

Evaluating Principal Leadership in a Performance-Based School

THE EIGHT NEW PRINCIPAL EVALUATION CRITERIA





Evaluating Principal Leadership in a Performance-Based School

With the establishment of state standards in 1992, the Association of Washington School Principals (AWSP) recognized that student achievement would become the primary measure of a school's effectiveness. Since then, a significant shift has taken place—a shift that has required the evolution of new school cultures, the understanding of new roles for teachers and the development of new student accountability performance standards established and measured outside of the classroom. Pivotal to the success of this shift, which continues today in schools across Washington state, is a new type of principal leadership.

With this in mind, AWSP assembled a task force of more than 20 principals to analyze this new type of leadership and create a new set of principal responsibilities to match it. The goal was to create a document showing the interrelationship between these responsibilities and district policies and practices. The task force realized that, as the principals' work changed, the districts' principal evaluation models would also need to change in order to provide the support critical for these school leaders.

The AWSP task force started by developing a philosophical statement which formed the basis for the work that followed:

Statement of Accountability

Student achievement in a performance-based school is a shared responsibility involving the student, family, educators and the community. The principal's leadership is essential. As leader, the principal is accountable for the continuous growth of individual students and increased school performance as measured over time by state standards and locally determined indicators.

This Statement of Accountability has some significant pieces worth noting. First, the greatest temptation for a district is to hold the principal solely accountable for student achievement, as the most obvious data is school data. For the district to be successful, however, accountability must be shared among everyone in the system. Second, school performance data, as required by state and federal legislation, must be combined with individual student growth information for a comprehensive set of accountability data. Finally, it must be accepted that state testing data (which receives the most publicity) is necessary but insufficient for a principal accountability model because it does not reflect all expectations. Adding locally determined indicators to the state data is critical to helping principals and their staff understand what is expected of them.

Together, the task force members developed seven leadership responsibilities for principals, which provided the foundation for this document. In addition to the responsibilities, the task force generated examples of corresponding “essential components”—that is, knowledge and skills, evidence and measures, and system conditions that would allow a principal to successfully carry out that specific responsibility.

In 2010, AWSP's seven leadership responsibilities, listed as the first seven items on the following page, became the foundation for a new set of criteria for principal evaluation in Washington state. An eighth criterion—“Closing the Gap”—was added by the Legislature that same year. Pages 6-13 of this document offer several examples illustrating the eight evaluation criteria and their related essential components, as described on the following page. The eight evaluation criteria and

the corresponding examples provide a framework upon which a district might build a principal evaluation tool. Involving principals in the development of the tool, which should be tailored to the district's needs, policies and collective bargaining agreements, is critical; please see pages 4-5 for more information about personalizing this document.

Eight Evaluation Criteria for Principals

1. *Creating a Culture:* Influence, establish and sustain a school culture conducive to continuous improvement for students and staff.
2. *Ensuring School Safety:* Lead the development and annual update of a comprehensive safe schools plan that includes prevention, intervention, crisis response and recovery.
3. *Planning with Data:* Lead the development, implementation and evaluation of the data-driven plan for improvement of student achievement.
4. *Aligning Curriculum:* Assist instructional staff in aligning curriculum, instruction and assessment with state and local learning goals.
5. *Improving Instruction:* Monitor, assist and evaluate staff implementation of the school improvement plan, effective instruction and assessment practices.
6. *Managing Resources:* Manage human and fiscal resources to accomplish student achievement goals.
7. *Engaging Communities:* Communicate and partner with school community members to promote student learning.
8. *Closing the Gap:* Demonstrate a commitment to closing the achievement gap.

Essential Components

Knowledge and Skills: A principal's knowledge and skills enhance his or her understanding of details associated with each responsibility. This section is not intended to be a complete list of knowledge and skills needed, but rather one that would stimulate discussion in the district.

Evidence and Measures: Evidence and measures, which are an important aspect of any evaluation model, take conversations beyond the supervisor's "gut feeling." This section provides a sample of evidence or measures that principals and the district could use as a starting point for developing their own list.

System Considerations

Support: All principals need district support for developing their skills and knowledge in each of the responsibility areas. AWSP encourages principals and their supervisors to brainstorm what that support would look like. Examples of such support are provided in this section.

Authority: A principal's ability to succeed in each responsibility is dependent on having the authority to do just that. This section focuses on district policies and teacher collective bargaining agreements that might have an impact on a principal's authority.

Personalizing this Document for your District's use

In Washington state, all school districts are required to develop and implement a four-tier principal evaluation system by 2013-14. Each district is responsible for establishing its own four levels. Formulating a description for these levels as well a rubric for each of the eight evaluation criteria will be a critical aspect of each district's work.

The following pages can be used to help district teams develop their evaluation models. **However, this document is not an evaluation instrument for districts to adopt, but rather a set of building blocks upon which districts may construct their own evaluation tools.**

This document is designed to initiate and sustain discussion between principals and the district's leadership team. An effective evaluation model creates a goal plan with a narrowed focus for the principal's growth; pages 6-13 feature lists of examples that may be used as a starting point to personalize a principal's goal-setting process. Using these lists as the sole basis for evaluation would be a serious misuse of the document.

In reviewing the lists under each criterion, the district might consider questions like the ones suggested on the next page. These questions will help teams better understand the eight criteria. They also will facilitate the identification of critical knowledge and skills for principals, the analysis of evidence and measures, the examination of district supports that relate to authority, and the establishment of protocols and procedures for implementation of the system.



Clarifying Expectations

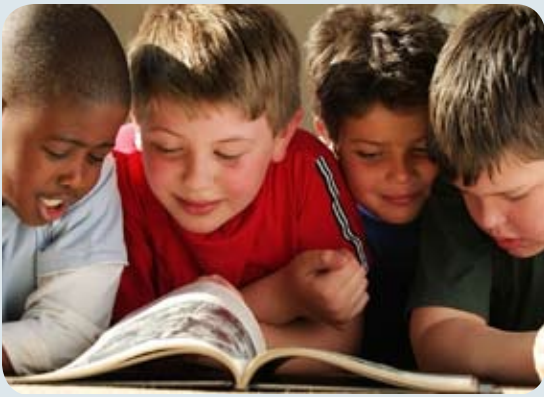
- Which of these knowledge and skills examples are not as applicable to our district, and which should be removed from the list?
- Which skills are not included on this list, but our district feels should be?
- Can we prioritize this list as a district, or does the priority need to be established by each principal and his/her supervisor?
- Are there different expectations for assistant principals than for principals?

Considering the Environmental Impact

- What kinds of support are we providing already that will assist principals in this criterion?
- What supports are we not providing that we have the capacity to provide?
- What supports are critical enough that we should seek resources to provide them?
- What parts of our teachers' or classified-staffs' collective bargaining agreements might impact our principals' efforts to accomplish this criterion?

Establishing Protocols

- Who evaluates whom?
- How and when should annual goals be established?
- What does an observation look like when supervising principals?
- What are the dates for important conversations between principals and supervisors?
- What are the orientation expectations for all those impacted by the evaluation system?



1. Creating a Culture

Influence, establish and sustain a school culture conducive to continuous improvement for students and staff.

Examples of Knowledge/Skills	Examples of Evidence/Measures	Examples of System Considerations	
		Support	Authority
<ul style="list-style-type: none"> • Articulate and model a shared vision for continuous improvement and lifelong learning within the entire school community • Develop and model an atmosphere of personal responsibility, trust and collaboration among students and staff • Understand the needs and strengths of the individuals and groups in the school • Apply effective group-processing skills • Use authentic assessment data, including self-appraisal, to measure culture and inform action of individuals, groups and the school system • Recognize and celebrate efforts and achievements 	<ul style="list-style-type: none"> • Student/staff surveys, interviews and focus groups • Meeting agendas and minutes/outcomes regarding learning and problem-solving • Incident/intervention review • Logs of classroom visits • Ability of staff and students to articulate the school vision • Supervisor observation of building climate measures; measures and indicators discussed in evaluation meetings between principal and supervisor • School plan, meeting agendas and minutes, and strategies that support building vision • Indication from principal observations that teachers respond to student needs and background • Décor that reflects the diversity of the student body • Principal portfolio of other evidence or work in progress • Sponsor, attend and actively participate in building professional development 	<ul style="list-style-type: none"> • Time designated to work with staff outside of instruction time • District supports enforcing codes of conduct and professional ethics • Resources for staff training/in-service • District commitment to each school's uniqueness and implementation of district goals • District awareness and recognition of school improvement efforts and accomplishments over time • Access to resources that assist administrators in meeting job performance targets for continuous student and staff improvements • District supports school's use of human and fiscal resources to enhance continuous learning • District aligns professional development to support staff capacity-building for both teams and individuals 	<ul style="list-style-type: none"> • Authority to hire, reassign and non-renew staff • Authority to provide school administrator input to negotiation process • Authority to access district and community resources • Authority to sponsor and direct staff development to address collaboration and school culture improvement needs



2. Ensuring School Safety

Lead the development and annual update of a comprehensive safe schools plan that includes prevention, intervention, crisis response and recovery.

Examples of Knowledge/Skills	Examples of Evidence/Measures	Examples of System Considerations	
		Support	Authority
<ul style="list-style-type: none"> • Review, analyze and implement school safety and discipline plans based on school data • Supervise teachers' instructional practices, classroom management and discipline to ensure a safe classroom environment • Apply legal and district policy requirements regarding discipline and safety • Develop open communication systems that allow for proactive identification and intervention of potential incidents • Establish and implement crisis plans and follow up in a timely and appropriate manner • Communicate so that students, parents and community members are confident the school is safe • Know and apply special education discipline/504 regulations and laws • Identify and use community resources to support comprehensive safe schools plan • Facilitate the development of a discipline plan that promotes problem-solving skills 	<ul style="list-style-type: none"> • School safety committee members, minutes and agendas • Incident review notes • Summaries of student/ staff surveys • Documents describing systems, structures, programs and procedures to assist students/ adults • Documents showing partnership with local agencies; coordination of drills and incidents with follow-up review and planning • Documentation of drills for prevention and intervention • Communication with parents regarding school safety • Ability of students, staff and parents to articulate crisis procedures • Reduction in bullying, fighting and harassment incidents 	<ul style="list-style-type: none"> • Training in best practices for prevention and intervention of violence, including issues/ideas that are community-specific • District and community support of principal decisions that follow district policy and best practices to ensure a safe environment • Advice, assistance and resources for specific student safety and discipline issues • District and community resources that complement one another to assist students and staff • School board policy aligned with expected practice • Assistance with data collection and analysis for a comprehensive picture of the safety and order of the school environments (rather than simply counting suspensions, etc.) • Up-to-date information and training on changing legal and district policy related to student safety and discipline • Human and/or fiscal resources to provide for adequate campus supervision • District support for working with disruptive students, including those in special populations • District overall crisis plan aligned with all schools • District provides crisis/ emergency training for appropriate building staff 	<ul style="list-style-type: none"> • Authority to access district and community resources to assist with difficult student behaviors • Authority to direct staff development toward student safety needs • Authority to assign to staff responsibilities for maintaining a safe and orderly school environment and to evaluate staff performance in this area



3. *Planning with Data*

Lead the development, implementation and evaluation of the data-driven plan for improvement of student achievement.

Examples of Knowledge/Skills	Examples of Evidence/Measures	Examples of System Considerations	
		Support	Authority
<ul style="list-style-type: none"> • Ensure the creation of a School Improvement Plan (SIP) • Know components and purpose of the SIP • Mobilize staff to implement the SIP • Ensure the SIP is focused, feasible and implementable • Clearly communicate the elements of the SIP with constituent groups (staff, parents, board and community) • Utilize a variety of assessment data • Analyze data to assess the effectiveness of the SIP • Collaborate, problem-solve and build consensus with individuals and groups 	<ul style="list-style-type: none"> • Individual student achievement data • Compilation of classroom data, including collection of and response to measures of classroom achievement • Principal observation notes of teachers and students regarding learning goals and teachers' use of assessment data to inform subsequent instruction • Results of a focused short-term/long-term data-driven plan • Student/family involvement in student achievement plans • Teacher/student self-evaluation • Individual student intervention plans • Establish a building data dashboard to monitor progress 	<ul style="list-style-type: none"> • Parent and community support of the SIP in schools and district • District support of school needs for personnel, time and resources, including time for collaboration • District expectations that require collaborative behavior of teachers • District provides training and support in how to use data to influence instruction 	<ul style="list-style-type: none"> • Authority to require teachers to teach essential learnings as defined by state and local curriculum • Authority to require teachers to use authentic assessments and the data from their assessments to drive instruction • Authority for staff and principal to modify the SIP based on data results (e.g., remediation needs while still maintaining high academic standards)



4. Aligning Curriculum

Assist instructional staff in aligning curriculum, instruction and assessment with state and local learning goals.

Examples of Knowledge/Skills	Examples of Evidence/Measures	Examples of System Considerations	
		Support	Authority
<ul style="list-style-type: none"> • Know state performance expectations • Use a variety of assessments to diagnose learner needs and to design appropriate learning intervention to improve success on state, local and classroom measures • Focus staff on learning and teaching priorities • Guide staff in curriculum alignment process • Assist staff in adjusting to and accepting curriculum, instruction and assessment changes • Guide staff in alignment processes within and across curriculum areas and grade levels • Have knowledge of best practices of instruction and assessment • Engage instructional staff in frequent conversations/reflection about classroom practice 	<ul style="list-style-type: none"> • Communications used for disseminating information on state and local goals • Schedules and meeting agendas/minutes for staff planning and collaboration • Logs of formal and informal observations, feedback conferences and principal's plan to coach and assist teachers • Calendar of professional and school activities • Records of brief informal observations • Principal portfolio of other evidence or work in progress 	<ul style="list-style-type: none"> • Time and resources designated for: <ul style="list-style-type: none"> – Staff development for teachers and administrators – Curriculum alignment activities, including K-12 and cross-curricular articulation – Staff collaboration in the development of instructional and assessment plans and materials • Materials and in-service supporting reform efforts provided by district, regional and state agencies, and professional associations • Assistance, recognition and encouragement for progress in aligning curriculum, instruction and assessment • Creation of a sense of ownership and a shared accountability among school and district staff for the alignment of the district curriculum 	<ul style="list-style-type: none"> • Authority to assign and reassign staff within school to facilitate delivery of effective instruction • Authority to direct budget toward student achievement goals • Authority to report misalignments in the curriculum and inappropriate curriculum materials



5. Improving Instruction

Monitor, assist and evaluate staff implementation of the School Improvement Plan, effective instruction and assessment practices.

Examples of Knowledge/Skills	Examples of Evidence/Measures	Examples of System Considerations	
		Support	Authority
<ul style="list-style-type: none"> • Persistently advance the School Improvement Plan (SIP) • Engage each staff member in their appropriate implementation of the SIP • Utilize teacher-leaders to focus and model the improvement of practice • Evaluate in a way that distinguishes effective teachers from ineffective teachers • Guide staff through the change process while maintaining focus on student learning goals • Assist staff in self-evaluation leading to effective practice • Use a variety of data to inform and support decisions about instruction and assessment of learning • Use a variety of monitoring structures (e.g., informal observation, assessment and lesson plan analysis, formal lesson observation) to improve instruction and assessment of learning • Clearly communicate effective instructional and assessment practices for staff • Develop collaboration and peer mentoring among staff • Develop an induction process for new staff • Seek opportunity to support capacity-building for individuals and teams 	<ul style="list-style-type: none"> • Effective employee evaluations that follow contractual and legal requirements and timelines • Planning/scheduling for new teacher mentoring and meetings • Evidence of agendas of staff/department/grade-level meetings and staff development • Achievement data trends over time • Staff development plans that address identified needs • Principal portfolio of other evidence or work in progress • Examples of growth in specific staff 	<ul style="list-style-type: none"> • Superintendent who shares vision and assists in follow-through on a long-term basis versus viewing the short-term problem • District personnel, including superintendent, who understand the complexity, legal liability and political elements of change and remain supportive of school efforts • Administrator’s job description that reflects priority of student achievement goals • Reduction of tasks that are not directly related to achievement goals from administrator performance expectations • Training in performance-based evaluation and development of the SIP • Training/collaboration among school administrators to define and apply evaluative criteria consistently for all staff • District support for administrators in evaluation/probation process • Time and resources for staff collaboration • Supplemental summer and after-school programming 	<ul style="list-style-type: none"> • Authority to provide input to alter negotiated agreements for consistency of effective school practices and maximizing student achievement • Authority to match staff selection and retention to program needs • Authority to accept/reject staff assigned to school based upon demonstrated skill in promoting student achievement



6. Managing Resources

Manage human and fiscal resources to accomplish student achievement goals.

Examples of Knowledge/Skills	Examples of Evidence/Measures	Examples of System Considerations	
		Support	Authority
<ul style="list-style-type: none"> • Gather, analyze and use data to create, evaluate and manage a school budget plan • Involve staff in developing the budget plan • Possess knowledge of laws related to special areas (e.g., ASB, special programs, grants) • Possess skills in recruiting and securing the best applicants for the job • Use effective staff development and improvement strategies • Have knowledge of effective practices as well as rules and regulations related to staff supervision, coaching and evaluation • Have skills and knowledge to take someone through probation and non-renewal • Effectively address difficult issues and conduct difficult discussions • Focus financial, human and time resources on teaching and learning 	<ul style="list-style-type: none"> • A School Improvement Plan that reflects appropriate use of building resources—people, time and money • Budget documents/plans showing funding of identified priorities • Balanced budget • Legal, contractual and budgetary timelines that are met • Hiring packets or protocols that reflect student achievement goals • Buildings and campus are clean, maintained and safe 	<ul style="list-style-type: none"> • District, state and federal funds to accomplish student achievement goals • Training for hiring and budgeting as well as understanding legal and contractual requirements • District resources (e.g., time) for recruiting staff and district procedures and timelines compatible with hiring quality staff • Support of principal from all central office administrators in supervision and evaluation to prevent the transfer of unsatisfactory staff into the principal's school • Provision of organizational support and resources for staff development, evaluation, probation and non-renewal decisions • Time made available for supervision and improvement of instruction as a major focus of the principal's job • Clear delineation of non-negotiables 	<ul style="list-style-type: none"> • Authority to determine where school resources are allocated • Authority to have the final decision on accepting staff transfers • Authority to manage the hiring process and select staff • Authority to develop building programs and assign staff accordingly • Authority to prioritize building resources



7. Engaging Communities

Communicate and partner with school community members to promote student learning.

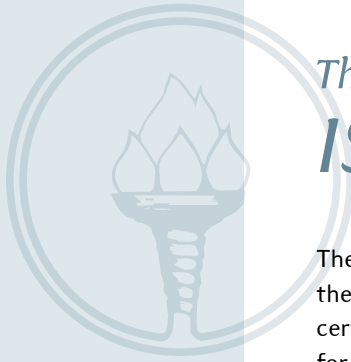
Examples of Knowledge/Skills	Examples of Evidence/Measures	Examples of System Considerations	
		Support	Authority
<ul style="list-style-type: none"> • Use effective communication skills and strategies to: <ul style="list-style-type: none"> – Market the school to enlist community support – Resolve conflicts among individuals and groups – Build common focus and collaboration to enhance student learning • Partner and collaborate with administrative colleagues • Build collegial and collaborative relationships with and among school staff members • Share leadership based upon situation and need • Identify and involve business and community leaders and key communicators • Use a variety of vehicles and tools to communicate about student learning with constituents, both inside and outside of the school • Gather and use relevant data regarding community responses to student learning and their attitudes about the school • Work with local media to celebrate success across school and community • Break down barriers between school and community 	<ul style="list-style-type: none"> • Samples of communication vehicles used • A School Improvement Plan that demonstrates knowledge of the specific school community and the impact on learning • A school-wide plan to engage families and community • Opportunities for family to provide feedback about their students' experience • Ability to articulate a defined decision-making process • Logs of community interaction (e.g., number of volunteers, community members in the school, telephone conversations and community presence at school activities) • Schedule of activities, conferences, documentation, etc. • Surveys/focus groups of the community • Evidence in addressing conflict resolution through observations and notes • Principal portfolio of other evidence or work in progress 	<ul style="list-style-type: none"> • Training for enhanced family and community engagement • Training in strategies for effective community partnerships • Training, coverage and support for community involvement as an element of principal responsibility • Assistance from district's community relations director as needed for school communication plans • Handling of insurance, liability coverage, background checks, recruitment and training for volunteers at the district level • Clearly established decision-making parameters • District-wide community communication plan • Alignment of district and building communication plans and procedures 	<ul style="list-style-type: none"> • Authority to initiate and continue partnerships with community members • Authority to adjust the school day and/or calendar to promote community and parent/guardian partnerships • Authority to require staff members to communicate with parents and guardians as part of their commitment to improve student learning



8. Closing the Gap

Demonstrate a commitment to closing the achievement gap.

Examples of Knowledge/Skills	Examples of Evidence/Measures	Examples of System Considerations	
		Support	Authority
<ul style="list-style-type: none"> • Assign low-performing students to high-performing teachers • Promote and model an atmosphere of inclusiveness, equity and respect among students, staff and community • Use data to identify and address patterns related to equity of access • Analyze discipline and attendance data with respect to equity issues • Identify gaps in the achievement of various groups • Monitor regularly the progress of underperforming students • Use formative assessments to catch learning gaps early • Consider student subpopulations when building a School Improvement Plan (SIP) • Hire staff committed to closing gaps between student subpopulations • Have knowledge of and be responsive to diversity issues in the community • Ensure a welcoming experience for parents, school visitors and other stakeholders 	<ul style="list-style-type: none"> • Knowledge of diversity issues • Knowledge of low-performing students • Décor that reflects the diversity of the student body • Accessibility of student data to staff, students and families, and explanation of how to interpret data • Analysis of the representation of students being served by special programs, based on the demographics of the school • Master schedule • Analysis of formative assessments • Intervention strategies ensuring that the academic needs of all students are being met • Partnerships with families and community members that bring guest speakers, tutors and mentors into the building • Asset map of the community identifying resources available to students and families • Accessibility of information to non-English speaking families 	<ul style="list-style-type: none"> • District definition of the achievement gap • District plan to close the gap with specific strategies • District resource allocation practices that demonstrate the district's commitment to closing the achievement gap • School and district expertise in analyzing and interpreting data, and developing a data dashboard • Training, coverage and support for community involvement as an element of principal responsibility • Professional development on effective teaching practices for specific subpopulations of students • Availability of translation services 	<ul style="list-style-type: none"> • Authority to use teacher success with student achievement as a requirement for hiring or accepting transfers • Authority to direct resources toward staff development goals of the School Improvement Plan and documented student achievement • Authority to place and/or regroup students to increase student achievement • Authority to direct staff development toward student learning needs • Authority to focus on student achievement as the primary responsibility of administrators • Authority to hire and accept/reject staff assigned to school based upon demonstrated commitment to closing the achievement gap • Authority to alter schedules and structure to better meet individual student learning needs



The Eight Evaluation Criteria Meet the ISLLC Standards

The six Interstate School Leaders Licensure Consortium (ISLLC) Standards are used as the Washington principal certification standards. These standards, listed here, drive the certification process for current administrative interns and the certification renewal process for growing numbers of assistant principals.

How do the eight principal evaluation criteria compare to the ISLLC Standards? In this section, the evaluation criteria have been matched to the ISLLC Standards, as defined in the Washington Principal/Program Administrator Standards-Based Benchmarks.

ISLLC Standard 1: Vision

A school administrator is an educational leader who promotes the success of all students through facilitating a shared vision of learning.

- **Evaluation Criterion 1: Creating a Culture**
Influence, establish and sustain a school culture conducive to continuous improvement for students and staff.

ISLLC Standard 2: Instruction

A school administrator is an educational leader who promotes the success of all students through sustaining a culture of student learning and staff professional growth.

- **Evaluation Criterion 1: Creating a Culture**
Influence, establish and sustain a school culture conducive to continuous improvement for students and staff.
- **Evaluation Criterion 5: Improving Instruction**
Monitor, assist and evaluate staff implementation of the School Improvement Plan, effective instruction and assessment practices.

ISLLC Standard 3: Safety

A school administrator is an educational leader who promotes the success of all students through ensuring a safe, efficient and effective learning environment.

- **Evaluation Criterion 1: Creating a Culture**
Influence, establish and sustain a school culture conducive to continuous improvement for students and staff.
- **Evaluation Criterion 2: Ensuring School Safety**
Lead the development and annual update of a comprehensive safe schools plan that includes prevention, intervention, crisis response and recovery.
- **Evaluation Criterion 3: Planning with Data**
Lead the development, implementation and evaluation of the data-driven plan for improvement of student achievement.
- **Evaluation Criterion 6: Managing Resources**
Manage human and fiscal resources to accomplish student achievement goals.



ISLLC Standard 4: Collaboration

A school administrator is an educational leader who promotes the success of all students through collaboration working with diverse communities and mobilizing community resources.

- **Evaluation Criterion 7: Engaging Communities**
Communicate and partner with school community members to promote student learning.

ISLLC Standard 5: Integrity

A school administrator is an educational leader who promotes the success of all students through acting with integrity, fairness and in an ethical manner.

- ISLLC Standard 5 does not match precisely with one specific evaluation criterion. AWSP believes that this language describes a leader's quality as opposed to his or her responsibility. We believe ISLLC Standard 5 is critical and applies to each of the eight evaluation criteria.

ISLLC Standard 6: Outreach

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

- ISLLC Standard 6 does not match precisely with one specific evaluation criterion. To try to better understand the intent of the standard, AWSP turned to the original "functions" that accompanied the ISLLC Standards. It appears that the intent of this standard is to influence the world outside the school. We do believe that *Criterion 7, Engaging Communities*, speaks to this standard; however, we did not include advocacy and the influencing of state policy in this document.



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