the school's attention.	▪ Establishes high, concrete goals and expectations that all students meet them ▪ Establishes concrete goals for all curriculum, instruction, and assessment ▪ Establishes concrete goals for the general functioning of the school ▪ Continually keeps attention on established goals
Knowledge of curriculum, instruction, and assessment: Is knowledgeable about current curriculum, instruction, and assessment practices.	▪ Is knowledgeable about instructional practices ▪ Is knowledgeable about assessment practices ▪ Provides conceptual guidance for teachers regarding effective classroom practice
Visibility: Has quality contact and interactions with teachers and students.	▪ Makes systematic frequent visits to classrooms ▪ Maintains high visibility around the school ▪ Has frequent contact with students
Contingent rewards: Recognizes and rewards individual accomplishments.	▪ Recognizes individuals who excel ▪ Uses performance versus seniority as the primary criterion for reward and advancement ▪ Uses hard work and results as the basis for reward and recognition

Responsibilities (extent to which the principal …)	Associated practices
Communication: Establishes strong lines of communication with teachers and among students.	▪ Is easily accessible to teachers ▪ Develops effective means for teachers to communicate with one another ▪ Maintains open and effective lines of communication with staff
Outreach: Is an advocate and spokesperson for the school to all stakeholders.	▪ Assures the school is in compliance with district and state mandates ▪ Advocates on behalf of the school in the community ▪ Advocates for the school with parents ▪ Ensures the central office is aware of the school's accomplishments
Input: Involves teachers in the design and implementation of important decisions and policies.	▪ Provides opportunity for input on all important decisions ▪ Provides opportunities for staff to be involved in developing school policies ▪ Uses leadership team in decision making
Affirmation: Recognizes and celebrates school accomplishments and acknowledges failures.	▪ Systematically and fairly recognizes and celebrates accomplishments of teachers ▪ Systematically and fairly recognizes and celebrates accomplishments of students ▪ Systematically acknowledges failures and celebrates accomplishments of the school
Relationship: Demonstrates an awareness of the personal aspects of teachers and staff.	▪ Remains aware of personal needs of teachers ▪ Maintains personal relationships with teachers ▪ Is informed about significant personal issues within the lives of staff members ▪ Acknowledges significant events in the lives of staff members
Change agent: Is willing to and actively challenges the status quo.	▪ Consciously challenges the status quo ▪ Is comfortable with leading change initiatives with uncertain outcomes ▪ Systematically considers new and better ways of doing things
Optimize: Inspires and leads new and challenging innovations.	▪ Inspires teachers to accomplish things that might seem beyond their grasp ▪ Portrays a positive attitude about the ability of the staff to accomplish substantial things ▪ Is a driving force behind major initiatives
Ideals/beliefs: Communicates and operates from strong ideals and beliefs about schooling.	▪ Holds strong professional beliefs about schools, teaching, and learning ▪ Shares beliefs about schools, teaching, and learning with the staff ▪ Demonstrates behaviors that are consistent with beliefs
Monitors/evaluates: Monitors the effectiveness of school practices and their impact on student learning.	▪ Monitors and evaluates the effectiveness of curriculum, instruction, and assessment

Responsibilities (extent to which the principal …)	Associated practices
Flexibility: Adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent.	▪ Is comfortable with major changes in how things are done ▪ Encourages people to express opinions contrary to those with authority ▪ Adapts leadership style to needs of specific situations ▪ Can be directive or non-directive as the situation warrants
Situational awareness: Is aware of the details and undercurrents in the running of the school and uses this information to address current and potential problems.	▪ Is aware of informal groups and relationships among staff of the school ▪ Is aware of issues in the school that have not surfaced but could create discord ▪ Can predict what could go wrong from day to day
Intellectual stimulation: Ensures faculty and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school's culture.	▪ Keeps informed about current research and theory regarding effective schooling ▪ Continually exposes the staff to cutting-edge ideas about how to be effective ▪ Systematically engages staff in discussions about current research and theory ▪ Continually involves the staff in reading articles and books about effective practices

The third finding in the meta-analysis was somewhat surprising. In spite of finding the average effect of student achievement correlated at .25, this study also found that not all strong leaders have a positive impact on student achievement. There were a number of studies in which principals were rated by teachers as strong leaders in schools with below average achievement.

While there are many possible explanations for this third finding, described as "the differential impact of leadership," two emerged as most plausible to the researchers. First, the effect of strong leadership could be mitigated if a principal is focused (and focuses the school) on practices that are not likely to impact student achievement. There are many practices and activities on which a principal can focus the attention, energy, talent, and other assets of a school. Not all of them have the potential to positively influence student achievement. They may be important in the running of a school, but not essential for improving achievement.

Accordingly, the researchers concluded that one possible explanation of the differential impact of leadership is the *focus* of leadership. Focused on the "right" classroom and school practices, leaders can have a powerful positive effect. Focused on practices unlikely to make a difference, a strong (but ineffective) leader can have a minimal or even negative effect on student performance.

The second explanation for the differential impact of leadership is the *order of magnitude* of change implied by the principal's improvement efforts. Simply stated, even when principals focus on the right classroom and school practices, they must understand the implications these changes have for stakeholders and adjust their leadership behaviors accordingly.

Experts in the field of leadership, change, and the adoption of new ideas, including Heifetz, Fullan, Beckard, Pritchard, Hesslebein, Johnson, Kanter, Bridges, Rogers, Nadler, Shaw, and Walton, make the case that not all change is of the same magnitude. Some changes have greater implications than others for stakeholders. Although there are a variety of labels given to differing magnitudes of change (technical vs. adaptive challenges, incremental vs. fundamental, continuous vs. discontinuous), we use the terms "first-order" and "second-order" change to make this distinction. Exhibit 7 in a later section of this document describes these distinctions in greater detail.

Failing to understand these implications and manage them can result in a good idea—even one that is focused on the right school or classroom practices—being poorly implemented. As a result, even the best laid plans can have a minimal, if not detrimental, impact on student performance.

The factor analysis

Following the meta-analysis, McREL researchers conducted a factor analysis. The purpose of a factor analysis is to reveal inter-correlations among independent variables and underlying "factor" structures that might not be easily recognized by researchers, but that could substantially enhance understanding of the independent variables.

Thus, the first purpose in conducting the factor analysis was to determine if there were inter-correlations among the 21 leadership responsibilities identified in the meta-analysis. For example, it was anticipated that the leadership responsibilities of *Relationships*, *Communication*, and *Culture* might be inter-related to the degree that the number of responsibilities could be reduced to a more manageable set. The second purpose was to test the hypothesis that the "differential impact of leadership" might be related to a leader's understanding of their leadership initiatives as first- and second-order change for staff and the shareholders.

To conduct this analysis, McREL collected data from more than 700 principals using a 92-item McREL online survey, which was designed to measure principals' behaviors in terms of the 21 responsibilities as well as the extent to which the school was involved in first-order change or second-order change.

The researchers were surprised by the results of this analysis. First, they did *not* find sufficient inter-correlations among the 21 responsibilities to warrant eliminating or combining any of them. They found that each responsibility is distinct enough to include it in our set of 21 responsibilities. This finding indicates strong construct validity in the results of the meta-analysis.

Second, they found an empirical relationship between the 21 leadership responsibilities and change. That is, principals reported varying their emphasis of the 21 responsibilities based on their estimates of the order of magnitude of change associated with improvement initiatives. Specifically, we found that all 21 responsibilities were *positively* correlated with first-order change. This finding indicates that principals appear to evenly balance their emphasis of all 21 responsibilities when leading change perceived as routine or first-order.

The researchers were most surprised, however, by the second factor that emerged in this analysis: second-order change. Eleven of the leadership responsibilities correlated at a level of statistical significance with second-order change. As shown in Exhibit 2, seven were *positively* correlated with second-order change, and four were negatively correlated with second-order change.

Exhibit 2: Responsibilities correlated with second-order change

Positively correlated	Negatively correlated
▪ Knowledge of Curriculum, Instruction, and Assessment ▪ Flexibility ▪ Change Agent ▪ Ideals and Beliefs ▪ Monitor and Evaluate ▪ Intellectual Stimulation ▪ Optimize	▪ Culture ▪ Communication ▪ Input ▪ Order

This finding suggests that when leading second-order changes, principals emphasize the seven responsibilities in the left-hand column of Exhibit 2 while struggling to effectively fulfill the four responsibilities in the right-hand column.

This is *not* to suggest that these four responsibilities have a *negative* impact on second-order change. Indeed, fulfilling these responsibilities effectively will likely increase the prospects for successful implementation of second-order change initiatives.

Nor does this finding suggest that principals are not working hard to fulfill these responsibilities effectively. Rather, we think of this finding as the "unintended negative consequence" of second-order change.

Michael Fullan (2001) and others have written about "implementation dip" associated with second-order change. Declines in performance in schools (and other organizations) when struggling to implement changes requiring new knowledge and skills, that challenge prevailing norms, or conflict with personal values are well documented. The implementation dip is the experience of things getting worse before they get better.

McREL's factor analysis offers some empirical validation of the implementation dip. It suggests that when schools undertake an initiative with second-order implications for most stakeholders, teachers may feel there is less cohesion and more fragmentation in the school and less clarity regarding the school's vision (*culture*). They may also feel like the principal is less accessible and less willing to listen to their concerns (*communication*). Furthermore, they may feel like they have less influence on the day-to-day functions and direction of the school (*input*). Finally, they may feel like patterns of behavior, communication, and decision making are no longer predictable (*order)*.

As stated earlier, this finding does not imply that principals are not attending to these responsibilities. Rather, it suggests that it is difficult to fulfill these four responsibilities effectively when leading changes with second-order implications for stakeholders—especially when they are heavily emphasizing the six responsibilities positively correlated with second-order change. This is what we mean by the "unintended negative consequence" of second-order change—the possibility that teachers' perceptions of a principal's effectiveness in these areas of responsibility will be negatively affected *by* second-order change.

We encourage principals to consider sharing leadership of the four negatively correlated responsibilities with others—members of their leadership team or staff members—when leading initiatives they estimate as second-order change for the majority of their staff. While emphasizing the seven responsibilities positively correlated with second-order change, a principal should consider asking others to attend to the responsibilities of Culture, Communication, Order, and Input.

The Balanced Leadership Framework

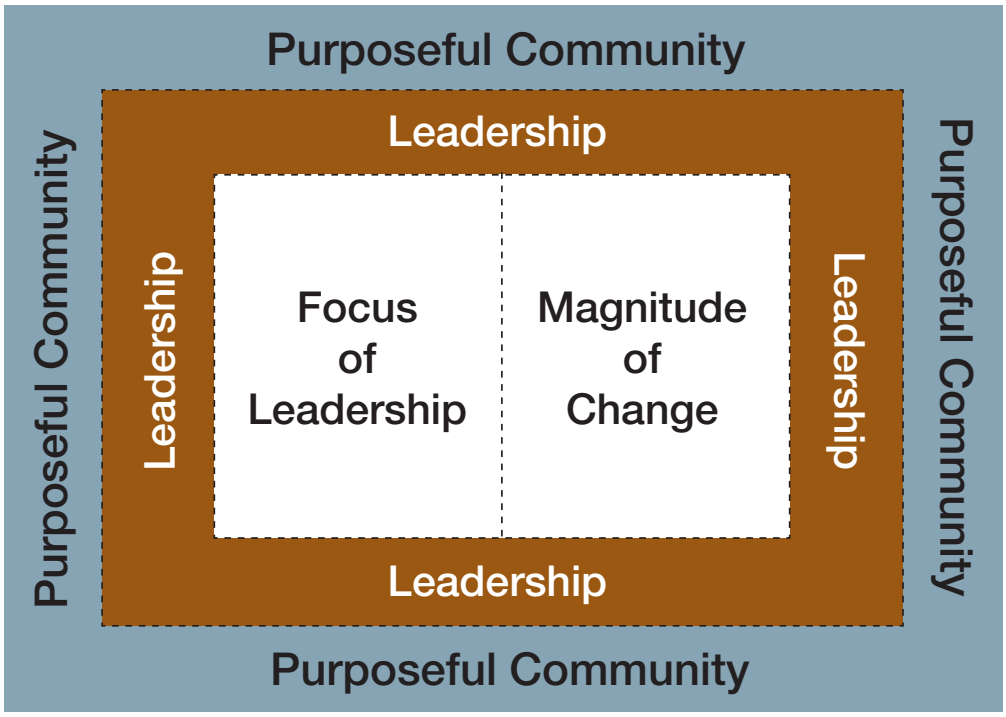
McREL developed the Balanced Leadership Framework because we understood the difficulty of keeping 21 leadership responsibilities and 66 practices in mind. We also wanted to connect our research findings to existing research-based knowledge on change management, diffusion theory, collective efficacy, institutional theory, living systems theory, community development, asset utilization, and school improvement. The result of this effort is the Balanced Leadership Framework (see Exhibit 3), which groups the 21 responsibilities into an organizing structure: Leadership, Focus, Magnitude of Change, and Purposeful Community.

We believe this Framework, which serves as the foundation for our Balanced Leadership professional development program, not only organizes the myriad of responsibilities of school leaders, but also, and perhaps more importantly, helps them connect their vision for their schools with a plan of action.

Leadership

Leadership is the foundation component in the Framework. We place it within the Framework strategically as the interface among Focus, Magnitude, and Purposeful Community. It is our view that leaders are continually engaged in focusing the work of the school, leading change with varying orders or magnitude, and developing purposeful community both within the school and in the larger community. The dotted lines between leadership and the other three Framework components are intended to reflect permeable, rather than hardened or rigid, boundaries between leadership and school and classroom practices, students, change, and the community.

Exhibit 3: McREL's Balanced Leadership Framework



The Framework also provides guidance to principals as they fulfill the 21 leadership responsibilities. Focusing the work of the school, leading change, and developing purposeful communities is what effective principals do. Skillfully emphasizing the 21 leadership responsibilities is how they do it.

To guide the use of these findings, we have placed combinations of the 21 responsibilities in the three Framework components, as shown in Exhibit 4. The following sections describe each of these components in detail, including what one might expect to observe as a principal emphasizes responsibilities to focus his or her school, lead change, and develop purposeful community.

It should be noted that principals fulfill multiple responsibilities simultaneously. Our primary placement of the responsibilities and how they are fulfilled is intended as the beginning of this application, not the last word on when, why, and how these findings should be applied.

Exhibit 4: Primary placement of leadership responsibilities in Framework

Purposeful Community	Focus	Magnitude
▪ Affirmation ▪ Communication ▪ Culture ▪ Ideals/beliefs ▪ Input ▪ Relationships ▪ Situational awareness ▪ Visibility	▪ Contingent rewards ▪ Discipline ▪ Involvement in curriculum, instruction, and assessment ▪ Focus ▪ Order ▪ Outreach ▪ Resources	▪ Change agent ▪ Flexibility ▪ Ideals/beliefs* ▪ Intellectual stimulation ▪ Knowledge of curriculum, instruction, and assessment ▪ Monitor/evaluate ▪ Optimize

*All 21 leadership responsibilities are divided among the three components of the Framework. However, the *Ideals/beliefs* responsibility appears in two components: Purposeful Community and Magnitude of Change. Although McREL's factor analysis identified it as one of the seven leadership responsibilities positively associated with second-order change, it is also included in Purposeful Community due to its importance in building collective efficacy.

Why "Balanced" Leadership?

These studies were initially published as *Balanced Leadership: What 30 Years of Research Tells Us about the Effect of Leadership on Student Achievement* (Waters, Marzano, and McNulty, 2003). The notion of "balanced leadership" as the concept for presenting this work emerged from the observations of McREL's research team as they reflected on the research findings through the lens of decades of combined experience working with and in schools.

Principals are asked to fulfill many and varied responsibilities that are important in running a school. Not all of them, however, are *essential* to improving student achievement. For example, maintaining facilities, managing budgets, complying with regulations, and arranging transportation are all important aspects of running a school, but not *essential* to creating higher levels of student achievement. Thus, we hope our research findings can help principals balance their time and efforts in fulfilling *important* and *essential* responsibilities.

In addition, we observed something of a paradox in the 21 responsibilities identified through the meta-analysis. Some of the responsibilities have the effect of stabilizing or "normalizing" patterns of organizational and personal behavior. For example, emphasizing the responsibilities of *culture, discipline, focus, order,* and *involvement in curriculum, instruction, and assessment* reinforce the status quo of routines, procedures, and practices.

At the same time, as depicted in Exhibit 5, many other responsibilities tend to have the effect of *de*-stabilizing or challenging "normal" organizational and individual behavior patterns. Most notably, the responsibilities of *change agent, flexibility, ideals and beliefs, intellectual stimulation,* and *optimize*, are likely to disrupt routines, procedures, and practices.

Balancing when and how to maintain the status quo with when and how to challenge it is often the difference between effective and ineffective leadership. Highly successful principals strike an appropriate balance between answering questions with asking them, between stepping up and taking charge with stepping back and letting others lead, between pushing people and systems with supporting them, and between speaking and listening.

Exhibit 5: "Balancing" leadership responsibilities

"Destabilizing" responsibilities	"Stabilizing" responsibilities
Change agent	Culture
Flexibility	Discipline
Ideals and beliefs	Focus
Intellectual stimulation	Order
Optimize	Involvement in curriculum, instruction, and assessment

In summary, we hope that these research findings and this Framework help practitioners balance their emphasis of destabilizing or "challenge" responsibilities with stabilizing or "maintenance" responsibilities.

Focus of leadership

We have already summarized McREL's finding of the strong positive general effect of principal leadership on student achievement. Yet several of the 69 studies included in the meta-analysis reported a negative correlation between leadership and student achievement.

This variance was described as the "differential impact" of leadership. We have also presented what we view as the most plausible explanation for this finding: the *focus* of a leader's improvement initiatives and the magnitude of *change* associated with these improvement initiatives. Accordingly, focus and change are two of the components in the Framework.

Following are examples of how the focus of a strong principal's improvement initiatives could have a differential impact on student achievement.

- A principal might focus attention on improving school practices and classroom practices that are already well developed and effectively implemented. As a result, focusing on these practices is not likely to produce measurable impact on student and school performance. This might be thought of as putting new spark plugs into an automobile that is already running well. It doesn't hurt, but it doesn't help because it's not what's needed.
- A principal might focus attention on school and classroom practices for which the staff lacks the knowledge and skills to implement effectively. This would result in marginal implementation. For research-based classroom and school practices to improve achievement, they must be implemented with quality, fidelity, consistency, and intensity. Marginal, inconsistent, or unskillful implementation is not likely to produce desired results. This might be thought of as providing spark plugs to someone to install in a poorly running automobile without instructions for installing them. Providing the right parts and tools for improving performance without the knowledge to use them correctly will not produce needed improvements.

- A principal might focus his or her school on practices with weak relationships to student achievement. This might be akin to putting new seat covers in a car that is backfiring or stalling. Superficial or trendy changes that neglect the real problem will not result in better performance.

Based on this explanation of the "differential impact" of leadership, we suggest that school-level leaders strengthen their knowledge and use of research on the school and classroom practices with the largest effect sizes or predictable influence on student achievement.

McREL's ongoing examination of the past 30 years of research on effective schools and classrooms has been reported in several Association for Supervision and Curriculum Development (ASCD) publications, including *Transforming Classroom Grading* (Marzano, 2000), *Classroom Instruction that Works* (Marzano, Pickering, & Pollock, 2001), *What Works in Schools* (Marzano, 2002), and *Classroom Strategies for Helping At-Risk Students* (Snow, 2003). Additional research and insights into effective schools and classrooms have been captured in the McREL reports, *The Effectiveness of Out-of-School-Time Strategies in Assisting Low-Achieving Students in Reading and Mathematics: A Research Synthesis* (Lauer, et al., 2004), *Noteworthy Perspectives: Success In Sight* (Dean, Galvin & Parsley, 2005), and *McREL Insights: Schools that Beat the Odds* (2005).

While we do not claim that these analyses represent all that there is to know from the research on school and classroom practices, we believe they are as good a collection as any available to help principals focus their schools on the "right" things to do. For example, a principal might ensure that his or her school has a "guaranteed and viable curriculum" or that teachers are using the nine strategies presented in *Classroom Instruction that Works.* Exhibit 6 demonstrates how principals can use seven key leadership responsibilities to focus their schools on research-based classroom and school practices that have statistically significant effects on student achievement.

Exhibit 6: Leadership responsibilities used to focus schools on research-based practices

Responsibilities	Classroom & school practices
Resources: Provides teachers with the materials and professional development necessary for the successful execution of their jobs.	Research-based instructional strategies, classroom management, and curriculum design are the primary focus of school improvement. Ongoing professional development is provided to enhance teachers' use of research-based instructional strategies, curriculum design, and classroom management practices.
Involvement in curriculum, instruction, and assessment: Is directly involved in the design and implementation of curriculum, instruction, and assessment practices.	There is agreement on a "guaranteed and viable" curriculum, i.e., essential content, knowledge, and skills that all students are expected to learn. There is adequate time for students to learn essential knowledge and skills. Instruction and assessment are aligned with essential knowledge and skills. All classes teach the vocabulary students will need to succeed on assessments. Attention remains focused on the goals for learning the essential curriculum regardless of distractions that may arise during a year.
Focus: Establishes clear goals and keeps those goals in the forefront of the school's attention.	Challenging goals are set for the school as a whole as well as for individual teachers and students. Concrete performance targets are set for the school as well as for students and teachers. Students and teachers are expected to meet performance targets. Teachers and students have easy access to meaningful formative data on their performance. Performance is reported in relation to goals and performance targets.

Responsibilities	Classroom & school practices
Outreach: Is an advocate and spokesperson for the school with all stakeholders.	Parents and community are involved—parents are invited and genuinely encouraged to become involved in the school. Parents are involved as classroom aides, monitor school activities, and are used as expert resources in classrooms. Parents are included in school-level governance processes and decisions when appropriate.
Order: Establishes a set of standard operating procedures and routines. **Discipline:** Protects teachers from issues and influences that would detract from their teaching time or focus.	There is a safe and orderly environment—students and teachers know and understand expected behaviors. Consequences are clear, fair, and consistently applied. Time for teaching and learning is protected from external distractions.
Contingent rewards: Recognizes and rewards individual accomplishments.	There is a high level of collegiality and professionalism—norms and standards for professional conduct are formalized and modeled by teachers and staff. Effort and quality performance are the bases for recognition.

Magnitude of change

Our second explanation for the differential impact of leadership is based on our understanding of the nature of change, the implications of change, the change process, and the leadership of change. We have asserted that strong leaders, even when focusing their change initiatives on the right school and classroom practices, can have a negative impact on achievement if they fail to understand the implications for stakeholders. This assertion is the underlying basis for the *change* component of our Framework.

McREL's earlier work describes the characteristics of change that will be perceived as either first-order or second-order based on the implications of change for community members. It is important to note that the terms first-order and second-order have less to do with the actual change initiatives themselves and more to do with the *implications* of change for individuals expected to carry out the change effort.

In other words, like beauty, magnitude of change lies in the eye of the beholder. As described in Exhibit 7, whether stakeholders perceive a change as first-order or second-order has less to do with the change itself than it does with their own knowledge, experience, values, and flexibility. As a result, few changes are of the same magnitude for *all* stakeholders. Indeed, the same change can be perceived as a first-order change for some stakeholders and a second-order change for others.

Exhibit 7: Comparison of first-order change & second-order change

First-order Change When a change is perceived as:	Second-order Change When a change is perceived as:
An extension of the past	A break with the past
Within existing paradigms	Outside of existing paradigms
Consistent with prevailing values and norms	Conflicted with prevailing values and norms
Implemented with existing knowledge & skills	Requiring new knowledge & skills to implement

Examples of first- and second-order changes

An example of a change that most teachers might view as first-order is teaching the vocabulary students must understand to perform well in their school's assessment and accountability program. Teaching vocabulary that appears in the essential curriculum and in assessment instruments makes sense to most teachers. It is consistent with their prior experience, an incremental step that builds on the existing knowledge of pedagogy, and is consistent with their personal values and the perceived norms of their school and district. However, this is not true for all teachers. For some, vocabulary instruction can be a second-order change, one that is not consistent with their prior experience, conflicts with their personal values and the prevailing norms of their school or district, or requires them to gain new knowledge and skills. As a result, even a seemingly simple effort to encourage direct teaching of vocabulary can have second-order implications for some stakeholders.

Consider a second example: implementing a system of standards-based record keeping, grading, and reporting. This initiative asks teachers to base their assessment of student performance on the standards or benchmarks adopted for their grade level or course of study. In other words, teachers now calculate grades based on students' demonstrated learning at the end of a grading period, rather than averaging performance from the beginning to the end of the grading period. Grades reflect how students perform against a rubric tied to each benchmark and report cards reflect student performance against those rubrics. In such a standards-based grading system, poor performance might earn no grade, based on the premise that "if the work does not meet a high standard, it isn't finished." Conversely, meeting high standards results in good grades. As a result, there is no "bell curve" and, thus, it becomes possible for all students to earn good grades.

In most schools and districts, this approach to grading would represent a second-order change for the majority of stakeholders. However, some teachers and principals might view this change as a logical next step to their work with standards and benchmarks, consistent with their personal values, and in step with school and district policy development. For these educators, this initiative would simply be a first-order change.

In order to avoid the "differential impact of leadership," principals must understand and accurately estimate the order of magnitude of their improvement initiatives for all stakeholders. Moreover, they must also understand the change process—that is, they must understand which leadership responsibilities to emphasize and *how* to emphasize them when working with stakeholders for whom the change may have different implications.

Leading change

In light of rising global competition, the universal call for higher levels of student achievement, and increasingly rigorous systems of accountability, schools are confronted with the need to make dramatic changes in the ways they operate. Research-based practices, when successfully implemented, are generally viewed as good for teachers, good for principals, and good for students. However, even the most well-documented, well-defined, and powerful research-based practices, can be met with resistance—especially when they require new knowledge, new relationships, and new procedures for those expected to implement them.

In this section, we describe phases of the change process and the leadership responsibilities that must be fulfilled to effectively lead second-order changes (see Exhibit 8). The results of the factor analysis described earlier provide important new information for principals leading second-order change. In many ways, these data confirm what seasoned school and district leaders already understand: that leading change initiatives with major implications for stakeholders can be a high-stakes proposition, and fulfilling key responsibilities exceptionally well is both difficult and imperative.

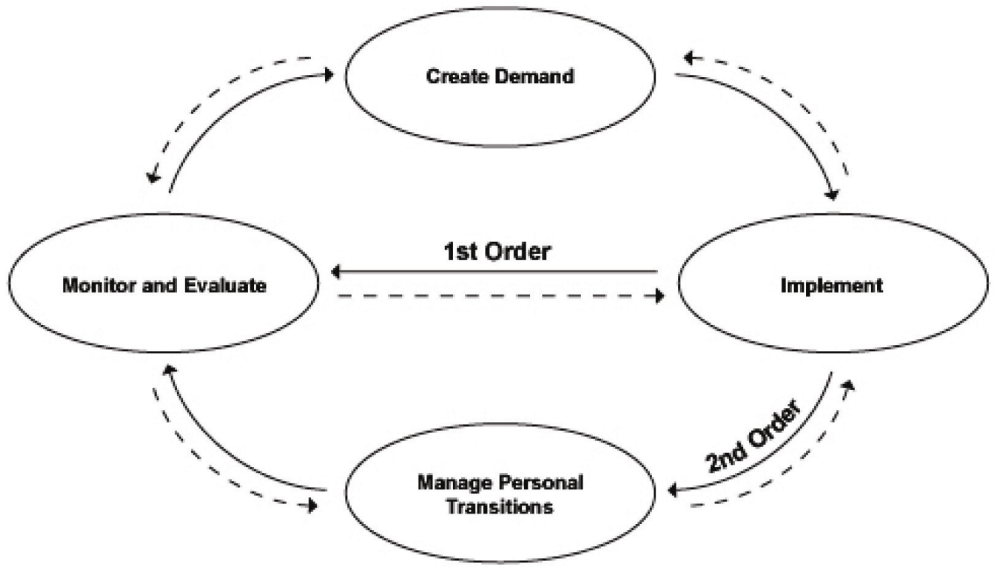
Exhibit 8: Responsibilities positively correlated with second-order change

Responsibilities (the extent to which the principal...)	Associated practices
Ideal/beliefs: Communicates and operates from strong ideals and beliefs about schooling.	▪ Holds strong professional beliefs about schools, teaching, and learning ▪ Shares beliefs about schools, teaching, and learning with the staff ▪ Demonstrates behaviors that are consistent with beliefs
Optimize: Inspires and leads new and challenging innovations.	▪ Inspires teachers to accomplish things that might seem beyond their grasp ▪ Portrays a positive attitude about the ability of the staff to accomplish substantial things ▪ Is a driving force behind major initiatives
Flexibility: Adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent.	▪ Is comfortable with major changes in how things are done ▪ Encourages people to express opinions contrary to those with authority ▪ Adapts leadership style to needs of specific situations ▪ Can be directive or non-directive as the situation warrants
Knowledge of curriculum, instruction, and assessment: Is knowledgeable about current curriculum, instruction, and assessment practices.	▪ Is knowledgeable about instructional practices ▪ Is knowledgeable about assessment practices ▪ Provides conceptual guidance for teachers regarding effective classroom practice
Intellectual stimulation: Ensures faculty and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school's culture.	▪ Keeps informed about current research and theory regarding effective schooling ▪ Continually exposes the staff to cutting-edge ideas about how to be effective ▪ Systematically engages staff in discussions about current research and theory ▪ Continually involves the staff in reading articles and books about effective practices
Change agent: Is willing to and actively challenges the status quo.	▪ Consciously challenges the status quo ▪ Is comfortable with leading change initiatives with uncertain outcomes ▪ Systematically considers new and better ways of doing things
Monitor and evaluate: Monitors the effectiveness of school practices and their impact on student learning.	▪ Monitors and evaluates the effectiveness of curriculum, instruction, and assessment

Phases of change

Effective change leadership requires a deep understanding of the change process, which is complex, non-linear, and recursive. This makes it difficult for leaders to have a clear understanding of where they are in the process. In an effort to support a leader's understanding of the change process, Exhibit 9 presents a simplified diagram illustrating McREL's theory of change, composed of four phases: *Create Demand, Implement, Manage Personal Transitions,* and *Monitor and Evaluate*.

Exhibit 9: Four phases of the change process



There are several important characteristics of the process of change illustrated in this figure. First, they are highly inter-dependent. For example, successful implementation requires effective management of personal transitions, which is based on close monitoring of the implementation of a change. Monitoring and evaluating the quality, fidelity, consistency, and intensity of implementation may increase or decrease demand for change.

Second, the phases of change are not sequential; they are recursive. For example, at the implementation phase, it is likely that leaders continue to create demand as a means to revitalize change initiatives that are losing ground.

Third, the change process is substantially different for change perceived as first-order from change perceived as second-order. For example, as shown in the exhibit, the phase "Manage Personal Transitions" is related only to change perceived as second-order. Because first-order change is perceived as an extension of the past and consistent with stakeholders' accepted ways of doing things, leaders do not typically need to manage the personal transitions that accompany change perceived as first-order.

However, because the change process is dynamic and complex, it is possible that for a change perceived as first-order for most members of an organization there may be some stakeholders for whom change will be second-order. This means that leaders must be highly attuned to their staff, their organization, their community, the magnitude of change implied by their improvement initiatives, and the phases of change.

Create demand

Little change occurs in an organization or community that is satisfied with the status quo. If a change is to be initiated, it is generally the result of one of two possibilities. The first is the emergence of a shared vision that challenges the current reality. In this case, the vision is attractive and compelling enough that individuals or groups are willing to accept changes required to realize the vision, in spite of risk and discomfort that might be associated with it.

The second possibility is that the current reality is so unpleasant that individuals or groups are willing to accept the risk and discomfort associated with changing the status quo, hoping that a new reality will ultimately be less painful than the current one. In both cases, the tension between the current reality and a preferred future develops sufficient energy and motivation to move individuals or groups away from the status quo.

The tension that contributes to a demand for change can be a product of many different forces. As shown in Exhibit 10, three of the seven leadership responsibilities positively correlated with second-order change, *Intellectual Stimulation, Change Agent,* and *Ideals and Beliefs* can create demand for change.

By fulfilling the *Change Agent* responsibility, the principal focuses directly on the change process by actively challenging the status quo, modeling a comfort level with leading change with uncertain outcomes, and systematically considering new and better ways of doing things. Principals who create demand by fulfilling the *Intellectual Stimulation* responsibility use current research, cutting-edge ideas, and books and articles about effective practices to create a tension between current and desired practices.

Exhibit 10: Leadership responsibilities associated with creating demand

Responsibilities associated with 2nd-order change	Phase of change process
Intellectual Stimulation: Ensures teachers and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school's culture. **Change Agent:** Is willing to and actively challenges the status quo. **Ideals and Beliefs:** Communicates and operates from strong ideals and beliefs about schooling.	**Create Demand**—A pervasive expectation of continuous improvement, regardless of perceived obstacles or limitation contributes to a push for continuous improvement. Principals expose teachers to research and related information about effective practices, and then engage them in discussions about how to apply research findings in their classrooms. School leaders challenge the status quo, always considering new and better ways of doing things. Principals also keep themselves up-to-date on cutting-edge ideas about how to improve individual and school effectiveness. They routinely share beliefs about teaching and learning, modeling these beliefs through actions.

Implement

Once leaders have created demand for change, the challenge becomes implementing appropriate research-based practices effectively. To sustain the tension that was created in the previous phase and to guide teachers and others through this phase of the change process requires principals to maintain a relentless focus on the quality, fidelity, consistency, and intensity of implementation. All too often, change initiatives fail at this phase because leaders assume that the demand created in the initial phase will carry the initiative forward.

However, sustaining the tension and effectively implementing the change requires that principals develop a deep and shared understanding of the content of the change initiative while supporting and inspiring others to embrace the change. As shown in Exhibit 11, two leadership responsibilities support principals in this effort: *Knowledge of Curriculum, Instruction, and Assessment* and, *Optimize*.

Exhibit 11: Leadership responsibilities associated with implementing change

Responsibilities associated with 2nd-order change	Phase of change process
Knowledge of Curriculum, Instruction, and Assessment: Is knowledgeable about current curriculum, instruction, and assessment practices. **Optimize:** Inspires and leads new and challenging innovations.	**Implement**—Principals develop knowledge of effective, research-based curriculum, instruction, and assessment practices, and then use this knowledge to provide conceptual guidance to teachers. Principals also inspire teachers to use demanding, research-based classroom practices and believe that teachers can successfully implement these practices and convey this belief to teachers. Principals should interpret disappointments in ways that help school staff to see them as temporary and isolated and interpret successes in ways that help staff view them as permanent and universal.

First, principals must be highly knowledgeable about curriculum, instruction, and assessment and the research-based practices associated with the change initiative. They must also provide conceptual guidance regarding the related school and classroom practices. Second, they must support teachers and others in realizing and implementing the change through inspiration, by portraying a positive attitude about their abilities, and being a driving force behind the initiative.

Manage personal transitions

Often, changes in programs and practices, which represent a *gain* for students, schools, or school districts, can be perceived as a *loss* for teachers or principals—especially, when they must gain new knowledge, develop new approaches and procedures, redefine relationships, and re-examine their norms and values. School improvement initiatives often require stakeholders to undergo personal transitions, which they often respond to by resisting change.

It is important to note that managing personal transitions created by second-order change is *not* the same as managing change. Bridges (1991) makes the distinction between *change* and *transition* by describing the former as external and the latter as internal (p. 3). *Personal* transitions, according to Bridges, are *internal*, personal, psychological processes that are often the result of *external* changes.

For principals, managing personal transitions created by second-order change, and understanding individual responses and managing them effectively is imperative to successful change leadership. Because personal transitions vary between individuals and groups, principals must fulfill the leadership responsibility *Flexibility* (see Exhibit 12). That is, they must be flexible in their approach to leadership and differentiate their leadership behaviors by being directive or non-directive as the situation warrants.

This flexibility includes understanding when to use authority to direct resources and to answer questions, as well as knowing when to step back, frame strategic questions, and encourage others to help find answers. Principals must find the balance between setting direction for the school with listening to beliefs and opinions contrary to their own. Finally, principals themselves must be comfortable with major changes in how things are done. Often, principals may need to lead changes that are for themselves second-order. This requires that principals engage in reflective practice and maintain an awareness of the implications of change for themselves as well as others.

Exhibit 12: Leadership responsibilities associated with managing personal transitions

Responsibilities associated with 2nd-order change	Phase of change process
Flexibility: Adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent.	**Manage Personal Transitions**—The principal understands when to direct, when to step back, when to answer questions and when to ask them, when to speak and when to listen. He or she understands the fear and stress of second-order change for stakeholders. There is attention to the importance of symbolic events and a willingness to establish temporary agreements to assist those who need extra support. The principal makes clear the reasons for change, shares an attractive vision of what will be different because of the change, develops a change management plan, and specifies the new roles, responsibilities, and activities for all stakeholders.

Finally, it is important to remember that poorly managed personal transitions are likely to exacerbate the feeling of loss that people may experience when engaged in what they view as second-order change. When people feel like they are losing something, they may look for someone to blame for their loss. The easiest person to blame in any organization is the one responsible for the change itself: the principal. For precisely this reason, change leadership can be a high-stakes proposition.

Monitor and evaluate

Monitoring the implementation of research-based improvement initiatives requires that principals fulfill the responsibility *monitor and evaluate* (see Exhibit 13). They do this by:

- Collecting and analyzing data on the quality, fidelity, consistency, and intensity of implementation.
- Assessing the impact of implementation on student achievement.
- Determining the impact of implementation on implementers.

By monitoring the impact of change on those who are responsible for implementing it, principals will know how accurately they estimated the order of magnitude of change implied by their improvement initiatives and thus, be able to adjust their leadership behaviors accordingly.

Exhibit 13: Leadership responsibilities associated with monitoring & evaluating change

Responsibilities associated with 2nd-order change	Phase of change process
Monitor and Evaluate: Monitors the effectiveness of school practices and their impact on student learning.	**Monitor and Evaluate**—There is real-time access to and use of all relevant data on needs and performance of individuals, groups, and the organization. Attention is paid to the quality of implementation of research-based instructional and classroom practices. Analyses of formative data on leading indicators of implementation and impact are fed into decisions about the pace and intensity of additional changes. Change implementation is also carefully monitored.

The consequences of second-order change

McREL's factor analysis provided an additional insight into the dynamics of change leadership. Just as the three leadership responsibilities included in Exhibit 10 are *positively* correlated with leading second-order change, there were four responsibilities *negatively* correlated with second-order change: *Culture*, *Order*, *Communication*, and *Input*.

The fact that principals struggle to fulfill these responsibilities when leading second-order changes is not altogether surprising. We have all experienced second-order change that produced feelings of disorientation, breakdowns in communication, leaders who seem less accessible, personal vulnerability, and the loss of voice or influence in the decision-making process. Regardless of how much additional attention and effort a principal might give to these responsibilities, the results of our factor analysis suggest teachers and others in the school community are likely to perceive that their leaders are not attending to these responsibilities as well as they should.

To help mitigate the negative consequences of second-order change, we advise principals to consider asking others to share these responsibilities when leading second-order changes in their schools. Exhibit 14 provides examples of how a school leadership team or a designated transition team (e.g., school-level administrators, central office resource staff, teachers, parents, students, and other community members) might fulfill these responsibilities while the principal emphasizes the seven responsibilities positively correlated with second-order change.

Exhibit 14: Sharing leadership responsibilities negatively associated with second-order change

Responsibilities	The leadership and/or transition team...
Culture: Fosters shared beliefs and a sense of community cooperation.	Help articulate a vision or picture of where the school or program is heading. They help set up vicarious and mastery experiences that support acquisition of new knowledge and new skills. They encourage positive attitudes. They focus on successes and interpret disappointments as opportunities for improvement. They help clarify parts that individuals can play in successfully implementing changes.
Order: Establishes a set of standard operating procedures and routines.	Plan and stage ceremonial events that honor the past, clarify what is ending, and what is beginning. They develop or negotiate temporary agreements or policies to provide new structures to guide and support behavior as new norms emerge.
Communication: Establishes strong lines of communication with teachers, staff, and among students.	Listen to concerns about clarity of the plan for change, implementation of the plan, and needed support. They continually articulate the new direction of the organization, clarify and simplify, when possible, helping individuals see connections between shared values and aspirations and new direction, focusing on the relative advantage of changes to everyone involved. They highlight short-term successes to feature evidence of impact as well as learning opportunities.
Input: Involves teachers in the design and implementation of important decisions and policies.	Encourage and actively seek experiences of the staff with implementation. They plan and facilitate periodic study sessions to learn what is working, what is not working, and to reiterate the reasons or purpose for the change initiative.

Purposeful Community

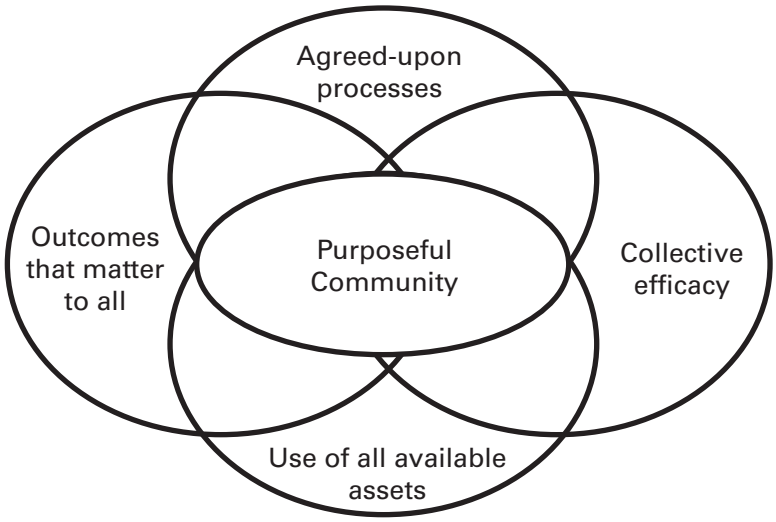
The idea of principals, teachers, and community members joining forces to improve student achievement is not new. Indeed, a long list of researchers have noted the importance of collegiality and professionalism. Rosenholtz (1991) documented the conditions of teacher workplaces. Newmann and Wehlage (1995) examined successful schools, tracing the relationship between increased student achievement and the level of professional community. Fullan (1993) discussed the power of collaboration in schools that are grounded in relationships where trust, compassion, and respect abound. Similarly, Dee Hock, founder and former CEO of Visa (1999), asserts that

> It is essential to determine with absolute clarity, shared understanding, and deep conviction the purpose of the community. From that, all else must flow. It is what will bind the group together as worthy of pursuit. (p. 7)

After reviewing hundreds of studies on school improvement, we have concluded that virtually everything in a school occurs within the context of a community, composed of students, parents, teachers and other school staff members, central office administrators and support personnel, the school board, other social agencies, and businesses. The more this diverse community is able to coalesce around shared purposes, the more sustainable and effective a school's change efforts will be.

Thus, one of the key components of the Balanced Leadership Framework is what we call "Purposeful Community." We define *Purposeful Community* as one with the *collective efficacy* and capability to *use all available assets* to accomplish purposes and produce *outcomes that matter to all* community members through *agreed-upon processes* (see Exhibit 15).

Exhibit 15: McREL's Definition of Purposeful Community



A compelling body of research evidence demonstrates the impact of leadership on the development of these attributes of Purposeful Communities (Bandura, 1997; Hoy, Smith, and Sweetland, 2002; Seligman, 1990). In the following sections, we describe in more detail how leaders can develop these four interconnected characteristics of purposeful communities.

Outcomes that matter to all

There are many types and forms of community; some more purposeful or intentional than others. In *Making the Grade*, Wagner (2002) describes how purposeful or intentional communities are different than "coincidental communities":

> Historically, most communities were created by accident. They were usually the result of some physical proximity or immediate shared need. Sometimes they furthered the goals and growth and development of their members, sometimes they didn't—as any long-time resident of a small town will tell you. By contrast, an intentional community is created for a purpose. In fact, the intentional community was first widely used to describe efforts of the nineteenth century utopians to create communities whose goal was the intellectual and spiritual growth of its members. (pp. 148–149)

Leaders create purposeful or intentional communities by developing a vision of meaningful outcomes that they can only achieve as a community. Simply stated, they help community members answer the question, *What is it that we can do together that we cannot do as individuals?*

Obviously, individuals can accomplish many things. A Purposeful Community does not discourage them from completing individual tasks that lead to important outcomes. Rather, it helps them identify which outcomes can only be accomplished because the community exists and works together. Indeed, one distinguishing difference between purposeful and coincidental communities is the agreement among community members on what they can accomplish only because they are together as a community.

Use of all available assets

The second characteristic of McREL's definition of Purposeful Community is the development and use of all available assets to accomplish outcomes that matter to all community members. Assets can be tangible—that is, physical, observable, and measurable. For example, computers, software, textbooks, science laboratory equipment, personnel, and financial resources are all tangible assets, which can be touched, seen, and easily measured.

Intangible assets, though more difficult to measure, are equally important. In fact, in the view of some financial analysts, they are as important as tangible assets because without intangible assets, the value and impact of tangible assets are typically marginalized. Low and Kalafut (2002), for example, report that 35 percent of the market value of "for profit" companies involved in mergers and/or acquisitions is based on an analysis of their intangible assets. Examples of intangible assets include leadership, strategy execution, transparency, customer reputation, innovation, and adaptability. These intangible assets and the ability of the community to capitalize on them are a reflection of leadership at all levels of the community (Kaplan & Norton, 2004).

It is important to understand that all communities have the potential to develop and utilize these assets. Some communities, however, use their assets more effectively than others. In school settings, the strategic and effective use of these assets can dramatically enhance the sustainability of improvement efforts and the impact of research-based school and classroom practices.

Agreed-upon processes

Complex living systems emerge around simple, but powerful, organizing principles. These principles are made operational through agreements that exist among members of the system. Regardless of whether these principles and the agreements are explicit or implicit, conscious or unconscious, they produce relationships and complex patterns of behavior that can be at times elegant and productive, and at other

times, confusing and conflicted. The most basic examples of simple, but powerful, organizing principles that produce elegant, complex, productive, and synchronous patterns of behavior can be observed in flocks of birds and schools of fish.

Every member of a flock of birds or school of fish understands how to flock or how to move at the same speed, banking or turning in the same direction at precisely the same moment without colliding into one another. They behave in accordance with the principles of flocking or of schooling, yet no one tells them to do it. Without regulations, policies, guidelines, or leaders telling them what to do, selected species of birds and fish demonstrate a deep understanding of "organizing principles" of flocking and schooling.

This dynamic of simple organizing principles producing complex, synchronous patterns of behavior is dependent on all members of the system honoring the principles. In fact, in the earliest computer simulations developed by scientists at the Santa Fe Institute, complex patterns of behavior emerged around simple organizing principles given to "boids," the term they gave to computer simulations of birds. The principles given to their computer-simulated birds were these:

- Maintain a minimum distance from other objects in the environment, including other birds.
- Match the velocity with other birds in the neighborhood.
- Move toward the perceived center of the mass of birds in the neighborhood.

With only these organizing principles, elaborate flocking behavior developed. Note that there is no specific direction given to the flock (Waldrop, 1994).

Similar phenomena can be observed in formal organizations. In her groundbreaking work, Margaret Wheatley (1992) describes organizations in which one can tell "what the organization's values and ways of doing business are by watching anyone, whether it be a production floor employee or a senior manager. There is a consistency and predictability to the quality of behavior." According to Wheatley, these organizations

> trust in the power of guiding principles or values, knowing that they are strong enough influencers of behavior to shape every employee into a desired representative of the organization. These organizations expect to see similar behaviors show up at every level in the organization because those behaviors were patterned into the organizing principles at the very start (p. 132).

Wheatley is describing the organizational example of flocking and schooling behavior; every member of the system understands the organizing/operating principles at a deep level and agrees to honor them. The "right" set of organizing principles, and agreements among members to honor them, produce consistent, elegant, synchronous, productive patterns of behavior. These become the "ways of doing business," or agreed-upon processes.

Agreed-upon processes in a Purposeful Community are those that contribute to stability within the community. They are processes that lead to patterns of communication, relationships among community members, a sense of individual well-being, connections between the school and other critical institutions, shared leadership opportunities, and a sense of order and discipline.

On the other hand, they also can be processes that provoke the community into action, especially when stability, or the status quo, is not moving the community toward achieving its purposes. When instability rather than stability is needed, these processes will challenge the community to examine current realities in light of preferred futures and produce the energy and direction necessary to move in new directions.

Collective efficacy

The final characteristic of Purposeful Community is collective efficacy, which is a *shared perception or belief* held by a group that they can organize and execute a course of action that makes a difference (Goddard, 2001). In schools with high levels of collective efficacy, there is a shared belief among teachers that collectively they will have a positive impact on student achievement (Goddard, Hoy & Hoy, 2004). According to Goddard, Hoy, and Hoy, collective efficacy is measurable and varies from group to group. It is, in fact, a better predictor of student and school success than student socio-economic status or race (Goddard, 2003; Hoy, Smith, & Sweetland, 2002).

Moreover, collective efficacy is task specific. For example, when faculty members perceive their colleagues as being competent in instructional strategies, there is a higher level of collective efficacy than in schools where this perception does not exist. Collective efficacy is diminished when faculty members perceive their colleagues as incompetent in particular curricular or instructional areas. Collective efficacy, or a strong belief among members that they can exert some measure of control over their circumstances and make a positive difference through their united effort, is the characteristic that distinguishes a purposeful community from other learning communities.

Why Collective Efficacy?

Fundamentally, the research on collective efficacy has shown that students achieve at higher levels in schools where the culture is characterized by having a high sense of collective efficacy (see Goddard, 2003; Goddard, LoGerfo, & Hoy, 2004; Hoy, Smith, & Sweetland, 2002). This critical characteristic of purposeful community is necessary for schools to transcend challenging goals and ultimately create student success. Furthermore, research provides guidance on how to constructively nurture and sustain collective efficacy. Bandura (1997) identified the following sources of collective efficacy:

- **Mastery experiences.** Efficacy grows when people experience initial success and have opportunities to build on these successes. Establishing conditions for "early wins" and building on these experiences reinforces group beliefs.
- **Vicarious experiences.** Efficacy is strengthened when individuals and groups have the opportunity to observe successful individuals in situations with similar circumstances.
- **Social persuasion.** This source of efficacy is also referred to as "normative press." Influential individuals within a group create high expectations and provide encouragement and support to others to persist in pursuit of desired outcomes.
- **Affective states.** A shared sense of hope and optimism that the group can accomplish its desired outcomes, even after disappointments, is another key source of collective efficacy.
- **Group enablement.** Groups build efficacy when they have opportunities to provide input on challenges/problems and to develop their own responses and solutions to these challenges.

Of these five processes, researchers have found that mastery experiences have the most positive effect on collective efficacy (Goddard, 2001; Hoy, Smith, & Sweetland, 2002; Ross, Hogaboam-Gray, & Gray, 2004).

Purposeful vs. Professional Learning Community

While much has been written about the role that community plays in schools (e.g., DuFour & Eaker, 1998; Hord, 1997), we contend that the traditional view of community, including shared goals and a collaborative setting, is insufficient. The notion of "purposeful community," with its more robust characteristics, more adequately distinguishes highly effective from less effective school communities. In particular, the notion of "collective efficacy" distinguishes McREL's definition of purposeful community from other models of school communities, as shown in Exhibit 16.

Exhibit 16: Purposeful community compared with other models

Purposeful Community Waters, McNulty, & Marzano, 2005	Professional Learning Community DuFour & Eaker, 1998	Professional Learning Community Hord, 1997	Communities of Practice Wenger & Snyder, 2000
"A Purposeful Community is one with the collective efficacy and capability to develop and use assets to accomplish goals that matter to all community members through agreed upon processes."	"PLC schools have (1) a solid foundation consisting of collaboratively developed and widely shared missions, visions, values and goals, (2) collaborative teams that work interdependently to achieve common goals, and (3) a focus on results as evidenced by a commitment to continuous improvement."	"A school in which the professionals (administrators and teachers) continuously seek and share learning to increase their effectiveness for students and act on what they learn."	"Groups of people informally bound together by shared expertise and passion for a joint enterprise."
Accomplish purpose and produce outcomes that matter to all	Shared mission, vision, values and goals Focus on results	Shared values and vision	Joint enterprise
Use of all available assets	Commitment to continuous improvement	Collective learning and application of learning	Passion, commitment, and identification with group's expertise
Agreed-upon processes	Collaborative teams that work inter-dependently	Supportive conditions Shared personal practice Shared and supportive leadership	Build and exchange knowledge
Collective efficacy			

Purposeful Community and Leadership

A purposeful community develops largely as a result of its leadership. McREL identified 21 leadership responsibilities that are positively associated with student achievement. Exhibit 17 lists the eight leadership responsibilities that McREL suggests that principals emphasize to develop a purposeful community and provides guidance for translating these eight responsibilities into specific and potentially measurable indicators of purposeful communities.

Exhibit 17: Leadership responsibilities to create purposeful community

Leadership responsibilities	Characteristics of purposeful communities
Culture: Fosters shared beliefs and a sense of community and cooperation. **Ideals and Beliefs:** Communicates and operates from strong ideals and beliefs about schooling.	There is consensus on reasons for working together – general agreement exists on why the community exists, what can only be accomplished because the members of the community are together as a community, and that they can accomplish what is important to them. The principal promotes cooperation, a sense of well-being, and cohesion among the staff. There is a shared understanding of purpose and a vision of what the school could be like. The principal holds and shares strong beliefs about teaching, learning, and the capability of the community to accomplish specific outcomes. The principal demonstrates behaviors that are consistent with his or her espoused beliefs.
Communication: Establishes strong lines of communication with teachers and among students. **Visibility:** Has quality contact and interactions with teachers and students.	There are critical connections among key members of the community – the principal is easily accessible to teachers, other staff, students, and community members. The principal uses systematic and frequent visits to classrooms, within the school, and in the community, to reinforce the importance of learning and the community's capability of accomplishing outcomes that matter.
Input: Involves teachers in the design and implementation of important decisions.	Leadership is widely shared throughout the community. Rather than being seen as a position and defined only through positional authority, leadership becomes everyone's responsibility and all community members have opportunities to lead. The principal reinforces this density of leadership by providing opportunities for input on all important decisions. Leadership density is also increased through the development and use of a leadership team.
Relationships: Demonstrates an awareness of the personal aspects of teachers and staff. **Situational Awareness:** Is aware of the details and undercurrents in the running of the school and uses this information to address current and potential problems.	Consensus is developed on ways of working together. The "ways of working" reflect the "agreed-upon processes" that characterize purposeful communities. These agreements are a product of the human and personal connections created by remaining aware of personal needs, staying informed about significant issues in the lives of community members, and acknowledging significant events in the lives of community members. These connections allow the principal to stay informed about relationships among groups and issues that might not surface on their own. These connections contribute to the ability of the principal to predict what could go wrong from day to day.
Affirmation: Recognizes and celebrates school accomplishments and acknowledges failures.	Attention is given to building on strengths in addition to addressing weaknesses – most communities focus on weaknesses or needs. Productive communities (and organizations) balance their attention on needs or weaknesses with a focus on community strengths and the importance of playing to them. These strengths are among the community's most important assets. The principal systematically and fairly recognizes and celebrates accomplishments of teachers, staff, and students. The principal is also willing to acknowledge failures along with successes. Failures are viewed as learning opportunities. The principal reinforces and builds on the individual strengths of all community members.

Generally, schools serve "accidental" communities (Wagner, 2002). Communities created by political or policy decisions always start as accidental. The nature of how they are created or designated makes them accidental. Members of these communities do not have a common understanding of what they can only accomplish because they are a community. They do not have agreed upon ways of working together. They do not share knowledge of their tangible and intangible assets. They have not developed collective efficacy.

They can, however, be developed into purposeful communities through strong and effective leadership. For this to happen, principals must understand the value and attributes of Purposeful Community, and emphasize leadership responsibilities in ways that contribute to this development. Without Purposeful Community, it is difficult to imagine schools successfully implementing and sustaining the changes necessary to prepare all of their students to live and work in an increasingly competitive, fast-paced global economy. Within a Purposeful Community, it is difficult to imagine anything else.

Conclusion

At no time in recent memory has the need for effective and inspired leadership been more pressing than it is today. With increasing expectations in society and in the workplace for knowledgeable, skilled, responsible citizens, the pressure on schools intensifies. The importance of truly effective educational leadership is clear and the time for improving schools is short. It is our hope that the Balanced Leadership Framework will provide the guidance principals need to enhance effectiveness, translate vision and aspirations into action, and improve achievement for all students.

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APPENDIX C: PRINCIPAL EVALUATION PROCESS DOCUMENTATION FORM

Name: _____ ID#: _____

School: _____ School Year: _____

Evaluator: _____ Title: _____

The principal's evaluation is based, in part, on a formal discussion of performance and conferences conducted on the following dates:

Site Visit Dates	Conference Dates	Principal's Signature	Evaluator's Signature

Mid-Year Evaluation Conference Date: _____

End-of-Year Performance Discussion Date: _____

Summary Evaluation Conference Date: _____

The Mid-Year, End-of-Year, and Summary Evaluation Conferences are required for every principal. In addition, observations and other relevant sources of performance data may be considered in determining the final rating for the principal. The following rating scale will be used:

- **Developing:** Principal demonstrated adequate growth toward achieving standard(s) during the period of performance, but did not demonstrate competence on standard(s) of performance.
- **Proficient:** Principal demonstrated basic competence on standard(s) of performance.
- **Accomplished:** Principal exceeded basic competence on standard(s) for performance most of the time.
- **Distinguished:** Principal consistently and significantly exceeded basic competence on standard(s) of performance.
- **Not Demonstrated:** Principal did not demonstrate competence on or adequate progress toward achieving standard(s) of performance.

Note: If the Not Demonstrated rating is used, the superintendent must comment about why it was used.

APPENDIX D: PRINCIPAL SUMMARY EVALUATION RATING FORM

This form is to be jointly completed by the principal and superintendent or designee during the Summary Evaluation Conference conducted at the end of the year.

Name: _____

School: _____ School Year: _____

Evaluator: _____ Evaluator's Title: _____

Date Completed: _____

Managing Change

Responsibilities	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Change Agent: Is willing to and actively challenges the status quo.					
B. Flexibility: Adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent.					
C. Ideals and Beliefs: Communicates and operates from strong ideals and beliefs about school and schooling.					
D. Intellectual Stimulation: Ensures that the faculty and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school culture.					
E. Knowledge of Curriculum, Instruction, and Assessment: Is knowledgeable about the current curriculum, instruction, and assessment practices.					
F. Monitor and Evaluate: Monitors the effectiveness of school practices and their impact on student learning.					
G. Optimize: Inspires and leads new and challenging innovations.					
Overall Rating for Managing Change					

Comments:

Recommended Actions for Improvement:

Resources needed to complete the recommended actions:

✓	Evidence or Documentation to Support Rating	Interpretation of Data/Rationale for Rating	Attached?
	ELL Monitoring Notebook		
	Professional Development Plan		
	Regular Feedback to Teachers and Staff Regarding Performance		
	Planning and Leading Professional Development		
	Classroom Walkthrough Data		
	Monitoring Plan		
	Operating Principles and Working Agreements		

Focus of Leadership

Responsibilities	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Contingent Rewards: Recognizes and rewards individual accomplishments.					
B. Discipline: Protects teachers from issues and influences that would detract from their time or focus.					
C. Focus: Establishes clear goals and keeps those goals in the forefront of the school's attention.					
D. Involvement in Curriculum, Instruction, and Assessment: Is directly involved in helping teachers design curricular activities and address assessment and instructional issues.					
E. Order: Establishes a set of standard operating procedures and routines.					
F. Outreach: Is an advocate and spokesperson of the school to all stakeholders.					
G. Resources: Provides teachers with material and professional development for the necessary execution of their jobs.					
Overall Rating for Focus of Leadership					

Comments:

Recommended Actions for Improvement:

Resources needed to complete the recommended actions:

✓	Evidence or Documentation to Support Rating	Interpretation of Data/Rationale for Rating	Attached?
	Principal Training		
	University/School Associations		
	Formal Evaluations		
	New Program Adoptions		
	Grade-Level Meeting Agendas		
	Progress Toward Achieving Goals		
	Student Handbook		
	Safety Plan		
	Budget Notebook		
	Student Support Plan		
	Recognition Events		
	Staff Handbook		

Purposeful Community

Responsibilities	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Affirmation: Recognizes and celebrates school accomplishment and acknowledges failures.					
B. Communication: Establishes strong lines of communication with teachers and among students.					
C. Culture: Fosters shared beliefs and a sense of community and cooperation.					
D. Input: Involves teachers in the design and implementation of important decisions.					
E. Relationships: Demonstrates awareness of the personal aspects of teachers and staff.					
F. Situational Awareness: Is aware of the details and the undercurrents in the running of the school and uses this information to address current and potential problems.					
G. Visibility: Has quality contacts and interactions with teachers and students.					
Overall Rating for Purposeful Community					

Comments:

Recommended Actions for Improvement:

Resources needed to complete the recommended actions:

✓	Evidence or Documentation to Support Rating	Interpretation of Data/Rationale for Rating	Attached?
	School Vision and Mission Statements		
	Progress Toward Achievement of Smart Goals		
	Staff Conference Agendas and Minutes		
	Staff Bulletins and Newsletters		
	Team Meeting Agendas		
	Teacher Survey Data		
	Community Survey Data		
	Identification and Use of Human and Fiscal Resources		
	PTA/Principal's Newsletter		
	Master Schedule		
	PTA Calendar		
	School Calendar		
	ELL Support Schedule		
	Faculty Meeting Agendas, Sign In Sheets, Minutes		
	Clear Vision and Mission about Improving Student Achievement		
	Student Achievement Data		
	Student Attendance Data		
	Teacher Attendance Data		
	Graduation and Promotion Rates		

Principal Signature: _____ Date: _____

Superintendent or Designee Signature: _____ Date: _____

Comments Attached: _____Yes: _____No

Superintendent or Designee Signature: _____ Date: _____

APPENDIX E: SCORING THE RUBRIC AND SAMPLE COMPLETED AND SCORED FORMS

Scoring the Rubric

The practices within the responsibilities are cumulative across the rows. To be rated *Distinguished* on any responsibility, the principal must demonstrate all of the practices described under *Developing*, *Proficient*, and *Accomplished*, as well as all of the practices for a *Distinguished* principal.

The example below illustrates the scoring strategy to be used for each practice. The evaluator will begin at the left column and check the practices the principal demonstrates. The evaluator should rate the principal on all of the practices by marking the box beside each element in evidence. If the principal does not demonstrate that practice, the evaluator should leave the box blank. If the evaluator cannot check any of the practices under the other four columns, the principal is rated *Not Demonstrated*. In such cases, the evaluator MUST comment and provide guidance about how the principal needs to proceed toward obtaining the skills described under that responsibility. It is also recommended that the evaluator comment on *Distinguished* ratings to explain the rationale for rating a principal at this level.

Principal Responsibilities Associated with Purposeful Community

A **Purposeful Community** is one with the collective efficacy and capability to develop and use assets to accomplish goals that matter to all community members through agreed upon processes.

b. **Communication:** Establishes strong lines of communication with teachers and among students.

Developing	Proficient	Accomplished	Distinguished (Comment Required)	Not Demonstrated (Comment Required)
❑ Implements a variety of strategies to communicate with the teachers, staff, and the larger school community. ❑ Is accessible to some stakeholder groups.	. . . and ❑ Implements a variety of strategies to encourage effective open communication between and among students, teachers, staff, and the larger school community. ❑ Is easily accessible to all stakeholder groups.	. . . and ❑ Systematically monitors and takes steps to improve communication structures within the school. ❑ Develops and monitors effective systems and protocols to enable stakeholder groups to communicate with each other and with the principal.	. . . and ❑ Leverages communications among and between stakeholder groups to increase the adoption of new and innovative change initiatives within the district or school.	

If the evaluator does not mark any of the practices under *Developing*, *Proficient*, *Accomplished*, or *Distinguished*, then the principal has not demonstrated proficiency on that responsibility. In such cases, the principal is rated *Not Demonstrated*, and a comment in the *Not Demonstrated* column is required.

Sample Completed Principal Evaluation rubric

Principal Leadership Responsibilities Associated with **Managing Change** **Managing Change** involves understanding the implications of change efforts for stakeholders and adjusting leadership behaviors accordingly.				
a. Change Agent: Is willing to and actively challenges the status quo.				
Developing	Proficient	Accomplished	Distinguished (Comment Required)	Not Demonstrated (Comment Required)
☑ Uses a variety of data to identify necessary change initiatives.	. . . and ☑ Builds on data analysis to define processes and protocols in order to create or adopt new and better ways to improve school and classroom practices.	. . . and ☑ Consistently attempts to operate at the edge instead of the center of the schools' competence by leading the implementation of research-based initiatives even though outcomes may be uncertain.	. . . and ☑ Leverages the influence of opinion leaders to strategically target and frame change initiatives in order to increase the rate of adoption. ☑ Is recognized in the education community as an advocate for new and innovative ways of schooling.	
b. Flexibility: Adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent.				
☑ Understands the importance of how different change initiatives may be perceived differently by various stakeholders and how they may impact others.	. . . and ❑ Adapts leadership style to the needs of specific situations. ☑ Implements procedures that encourage teachers and staff to express opinions and perceptions even if they are contrary to those held by individuals in positions of authority.	. . . and Creates and uses transitions teams during times of change to ☑ Assist individuals in transitioning into the new ways of doing things. ❑ Adapt quickly to changing environments and contexts.	. . . and Improves collective efficacy by ❑ Effectively managing change. ❑ Building on the collective ability of the school community to adapt to contextual conditions.	
c. Ideals and Beliefs: Communicates and operates from strong ideals and beliefs about school and schooling.				
☑ Possesses well-defined ideals and beliefs about schools and schooling that align with district non-negotiable goals.	. . . and ☑ Creates demand for change through sharing beliefs about school, teaching, and learning with teachers and staff. ❑ Demonstrates behaviors that exemplify stated beliefs about school and schooling.	. . . and ☑ Creates demand for change by communicating ideals and beliefs throughout the community. ❑ Creates opportunities to implement change that exemplifies ideals and beliefs.	. . . and ❑ Shares leadership in a manner that extends and promotes the ideals and beliefs about schools and schooling throughout the community. ❑ Perseveres in the face of challenges to effectively sustain positive change.	

d. Intellectual Stimulation: Ensures that the faculty and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school culture.				
Developing	Proficient	Accomplished	Distinguished (Comment Required)	Not Demonstrated (Comment Required)
❑ Understands and articulates the current rigorous and relevant research and theory on effective schooling.	. . . and ❑ Uses rigorous and relevant research and theory on effective schooling to create demand for change by providing professional development opportunities.	. . . and ❑ Uses the outcomes of professional development on rigorous and relevant research and theory on effective schooling to guide professional learning community discussions and activities.	. . . and ❑ Provides vicarious and mastery experiences for teachers that capitalize on staff development outcomes and discussions of effective schools practice.	
e. Knowledge of Curriculum, Instruction, and Assessment: Is knowledgeable about the current curriculum, instruction, and assessment practices.				
☑ Articulates knowledge of curriculum, instruction, and assessment in a way that enables staff to understand and apply the knowledge.	. . . and ☑ Provides guidance regarding curriculum, instruction, and assessment in order to ensure effective practices in every classroom.	. . . and ❑ Provides mastery and vicarious experiences of research-based practices in curriculum design, instructional strategies, and assessment practices through professional development and action research.	. . . and ❑ Leverages mastery and vicarious experiences to increase the collective efficacy of teachers and staff.	
f. Monitor and Evaluate: Monitors the effectiveness of school practices and their impact on student learning.				
☑ Understands the impact of school practices on student learning and achievement. ❑ Understands the impact that change may have on individuals in the school.	. . . and Uses a variety of data and processes to ☑ Drive decisions about initiating new and innovative research-based programs and interventions. ☑ Monitor the needs and performance of individuals, groups, and the school as a whole.	. . . and ❑ Routinely works collaboratively with teachers and staff to assess the impact of research-based programs and interventions on student learning and achievement.	. . . and ❑ Monitors the fidelity and consistency of the implementation of research-based practices and their impact on student learning and achievement.	
g. Optimize: Inspires and leads new and challenging innovations.				
☑ Portrays a positive attitude about the ability of teachers and staff to accomplish school goals.	. . . and ❑ Inspires teachers and staff to individually and collectively accomplish school goals.	. . . and ❑ Inspires and motivates teachers and staff to accomplish things they consider to be beyond their grasp.	. . . and ☑ Promotes perseverance and hope during challenging times.	

Comments:

Your ability to recognize and make effective use of the various stakeholder groups in your community has proven to be valuable in your efforts to implement the strategic initiatives of the district. Continuing to challenge the status quo as an effective Change Agent will increase the ability of your staff to successfully implement changes quickly and more effectively.

In an effort to bring your stakeholder groups to a clearer understanding of your school improvement efforts it is expected that you will seek to use the most current literature on effective schools and schooling. Intellectual Stimulation provides the opportunity for stakeholders and faculty to understand the research that supports your school improvement efforts. Additionally, such literature can stimulate conversations focused on implementation strategies.

Recommended Actions:

It is recommended that you meet with the Executive Director of Student Achievement to discuss and obtain her expertise regarding the current research on the categories of instructional practice. Additionally, consider having her facilitate a session with you and your leadership team to gain a deeper understanding.

Monitor and Evaluate: Taking initiative to implement changes will make a difference in student performance. However, understanding that your implementation efforts have and will continue to have an impact on your staff is important. You are expected to take into consideration second order change implications. To minimize the consequences of 2nd order implication requires systems and procedures to assist staff members in transitioning from old ways of practice to more current practices.

Resources Needed to Complete These Actions:

None

Evidence or Documentation that May Be Used to Support Ratings:

- ❑ ELL Monitoring Notebook
- ❑ Professional Development Plan
- ❑ Regular Feedback to Teachers and Staff Regarding Performance
- ❑ Planning and Leading Professional Development
- ❑ Classroom Walkthrough Data
- ❑ Monitoring Plan
- ❑ Operating Principles and Working Agreements
- ❑ _____
- ❑ _____

Principal Responsibilities Associated with **Focus of Leadership**				
Focus of Leadership involves accurately and pro-actively targeting appropriate areas for school improvement efforts.				
a. Contingent Rewards: Recognizes and rewards individual accomplishments.				
Developing	Proficient	Accomplished	Distinguished (Comment Required)	Not Demonstrated (Comment Required)
☑ Develops criteria and procedures for recognizing hard work and results from individuals and groups.	**. . . and** Capitalizes on formal and informal opportunities to ☑ Recognize the accomplishments and hard work of all stakeholders. ☑ Maximize the intangible assets of a school.	**. . . and** ☑ Involves all stakeholder groups in the recognition and reward process.	**. . . and** ☑ Promotes the accomplishments of the school. ☑ Inspires all stakeholders to make significant contributions. ☑ Improves perceptions of stakeholders that they have the ability to contribute to increases in student achievement.	
b. Discipline: Protects teachers from issues and influences that would detract from their time or focus.				
☑ Communicates to the entire school community the importance of an effective learning environment, and that instructional time and focus are the school's top priority.	**. . . and** Establishes systems that minimize or eliminate interruptions and distractions to classroom instruction, including ☑ A school schedule that maximizes instructional time. ☑ Policies and procedures that maximize the use of instructional time.	**. . . and** ☑ Enforces policies and procedures related to instruction time to assure that all staff members and all students benefit from periods of focused instruction.	**. . . and** ☐ Serves as a champion for protecting and maximizing instructional time and focus to assure an effective learning environment.	
c. Focus: Establishes clear goals and keeps those goals in the forefront of the school's attention.				
☑ Understands the importance of setting high expectations for student learning and achievement.	**. . . and** ☑ Leads the school community in the establishment of rigorous and concrete goals to ensure student learning and achievement.	**. . . and** Creates processes and procedures to ☑ Clearly communicate the goals and progress toward achieving them to all members of the school community. ☑ Maintain a consistent focus on the school's goals.	**. . . and** ☐ Leverages high, concrete goals in order to continually create demand for innovation and improvement.	

d. Involvement in Curriculum, Instruction, and Assessment: Is directly involved in helping teachers design curricular activities and address assessment and instructional issues.				
Developing	Proficient	Accomplished	Distinguished (Comment Required)	Not Demonstrated (Comment Required)
☑ Demonstrates knowledge and understanding of curriculum, instruction, and assessment issues.	. . . and ❑ Actively initiates activities to address curriculum, instruction, and assessment issues. Provides and actively participates with teachers in meaningful professional development and opportunities to ☑ Reflect upon their practice. ☑ Engage in peer-to-peer learning. ☑ Design instructional and curricular activities. ☑ Address assessment issues.	. . . and Models effective pedagogy that includes ☑ Communicating learning goals. ❑ Acquiring and integrating knowledge. ❑ Extending and refining knowledge. ❑ Applying knowledge.	. . . and ❑ Helps teachers adopt, adapt, or design rigorous research-based curriculum, instruction, and assessment practices, programs, and interventions.	
e. Order: Establishes a set of standard operating procedures and routines.				
❑ Is developing clear structures, rules, procedures, and routines for student and staff behavior.	. . . and ❑ Has established and consistently enforces policies, procedures, and routines that maximize opportunities for all students to learn.	. . . and ❑ Maximizes the established policies, procedures, and routines to build a culture that is safe, orderly, and enhances student and teacher abilities to engage in meaningful and productive work.	. . . and ❑ Uses an orderly environment to sustain confidence in the school's ability to educate all children.	
f. Outreach: Is an advocate and spokesperson of the school to all stakeholders.				
☑ Communicates with stakeholder groups about school initiatives and activities.	. . . and Advocates for the school with ☑ The Community. ☑ Parents. ☑ Central Office. ☑ Teachers. ☑ Staff. ☑ Students.	. . . and ☑ Collects perception data from the school community to inform advocacy activities.	Uses community relationships as both tangible and intangible assets to engage all stakeholders in ❑ Family and community involvement initiatives. ❑ School governance and improvement. ❑ Contributing to improving student learning and achievement.	

g. Resources: Provides teachers with material and professional development necessary for the execution of their jobs.				
Developing	Proficient	Accomplished	Distinguished (Comment Required)	Not Demonstrated (Comment Required)
Assesses the resource needs of teachers and staff, including ☑ Professional development needs. ☑ Tools, materials, and equipment needs.	**. . . and** Ensures that teachers and staff have ☑ Professional development that enhances their teaching. ☑ Tools, materials, and equipment necessary to perform their duties.	**. . . and** ☑ Seeks out additional resources to maximize outcomes for all students.	**. . . and** ☑ Implements processes and procedures that ensure the long-term viability of effective programs and practices.	

Comments:

Developing clear procedures and routines assist teachers, students and parents in understanding and adhering to rules and expectations. Your operating procedures will reduce ambiguity regarding expectations of behavior and performance and create a sense of order to your school.

The budget and resource allocation process that you have developed will have a positive impact on improving student achievement. Directly identifying and allocating resources that are directly aligned with your school improvement initiatives, provide teachers the necessary resources to accomplish their stated instructional and student achievement goals.

Recommended Actions:

Work with your leadership team to establish operating procedures and routines that create a sense of order and consistency in expected behavior. Ensure that your operating procedures and expectations align with district policy. Use a variety of communication structures to inform teachers, students and parents of these expectations.

Review and revise your student handbook.

Review and revise your staff handbook.

Resources Needed to Complete These Actions:

Substitute teachers available for faculty/staff members.

Evidence or Documentation that May Be Used to Support Ratings:

- ❑ Principal Training
- ❑ University/School Associations
- ❑ Formal Evaluations
- ❑ New Program Adoptions
- ❑ Grade-Level Meeting Agendas
- ❑ Progress Toward Achieving Goals
- ❑ Student Handbook
- ❑ Safety Plan
- ❑ Budget Notebook
- ❑ Student Support Plan
- ❑ Recognition Events
- ❑ Staff Handbook
- ❑ Site Calendar
- ❑ Master Schedule
- ❑ Staff and Teacher Surveys
- ❑ Community Activities
- ❑ Student Achievement Meetings, Protocols, and Schedules
- ❑ _____
- ❑ _____
- ❑ _____

Principal Responsibilities Associated with **Purposeful Community**				
A **Purposeful Community** is one with the collective efficacy and capability to develop and use assets to accomplish goals that matter to all community members through agreed upon processes.				
a. Affirmation: Recognizes and celebrates school accomplishment and acknowledges failures.				
Developing	Proficient	Accomplished	Distinguished (Comment Required)	Not Demonstrated (Comment Required)
Privately or individually acknowledges successes and failures of ☑ Students. ☑ Teachers. ☑ Staff. ☑ The school as a whole. ☑ Communicates the nature of failures and the need to take action to address them.	**. . . and** Publicly and fairly recognizes the successes and failures of ☑ Students. ☐ Teachers. ☐ Staff. ☑ The school as a whole. ☑ Communicates to teachers and staff actions taken and how they contributed to success or failure of school initiatives.	**. . . and** Has a plan for systematically and fairly recognizing successes and failures of ☑ Students. ☐ Teachers. ☐ Staff. ☑ The school as a whole. ☐ Utilizes the recognition of failure as an opportunity to create demand for improvement.	**. . . and** Publicly interprets and communicates ☐ Failure as temporary and specific. ☐ Success as permanent and pervasive. ☐ Uses successes and failures to increase the belief of teachers and staff in their ability to impact student achievement.	
b. **Communication:** Establishes strong lines of communication with teachers and among students.				
☑ Implements a variety of strategies to communicate with the teachers, staff, and the larger school community. ☑ Is accessible to some stakeholder groups.	**. . . and** ☐ Implements a variety of strategies to encourage effective open communication between and among students, teachers, staff, and the larger school community. ☑ Is easily accessible to all stakeholder groups.	**. . . and** ☐ Systematically monitors and takes steps to improve communication structures within the school. ☑ Develops and monitors effective systems and protocols to enable stakeholder groups to communicate with each other and with the principal.	**. . . and** ☐ Leverages communications among and between stakeholder groups to increase the adoption of new and innovative change initiatives within the district or school.	
c. Culture: Fosters shared beliefs and a sense of community and cooperation.				
☑ Demonstrates a belief through words and actions that teachers and staff can impact student learning and achievement. ☐ Demonstrates an understanding of how unity of purpose, teamwork, and commitment to the work are interrelated and support the work of the school.	**. . . and** ☑ Is the driving force behind a community-wide belief that teachers and staff can impact student learning and achievement. ☑ Leads the development of an understanding of a unified purpose and a shared vision for the school.	**. . . and** ☐ Routinely and systematically monitors the level of collective efficacy in the school. ☑ Assures that unity of purpose, teamwork, and commitment to the work are at the core of all decisions, activities, and initiatives.	**. . . and** ☐ Leverages vicarious and mastery experiences to build collective efficacy around teacher and staff ability to impact student learning and achievement. ☐ Monitors, evaluates, and annually updates the school's purpose, shared vision, and the systems and procedures that support the schools purpose and vision.	

d. Input: Involves teachers in the design and implementation of important decisions.				
Developing	Proficient	Accomplished	Distinguished (Comment Required)	Not Demonstrated (Comment Required)
☑ Demonstrates an understanding of the importance of providing opportunities for stakeholder input on important issues and decisions.	. . . and ☑ Seeks input from and provides opportunities for stakeholder groups to be involved in the school's decision-making processes.	. . . and ❑ Creates opportunities and sets expectations for stakeholder groups to assume meaningful leadership and decision-making roles.	. . . and ❑ Leverages stakeholder group input in order to create systems and processes that support rigorous education and relevant outcomes that matter to all.	
e. Relationships: Demonstrates awareness of the personal aspects of teachers and staff.				
☑ Knows teachers and staff on an appropriate personal level in order to keep informed about issues within their lives that may enhance or detract from their performance.	. . . and ☑ Creates opportunities for teachers and staff to share personal and professional aspirations, prior experiences and successes, interests, and outside activities. ☑ Acknowledges significant events in the lives of teachers and staff.	. . . and ❑ Identifies and uses the collection of skills, knowledge, and interests teachers and staff members bring to their jobs to provide opportunities for professional growth.	. . . and ❑ Strategically uses the strengths and interests of staff to significantly improve student performance.	
f. Situational Awareness: Is aware of the details and the undercurrents in the running of the school and uses this information to address current and potential problems.				
☑ Understands the nature and impact on the school culture of informal groups and relationships among teachers and staff.	. . . and ❑ Recognizes and addresses potential conflicts and undercurrents among stakeholder groups, and/or issues in the school that could create discord.	. . . and ❑ Implements strategies to ensure that relationships among formal and informal groups impact the school in a positive way.	.. . . and ❑ Leverages opportunities to build and strengthen trusting and productive relationships in order to strengthen the school's capacity to meet future challenges.	
g. Visibility: Has quality contacts and interactions with teachers and students.				
Develops a systematic and strategic plan for visibility that includes ☑ Frequent visits to classrooms. ☑ Frequent interactions with all stakeholder groups.	. . . and Implements the strategic plan for visibility that includes ☑ Frequent visits to classrooms. ☑ Frequent interactions with all stakeholder groups.	. . . and ☑ Uses classroom visitations and interactions with stakeholder groups to reinforce the outcomes that matter to all and the overall purpose of the school.	. . . and ☑ Has established a purposeful community and developed meaningful networks and strategic alliances to accomplish the school's goals.	

Comments:

Communication is a complex and often difficult process, however it is an essential responsibility. Many issues and problems can be averted and quickly resolved when organized structures and patterns of communication are clearly defined and adhered to. Teachers, students and parents will benefit from better communication structures. Some benefits of improving communication skills are: improved productivity; better problem solving; enhanced creativity and efficiency; better working relationships; and fostering a stronger school culture that emphasizes improving student performance.

Recommended Actions:

Convene a committee comprised or your leadership team, students and parents to address the qualities of your current communication processes. Determine what systems are currently meeting the desired outcome intended by your communication processes. Determine the gaps in your current communication processes. Develop and implement some basic communication processes that address the communication gaps.

Resources Needed to Complete These Actions:

None

Evidence or Documentation that May Be Used to Support Ratings:

- ❑ School Vision and Mission Statements
- ❑ Progress Toward Achievement of Smart Goals
- ❑ Staff Conference Agendas and Minutes
- ❑ Staff Bulletins and Newsletters
- ❑ Team Meeting Agendas
- ❑ Teacher Survey Data
- ❑ Community Survey Data
- ❑ Identification and Use of Human and Fiscal Resources
- ❑ PTA/Principal's Newsletter
- ❑ Master Schedule
- ❑ PTA Calendar
- ❑ School Calendar
- ❑ ELL Support Schedule
- ❑ Faculty Meeting Agendas, Sign In Sheets, Minutes
- ❑ Clear Vision and Mission about Improving Student Achievement
- ❑ Student Achievement Data
- ❑ Student Attendance Data
- ❑ Teacher Attendance Data
- ❑ Graduation and Promotion Rates
- ❑ _____
- ❑ _____

Sample Completed Principal Summary Evaluation Worksheet

This form is used to summarize self-assessment and evaluate ratings in preparation for the mid-year and summary evaluation conferences. The principal and superintendent or designee independently complete the form by recording ratings of individual responsibilities based on the ratings of practices collected on the rubric. During mid-year and summary evaluation conferences, the principal and superintendant or designee will jointly complete the final version of this form and agree on the final ratings.

Name of Principal: _____ Date: _____

School: _____ District: _____

Name of Evaluator: _____ Title: _____

	Affirmation	Communication	Culture	Input	Relationships	Situational Awareness	Visibility	**Overall: Purposeful Community**	Change Agent	Flexibility	Ideals and Beliefs	Intellectual Stimulation	Knowledge of Curriculum, Instruction, and Assessment	Monitor and Evaluate	Optimize	**Overall: Managing Change**	Contingent Rewards	Discipline	Focus	Involvement in Curriculum, Instruction, and Assessment	Order	Outreach	Resources	**Overall: Focus of Leadership**
Distinguished							✓		✓								✓						✓	
Accomplished																		✓	✓			✓		
Proficient				✓	✓								✓											
Developing	✓	✓				✓				✓	✓				✓					✓				
Not Demonstrated			✓					✓				✓		✓		✓					✓			✓
	Purposeful Community								**Managing Change**								**Focus of Leadership**							

Sample Completed Principal Summary Evaluation Rating Form

This form is to be jointly completed by the principal and superintendent or designee during the Summary Evaluation Conference conducted at the end of the year.

Name: Adam Strator

School: Demo District School Year: 2010-2011

Evaluator: Greg Jones District: Generic System

Date Completed: Evaluator's Title: Executive Director of Schools

Framework Component 1: Principal Leadership Responsibilities Associated with Managing Change

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. **Change Agent**: Is willing to and actively challenges the status quo.				✓	
B. **Flexibility:** Adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent.	✓				
C. **Ideals and Beliefs:** Communicates and operates from strong ideals and beliefs about school and schooling.	✓				
D. **Intellectual Stimulation:** Ensures that the faculty and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school culture.					✓
E. **Knowledge of Curriculum, Instruction, and Assessment:** Is knowledgeable about the current curriculum, instruction, and assessment practices.		✓			
F. **Monitor and Evaluate:** Monitors the effectiveness of school practices and their impact on student learning.					✓
G. **Optimize:** Inspires and leads new and challenging innovations.	✓				
Overall Rating for Managing Change					✓

Comments:

Your ability to recognize and make effective use of the various stakeholder groups in your community has proven to be valuable in your efforts to implement the strategic initiatives of the district. Continuing to challenge the status quo as an effective Change Agent will increase the ability of your staff to successfully implement changes quickly and more effectively.

In an effort to bring your stakeholder groups to a clearer understanding of your school improvement efforts it is expected that you will seek to use the most current literature on effective schools and schooling. Intellectual Stimulation provides the opportunity for stakeholders and faculty to understand the research that supports your school improvement efforts. Additionally, such literature can stimulate conversations focused on implementation strategies.

Recommended Actions:

It is recommended that you meet with the Executive Director of Student Achievement to discuss and obtain her expertise regarding the current research on the categories of instructional practice. Additionally, consider having her facilitate a session with you and your leadership team to gain a deeper understanding.

Monitor and Evaluate: Taking initiative to implement changes will make a difference in student performance. However, understanding that your implementation efforts have and will continue to have an impact on your staff is important. You are expected to take into consideration second order change implications. To minimize the consequences of 2nd order implication requires systems and procedures to assist staff members in transitioning from old ways of practice to more current practices.

Resources Needed to Complete These Actions:

None

Evidence or Documentation that May Be Used to Support Ratings:

- ☐ ELL Monitoring Notebook
- ☑ Professional Development Plan
- ☐ Regular Feedback to Teachers and Staff Regarding Performance
- ☑ Planning and Leading Professional Development
- ☑ Classroom Walkthrough Data
- ☐ Monitoring Plan
- ☑ Operating principals and Working Agreements
- ☐ _____
- ☐ _____

Framework Component 2: Principal Responsibilities Associated with Focus of Leadership

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. **Contingent Rewards:** Recognizes and rewards individual accomplishments.				✓	
B. **Discipline:** Protects teachers from issues and influences that would detract from their time or focus.			✓		
C. **Focus:** Establishes clear goals and keeps those goals in the forefront of the school's attention.			✓		
D. **Involvement in Curriculum, Instruction, and Assessment:** Is directly involved in helping teachers design curricular activities and address assessment and instructional issues.	✓				
E. **Order:** Establishes a set of standard operating procedures and routines.					✓
F. **Outreach:** Is an advocate and spokesperson of the school to all stakeholders.			✓		
G. **Resources:** Provides teachers with material and professional development necessary for the execution of their jobs.				✓	
Overall Rating for Foucus on Leadership					✓

Comments:

Developing clear procedures and routines assist teachers, students and parents in understanding and adhering to rules and expectations. Your operating procedures will reduce ambiguity regarding expectations of behavior and performance and create a sense of order to your school.

The budget and resource allocation process that you have developed will have a positive impact on improving student achievement. Directly identifying and allocating resources that are directly aligned with your school improvement initiatives, provide teachers the necessary resources to accomplish their stated instructional and student achievement goals.

Recommended Actions:

Work with your leadership team to establish operating procedures and routines that create a sense of order and consistency in expected behavior. Ensure that your operating procedures and expectations align with district policy. Use a variety of communication structures to inform teachers, students and parents of these expectations.

Review and revise your student handbook.

Review and revise your staff handbook.

Resources Needed to Complete These Actions:

Substitute teachers available for faculty/staff members.

Evidence or Documentation that May Be Used to Support Ratings:

- ☐ Principal Training
- ☐ University/School Associations
- ☑ Formal Evaluations
- ☐ New Program Adoptions
- ☑ Grade-Level Meeting Agendas
- ☐ Progress Toward Achieving Goals
- ☐ Student Handbook
- ☐ Safety Plan
- ☑ Budget Notebook
- ☑ Student Support Plan
- ☐ Recognition Events
- ☐ Staff Handbook
- ☑ Site Calendar
- ☑ Master Schedule
- ☐ Staff and Teacher Surveys
- ☐ Community Activities
- ☐ Student Achievement Meetings, Protocols, and Schedules
- ☐ _____
- ☐ _____
- ☐ _____

Framework Component 3: Principal Responsibilities Associated with Purposeful Community

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. **Affirmation:** Recognizes and celebrates school accomplishment and acknowledges failures.				✓	
B. **Communication:** Establishes strong lines of communication with teachers and among students.			✓		
C. **Culture:** Fosters shared beliefs and a sense of community and cooperation.			✓		
D. **Input:** Involves teachers in the design and implementation of important decisions.	✓				
E. **Relationships:** Demonstrates awareness of the personal aspects of teachers and staff.					✓
F. **Situational Awareness:** Is aware of the details and the undercurrents in the running of the school and uses this information to address current and potential problems.			✓		
G. **Visibility:** Has quality contacts and interactions with teachers and students.				✓	
Overall Rating for Purposeful Community					✓

Comments:

Communication is a complex and often difficult process, however it is an essential responsibility. Many issues and problems can be averted and quickly resolved when organized structures and patterns of communication are clearly defined and adhered to. Teachers, students and parents will benefit from better communication structures. Some benefits of improving communication skills are: improved productivity; better problem solving; enhanced creativity and efficiency; better working relationships; and fostering a stronger school culture that emphasizes improving student performance.

Recommended Actions:

Convene a committee comprised or your leadership team, students and parents to address the qualities of your current communication processes. Determine what systems are currently meeting the desired outcome intended by your communication processes. Determine the gaps in your current communication processes. Develop and implement some basic communication processes that address the communication gaps.

Resources Needed to Complete These Actions:

None

Evidence or Documentation that May Be Used to Support Ratings:

- ☑ School Vision and Mission Statements
- ☐ Progress Toward Achievement of Smart Goals
- ☑ Staff Conference Agendas and Minutes
- ☐ Staff Bulletins and Newsletters
- ☐ Team Meeting Agendas
- ☐ Teacher Survey Data
- ☐ Community Survey Data
- ☐ Identification and Use of Human and Fiscal Resources
- ☑ PTA/Principal's Newsletter
- ☑ Master Schedule
- ☑ PTA Calendar
- ☑ School Calendar
- ☐ ELL Support Schedule
- ☐ Faculty Meeting Agendas, Sign In Sheets, Minutes
- ☐ Clear Vision and Mission about Improving Student Achievement
- ☑ Student Achievement Data
- ☑ Student Attendance Data
- ☐ Teacher Attendance Data
- ☐ Graduation and Promotion Rates
- ☐ _____
- ☐ _____

Sample Completed Principal Summary Goal-Setting Form

Name of Principal: _____ School: _____ School Year: _____

Instructions: This goal-setting form may be completed by the principal following the self-assessment process. The goals, as well as activities, outcomes and timeline, will be reviewed by the principal's supervisor. Each principal must establish one (1) goal related to the core responsibilities for principals and two (2) additional goals, for a total of at least three (3) goals. It is recommended that no more than five (5) goals be established for a single school year. It is not necessary for the principal to have a goal for each framework component.

Framework Component	Responsibilities	Goal(s)	Key Activities/Strategies (What you need to do to accomplish the goal)	Outcomes	Timeline For Achieving Goal	Resources Needed
Managing Change	Intellectual Stimulation	Use the current literature and research on effective instructional practices.	Meet with the Executive Director of Student Achievement to obtain current literature and research regarding instructional practices. Evaluate and discuss the research provided. Synthesize the literature and research with the Leadership Team. Share the information with staff during scheduled meetings and professional development days.	Provide the declarative and procedural knowledge with faculty and staff. Reinforce the use of best instructional practices.	Monthly staff meeting. Bi-monthly PLC meetings.	None
Focus of Leadership	Order	Formally develop clear rules, procedures and routines for staff and students.	Initiate a team of teachers, students and PTCO members to evaluate the current student and staff handbook. Determine which rules and procedures are currently in place. Determine rules and procedures that are in practice but not formalized. Of those "informal" rules and procedures which need to be adapted, adopted and then formalized. Conduct Faculty Review the handbooks, make any corrections/additions and seek the approval of the Executive Director.	Produce a comprehensive handbook for students and staff.	Task Force Members: September 1, 2010. Review of current handbooks and recommended changes and modifications: November 15, 2010. Submission of revised handbook Janurary 30, 2011. Any last revisions February 20, 2011. Review of Handbook with key central office staff March 15, 2011. Adoption of handbooks April 2011.	Substitute pay for three ½ day substitutes for eight teachers. Publication cost for the use of district printing services to produce the printed versions of the faculty and staff handbooks.
Purposeful Community	Communication	Establish communication systems that clearly articulate the purpose and mission of the school.	Weekly school leadership team meetings evaluating our communication processes. Survey parents and community members to determine the communication needs of staff, students, parents and community members. Determine what systems are currently meeting the desired outcome intended by your communication processes. Determine the gaps in your current communication processes. Develop and implement some basic communication processes that address the communication gaps.	Improve the process of communication to the variety of stakeholder groups.	Weekly Leadership team meetings with a high priority agenda item that addresses communication. Development of a survey to be distributed semi-annually to staff and parents soliciting feedback on the effectiveness of our communication systems. Developed by September 15, 2010 with semi-annual distribution in October and April of each year.	None

Principal Signature: _____ Date: _____

Supervisor Signature: _____ Date: _____

Mid-continent Research for Education and Learning

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Appendix E

Balanced Leadership Consortium

Principal Application

The Balanced Leadership FRAMEWORK®

Connecting vision with action

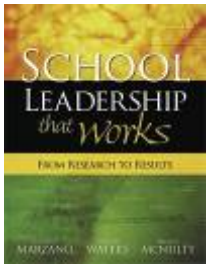
by

Tim Waters, Ed.D. & Greg Cameron, M.A.

McREL

A BALANCED LEADERSHIP™ Consortium

From research to results



Through leading-edge research on school, leader, and teacher impact on student achievement, McREL is advancing a new science of school leadership as described in our new publication, *School Leadership that Works: From Research to Results*.

McREL also has almost 40 years of experience with providing high-quality professional development that offers teachers and leaders with proven, practical guidance on what they can do to improve student achievement in their classrooms and schools.

We combine these areas of expertise in a Balanced Leadership Consortium, which brings together school leaders from a state, region, or district and provides them with intensive, ongoing professional development aimed at raising student achievement in their schools.

A Balanced Leadership Consortium creates not only collegial learning environments, but also a mechanism for pooling local resources. As a result, it offers high-quality, yet affordable, professional development for local school leaders.

McREL

Ongoing, intensive learning

During the three-year leadership consortium, McREL provides a series of 10, two-day professional development sessions to help practitioners learn and apply the leadership responsibilities and practices identified in McREL's research. Together, these sessions describe the four components of the Balanced Leadership Framework™:

1. Leadership
2. Focus of Change
3. Magnitude of Change
4. Purposeful Community

All 10 Balanced Leadership sessions incorporate research on high-quality professional development. McREL has translated this research into a "knowledge taxonomy" which identifies four types of knowledge needed to develop improved practices:

1. Declarative — knowing *what* to do
2. Experiential — knowing *why* it is important
3. Procedural — knowing *how* to do it
4. Contextual — knowing *when* to do it

Most professional development programs for principals tends to focus on only two types of knowledge: *declarative* and *procedural*. Although these are important, understanding *why* a particular leadership responsibility is essential and *when* it should be fulfilled, is more likely to help school leaders develop the knowledge and skills they need to lead changes in their schools. Accordingly, the 10 sessions provided through a Balanced Leadership Consortium help leaders develop all four types of knowledge. These 10 session descriptions follow.

Year 1

McREL offers the following sessions during Year 1 of the consortium.

Session 1: Balanced Leadership: An Overview

This first session focuses on six major research findings from McREL's meta- and factor-analyses on principal leadership. It also includes an introduction to the concept of shared leadership, balanced leadership, and the Balanced Leadership Framework™. This session will help participants develop

- Increased understanding of McREL's research on principal leadership, correlating leadership responsibilities with student achievement
- Increased knowledge and skills for improving leadership practices
- Awareness of the degree to which individual participants fulfill research-based leadership responsibilities

Session 2: Developing a Purposeful Community

In this highly interactive session, participants engage in a variety of hands-on learning experiences that promote a deep understanding of the importance of creating a purposeful community, which McREL defines as a *community with the collective efficacy and capability to develop and use assets to accomplish purposes and produce outcomes that matter to all community members through agreed-upon processes*. As a result of this session, participants develop

- Increased *understanding* of purposeful community relative to student achievement
- Increased *understanding* of the four characteristics of a purposeful community and how they relate
- Increased *understanding* of how to develop and maintain a purposeful community
- Increased *knowledge* about research-based leadership responsibilities associated with purposeful community

Session 3: Managing Change

The session increases participants' knowledge about change and effective change leadership. *Managing Change* is based on McREL's findings that identified specific leadership responsibilities associated with first- and second-order change. Participants learn how to initiate, monitor, and lead change effectively by applying McREL's four phases of change: *Create Demand*, *Implement Change*, *Monitor and Evaluate Change*, and *Manage Personal Transitions*. As a result of this session, participants develop

- Increased *understanding* of McREL's research identifying leadership responsibilities correlated with student achievement
- Increased *awareness* of change theory and McREL's view of change
- Increased *knowledge* and *use* of tools and activities for effectively leading change
- Increased *knowledge* of research-based leadership responsibilities associated with leading change

Session 4: Choosing the Right Focus

This session is based on McREL's meta-analytic research identifying research-based classroom practices, school practices, and leadership responsibilities positively associated with high levels of student achievement. As a result of this session, participants develop

- An *understanding* of the relationship between choosing the right focus and student achievement,
- An *understanding* of the 11 research-based classroom- and school-level practices
- Increased *knowledge* of research-based leadership responsibilities associated with choosing the right focus
- An *Understanding* of the importance of alignment

Year 2

McREL provides the following sessions during Year 2 of the consortium.

Session 5: Developing a Purposeful Community: Extending Knowledge & Refining Practice

This session uses case study methodology to further explore a purposeful community. Case study methodology allows participants to assume the role of decision makers in order to deepen their understanding of the characteristics of purposeful communities. Through this session, participants develop

- *Understanding* of how to use case methodology to extend and refine declarative, procedural, contextual, and experiential knowledge
- *Understanding* of how the coherence of purposes, principles, policies/processes, and practices builds a purposeful community
- *Extended knowledge* of ways to develop collective efficacy
- *Extended knowledge* of how to use all community assets, particularly intangible assets

Session 6: Managing Change: Extending Knowledge & Refining Practice

The session builds participants' contextual and experiential knowledge about the change process. Using case study methodology, participants apply their knowledge of the change process and research-based leadership responsibilities to field-based situations. As a result, participants develop

- *Extensive knowledge* of ways to measure the magnitude of a change
- *Extensive knowledge* on ways to manage personal and organizational transitions
- *Extensive knowledge* of how to share leadership

Session 7: Choosing the Right Focus: Extending Knowledge and Refining Practice

Choosing the Right Focus: Extending Knowledge and Refining Practice extends participants' knowledge of the findings from McREL's three meta-analyses. These three meta–analyses identify research-based classroom practices, school practices, and leadership responsibilities positively associated with high levels of student achievement. In this session, participants continue to use case study methodology to apply their knowledge of these research-based practices to real-life situations. As a result of this session, participants develop

- *Extensive knowledge* of research-based school and classroom-practices and student-level characteristics and how they relate
- *Ability* to apply research-based leadership responsibilities associated with choosing the right focus
- *Ability* to analyze and communicate professional growth and effectiveness in emphasizing research-based leadership responsibilities

Year 3

During the third year of the consortium, McREL provides three additional sessions, which build on the first two years of the consortium and provide participants with opportunities to practice and apply their new knowledge and skills. Year 3 sessions are as follows:

- **Session 8: Leading Change in a Purposeful Community**
- **Session 9: Leading Between Systems: Balancing Leadership in the Future**
- **Session 10: Optimizing Systems: Pulling It All Together**

Achieve real results

McREL offers proven, practical guidance which educators can use to address their real-world challenges. By the end of a three-year Balanced Leadership Consortium, school leaders gain the research-based knowledge and practical skills they need to

- Choose the right focus for change initiatives
- Lead and manage change
- Develop purposeful communities that are capable of improving student achievement
- Create a school community with the collective capacity to sustain continuous improvement

Ultimate Outcomes

These ultimate outcomes reflect what school leaders will ultimately know and be able to do as a result of their participation in the three-year consortium:

1. Choose the right focus for change initiatives, effectively lead change, and develop a purposeful community in order to improve student achievement
2. Develop the individual and collective capacity to lead and sustain continuous improvement in their schools

Annual Outcomes

The annual outcomes describe what school leaders will know and be able to do at the end of each year of the consortium. As shown in Figure 1, the three years reflect increasing levels of knowledge acquisition and skills mastery. Annual outcomes are as follows:

- Year 1: Knowledge building and application
- Year 2: Knowledge refinement and application
- Year 3: Skillful application

Figure 1: Outcomes of Balanced Leadership Consortia

Year 1 Knowledge building & application	Year 2 Knowledge refinement & application	Year 3 Skillful application
• Increased knowledge about research-based leadership responsibilities and practices correlated with student achievement • Increased knowledge about the elements of a purposeful community • Increased knowledge about research-based school- and classroom-level practices and student characteristics correlated with student achievement • Increased knowledge about effective change leadership and research-based responsibilities and practices associated with leading change • Increased knowledge about balanced leadership • Increased knowledge about sustaining leadership and continuous improvement • Tools to assess the capacity of a school to become a purposeful community • Tools to estimate the magnitude of change • Tools to assess the extent to which research-based practices are implemented • Tools to select research-based practices • Increased capacity and use of reflective practice • Supportive and professional collegial networks among school leaders	• Refined knowledge about research-based leadership practices • Refined knowledge about purposeful community • Refined knowledge about change • Refined knowledge about research-based school- and classroom-level practices and student characteristics • Refined knowledge about sustaining leadership and continuous improvement • Strategies to develop and lead a purposeful community • Strategies to initiate, lead, and monitor change effectively • Strategies to implement research-based practices • Increased capacity and use of reflective practice • Supportive and professional collegial networks among school leaders	Skillful application of knowledge and skills to develop, lead, and sustain a community of purpose • Skillful application of knowledge and skills to choose, implement, and monitor and evaluate research-based practices • Skillful application of knowledge and skills to assess, initiate, lead, and monitor change effectively • Strategies for sustaining leadership and continuous improvement • Strategies for sustaining professional collegial networks • Increased capacity and use of reflective practice • Supportive and professional collegial networks among school leaders

Ongoing guidance & support

Between leadership training sessions, McREL continues to support participants' professional growth by providing materials, tools, and ongoing support, including a Web site for consortium participants and our Balanced Leadership Profile 360™ (see right), a unique online survey that lets principals assess their performance on the 21 responsibilities of effective leaders identified in our research. Visit www.educationleadershipthatworks.org to learn more.

McREL also can provide additional coaching support to leaders. In addition, we can help school, district, or intermediate agency staff support a leadership consortium by offering a program to develop professional developers.

Pricing

Standard pricing for various Balanced Leadership offerings are listed below. Additional services not listed below include group discounts for the Balanced Leadership Profile 360 and ongoing consultation and coaching for school and district leaders.

Offering	Includes	Cost
Keynote/Introductory Session *One day or less*	• One consultant • No materials or only limited photocopies of over-heads/brochures	$3,500 plus travel
Stand-alone 2-Day Session *Up to 40 participants*	• One consultant • Up to 40 copies of participant manuals	$7,000 plus travel
Stand-alone 2-Day Session *40-80 participants*	• Two consultants • Up to 80 Copies of participant manuals	$14,000 plus travel
Small Consortia *4 two-day sessions* *Up to 40 participants*	• Participants Manuals for each session (up to 40 copies) • *School Leadership That Works* (up to 40 copies) • Access to Internet site with additional resources and on-line coaching from consultants	$12,500 per session plus travel *1st-year pricing for 4 sessions: $44,500 ($5,500 discount)*
Large Consortia *4 two-day sessions* *40-80 participants*	• Two Consultants • Participants Manuals for each session (up to 80 copies) • *School Leadership That Works* (up to 80 copies) • Access to Internet site with additional resources and on-line coaching from consultants	$21,000 per session plus travel *1st-year pricing for 4 sessions: $77,000 ($7,000 discount)*
Prices do not include optional features: *Balanced Leadership Profile 360™*, on-site coaching, implementation consultation and training-of-trainer sessions.		

Start a consortium today

Because several participants and school sites are typically required to foster collegial learning and provide cost-sharing benefits, a Balanced Leadership Consortium is most often convened and sponsored by state education agencies, intermediate agencies, foundations, professional organizations, or school districts.

These convening organizations generally provide facilities for hosting the two-day professional development sessions and also identify and, if necessary, compensate local mentors. Schools or districts interested in joining a consortium can contact McREL to learn if we are forming a consortium in their area.

Contact us

To start a Balanced Leadership Consortium or learn more about McREL's wide array of research-based products and services for schools leaders, contact McREL at

info@mcrel.org

303.337.0990

To learn more about other McREL research and services for school leaders visit www.mcrel.org/leadership.

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