



**Department of  
Education**

*Dennis M. Walcott, Chancellor*

**2011-2012  
Principal Performance Review**

**Principal Information**

<b>Principal:</b>		<b>School Year:</b>	
<b>School:</b>		<b>Phone Number:</b>	
<b>Superintendent:</b>		<b>District:</b>	
<b>Cluster:</b>		<b>Network Leader:</b>	
<b>Status</b>	Interim Acting:	Probationer:	Tenured:

## ***PRINCIPAL PERFORMANCE REVIEW***

### **INTRODUCTION TO THE PRINCIPAL PERFORMANCE REVIEW**

The Principal Performance Review (PPR) offers you a critical opportunity to examine the progress your students are making and to identify the decisions and steps needed to help your school improve student outcomes. The PPR is designed as a core component of the DOE's accountability system.

This annual review will result in a Final Rating for all principals based on performance in the following areas of responsibility:

1. Accomplishing the goals and objectives that you set for yourself at the beginning of the year
2. Your school's 2010-11 Progress Report results
3. Your school's most recent Quality Review score
4. Addressing the particular needs of English Language Learners and Special Education Adhering to legal requirements and other key DOE policies that apply to your school and that are addressed in the Compliance Review conducted each year by the DOE's Office of Compliance Services

When setting your goals and objectives remember that the components of the Progress Report, the Quality Review, as well as other key data sources provide important information about areas of need and possible improvements in your school. We expect that you will consult the NYCDOE [School Leadership Competencies](#) when considering your strengths and development areas as a school leader. Your school's CEP can be especially useful in addressing programming, budgeting, and resource allocation. Using all of these supports, you are encouraged to focus particular attention on your school's needs to ensure that every child has access to daily rigorous instruction. By addressing the needs of these students will help your school show significant progress in student learning and outcomes.

### **PRINCIPAL PERFORMANCE REVIEW THREE-STEP PROCESS**

- 1. Goals and Objectives:** A minimum of four and a maximum of five goals and objectives are due October 14, 2011. You will have an opportunity to revise the goals and objectives through November 30, 2011. Your superintendent will provide initial feed back to you by November 14<sup>th</sup>. For updated guidance on setting goals and objectives, see the "Principal Evaluations" page under "Leadership & Staff Development" on the [Principals' Portal](#).
- 2. Mid-Year Principal Performance Review:** On January 30, 2012, your mid-year summary (see Appendix D) is due to your superintendent.
- 3. Annual Principal Performance Review:** On June 30, 2012, your final summary, which will be posted on the [Principals' Portal](#) and shared in *Principals' Weekly* this spring, is due to your superintendent.

*\* Upon request, you may meet with your superintendent to address issues during any step of the process.*

## 1. Your Goals and Objectives

Your goals and objectives are to be completed in consultation with your superintendent by October 14, 2011. If necessary, you will be able to revise the goals and objectives after issuance of the 2010-11 Progress Report, Quality Review, and/or 2010-11 annual PPR evaluation. Using the template in Appendix A, please describe **a minimum of four and a maximum of five** performance goals and objectives you have set for the coming year. These goals and objectives should focus on improving teacher effectiveness, student academic outcomes, or your school's learning environment. They must be agreed upon mutually with your community or high school superintendent.

In addition, for the 2011-12 school year, at least **two** of your goals must align with the 2011-12 citywide [instructional expectations](#). Please see the "Principal Evaluations" page under "Leadership & Staff Development" on the [Principals' Portal](#) for [additional guidance](#) on setting goals and objectives and other supporting materials.

In defining your goals and objectives, and selecting types of evidence you will use to demonstrate progress or completion of your objectives, consider your school's success across multiple measures in order to develop the most meaningful goals. These measures could include but are not limited to your school's results on the 2010-11 Progress Report; feedback from parents, teachers, and students on the School Survey; your school's most recent Quality Review report (3) your school's most recent CEP including the Language Allocation Policy (LAP) ; (4) your school's most recent NCLB outcomes; and (5) other available data. For each goal, **please identify the measurable objective or target you have set for yourself, which reflects your best thinking about how to meet the demonstrated the needs of your school.**

In narrative form, please describe your plan for meeting each goal, including your strategy for staffing, scheduling, and funding to implement the action plan, as appropriate. You should also describe the objective evidence you will use to track progress throughout the year toward meeting each goal. (e.g., Periodic Assessment outcomes, number or frequency of teacher observations using a rubric of teacher practice, improvement of internal measures such as scores on common assessments or teacher made rubrics) In drafting your plan, please keep in mind the NYCDOE [School Leadership Competencies](#). In particular, you should consider your strengths and development areas on the following five competencies that are critical to increasing student achievement and leading schools, and identify specific steps you can take to improve in these areas:

- a. Personal Leadership: Fosters a culture of excellence through personal leadership
- b. Data: Uses data to set high learning goals and increase student achievement
- c. Curriculum and Instruction: Leverages deep knowledge of curriculum, instruction, and assessment to improve student learning
- d. Staff and Community: Develops staff, appropriately shares leadership, and builds strong school communities
- e. Resources and Operations: Manages resources and operations to improve student learning

In preparing your goals and objectives with your superintendent, you may invite your network leader and other relevant advisors to support you in this process. The support of network staff and other relevant advisors may include help with developing priorities, strategies and plans that enable you to meet the goals and objectives prepared. Networks may also offer training on developing effective goals and objectives. Goals and objectives are due to your superintendent on October 14, 2011.

## 2. Mid-Year Principal Performance Review

By January 30, 2012, you will submit a mid-year summary of your progress toward meeting the goals and objectives for the year. You can find a template for the mid-year PPR in Appendix D. During the mid-year PPR, your superintendent will review and provide feedback on your progress toward meeting all of the objectives in your PPR, as well as assess data for your school. The mid-year review is designed to provide you with an opportunity to assess the progress made for each PPR goal and to modify your goals, as necessary. You may invite a network representative to support you in the mid-year review process.

### **3. Annual Principal Performance Review**

By June 30, 2012, you should complete the end-of-year summary template, which will be posted on the [Principals' Portal](#) and shared in *Principals' Weekly* this spring, providing an evidence-based narrative of the progress you have made toward meeting your goals and objectives for the year. The annual PPR will be completed immediately after issuance of the previous year's Progress Report results. Principals will have at least five working days to review Progress Report outcomes and report data inaccuracies to the Division of Academics, Performance, and Support before the superintendent completes the review. Prior to issuing a Final Rating to the principal, the superintendent will review the school's Progress Report, Quality Review reports, and other State accountability outcomes, Comprehensive Education Plan including the Language Allocation Policy, Annual Compliance Review report, and other important data about the school. The superintendent will assess the success in satisfying the goals and objectives in addition to the other PPR criteria. You may request a network representative to support you in this review process. You may also request to meet with your superintendent for further discussion.

## 4. Evaluation Rubric

A. Academic Performance			
	Area	Activity	Final Evaluation
85%	Goals and Objectives (31%)	Did the principal meet his/her Goals and Objectives?	
	Progress Report (32%) <sup>2</sup>	The school's Progress Report results:	
	Quality Review Score (22%) <sup>3</sup>	The school's Quality Review score:	
Academic Performance Sub-Total			

B. Attention to Populations with Particular Needs			Points
5%	Special Education	Individualized Education Plan (IEP) mandated related and support services and SETSS were provided in a timely manner, and the first attend data was recorded into the computerized tracking system.	
		All special education evaluations were conducted within legally mandated timeframes: initial referrals were completed within sixty (60) calendar days of the receipt of parental consent; re-evaluations were completed within sixty (60) calendar days of receipt of the referral; annual reviews of special education students were conducted as required.	
		IEP teams made recommendations, to the extent appropriate, for services in the least restrictive environment, including maintaining the student in his or her current school.	
	English Language Learners	The Language Assessment Battery-Revised (LAB-R) was administered to all students whose home language is not English.	
Population with Particular Needs Sub-Total			

C. Compliance with Legal Mandates/Key DOE Policies <sup>4</sup>		Points
10%	Compliance with Legal Mandates/Key DOE Policies Sub-Total	

D. Computing the Overall Score	Goals and Objectives (31%) +	Progress Report (32%) +	Quality Review (22%) +	Populations with Particular Needs (5%) +	Compliance (10%)	= Overall Score (100%)
Scores	+	+	+	+	+	=
Using the columns to the right, convert the Overall Score to the corresponding Rating.	Overall Score Range		Rating		The Final Rating should be entered on page 6 subject to the considerations listed there	
	91-100%		4 = Substantially Exceeds <sup>1</sup>			
	71-90%		3 = Exceeds			
	53-70%		2 = Meets			
	31-52%		1 = Partially Meets			
	0-30%		0 = Does Not Meet			

See Appendix G for scoring details

### Notes on Evaluation Rubric

<sup>1</sup>The “Substantially Exceeds” score is reserved for truly outstanding performance.

<sup>2</sup>Appendix B contains a link to more information about the progress report.

<http://intranet.nycboe.net/DOEPortal/Principals/Accountability/Evaluation/default.htm>

<sup>3</sup>Appendix C contains a link to more information about the Quality Review.

<http://intranet.nycboe.net/DOEPortal/Principals/Accountability/Evaluation/default.htm>

<sup>4</sup>The Office of Compliance Services (OCS) will assess each school’s mid-year and year-end overall compliance with federal, state, and local laws, and with relevant Chancellor’s Regulations. As part of this process, OCS will examine each school’s success in addressing the important legal requirements for students with disabilities and English language learners that are delineated in Part B of the Evaluation Rubric. OCS will issue a report and recommendation to the superintendent covering compliance with federal, state, local laws, and Chancellor’s regulations,. After reviewing the OCS report and consulting with the principal and the school’s network representative, the superintendent will award youa score based on the school’s success in satisfying the legal requirements for populations with particular needs (Part B above) and for compliance with legal and key DOE policy mandates (Part C above). Note that OCS has designed a compliance program to assist and support principals in identifying risks to the effective performance of critical educational and business functions. Schools that are not able to meet their compliance obligations should request assistance from OCS via the Network

**Final Rating and Summary (to be filled out by the superintendent)****Principal's Name:** \_\_\_\_\_**School:** \_\_\_\_\_**Final Rating:** Please check one.

( ) **0** = Does Not Meet    ( ) **1** = Partially Meets    ( ) **2** = Meets    ( ) **3** = Exceeds    ( ) **4** = Substantially Exceeds

The Final Rating is the sum of the criteria as scored on the Evaluation Rubric on page 5. The Final Rating is subject to the superintendent's consideration of the following three guidelines which, as specifically set forth below, may result in a rating above or below the score on the Evaluation Rubric:

- Except in unusual circumstances, a principal's leadership of a school that was graded D or F on the most recent Progress Report and scored an "Underdeveloped" on the most recent Quality Review results in a Final Rating of "Does Not Meet." The superintendent may change the Final Rating to "partially meets" or "meets" if the superintendent identifies, and the Chancellor approves, specific, identifiable reasons beyond the principal's control for the school's failure. Acceptable reasons must relate to (1) the principal's short time as the school's leader (including due to illness during the preceding year), (2) the principal's recent appointment to turn around a previously failing school, (3) the principal's achievement or surpassing of his/her goals and objectives, (4) other circumstances of at least the same magnitude and effect.
- Except in unusual circumstances, a principal's leadership of a school graded D on the Progress Report for two years in a row, or of a school graded C on the Progress Report for four years in a row, will result in a Final Rating of "Does Not Meet." If the principal has served for all or nearly all of the two- or four- year period and the school scored below "Developing" on the most recent Quality Review, the final rating will result in "Does Not Meet." If a Final Rating other than "Does Not Meet" is given in this situation, the superintendent must identify, and the Chancellor must approve, specific, identifiable reasons beyond the principal's control for the school's failure. Acceptable reasons must relate to (1) the principal's relatively short time as the school's leader (including due to illness during the preceding year), (2) the principal's achievement or surpassing of his/her goals and objectives; (3) other circumstances of at least the same magnitude and effect.
- If a principal leads a school that receives an overall score of "0" on any component of Part B or any category, e.g. "Business and Funding," listed in the compliance checklist or desk review, or if a principal engaged in any misconduct or inappropriate conduct during the year, the superintendent may decrease the Final Rating. Whether or not a superintendent decreases the rating and, if so, by how much, depends upon the number of components or categories that are rated "0" and/or the frequency and severity of the misconduct or inappropriate conduct as assessed by the superintendent.

Principal's Name: \_\_\_\_\_

School: \_\_\_\_\_

Final Rating: Please check one.

( ) 0 = Does Not Meet    ( ) 1 = Partially Meets    ( ) 2 = Meets    ( ) 3 = Exceeds    ( ) 4 = Substantially Exceeds

**Final Rating Summary:**

Using additional pages as needed, summarize the basis for the principal's Final Rating, referring to all aspects of the principal's performance. Identify strengths and priorities for next year.

**Attendance:**

	First Year				Second Year				Third Year				Days in Car	Or Borrowed Days	Substitute Service No. of Days
	Times No.	Time Lost			Times No.	Time Lost			Times No.	Time Lost					
		Days	Hrs	Min		Days	Hrs	Min		Days	Hrs	Min			
Lateness															
Absence (Exclude Non-Attendance)															

NOTE: For reports on probationers, complete 1 to 3 years as applicable. For all other personnel use First year to denote current year.

*All ratings of 0 and 1 are may be appealed. If a principal is downgraded for one of the reasons set forth in the bulleted paragraphs on page 6 of the PPR, then that principal may appeal the resulting downgraded rating, even if the rating is 2 or higher. All PPR appeals will be subject to the rules and procedures of the Office of Appeals and Reviews.*

**This report has been seen and discussed by principal and superintendent.**

Date: \_\_\_\_\_ Principal's Signature: \_\_\_\_\_

Date: \_\_\_\_\_ Superintendent's Signature: \_\_\_\_\_

## APPENDICES

### Appendix A - Goals and Objective Template

### Appendix B - Progress Report Guide

For additional information about the Progress Report, please visit:

<http://intranet.nycboe.net/DOEPortal/Principals/Accountability/Evaluation/default.htm> or  
<http://schools.nyc.gov/Accountability/tools/report/default.htm>.

### Appendix C - Quality Review Guide

For additional information about the Quality Review, please go to:

<http://intranet.nycboe.net/DOEPortal/Principals/Accountability/Evaluation/default.htm> or  
<http://schools.nyc.gov/Accountability/tools/review/default.htm>.

### Appendix D - Mid-year PPR Template

### Appendix E - NYCDOE School Leadership Competencies:

<http://intranet.nycboe.net/NR/rdonlyres/6E9AA89C-2803-4AB3-A256-EC293FDD68C9/0/NYCDOESchoolLeadershipCompetencyContinuum.pdf>

### Appendix F - Details for Principal Performance Review

### Appendix G – Additional Scoring Details

## Appendix A

### Principal Performance Review 2011-2012 Goals and Objectives Template

Principal's Name:	
School Name:	District:
Superintendent:	
Cluster:	Network Leader:
Date:	

**Goals and Objectives Template:** Identify a maximum of 5 Goals and Objectives. Please use this template for each goal.

Goal Number 1	
<b>Goal</b>	<i>Describe your goal.</i>
<b>Measurable Objective</b>	<i>Set the measurable target that will define whether or not you have met your goal.</i>
<b>Action Plan</b>	<i>Describe your plan for meeting your goal, including staffing, scheduling, and funding.</i>
<b>Evidence</b>	<i>Identify the objective evidence you will use throughout the year to evaluate your progress towards meeting your goal.</i>

<b>Principal's Name:</b>	
<b>School Name:</b>	<b>District:</b>
<b>Superintendent:</b>	
<b>Cluster:</b>	<b>Network Leader:</b>
<b>Date:</b>	

Goal Number 2	
<b>Goal</b>	<i>Describe your goal.</i>
<b>Measurable Objective</b>	<i>Set the measurable target that will define whether or not you have met your goal.</i>
<b>Action Plan</b>	<i>Describe your plan for meeting your goal, including staffing, scheduling, and funding.</i>
<b>Evidence</b>	<i>Identify the objective evidence you will use throughout the year to evaluate your progress towards meeting your goal.</i>

<b>Principal's Name:</b>	
<b>School Name:</b>	<b>District:</b>
<b>Superintendent:</b>	
<b>Cluster:</b>	<b>Network Leader:</b>
<b>Date:</b>	

Goal Number 3	
<b>Goal</b>	<i>Describe your goal.</i>
<b>Measurable Objective</b>	<i>Set the measurable target that will define whether or not you have met your goal.</i>
<b>Action Plan</b>	<i>Describe your plan for meeting your goal, including staffing, scheduling, and funding.</i>
<b>Evidence</b>	<i>Identify the objective evidence you will use throughout the year to evaluate your progress towards meeting your goal.</i>

<b>Principal's Name:</b>	
<b>School Name:</b>	<b>District:</b>
<b>Superintendent:</b>	
<b>Cluster:</b>	<b>Network Leader:</b>
<b>Date:</b>	

Goal Number 4	
<b>Goal</b>	<i>Describe your goal.</i>
<b>Measurable Objective</b>	<i>Set the measurable target that will define whether or not you have met your goal.</i>
<b>Action Plan</b>	<i>Describe your plan for meeting your goal, including staffing, scheduling, and funding.</i>
<b>Evidence</b>	<i>Identify the objective evidence you will use throughout the year to evaluate your progress towards meeting your goal.</i>

<b>Principal's Name:</b>	
<b>School Name:</b>	<b>District:</b>
<b>Superintendent:</b>	
<b>Cluster:</b>	<b>Network Leader:</b>
<b>Date:</b>	

Goal Number 5	
<b>Goal</b>	<i>Describe your goal.</i>
<b>Measurable Objective</b>	<i>Set the measurable target that will define whether or not you have met your goal.</i>
<b>Action Plan</b>	<i>Describe your plan for meeting your goal, including staffing, scheduling, and funding.</i>
<b>Evidence</b>	<i>Identify the objective evidence you will use throughout the year to evaluate your progress towards meeting your goal.</i>

## Appendices B and C

### Appendix B - Progress Report Guide

For additional information about the Progress Report, please visit:

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<http://schools.nyc.gov/Accountability/tools/report/default.htm>.

### Appendix C - Quality Review Guide

For additional information about the Quality Review, please go to:

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<http://schools.nyc.gov/Accountability/tools/review/default.htm>.

## Appendix D

### Principal Performance Review 2011-2012 Mid-Year Summary

<b>Principal's Name:</b>	
<b>School Name:</b>	<b>District:</b>
<b>Superintendent:</b>	
<b>Cluster:</b>	<b>Network Leader:</b>
<b>Date:</b>	

*(To be completed by the principal and submitted to the superintendent, via DOE e-mail. If you need additional time to complete this summary, please reach out to your superintendent.)*

*The table will expand as you type.*

<b>Goal 1:</b>
<b>Objective:</b>
<b>Summary:</b>
<b>Goal 2:</b>
<b>Objective:</b>
<b>Summary:</b>
<b>Goal 3: (If necessary)</b>
<b>Objective:</b>
<b>Summary:</b>
<b>Goal 4: (If necessary)</b>
<b>Objective:</b>
<b>Summary:</b>

<b>Goal 5: (If necessary)</b>
<b>Objective:</b>
<b>Summary:</b>
<b>Summary of the progress you have made in meeting the expectations for Part B – Attention to populations with special needs:</b>
<b>Summary of the progress you have made in meeting the expectations for Part C – Compliance with Legal Mandates/key DOE policies:</b>

## Appendix E

### NYCDOE School Leadership Competencies:

<http://intranet.nycboe.net/NR/rdonlyres/6E9AA89C-2803-4AB3-A256-EC293FDD68C9/0/NYCDOESchoolLeadershipCompetencyContinuum.pdf>

## Appendix F

### Details for Principal Performance Review

#### From Part 4 – Evaluation Rubric: Scoring

##### A. Academic Performance

**a. Goals and Objectives (31%):** The principal gets between 0 and 31 points based on the evaluation of the Superintendent as to whether the principal met his/her goals and objectives. Each goal will be equally weighted.

**b. Progress Report (32%):** The principal gets between 0 and 32 points based on the school's Progress Report grade. Details are in the table below:

The Progress Report grade will be converted to points using the conversion table below:	
A	32
B	24
C	18
D	10
F	0

**c. Quality Review (22%):** The principal gets between 0 and 22 points based on the school's Quality Review score. Details are in the table below:

The Quality Review score will be converted using the conversion table below:	
Well developed	22
Proficient	15
Developing	8
Underdeveloped	0

*\*Schools that scored "outstanding" during the 2007-08 school year will be awarded 22 points until their next Quality Review.*

##### B. Attention to populations with Particular Needs

<http://intranet.nycboe.net/SpecialPopulations/default.htm>

##### C. Compliance with Legal Mandates / Key DOE policies- UPDATE FORTHCOMING

<http://intranet.nycboe.net/DOEPortal/Principals/LegalServices/GeneralCounsel/default.htm>

Please see the Compliance section of the portal page for additional information.

##### D. Final Rating

The Overall Score for the PPR is the sum of parts A + B + C. The sum is then translated into a Final Rating for the principal.

Sum of Parts A + B + C	Rating
91-100 %	4 = Substantially exceeds
71-90 %	3 = Exceeds
53-70 %	2 = Meets
31-52 %	1 = Partially meets
0-30 %	0 = Does not meet

## Appendix G

### Additional Scoring Details

**For schools that do not get a Progress Report or Quality Review:**

- Phase-out schools and new schools that do not receive a Progress Report grade will have the 32% of the PPR determined by the Progress Report grade added to the goals and objectives part of the PPR, making goals & objectives 63% of the overall PPR evaluation.
- Phase-out schools not undergoing a Quality Review will have the 22% determined by the Quality Review score added to the goals & objectives part of the PPR, making goals & objectives 53% of the overall PPR evaluation.
- If a school has neither a Progress Review grade nor a Quality Review score, the goals and objectives part will be 85% of the total PPR evaluation.

**For schools with multiple Progress Report grades:**

- For schools that receive both an elementary/middle school Progress Report and a high school Progress Report grade, the sum of the points will be divided by two and the result will be used for the Progress Report part of the PPR. For example, if a school scores a C (18 points of the PPR ) score in the elementary/middle school Progress Report and a B (24 points of the PPR ) in the high school Progress Report, then the school will get a total of 21 points ( $24 + 18 = 42 / 2 = 21$ ) for the Progress Report section of the PPR.

**For principals not assigned as “head of school”:**

- Principals who are not assigned as “head of school” and who are alternately assigned as principals (excessed principals, principal assigned, etc.) will be evaluated 100% on goals and objectives.