



How California's local education agencies evaluate teachers and principals

Prepared by

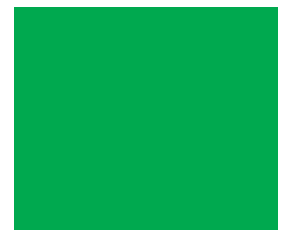
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This REL West Technical Brief Responds to a request by the California Department of Education and the Integrated Leadership Development Initiative, a California cross-agency collaboration, for an analysis and summary report of the results of the 2010 California Teacher and Principal Evaluation Survey. The 2009 federal State Fiscal Stabilization Fund program requires that states collect data from all local education agencies about their practices for evaluating teachers and principals.

April 2012

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Summary

In the context of an emerging national focus on evaluating school personnel, the 2009 federal State Fiscal Stabilization Fund (SFSF) program requires that states collect data from all local education agencies about their practices for evaluating teachers and principals. In response, the California Department of Education designed and administered the California Teacher and Principal Evaluation Survey, the state's first comprehensive data collection effort focused on teacher and principal evaluation. More than 99 percent (1,482) of the state's 1,490 local education agencies¹ returned the survey during the summer of 2010.

Because the SFSF program did not require states to produce a summary report of the findings of their data collection, the California Department of Education has not aggregated the survey responses, instead posting them only by individual local education agency (California Department of Education 2011). Both the California Department of Education and the Integrated Leadership Development Initiative, a California cross-agency collaboration focused on improving school and district leadership, requested an analysis and summary report of the survey results not only to inform their work but also to help other California decisionmakers interested in reform of teacher and principal evaluation. In addition, they wanted to know whether the educator evaluations of districts and direct-funded charter schools differ in their consideration of student achievement outcomes or student growth data and in how evaluation results are used.

Four research questions guided this analysis of the California survey data:

- How did local education agencies describe their teacher and principal evaluation systems?
- To what extent did local education agencies report that student achievement outcomes or student growth data were used in evaluating the performance of teachers and principals? How did the responses of districts differ from those of direct-funded charter schools?
- To what extent did local education agencies report using evaluation results to inform personnel decisions for teachers and principals? How did the responses of districts differ from those of direct-funded charter schools?
- To what extent did local education agencies report using evaluation results to distinguish teachers and principals across multiple rating categories?

The key findings indicate that:

- Sixty-one percent of the 1,482 responding local education agencies indicated that their teacher evaluation systems are based on the California Standards for the Teaching Profession.
- Forty-one percent reported that their local school board approves their teacher evaluation system; 64 percent reported that their local school board approves their principal evaluation system.
- For teacher evaluation, 57 percent reported using student achievement outcomes or growth data as partial or primary evidence; for principal evaluation, 79 percent reported using these data.

- Compared with responding districts, direct-funded charter schools reported greater use of student achievement or growth results as partial or primary evidence for educator evaluation. The differences were more pronounced in teacher evaluation: 82 percent of responding charter schools reported such use of student achievement or growth results, compared with 45 percent of districts. For principal evaluation, the figure was 85 percent of charter schools and 76 percent of districts.
- Local education agencies reported using evaluation results in a variety of ways. They reported using results more often for high-stakes decisions about removal and retention and less often for decisions about compensation and promotion, particularly for teachers. Teacher evaluation results were reportedly used as partial or primary evidence for removal decisions in 96 percent of local education agencies, for retention decisions in 93 percent, for promotion decisions in 54 percent, and for compensation decisions in 20 percent. Principal evaluation results were used as partial or primary evidence for removal decisions in 96 percent of local education agencies, for retention decisions in 94 percent, for promotion decisions in 67 percent, and for compensation decisions in 37 percent.
- A larger percentage of direct-funded charter schools (27 percent) than of districts (18 percent) reported using teacher evaluation results as the primary basis for decisions about professional development, promotion (17 percent versus 6 percent), and compensation (10 percent versus 1 percent). Both had a similar percentage report using evaluations in decisions on retention (41 percent in both) and removal (41 percent in both).
- Differences between the two local education agency types in the use of principal evaluations were less uniform. A larger percentage of direct-funded charter schools (9 percent) than of districts (3 percent) reported using principal evaluation results as the primary basis for compensation decisions. However, a smaller percentage of direct-funded charter schools than of districts reported using principal evaluation results as the primary basis for decisions related to removal (36 percent versus 43 percent), retention (35 percent versus 40 percent), and professional development (19 percent versus 24 percent). Both direct-funded charter schools and districts had a similar percentage report using evaluations in promotion decisions for principals (13 percent and 14 percent).
- More than two-thirds of local education agencies reported having two or three performance rating levels for their teachers (37 percent had two levels, and 35 percent had three) and principals (40 percent had two levels, and 30 percent had three). Local education agencies with two rating levels reported that 98 percent of their teachers and 83 percent of their principals were rated in the highest category; agencies with three rating levels reported that 91 percent of their teachers and 98 percent of their principals were rated in the highest category.

April 2012

Technical brief

Why this brief?

Recently, the Obama administration and large philanthropic and research organizations have raised public awareness about what many consider to be poor teacher and principal evaluation practices in some of the country's school districts. For example, recent federal guidance states that any School Improvement Grant-funded district implementing the school "transformation" model option must adopt "rigorous, transparent, and equitable evaluation systems for teachers and principals that take into account data on student growth as a significant factor" (U.S. Department of Education 2010, p. 26). Conversations about teacher and principal evaluation also are taking place in California, where the state's largest district (Los Angeles Unified School District) has begun to overhaul its personnel evaluation system and the state legislature is considering new statewide policies for educator evaluation.

In this context, the 2009 federal State Fiscal Stabilization Fund (SFSF) program requires that states collect data from all local education agencies on their teacher and principal evaluation practices. In response, the California Department of Education designed and administered the 2010 California Teacher and Principal Evaluation Survey, the state's first comprehensive data collection focused on these issues. More than 99 percent (1,482) of the state's 1,490 local education agencies—districts² and direct-funded charter schools³—returned the survey during the summer of 2010. The data from this survey thus offer a timely perspective on how California local education agencies evaluate their teachers and principals.

The survey addresses the key issues noted in the SFSF requirements, including:

- How local education agencies describe their teacher and principal evaluation systems, including how the systems were approved (whether by local board or through collective bargaining⁴), and

the extent to which the teacher systems are based on professional standards.

- The use of evaluation results in personnel decisions—the extent to which teacher and principal evaluation results are used to inform development, compensation, promotion, retention, and removal decisions.
- The role of student achievement outcomes or growth data in evaluating teachers and principals.
- Ratings of teachers and principals based on evaluation results, including the numbers and names of the performance ratings or levels and the number of individuals rated at each level in the 2009/10 school year.

Because the SFSF program does not require states to produce a summary report of their survey findings, California's survey responses have not been aggregated but have instead been posted by local education agency (California Department of Education 2011). Both the California Department of Education and the Integrated Leadership Development Initiative (ILDI),⁵ a California cross-agency collaboration focused on improving school and district leadership since 2005, requested an analysis and summary report of the survey results. In addition to an overall analysis, they wanted to know whether districts and direct-funded charter schools differ in how their evaluations consider student achievement or growth data and in how evaluation results are used. The two organizations indicated that such an analysis would help other California decisionmakers interested in teacher and principal evaluation reform as well informing their own work. (Appendix A briefly summarizes the literature on teacher and principal evaluation practices nationally and in California.)

Four research questions guided this analysis of the California Teacher and Principal Evaluation Survey data. Two questions relate to local

education agency respondents in general, and two investigate reported differences between districts (including county offices of education) and direct-funded charter schools:

- How did local education agencies describe their teacher and principal evaluation systems?
- To what extent did local education agencies report that student achievement outcomes or student growth data were used in evaluating the performance of teachers and principals? How did the responses of districts differ from those of direct-funded charter schools?
- To what extent did local education agencies report using evaluation results to inform personnel decisions for teachers and principals? How did the responses of districts differ from those of direct-funded charter schools?
- To what extent did local education agencies report using evaluation results to distinguish teachers and principals across multiple rating categories?

A series of descriptive analyses of the California Teacher and Principal Evaluation Survey were conducted to explore these questions. Frequencies of response choices for all items were calculated, and cross-tabulations were prepared to investigate differences in the distributions of responses between direct-funded charter schools and districts (see box 1 and appendix B for study methodology).

Study findings

The results of descriptive analyses of the survey data are reported in this section by study question.

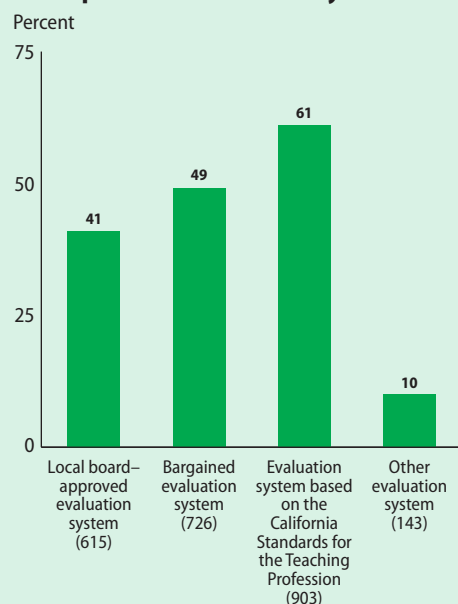
How local education agencies in California described their teacher and principal evaluation systems

Sixty-one percent (903) of the 1,482 responding local education agencies indicated that their teacher evaluation systems are based on

the California Standards for the Teaching Profession (figure 1). Forty-nine percent (726) indicated that their systems are determined through collective bargaining, and 41 percent (615) described them as local board–approved. For principal evaluations, 64 percent (950) of respondents reported that their systems are local board–approved (figure 2) and 3 percent (45) that they are determined through collective bargaining; 39 percent (578) responded “other.”

These responses were elicited through two mark-all-that-apply survey items that prompted local education agencies to indicate the characteristics that “best describe” their evaluation systems for teachers and principals. Response

FIGURE 1
Types of teacher evaluation systems reported by local education agencies on the 2010 California Teacher and Principal Evaluation Survey



Note: Numbers in parentheses are number of responses. The results reflect 2,387 responses from 1,482 local education agencies. Because respondents could select any combination of the listed options, the number of overall responses is greater than the number of respondents and the percentages sum to more than 100.

Source: Authors' analysis of data from California Teacher and Principal Evaluation Survey data provided by the California Department of Education.

BOX 1

Study methodology

The 2010 California Teacher and Principal Evaluation Survey included 15 closed-response questions about local education agency systems of teacher and principal evaluation. The survey also featured two open-response questions on performance levels/ratings assigned to teachers and principals in the evaluation systems. Appendix B describes the methods used to clean, tabulate, and analyze the survey data; appendix C presents an additional set of data tables; appendix D contains the survey questions in full detail; and appendix E shows samples of how the questions appeared online.

In addition to the 15 survey items, the online survey form asked a few initial questions. Local education agencies were asked to identify their county and to specify their type: school district, county office of education, or direct-funded charter school. Among responses, 1,013 local education agencies self-identified as

districts (or county offices coded as districts) and 469 as direct-funded charter schools. (According to the California Department of Education, 71 percent of charter schools are directly funded by the state.)

On May 25, 2010, a link to the online survey was sent to all California local education agencies through their State Fiscal Stabilization Fund coordinator, who forwarded it to appropriate district representative. Surveys were to be completed by June 11, 2010. However, because the survey system enabled partial responses to be submitted, the California Department of Education had to request completion of missing items. Letters requesting missing information were sent on July 15, 2010 (appendix F) and again on September 24, 2010 (appendix G). Follow-up phone calls were also made. Thus the system was open for data submission and changes from May 25–September 30, 2010. The final survey response rate was 99.5 percent, with 1,482 of the state’s 1,490 local education agencies responding.

The study team conducted a series of descriptive analyses, calculating frequencies of response choices for all items and preparing cross-tabulations to investigate differences in the distributions of responses of direct-funded charter schools and districts for two research questions. For the two open-response questions that asked about the performance levels/ratings assigned to teachers and principals, the study team reviewed and reclassified the response data as necessary to report only ordinal scales of performance in keeping with the instructions for the survey.¹ Researchers excluded from the analysis entries that clearly did not follow an ordinal logic or for which the order could not be determined because the levels/ratings were not interpretable. A complete description of the coding and classification procedures is in appendix B.

Note

1. The survey instructions specified that the highest rating must be assigned ranking order 1, the next highest 2, and so on (see appendix D).

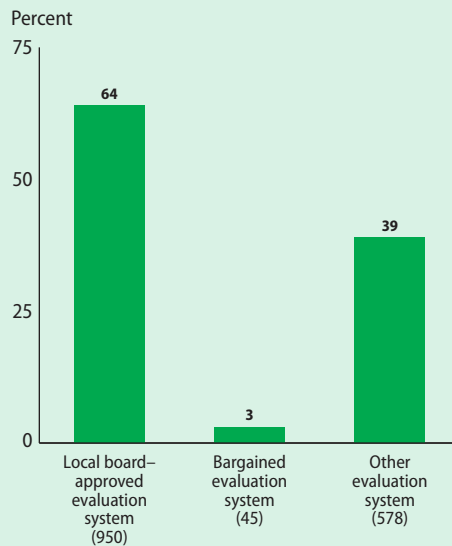
choices included local board–approved system, bargained evaluation system, and other evaluation system (describe). For teacher evaluation systems, the survey offered the additional choice of an evaluation system based on the California Standards for the Teaching Profession. Because respondents could select any combination of the listed options, the number of overall responses is greater than the number of respondents.

Use of student achievement outcomes as a performance evaluation criterion

The SFSF guidelines required that states report for each local education agency “whether the

systems used to evaluate the performance of teachers include student achievement outcomes or student growth data as an evaluation criterion.” There is a parallel requirement for principal evaluation systems. Local education agencies reported most frequently that student achievement data are used as “partial evidence” in their teacher and principal systems (figure 3), with use higher for principal evaluations (70 percent; 1,033 respondents) than for teacher evaluations (53 percent; 782 respondents). Forty-three percent (638) stated that student achievement data are not used as a criterion in teacher evaluation, and 21 percent

FIGURE 2
Types of principal evaluation systems reported by local education agencies on the 2010 California Teacher and Principal Evaluation Survey



Note: Numbers in parentheses are number of responses. The results reflect 1,573 responses from 1,482 local education agencies. Because respondents could select any combination of the listed options, the number of overall responses is greater than the number of respondents and the percentages sum to more than 100.

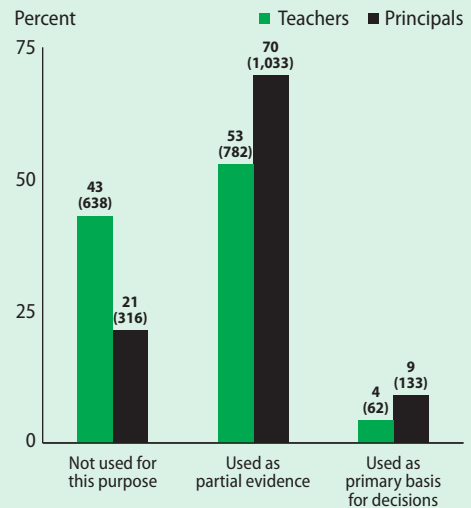
Source: Authors' analysis of data from California Teacher and Principal Evaluation Survey data provided by the California Department of Education.

(316) indicated that these data are not used in principal evaluation. Four percent (62) of local education agencies indicated that student achievement data are used as the primary basis of decisions in teacher evaluation; 9 percent (133) of respondents reported these data being used similarly in principal evaluation.

Difference between districts and direct-funded charter schools in use of student achievement outcomes as a performance evaluation criterion

Cross-tabulation was used to explore differences in responses on use of student achievement outcomes in performance evaluations by local education agency type—districts

FIGURE 3
Use of student achievement outcomes to evaluate teacher and principal performance as reported by local education agencies on the 2010 California Teacher and Principal Evaluation Survey



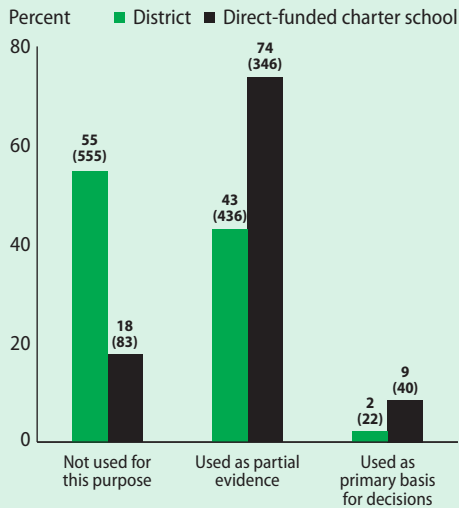
Note: Numbers in parentheses are number of responses. The results reflect responses from 1,482 local education agencies.

Source: Authors' analysis of data from California Teacher and Principal Evaluation Survey data provided by the California Department of Education.

(including county education offices) and direct-funded charter schools.⁶ For teacher evaluation, 82 percent (386) of direct-funded charter schools reported using student achievement outcomes as partial or primary evidence in teacher evaluation compared with 45 percent (458) of responding districts (figure 4).

For principal evaluation, 68 percent (693) of responding districts and 72 percent (340) of responding direct-funded charter schools indicated that they use student achievement outcomes as partial evidence in principal evaluations. Seven percent (74) of responding districts and 13 percent (159) of responding charter schools reported using such data as the primary basis for decisions. Twenty-four percent (246) of districts and 15 percent (70) of charter schools reported that these data were not used for this purpose.

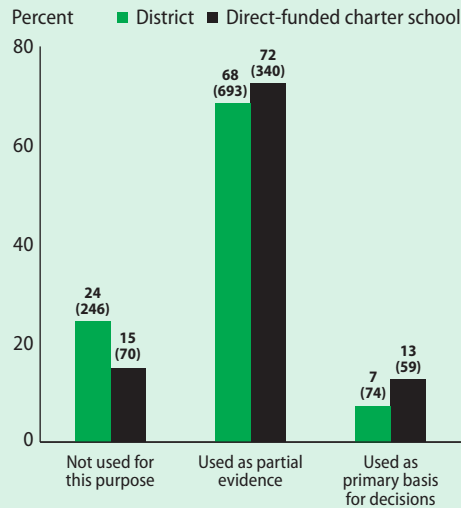
FIGURE 4
Use of student achievement outcomes to evaluate teacher performance as reported by districts and direct-funded charter schools on the 2010 California Teacher and Principal Evaluation Survey



Note: Numbers in parentheses are number of responses. The results reflect responses from 1,013 districts and 469 charter schools. Percentages may not sum to 100 because of rounding.

Source: Authors' analysis of data from California Teacher and Principal Evaluation Survey data provided by the California Department of Education.

FIGURE 5
Use of student achievement outcomes to evaluate principal performance as reported by districts and direct-funded charter schools on the 2010 California Teacher and Principal Evaluation Survey



Note: Numbers in parentheses are number of responses. The results reflect responses from 1,013 districts and 469 charter schools. Percentages may not sum to 100 because of rounding.

Source: Authors' analysis of data from California Teacher and Principal Evaluation Survey provided to REL West by CDE.

Use of evaluation results to inform personnel decisions

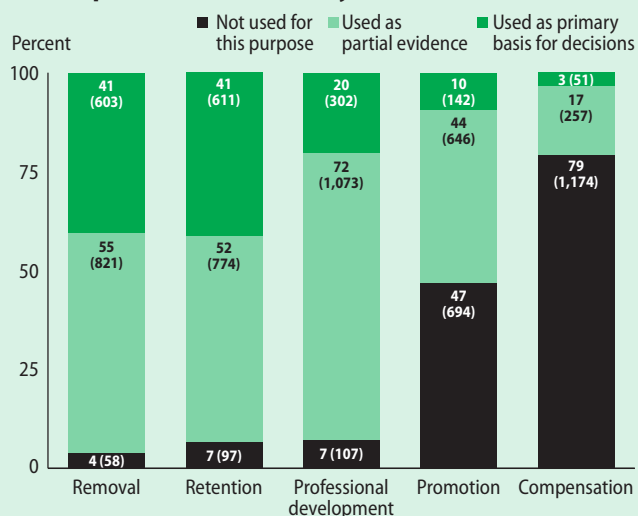
Survey items also probed how evaluation results were used to inform the following personnel decisions (listed but not defined): removal, retention, professional development, promotion, and compensation. For teachers, local education agencies reported relying most heavily on evaluation results for decisions of removal and retention (figure 6). Forty-one percent (603 for removal and 611 for retention) of responding local education agencies used evaluation results as the primary basis for teacher-related decisions in these two high-stakes areas; less than 8 percent reported that teacher evaluation results are not used for this purpose—4 percent (58) for removal decisions and 7 percent

(97) for retention decisions. Seventy-nine percent (1,174) of responding local education agencies indicated that they do not use evaluation results for teacher compensation decisions, while 3 percent (51) reported that teacher evaluation results are the primary basis for such decisions. For promotion decisions, 47 percent (694) reported that they do not use evaluation results for this purpose, while 10 percent (142) reported that they are the primary basis for such decisions. Seventy-two percent (1,073) indicated that evaluations offer partial evidence for teacher professional development decisions, while 20 percent (302) reported that evaluation results are the primary basis for such decisions.

Results were similar for use of principal evaluation results (figure 7). Key differences between

FIGURE 6

Use of teacher evaluation system results to make personnel decisions as reported by local education agencies on the 2010 California Teacher and Principal Evaluation Survey

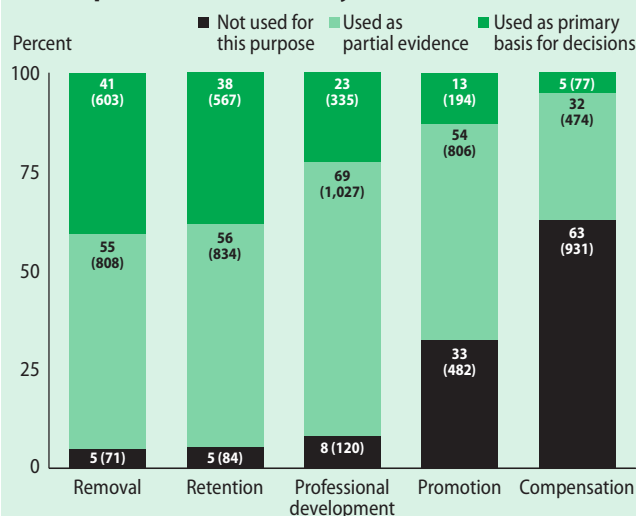


Note: Numbers in parentheses are number of responses. The results reflect responses from 1,482 local education agencies. For each category of personnel decision, the figure identifies the percentage and number of responding local education agencies that selected each response choice (not used for this purpose, used as partial evidence, and used as primary basis for decisions). Percentages may not sum to 100 because of rounding.

Source: Authors' analysis of data from California Teacher and Principal Evaluation Survey data provided by the California Department of Education.

FIGURE 7

Use of principal evaluation system results to make personnel decisions as reported by local education agencies on the 2010 California Teacher and Principal Evaluation Survey



Note: Numbers in parentheses are number of responses. The results reflect responses from 1,482 local education agencies. For each category of personnel decision, the figure identifies the percentage and number of responding local education agencies that selected each response choice (not used for this purpose, used as partial evidence, and used as primary basis for decisions). Percentages may not sum to 100 because of rounding.

Source: Authors' analysis of data from California Teacher and Principal Evaluation Survey data provided by the California Department of Education.

teacher- and principal-focused responses related to the use of evaluation results in promotion and compensation decisions. A higher proportion of local education agencies reported using results from principal evaluations than from teacher evaluations as partial or primary evidence in decisions related to promotion—67 percent (1,000) for principals versus 53 percent (788) for teachers—or compensation—37 percent (551) versus 21 percent (308).

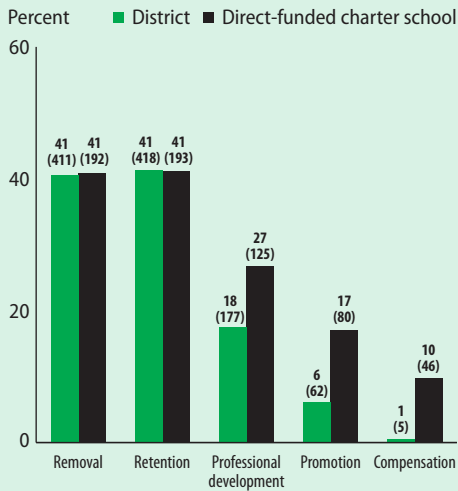
Difference between districts and direct-funded charter schools in use of evaluation results to inform personnel decisions

Survey results indicate that a larger percentage of direct-funded charter schools than of districts reported using teacher evaluation results as the primary basis for professional

development (27 percent versus 18 percent), promotion (17 percent versus 6 percent), and compensation (10 percent versus 1 percent) decisions (figure 8). Both local education agency types had a similar percentage report using evaluation results as the primary basis for decisions related to removal (41 percent for both) and retention (41 percent for both).

Responding districts and direct-funded charter schools had a similar percentage report using principal evaluation results as the primary basis for promotion decisions (13 percent versus 14 percent; figure 9). However, a smaller percentage of direct-funded charter schools than of districts reported using principal evaluation results as the primary basis for removal (36 percent versus 43 percent), retention (35 percent versus 40 percent), and professional

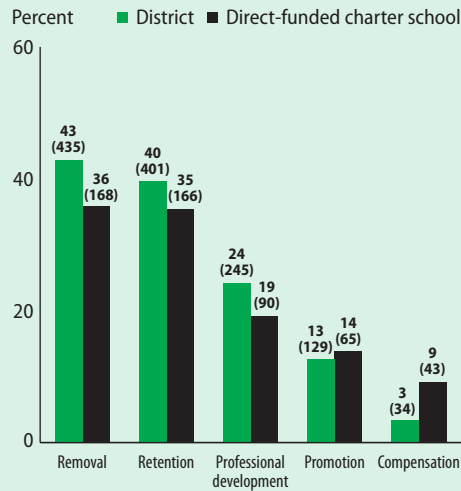
FIGURE 8
Percentage of personnel decisions based primarily on teacher evaluation results as reported by districts and direct-funded charter schools on the 2010 California Teacher and Principal Evaluation Survey



Note: Numbers in parentheses are number of responses. The results reflect responses from 1,013 districts and 469 direct-funded charter schools. For each category of personnel decision, the figure identifies the percentage and number of responding districts and direct-funded charter schools selecting “used as primary basis for decisions.” Because this figure presents data from a survey question with multiple related parts, the number of overall responses is greater than the number of respondents, and the percentages sum to more than 100.

Source: Authors’ analysis of data from California Teacher and Principal Evaluation Survey data provided by the California Department of Education.

FIGURE 9
Percentage of personnel decisions based primarily on principal evaluation results as reported by districts and direct-funded charter schools on the 2010 California Teacher and Principal Evaluation Survey



Note: Numbers in parentheses are number of responses. The results reflect responses from 1,013 districts and 469 direct-funded charter schools. For each category of personnel decision, the figure identifies the percentage and number of responding districts and direct-funded charter schools selecting “used as primary basis for decisions.” Because this figure presents data from a survey question with multiple related parts, the number of overall responses is greater than the number of respondents, and the percentages sum to more than 100.

Source: Authors’ analysis of data from California Teacher and Principal Evaluation Survey data provided by the California Department of Education.

development (19 percent versus 24 percent) decisions. A larger percentage of direct-funded charter schools than of districts reported using principal evaluation results as the primary basis for compensation decisions (9 percent versus 3 percent).

Use of evaluation results to distinguish teachers or principals across multiple rating categories

The final survey questions asked for the names of the summative performance ratings or levels that teachers and principals receive in evaluations. For example, the evaluation

system in one district might have two performance ratings or levels, such as “satisfactory” and “unsatisfactory,” whereas another district might have three performance ratings or levels, such as “highly effective,” “effective,” and “ineffective.” Respondents were also asked to provide the number of teachers that were rated in each category at each school site within the local education agency, as well as the number of the principals rated in each category. The survey had provisions for up to eight rating categories in each school or local education agency.

The teacher performance ratings are reported at the school level, because local education agencies reported teacher ratings for each school and the results indicated that the number of performance levels varied across schools in some local education agencies; the principal performance ratings are reported at the local education agency level (table 1). The majority of schools and local education agencies had two or three performance rating levels for teachers (37 percent had two levels, and 35 percent had three) and principals (40 percent had two levels, and 30 percent had three). Another 9 percent of schools had just one rating level for teachers, and 8 percent of local education agencies had just one for principals.

For schools with two teacher rating levels, 98 percent of teachers were rated in the highest category; for schools with three levels, 91 percent were rated in the highest category (table 2).⁷ The distribution of teachers across rating levels was wider in schools with four or more levels, although fewer schools use this many (see table 1).

For local education agencies with two rating levels for principals, 97 percent of principals were rated in the highest category; for local education agencies with three levels, 83 percent were rated in the highest category (table 3). For local education agencies with three rating levels, the reported spread was wider for principals than for teachers (83 percent of principals were rated in the highest level compared with 91 percent of teachers).

Conclusion and implications

Reforms of teacher and principal evaluation systems are now under way in California, as the Los Angeles Unified School District moves to reform its entire system of personnel evaluation and support, the state legislature considers revisions to state policy on educator evaluation, and federal pressures for reform mount, through both the federal School Improvement Grant program and anticipated reforms within the upcoming reauthorization of the Elementary and Secondary Education Act. Before the California Teacher and Principal Evaluation

TABLE 1
Number and percentage of schools or local education agencies by number of teacher and principal performance ratings as reported by local education agencies on the 2010 California Teacher and Principal Evaluation Survey

Number of performance ratings or levels	Teacher evaluation systems		Principal evaluation systems	
	Number of schools	Percent of schools	Number of local education agencies	Percent of local education agencies
1	822	9	111	8
2	3,581	37	565	40
3	3,324	35	415	30
4	1,553	16	226	16
5	171	2	81	6
6	112	1	a	a

Note: See appendix B for data and methods. Teacher evaluation levels were reported at the school level in the survey, and some districts reported variation in the number of rating levels across schools; principal evaluation levels were reported only at the district level.

a. To protect confidentiality, results are not displayed for cells with three or fewer responses.

Source: Authors' analysis of data from California Teacher and Principal Evaluation Survey data provided by the California Department of Education.

TABLE 2

Distribution of teachers across teacher performance ratings or levels as reported by local education agencies on the 2010 California Teacher and Principal Evaluation Survey

Number of levels	Rating level (1 is highest, 6 is lowest)												Number of teachers	
	1		2		3		4		5		6			
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent		
1	18,403	100	—	—	—	—	—	—	—	—	—	—	—	18,403
2	94,794	98	1,887	2	—	—	—	—	—	—	—	—	—	96,681
3	87,162	91	7,474	8	1,123	1	—	—	—	—	—	—	—	95,759
4	16,318	42	20,221	52	1,735	4	555	1	—	—	—	—	—	38,829
5	1,096	25	2,350	55	728	17	90	2	26	1	—	—	—	4,290
6	1,610	52	1,021	33	325	10	63	2	52	2	21	1	—	3,092

— is not applicable.

Note: The results reflect responses by local education agencies for 9,290 schools with 257,054 teachers.

Source: Authors' analysis of data from California Teacher and Principal Evaluation Survey data provided by the California Department of Education.

TABLE 3

Distribution of principals across performance ratings or levels as reported by local education agencies on the 2010 California Teacher and Principal Evaluation Survey

Number of levels	Rating level (1 is highest, 6 is lowest)												Number of principals	
	1		2		3		4		5		6			
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent		
1	316	100	—	—	—	—	—	—	—	—	—	—	—	316
2	3,737	97	97	3	—	—	—	—	—	—	—	—	—	3,834
3	2,056	83	355	14	66	3	—	—	—	—	—	—	—	2,477
4	728	42	865	50	103	6	30	2	—	—	—	—	—	1,726
5	81	21	201	53	74	19	16	4	8	2	—	—	—	380
6	16	31	6	11	16	31	11	21	a	a	a	a	—	a

— is not applicable.

Note: Because of missing data, the results reflect responses by 1,367 local education agencies for 8,782 principals. See appendix B for details on methodology.

a. To protect confidentiality, results are not displayed for cells with three or fewer responses or for cells that could be used to calculate values for such cells.

Source: Authors' analysis of data from California Teacher and Principal Evaluation Survey data provided by the California Department of Education.

Survey administered in 2010, very little information was available on evaluation practices in the state. This analysis of these survey data, though limited by the nature of the survey questions, provides a first look at the status of educator evaluation in virtually every California local education agency. Survey results indicated that:

- Sixty-one percent of the 1,482 responding local education agencies indicated that their teacher evaluation

systems are based on the California Standards for the Teaching Profession.

- Forty-three percent of responding local education agencies stated that student achievement data are not used as a criterion in teacher evaluation, and 21 percent indicated that these data are not used in principal evaluations.⁸
- Direct-funded charter schools reported greater reliance on student

achievement results than did districts. The differences were more pronounced in reported teacher evaluation practices than in reported principal evaluation practices.

- Local education agencies reported using evaluation results in a variety of ways. Results were reportedly used most frequently in high-stakes decisions of removal and retention and less used in compensation and promotion decisions, particularly for teachers.
- Compared with responding districts, a higher percentage of direct-funded charter schools than of districts reported using teacher evaluation results as the primary basis for professional development, promotion, and compensation decisions.
- For principals, a higher percentage of direct-funded charter schools than of districts reported using evaluations to inform compensation decisions; however, districts reported using evaluations to inform removal, retention, and professional development decisions.
- Over two-thirds of local education agencies reported having two or three performance rating levels for their teachers (37 percent had two levels, and 35 percent had three) and principals (40 percent had two levels, and 30 percent had three). For local education agencies reporting two rating levels, 98 percent of teachers and 97 percent

of principals were rated in the highest category. For agencies reporting three levels, 91 percent of teachers and 83 percent of principals were rated in the highest category.

These findings represent a first step toward building a better understanding of the teacher and principal evaluation practices in place in California.

Study limitations

The conclusions that can be drawn from this analysis are limited by the content and structure of the survey questions and by the self-reported nature of the data. For example, the mark-all-that-apply format of questions 1.1 and 1.2 rendered interpretation a challenge, especially in light of the many possible combinations of responses, some of which were not focused on parallel aspects of the evaluation systems. In addition, information reported on the survey may be incorrect to the extent that the respondents did not understand the questions or misreported responses, as key terms and categories were undefined. No data verification process was completed, and no other data were used to triangulate the survey data. Finally, no information was available on practices in district- or county-funded charter schools; the only accessible data on charter practices came from charter respondents who self-identified as directly funded by the state when completing the survey. A more complete summary of the challenges related to survey interpretation is available in appendix B.

Appendix A

The literature on teacher and principal evaluation practices

This appendix briefly summarizes the literature on teacher and principal evaluation practices nationally and in California.

Teacher and principal evaluation practices nationally and in other regions

There have been only a few studies of teacher or principal evaluation practices.⁹ Regional Educational Laboratory Midwest reviewed district policies for teacher evaluation in the Midwest Region (Brandt et al. 2007), and Hazi and Arredondo-Rucinski (2009) conducted a 50-state review of teacher evaluation policies. Brandt et al. found that less than half of districts set requirements for the use of evaluation results in personnel decisions; of those that did, 45 percent stated that the results would be used to inform professional development. Hazi and Arredondo-Rucinski found that the most common state-level efforts were related to the adoption of indicators and standards defining effective teaching (20 states) and requiring training for evaluators (20 states); less common state requirements were related to the use of peer review and portfolios (12 states) and use of student achievement data in evaluating teachers (12 states).

Several policy reports have described problems associated with current evaluation practices (see Toch and Rothman 2008; Weisberg et al. 2009; Daley and Kim 2010). In particular, Weisberg et al. (2009) found that teacher evaluations tend to be infrequent, results fail to differentiate among teachers, and student academic progress is rarely considered.¹⁰ Several reviews of teacher evaluation systems have discussed the merits and challenges of incorporating student achievement data into evaluation practices (for example, Goe, Bell, and Little 2008; National Research Council and National Academy of Education 2010; Steele, Hamilton, and Stecher 2010). Much of the other empirical

literature related to evaluation systems seeks to validate particular evaluation instruments (see, for example, Kimball, White, and Milanowski 2004; Kimball and Milanowski 2009).

There are fewer published empirical studies of evaluation practices for principals than for teachers. Much of the literature focuses on instrument validation rather than implementation (see, for example, Condon and Clifford 2010). One recent large-scale study of national principal evaluation practices found that most lacked usefulness, psychometric strength, and instrument accuracy (Goldring et al. 2009).¹¹ Although limited by a low response rate (22 percent), another recent study found that assistant superintendents tended to serve as primary evaluators for principals; the study also highlighted problems in training evaluators and calibrating their ratings (Kimball, Hene-man, and Milanowski 2007).¹²

Teacher and principal evaluation practices in California

The California Education Code includes general provisions about personnel evaluations, including their minimum frequency, as well as a provision that student achievement data must be used in evaluations.¹³ However, neither existing data nor research reports fully reveal the extent to which these provisions are reflected in local education agency practices.

The limited number of studies on teacher evaluation practices in California offers findings similar to those from the national literature.¹⁴ For example, a review of seven districts' teacher evaluation practices conducted in 2007 by the Center for the Future of Teaching and Learning found evidence of infrequent classroom observations, an emphasis on classroom management skills rather than student outcomes, and limited use of information from the evaluations (Wechsler et al. 2007). A New Teacher Project analysis of evaluation practices in the Los Angeles Unified School District in 2009 found that less than 1 percent of teachers

in the district were rated “below standard” on their evaluation and that 63 percent of teachers surveyed felt they were provided with information or strategies to help develop the quality of their instruction (although a precise definition of such strategies was not provided; New Teacher Project 2009).¹⁵

There is comparatively less research on principal evaluation practices in California. A 1999 study by Davis and Hensley found that 19 of 20 northern California principals interviewed reported that their evaluations were purely summative rather than oriented toward providing formative professional assistance.

Evaluation in charter schools

Several recent reports have examined evaluation practices in charter schools.¹⁶ For example, in their examination of a random sample of 132 charter schools across seven states, Podgursky and Ballou (2001) found that 8 percent had

some sort of collectively bargained agreement and that more than 40 percent considered at least some measure of student achievement in their evaluation of teachers.¹⁷ To examine charter school evaluation practices in more depth, Donaldson and Peske (2010) purposively selected five charter schools run by three established charter management organizations. They found that teachers in these charter schools viewed evaluation processes as more frequent and “more robust” (p. 10) than evaluation processes in their prior schools (whether charter or noncharter schools).¹⁸ According to the authors, the charter school evaluations focused more on professional growth than on summative assessment, teachers tended to be engaged in critically reviewing their own practice, and student performance played a “key role” (p. 14) in all five systems. However, because of the small and nonrepresentative sample of charter schools, the findings from this study are not generalizable.

Appendix B

Study data and methods

This appendix provides details on the study data and methods.

Data

The California Teacher and Principal Evaluation Survey designed by the California Department of Education and administered in 2010 included 15 closed-response questions and 2 open-response questions about the performance levels or ratings that current evaluation systems assign to teachers and principals. Appendix D contains the survey questions. Appendix E shows samples of how the questions appeared on the online survey.

Questions 1.1 and 1.2, which were mark-all-that-apply, asked respondents to indicate the descriptors that “best describe” their evaluation systems for teachers and for principals. Response choices included “local board-approved system,” “bargained evaluation system,” and “other evaluation system (describe).” Item 1.1, concerned with teacher evaluation systems, included the additional choice of “evaluation system based on the California Standards for the Teaching Profession.”

Item 2.1 asked about issues required in the 2009 federal State Fiscal Stabilization Fund (SFSF) criteria, specifically: “describe, for each local educational agency (LEA) in the State, the systems used to evaluate the performance of teachers and the use of results from those systems in decisions regarding teacher development, compensation, promotion, retention, and removal.” Item 2.2 asked about the parallel requirement for principal systems.

Item 3.1 was intended to elicit information to meet the SFSF requirement that the state report for each local education agency “whether the systems used to evaluate the performance of teachers include student achievement outcomes or student growth data as an evaluation criterion.” Item 3.2 asked about the parallel requirement for principal systems.

Item 4.1 asked local education agencies to report on the extent to which the ratings principals receive were publicly reported.

Items 5.1 and 5.2 elicited information to meet the SFSF requirements asking each local education agency “whose teachers receive performance ratings or levels through an evaluation system . . .” and “whose principals receive performance ratings or levels through an evaluation system” to provide “the number and percentage (including numerator and denominator) of principals rated at each performance rating or level.” These two open-response questions specifically asked local education agencies to name the summative performance ratings or levels teachers and principals received (for example, “satisfactory” or “unsatisfactory”). Respondents were also asked to provide the number of teachers at each school site in the local education agency in each rating category and the number of principals at each rating category in each local education agency (but not at the school level). The survey allowed entry of up to eight rating categories for teachers and for principals in each school in each local education agency. For example, instructions for item 5.1 included (complete instructions are in appendix D):

SFSF indicator (a)(4) requires that each LEA indicate the number and percentage of teachers rated at each performance level or rating. To enter this information, begin by selecting “Manage Teacher Categories.” Use the “Add a Category” button to enter the first rating level of the teacher evaluation system. For example, this category might be named “Satisfactory.” The ranking order indicates the level of performance for that category. The highest rank, 1, would be used to indicate the highest level of performance a teacher can demonstrate. Click the “Save Changes” button. Continue to add categories

until the number and descriptions of categories exactly matches those used in the teacher evaluation system. After saving the changes, select the “School Level Data-Teachers” button. Enter the total numbers of teachers that are rated in each category for each school in the LEA. Include all teachers at the site regardless of the last date of evaluation. The sum of all categories should equal the total number of teachers at the site.

The copy of the survey in appendix D shows items 5.1 and 5.2 as screenshots from a sample survey in which actual school names are listed in 5.1, as are sample performance level names (in 5.1, “satisfactory” and “unsatisfactory,” and in 5.2, “practice not consistent with standards” and “practice that exemplifies standards”).

In addition to the main survey items, the online survey form asked a few initial questions. Respondents were asked to select the name of their county and local education agency from drop-down lists. They were also asked to specify their local education agency type: school district, county office of education, or direct-funded charter school. In California, some charter schools are funded through districts or county offices, and others directly from the state. The survey respondents consisted of 955 districts and 58 county offices, collectively referred to and analyzed in this study as 1,013 “districts,” and 469 direct-funded charter schools.

On May 25, 2010, a link to the online survey was sent to all California local education agencies through each agency’s SFSF coordinator, who was then expected to forward the link to the district representative best able to respond. Respondents initially had until June 11, 2010, to respond. However, according to the California Department of Education, because the survey system allowed respondents to submit only partial data, the department had to contact all local education agencies with

partial submissions and request completion of missing items. Letters were sent on July 15, 2010 (appendix F), and again on September 24, 2010 (appendix G). Phone calls were also made to all local education agencies that had not submitted complete data. The system was open for data submission and changes from May 25 to September 30, 2010. The final survey response rate was 99.5 percent (1,482 of 1,490 local education agencies responded). At the time of writing, the study team had not received the list of nonresponding local education agencies (the California Department of Education had cleaned and prepared the dataset).

Analysis

After cleaning the data, the study team conducted a series of descriptive analyses, reporting on item frequencies for the closed-response items and running cross-tabulations to investigate differences in the responses of direct-funded charter schools and districts for research questions 2 and 3.

To analyze the performance rating/level data entered in response to questions 5.1 and 5.2, the study team began by reviewing the entries to ensure that they were all in the same ordinal sequence from highest to lowest, as specified in the survey instructions. Many were not, for a variety of reasons. Many were entered in reverse order (lowest to highest). Others did not follow an ordinal format—for example, they referred to names of standards or schools in the local education agency, or were otherwise uninformative. To address these issues, researchers classified each record into the correct ordinal sequence whenever possible, and removed the entries that were not usable for other reasons. A detailed summary of these procedures is provided below.

Teacher performance ratings/levels. The teacher ratings file began with 9,898 records and included 94 duplicate records that were identified by reviewing county-district-school

codes.¹⁹ The duplicate records were removed and the remaining 9,804 were coded in the same manner as for the principal rating records. Those coded 9+ and removed from the analysis included names of standards, school names, statements of teacher qualifications (such as “highly qualified”), notes about whether a teacher had been observed or evaluated, entries of “not applicable,” entries where the ordering was not apparent, and other uninformative text.

After the initial coding, the study team removed all records that were coded as 9+ in every rating category for a given record (92 records) and removed all the records that reported no rating categories (149 records). Researchers then reduced the number of performance ratings/levels in 198 records where some but not all of the entries were coded with a 9+ (see table B1 for a breakdown of recodes). With these classification and cleaning tasks completed, 9,563 records remained, including 273 for which performance ratings/levels were entered but no corresponding teacher counts were entered. These 273 records were not

included in the analysis of teacher rating categories, which left 9,290 records for the analysis of 257,054 teachers by rating category.

Principal performance ratings/levels. The principal ratings file began with 1,460 records and included no duplicates. Researchers assigned a numerical value to each performance rating/level within each record, with “1” as the highest possible rating and “8” as the lowest. For example, a record with the three ranking categories labeled “meets expectations,” “work progressing,” and “unsatisfactory” would have those categories rated 1, 2, and 3, respectively. Responses for which assignment was not possible were coded “9+” (see table B2 for a breakdown of recodes). These included entries that could not be ordered or were otherwise uninformative because they were not performance ratings/levels at all but were rather job titles, standards, school names, or statements such as “evaluation in progress” or “principal was not evaluated.”

After the initial coding, the study team removed all the records that were coded as 9+

TABLE B1

Recoding of teacher performance ratings/levels

Number of categories after data cleaning	Original number of rating categories									
	0	1	2	3	4	5	6	7	8	Total
0	149	62	5	16	4	2	2	0	1	241
1	0	813	0	4	5	0	0	0	0	822
2	0	0	3,575	6	0	0	0	0	0	3,581
3	0	0	0	3,272	52	0	0	0	0	3,324
4	0	0	0	0	1,431	122	0	0	0	1,553
5	0	0	0	0	0	167	4	0	0	171
6	0	0	0	0	0	0	107	5	0	112
Total	149	875	3,580	3,298	1,492	291	113	5	1	9,804

Note: An example can help in interpreting this table. Column 3 indicates that there were originally 3,298 records with three rating categories. After the entries coded 9+ (entries that could not be ordered or that did not reflect performance ratings/levels) were deleted, 3,272 entries with three rating categories remained, while 6 of the original 3,298 were reclassified as having two categories, 4 were reclassified as having one, and 16 were reduced to zero.

Source: Authors’ analysis of data from California Teacher and Principal Evaluation Survey data provided by the California Department of Education.

TABLE B2

Recoding of principal performance ratings/levels

Number of categories after data cleaning	Original number of rating categories							Total
	1	2	3	4	5	6	8	
0	35	9	3	4	4	2	1	58
1	111	0	0	0	0	0	0	111
2	0	565	0	0	0	0	0	565
3	0	0	406	9	0	0	0	415
4	0	0	0	215	10	1	0	226
5	0	0	0	0	79	2	0	81
6	0	0	0	0	0	3	0	3
8	0	0	0	0	0	0	1	1
Total	146	574	409	228	93	8	2	1,460

Note: An example can help in interpreting this table. Column 4 indicates that there were originally 228 records with four rating categories. After the entries coded 9+ (entries that could not be ordered or that did not reflect performance ratings/levels) were deleted, 215 entries with 4 rating categories remained, while 9 of the original 228 were reclassified as having three rating categories, and 4 were reduced to zero. No records had seven rating categories originally or after data cleaning.

Source: Authors' analysis of data from California Teacher and Principal Evaluation Survey data provided by the California Department of Education.

in every rating category (58 records). The number of performance ratings/levels was reduced in 80 records where some but not all of the entries were coded with a 9+ (see table B2 for a breakdown of recodes). For example, a record might have originally included four rating categories, but after the deletion of a nonsensical category, the number was reduced to three. With these classification and cleaning tasks completed, 1,402 records remained, including 35 for which performance ratings/levels were entered but no corresponding principal counts. These 35 records were not included in the analysis of principal rating categories (see table 3 in the main report), which left 1,367 records as the basis for the analysis of 8,782 principals by rating category.

Challenges and limitations

This analysis was limited by the content and structure of the questions on the survey, as well as by the self-reported nature of the data. Responses to questions 1.1 and 1.2 (“Which

best describes the system your LEA uses to evaluate teachers/principals? Select all that apply”) were particularly challenging to analyze, for three reasons. First, the response choices for question 1.1 were not focused on parallel aspects of the evaluation systems. The first two response choices (“local board–approved” and “bargained evaluation system”) were focused on the process for developing and adopting the evaluation systems, while the third choice, “Evaluation system based on the California Standards for the Teaching Profession,” was related to the standards that underlie the system. (Question 1.2, which, in addition to offering the “other” response option, included only the first two response choices from 1.1, was less of a problem in this regard.)

Second, the responses submitted for the “other” option indicated that respondents interpreted the question prompt in broad terms. In particular, they commented on many different aspects of their evaluation systems—on the components, measures, and

instruments used in their systems; the aspects of the development and adoption process not captured in the closed-response items; the process by which the evaluations are conducted; the personnel who conduct the evaluations; and the basis or foundation for their systems. The “other” option acted as a vehicle to capture all the issues that the closed responses did not, and there was an imbalance in the number of responses received through the two response formats. Specifically, 143 respondents marked “other” in response to question 1.1, and 124 of these respondents submitted informative narrative descriptions elaborating on their “other” responses. For the analogous principal evaluation question (1.2), 578 respondents marked “other,” and 477 of these respondents submitted informative elaborations. This imbalance in the number of responses received through the two response formats may reflect a respondent bias for marking items that were listed as closed responses, and thus the data might not fully capture all aspects of the evaluation systems.

Third, the mark-all-that-apply format of questions 1.1 and 1.2 rendered interpretation

a challenge, especially in light of the many resulting possible combinations of responses highlighted in table C1 in appendix C. This issue is especially salient for item 1.1, which has more response choices than 1.2 that are not focused on parallel aspects of the evaluation systems.

Notwithstanding these issues, the responses to questions 1.1 and 1.2 provide information that gives a sense of how local education agencies describe their teacher and principal evaluation systems.

Another overarching issue with the underlying data is that the data were self-reported. California Department of Education officials did ask respondents to revise uninformative responses and fill in missing data (for more information about these requests, see the “Data” section above). However, no other verification process was completed, and no other data were analyzed to triangulate the survey data for this study. Information reported on the survey might be incorrect to the extent that the respondents did not understand the questions or misreported responses.

Appendix C Additional data tables

This appendix includes tables showing cross-tabulations of local education agency (LEA) response choice combinations for three survey questions.

TABLE C1

Cross-tabulation of response choice combinations to question “Which best describes your LEA system of teacher evaluation?” (N = 1,482)

Closed response	District		Charter		Total	
	Number	Percent	Number	Percent	Number	Percent
Local board–approved evaluation system	75	7.4	151	32.2	226	15.2
Bargained evaluation system	203	20.0	14	3.0	217	14.6
Evaluation system based on the California Standards for the Teaching Profession (CSTP)	208	20.5	134	28.6	342	23.1
Other evaluation system	11	1.1	65	13.9	76	5.1
Local board–approved evaluation system + Bargained evaluation system	46	4.5	a	a	a	a
Local board–approved evaluation system + Evaluation system based on the CSTP	32	3.2	35	7.5	67	4.5
Local board–approved evaluation system + Other evaluation system	a	a	a	a	a	a
Bargained evaluation system + Evaluation system based on the CSTP	178	17.6	10	2.1	188	12.7
Bargained evaluation system + Other evaluation system	5	0.5	—	—	5	0.3
Evaluation system based on the CSTP + Other evaluation system	a	a	28	6.0	a	a
Local board–approved evaluation system + Bargained evaluation system + Evaluation system based on the CSTP	233	23.0	19	4.1	252	17.0
Local board–approved evaluation system + Bargained evaluation system + Other evaluation system	a	a	—	—	a	a
Local board–approved evaluation system + Evaluation system based on the CSTP + Other evaluation system	a	a	8	1.7	a	a
Bargained evaluation system + Evaluation system based on the CSTP + Other evaluation system	9	0.9	—	—	9	0.6
Local board–approved evaluation system + Bargained evaluation system + Evaluation system based on the CSTP + Other evaluation system	6	0.6	—	—	6	0.4
Total	1,013	68.4	469	31.6	1,482	100.0

— is not applicable.

a. To protect confidentiality, results are not displayed for cells with three or fewer responses or for cells that could be used to calculate values for such cells.

Note: This table first lists the number and percentage of respondents who indicated single response choices, followed by those who selected each combination of two, three, and four response choices, respectively.

Source: Authors' analysis of data from California Teacher and Principal Evaluation Survey data provided by the California Department of Education.

TABLE C2

Cross-tabulation of response choice combinations to question “Which best describes your LEA system of principal evaluation?”

Closed response	District		Charter		Total	
	Number	Percent	Number	Percent	Number	Percent
Local board–approved evaluation system	57.4	581	61.8	290	58.8	871
Bargained evaluation system	1.6	16	a	a	a	a
Other evaluation system	31.9	323	29.2	137	31.0	460
Local board–approved evaluation system + Bargained evaluation system	2.1	21	a	a	a	a
Local board–approved evaluation system + Other evaluation system	4.1	42	3.0	14	3.8	56
Bargained evaluation system + Other evaluation system	a	a	—	—	a	a
Total	68.4	1,013	31.6	469	100	1,482

— is not applicable.

a. To protect confidentiality, results are not displayed for cells with three or fewer responses.

Note: This table first lists the number and percentage of respondents who indicated single response choices, followed by those who selected each combination of two response choices.

Source: Authors' analysis of data from California Teacher and Principal Evaluation Survey provided to REL West by CDE.

TABLE C3

Cross-tabulation of response choice combinations to question “Are principal evaluation results publicly available?” (N = 1,482)

Category	Number	Percent
No	1,379	93.0
Yes	103	7.0
Total	1,482	100.0

Source: Authors' analysis of data from California Teacher and Principal Evaluation Survey data provided by the California Department of Education.

Appendix D

Instructions for completing the Teacher and Principal Evaluation Survey items, May 25, 2010

Sub-recipients that received ARRA [American Recovery and Reinvestment Act] State Fiscal Stabilization Funds [SFSF] must complete the survey.

To Access the Survey
<http://www2.cde.ca.gov/arrareporting/>

Teacher and Principal Evaluation Survey

States receiving funds under the SFSF must provide assurances in four key areas of education reform. This survey will be used to collect data required for the first reform area, achieving equity in teacher and principal distribution. It is important that data be reported completely and accurately, as it will be made publicly available, as required by statutory assurances.

Teacher information per school

SFSF indicator (a)(4) requires that each LEA [local education agency] indicate the number and percentage of teachers rated at each performance level or rating. To enter this information, begin by selecting “Manage Teacher Categories.” Use the “Add a Category” button to enter the first rating level of the teacher evaluation system. For example, this category might be named “Satisfactory.” The ranking order indicates the level of performance for that category. The highest rank, 1, would be used to indicate the highest level of performance a teacher can demonstrate. Click the “Save Changes” button. Continue to add categories until the number and descriptions of categories exactly matches those used in the teacher evaluation system. After saving the changes, select the “School Level Data-Teachers” button. Enter the total numbers of teachers that are rated in each category for each school in the LEA. Include all teachers at the site regardless of the last date of evaluation. The sum of

all categories should equal the total number of teachers at the site.

Principal information per school

SFSF indicator (a)(7) requires that each LEA indicate the number and percentage of principals rated at each performance level or rating. To enter this information, begin by selecting “Manage Principal Categories.” Use the “Add a Category” button to enter the first rating level of the teacher evaluation system. For example, this category might be named “Satisfactory.” The ranking order indicates the level of performance for that category. The highest rank, 1, would be used to indicate the highest level of performance a principal can demonstrate. Click the “Save Changes” button. Continue to add categories until the number and descriptions of categories exactly matches those used in the principal evaluation system. After saving the changes, select the “School Level Data-Principals” button. Enter the number of principals in the LEA that are rated in each category.

1.1 Descriptor: (a)(1)

Which best describes the system your LEA uses to evaluate *teachers*? Select all that apply.

[Drop down menu]

- Local board–approved evaluation system.
- Bargained evaluation system.
- Evaluation system based on the California Standards for the Teaching Profession.
- Other evaluation system (describe).

1.2 Descriptor: (a)(2)

Which best describes the system your LEA uses to evaluate *principals*? Select all that apply.

[Drop down menu]

- Local board–approved evaluation system.
- Bargained evaluation system.
- Other (describe).

2.1 Descriptor: (a)(1)

How are the results of the *teacher* evaluation system used to evaluate:

- a. decisions regarding teacher development
 - Not used for this purpose.
 - Used as partial evidence.
 - Used as primary basis for decisions.
- b. decisions regarding teacher compensation
 - Not used for this purpose.
 - Used as partial evidence.
 - Used as primary basis for decisions.
- c. decisions regarding teacher promotion
 - Not used for this purpose.
 - Used as partial evidence.
 - Used as primary basis for decisions.
- d. decisions regarding teacher retention
 - Not used for this purpose.
 - Used as partial evidence.
 - Used as primary basis for decisions.
- e. decisions regarding teacher removal
 - Not used for this purpose.
 - Used as partial evidence.
 - Used as primary basis for decisions.

2.2 Descriptor: (a)(2)

How are the results of the *principal* evaluation system used to evaluate:

- a. decisions regarding principal development
 - Not used for this purpose.
 - Used as partial evidence.
 - Used as primary basis for decisions.
- b. decisions regarding principal compensation
 - Not used for this purpose.

- Used as partial evidence.
 - Used as primary basis for decisions.
- c. decisions regarding principal promotion
 - Not used for this purpose.
 - Used as partial evidence.
 - Used as primary basis for decisions.
 - d. decisions regarding principal retention
 - Not used for this purpose.
 - Used as partial evidence.
 - Used as primary basis for decisions.
 - e. decisions regarding principal removal
 - Not used for this purpose.
 - Used as partial evidence.
 - Used as primary basis for decisions.

3.1

How are student achievement outcomes or student growth data used to evaluate the performance of *teachers* as an evaluation criterion?

- Not used for this purpose.
- Used as partial evidence.
- Used as primary basis for decisions.

3.2

How are student achievement outcomes or student growth data used to evaluate the performance of *principals* as an evaluation criterion?

- Not used for this purpose.
- Used as partial evidence.
- Used as primary basis for decisions.

4.1

Are principal evaluation results publicly available?

- Yes.
- No.

5.1

The CDE [California Department of Education] provided the data below for illustrative purposes only; they do not represent actual submissions.

FIGURE D1

Teacher Information per School

Enter the total numbers of teachers that are rated in each category. Include all teachers at the site regardless of the last date of evaluation. The total of all categories should equal the total number of teachers at the site. If there are no teachers rated in a particular category, please enter '0'.

School Name	Satisfactory	Unsatisfactory
Academy of Alameda	0	0
Alameda High	37	1
Alameda Science and Technology Institute	3	0
Amelia Earhart Elementary	5	0
Bay Farm Elementary	7	0
Donald D. Lum Elementary	4	0
Edison Elementary	8	0
Encinal High	14	1
Frank Otis Elementary	2	1
Franklin Elementary	2	0
Henry Haight Elementary	11	0
Island High (Continuation)	3	1
Lincoln Middle	11	0
Ruby Bridges Elementary	12	0
Washington Elementary	4	0
Will C. Wood Middle	12	0
William G. Paden Elementary	4	0

Save Cancel

5.2

CDE provided the data below for illustrative purposes only; they do not represent actual submissions.

FIGURE D2

Principal Information Districtwide

Enter the total numbers of principals in the LEA that are rated in each category. Include all principals regardless of the last date of evaluation. The total of all categories should equal the total number of principals in the district. If there are no principals rated in a particular category, please enter '0'.

Practice not consistent with standards: 1

Practice that exemplifies standards: 10

Save Principal Information Cancel

Appendix E Sample screenshots from the California Teacher and Principal Evaluation Survey

The California Department of Education provided the data below for illustrative purposes only; they do not represent actual submissions (figures E1–E3).

FIGURE E1
Screenshot of California Teacher and Principal Evaluation Survey page for entering evaluation system information

Great Teachers and Principals Survey

LEA Name: Alameda City Unified

Evaluation System Information

Which best describes the system your LEA uses to evaluate *teachers*? (Select all that apply)

- Local Board-approved evaluation system
- Bargained evaluation system
- Evaluation system based on the California Standards for the Teaching Profession
- Other evaluation system (describe)

Other teacher evaluation description:

To what extent are the results of the *teacher* evaluation system(s) identified above used to evaluate:

decisions regarding teacher development?	Used as partial evidence
decisions regarding teacher compensation?	Select One...
decisions regarding teacher promotion?	Not used for this purpose
decisions regarding teacher retention?	Used as partial evidence
decisions regarding teacher removal?	Used as primary basis for decisions
	Used as primary basis for decisions

To what extent are student achievement outcomes or student growth data used to evaluate the performance of *teachers* as an evaluation criterion?

Used as partial evidence

Which best describes the system your LEA uses to evaluate *principals*? (Select all that apply)

- Local Board-approved evaluation system
- Bargained evaluation system
- Other evaluation system

Other principal evaluation description:

To what extent are the results of the *principal* evaluation system(s) identified above used to evaluate:

decisions regarding principal development?	Used as partial evidence
decisions regarding principal compensation?	Used as partial evidence
decisions regarding principal promotion?	Used as partial evidence
decisions regarding principal retention?	Used as primary basis for decisions
decisions regarding principal removal?	Used as primary basis for decisions

To what extent are student achievement outcomes or student growth data used to evaluate the performance of *principals* as an evaluation criterion?

Used as partial evidence

Are Principal evaluation results publicly available? Yes No

FIGURE E2

Screenshot of California Teacher and Principal Evaluation Survey page for entering teacher information per school

Teacher Information per School

Enter the total numbers of teachers that are rated in each category. Include all teachers at the site regardless of the last date of evaluation. The total of all categories should equal the total number of teachers at the site. If there are no teachers rated in a particular category, please enter '0'.

School Name	Satisfactory	Unsatisfactory
Academy of Alameda	0	0
Alameda High	37	1
Alameda Science and Technology Institute	3	0
Amelia Earhart Elementary	5	0
Bay Farm Elementary	7	0
Donald D. Lum Elementary	4	0
Edison Elementary	8	0
Encinal High	14	1
Frank Otis Elementary	2	1
Franklin Elementary	2	0
Henry Haight Elementary	11	0
Island High (Continuation)	3	1
Lincoln Middle	11	0
Ruby Bridges Elementary	12	0
Washington Elementary	4	0
Will C. Wood Middle	12	0
William G. Paden Elementary	4	0

Save Cancel

FIGURE E3

Screenshot of California Teacher and Principal Evaluation Survey page for entering principal information districtwide

Principal Information Districtwide

Enter the total numbers of principals in the LEA that are rated in each category. Include all principals regardless of the last date of evaluation. The total of all categories should equal the total number of principals in the district. If there are no principals rated in a particular category, please enter '0'.

Practice not consistent with standards: 1

Practice that exemplifies standards: 10

Save Principal Information Cancel

Appendix F

Letter from the California Department of Education requesting corrections to the Teacher and Principal Evaluation Survey, July 15, 2010

Instructions for data correction for the State Fiscal Stabilization Fund: Teacher and Principal Evaluation Survey

Overview. You will need to review the data submitted for the Teacher and Principal Evaluation Survey prior to its posting for public review on the California Department of Education (CDE) Web site. The data is available at <https://www2.cde.ca.gov/greatteachers/search.aspx>. We request that you review the teacher and principal rating categories to ensure that there are no spelling errors and that all data are correct.

Corrections only need to be made if:

- There is a data entry error.
- The total number of teachers that are rated in each category for each school was not submitted, left blank or is in error.
- The total number of principals in the local educational agency (LEA) that are rated in each category is not submitted, left blank or is in error.
- There are no teachers/principals rated in a particular category, “0” must be entered in for that category. No category should be left blank.
- If the categories under “Teacher Information per School” and “Principal Information District wide” are not in the ranking order specified in the instructions. NOTE: The Highest rank, 1, must be used to indicate the highest level of performance demonstrated by a teacher or principal.

- There are spelling errors in the rating categories.

PLEASE NOTE: If the total number of teachers or principals entered for the LEA is less than ten, an asterisk will display in lieu of the data to ensure confidentiality. You do not need to correct this data.

Should you need to make any changes, please refer to the following instructions:

To access the survey. Go to <http://www2.cde.ca.gov/arrareporting>.

- Click on the link that represents your LEA (either School District or County Office of Education or Direct-funded Charter).
- Locate your County from the drop-down list.
- Locate your LEA from the dropdown list.
- Enter your Entity Password and System Password.
- Click submit.
- Under the Grants heading, click on Teacher and Principal Evaluation Survey.
- To update Teacher Information, scroll down to Teacher Information by School.
- To update Principal Information, scroll down to Principal Information District wide.

Rating categories and ranking orders

- Rating categories should reflect the same rating terminology used by the school in its performance evaluation ratings, or a commensurate rating system that conveys the level of performance achieved.
- A minimum of two ratings categories are required.
- The highest rating must be assigned Ranking Order 1, the next highest 2, etc. (Refer to examples shown below.)

SAMPLE A

Category Name	Ranking order
Meets expectations	1
Does not meet expectations	2

SAMPLE B

Category Name	Ranking order
Exceeds standards	1
Meets standards	2
Partially meets standards	3
Does not meet standards	4

To update teacher categories

- Click on “Manage Teacher Categories.”
- Click “Add a Category.”
- Enter the Category Name.
- Enter the Ranking Order.
- Click the “Save Changes” button.
- Continue to add categories and assign ranks as needed.
- When you have finished click “Done.”
- To delete categories – Click Delete.

To update principal categories

- Click on “Manage Principal Categories.”
- Click “Add a Category.”
- Enter the Category Name.
- Enter the Ranking Order.
- Click the “Save Changes” button.
- Continue to add categories and assign ranks as needed.
- When you have finished click “Done.”
- To delete categories – Click Delete.

To add or update school level data

- Select the “School Level Data-Teachers” button.
- The screen will display a list of schools within your LEA.

- Enter the total number of teachers that are rated in each category for each school in the LEA. Include all teachers at the site regardless of the last date of evaluation.
- If there are no teachers rated in a category, please enter “0.” If the category is blank, the survey will be considered incomplete.
- Click the “Save” button after you complete this section.

To add or update district level data

- Select the “District Level Data-Principals” button.
- The screen will display a list of the rating Categories you previously entered.
- Enter the total numbers of principals that are rated in each category. Include all principals regardless of the last date of evaluation.
- If there are no principals rated in a category, please enter “0”; if the category is blank, the survey will be considered incomplete.
- Click the “Save” button after you complete this section.
- There is no submit button on the survey. You need to re-save the survey to resubmit it.

Confirmation page

The confirmation page is available to view what you have submitted.

To access the confirmation page

- Click on Menu.
- Scroll down to Grants, Teacher and Principal Evaluation Survey.
- Select “Confirmation Page” Passwords.

If you have misplaced your password or require password assistance, please email arra@cde.ca.gov. Please remember that passwords only work when they are copied and pasted to the log on page.

Appendix G
Letter from the California
Department of Education requesting
corrections to the to the Teacher
and Principal Evaluation Survey,
September 24, 2010



September 24, 2010

JACK O'CONNELL
STATE SUPERINTENDENT OF PUBLIC INSTRUCTION

Dear County and District Superintendents and Charter School Administrators:

UPCOMING RELEASE OF
2010 STATE FISCAL STABILIZATION FUND
GREAT TEACHER AND PRINCIPAL SURVEY DATA

This letter is to alert you to the posting of 2010 State Fiscal Stabilization Fund (SFSF) Teacher and Principal Evaluation Survey data.

Posting of 2010 Survey Data

During the summer of 2010, your local education agency (LEA) submitted data via the SFSF Teacher and Principal Evaluation Survey as required by the SFSF assurances. The pre-release of your submitted data are available on the California Department of Education (CDE) Web site at <https://www2.cde.ca.gov/greatteachers/search.aspx>. It is critical that LEAs review these data carefully and immediately take steps to remedy any errors, as this data will be publicly available on the CDE Web-site on September 30, 2010. The data are embargoed until that time.

Prior communications regarding the Teacher and Principal Evaluation Survey are available on the CDE American Reinvestment and Recovery Act (ARRA) Web page at www.cde.ca.gov/ar/rr/rptingdatcol.asp.

Corrections to 2010 Teacher and Principal Evaluation Survey Data

Two actions must be taken prior to **September 29, 2010**, to correct Teacher and Principal Survey data:

1. The Teacher and Principal Evaluation Survey must be resubmitted electronically via the ARRA Federal Reporting page on the CDE Web site located at <http://www2.cde.ca.gov/arrareporting/>. Detailed instructions for completing this task are included in the attachment to this email.
2. An email must be sent to the Title II Leadership Office verifying resubmission.

Appendix H
Excerpts from *Federal Register* and
specific State Fiscal Stabilization
Funds report requirements
pertaining to the California Teacher
and Principal Evaluation Survey

FR Doc E9-17906 [Federal Register: July 29, 2009 (Volume 74, Number 144)]

[Notices]

[Page 37837–37872]

From “Achieving Equity in Teacher Distribution” section

. . . With respect to evaluation of teacher performance, we propose to require that a State provide descriptive information on the teacher performance evaluation systems used in local educational agencies (LEAs) in the State, including an indication of whether any official systems used to evaluate teacher performance include student achievement outcomes as an evaluation criterion. With respect to teacher performance ratings or levels, we propose to require that a State provide data on the distribution of performance ratings or levels in its LEAs as well as an indication of whether such ratings or levels are available to the public by school for each LEA. When properly developed and implemented, local evaluation systems perform a principal role in measuring teacher effectiveness. We also believe that student achievement outcomes are a central factor in evaluation systems that yield fair and reliable assessments of teacher performance. The data and information on teacher performance ratings or levels, together with the descriptive information on teacher performance evaluation systems, will provide greater transparency on the design and usage of teacher evaluation systems and will serve as an important indicator of the extent to which effective teachers are equitably distributed within LEAs and States.

Moreover, this information will help States and other stakeholders correct inequities in the distribution of effective teachers as well as shortcomings in the design and usage of teacher performance evaluation systems . . . regarding evaluation of principal performance, we propose requirements similar to those proposed for evaluation of teacher performance, except that we do not propose to require a State to indicate whether principal performance ratings or levels are available to the public by school in each LEA, as such information may be personally identifiable.

In order to meet the proposed requirements to describe the teacher and principal performance evaluation systems used in LEAs in the State, a State would not be required itself to develop such descriptions; it would be sufficient for the State to maintain a Web site that contains electronic links to descriptions developed by its LEAs. On such a Web site, the State could also include, by LEA, the data and information the State collects in order to meet the other proposed requirements that relate to evaluation of teacher and principal performance (i.e., the requirements to indicate whether official teacher and principal evaluations systems include student achievement outcomes as an evaluation criterion, to provide the number and percentage of teachers and principals rated at each performance rating or level in official evaluation systems, and to indicate whether the number and percentage of teachers rated at each performance rating or level in official evaluations systems are publicly available for each school). In such a case, however, the State would be responsible for ensuring, through appropriate guidance or technical assistance, that the descriptions of teacher and principal performance evaluation systems maintained by LEAs contain the required information and are provided in an easily understandable format.

Specific State Fiscal Stabilization Funds reporting requirements pertaining to the California Teacher and Principal Evaluation Survey

The below indicators are summarized at www.cde.ca.gov/ar/sf/sfsfphase2id.asp.

Descriptor (a)(1)

Describe, for each local educational agency (LEA) in the State, the systems used to evaluate the performance of teachers and the use of results from those systems in decisions regarding teacher development, compensation, promotion, retention, and removal.

Indicator (a)(3)

Indicate, for each LEA in the State, whether the systems used to evaluate the performance of teachers include student achievement outcomes or student growth data as an evaluation criterion.

Indicator (a)(4)

Provide, for each LEA in the State whose teachers receive performance ratings or levels through an evaluation system, the number and percentage (including numerator and denominator) of teachers rated at each performance rating or level.

Indicator (a)(5)

Indicate, for each LEA in the State whose teachers receive performance ratings or levels through an evaluation system, whether the number and percentage (including numerator and denominator) of teachers rated at each performance rating or level are publicly reported for each school in the LEA.

Descriptor (a)(2)

Describe, for each LEA in the State, the systems used to evaluate the performance of principals and the use of results from those systems in decisions regarding principal development, compensation, promotion, retention, and removal.

Indicator (a)(6)

Indicate, for each LEA in the State, whether the systems used to evaluate the performance of principals include student achievement outcomes or student growth data as an evaluation criterion.

Indicator (a)(7)

Provide, for each LEA in the State whose principals receive performance ratings or levels through an evaluation system, the number and percentage (including numerator and denominator) of principals rated at each performance rating or level.

Notes

1. California has three types of local education agencies: school districts, direct-funded charter schools, and county offices of education.
2. California has three types of local education agencies: school districts, direct-funded charter schools, and county offices of education. Because the unit of analysis for this study is the evaluation system rather than the local education agency, and comparisons among these systems can yield relevant policy insights, school districts and the state's 58 county offices are considered together. Both manage schools and programs (for example, California's county offices manage the state's 283 community day schools for high-risk students and 42 Regional Occupational Centers), and both evaluate the teachers working in them.
3. Direct-funded charter schools refer to schools funded directly by the state of California rather than through districts or county offices. Each California charter school may elect to receive its funding directly (in lieu of having it disbursed to the local education agency that granted its charter) by notifying its local county superintendent. According to the California Department of Education, 71 percent of charter schools in California are directly funded. The 469 direct-funded charter schools in this study self-identified as such when completing the survey. District- or county-funded charter schools are included with local education agencies because their surveys were submitted by local education agencies and the results were not generally broken down by school, so no data specific to district- or county-funded charter schools were available.
4. An evaluation system is a system developed through negotiations between district management and a local labor union.
5. ILDI members include the California Department of Education, the Commission on Teacher Credentialing, county offices of education, public and private universities, the Association of California School Administrators, the Center for the Future of Teaching and Learning, and the California Comprehensive Center and Regional Educational Laboratory (REL) West at WestEd. REL West's role is primarily in needs analysis related to leadership issues in California. Since August 2008, a representative of REL West has attended monthly ILDI meetings on policy related to school leaders in California. The group has in turn provided feedback on REL West projects, particularly recent analyses of labor market trends for teachers and administrators (for example, White, Fong, and Makkonen 2010).
6. Although districts include charter schools that are administered by the district, the unit of analysis here is the evaluation system, so the analysis focused on local education agency responses about their systems: districts (including county education offices) and direct-funded charter schools. Significance tests to test the effects of sampling error were not performed, since the study data are from 99.5 percent of the population of local education agencies in California.
7. Note that, for this analysis, the first step was verifying that the performance ratings/levels were entered in the order specified in the instructions on the survey, whereby a "1" represents the highest rating. If any entries were

clearly out of order—for example, “unsatisfactory” is in the slot for the highest rank and “satisfactory” is in the slot for the next highest rank—they were reordered. If any entries with two or more levels clearly did not follow an ordinal logic, or if the order could not be determined because the ratings/levels were not interpretable, those entries were excluded from the analysis.

8. Such results were evident even though state law requires certificated personnel to be evaluated based on “the progress of pupils towards the standards pursuant to . . . standards of expected pupil achievement at each grade level in each area of study.” Survey respondents may have broadly interpreted the terms that appeared on the survey, however, such as “student achievement outcomes or student growth data.” Moreover, they could have interpreted the phrase “used as an evaluation criterion” to mean used in either formative or summative evaluation (and used to varying degrees).
9. For this section, searches of the Education Resources Information Center and ProQuest Education, Psychology, and Social Science journal databases were limited to peer-reviewed literature since 2000 and combined the terms “teacher evaluation” or “principal evaluation” separately with each of the terms “development,” “dismissal,” “student achievement,” “value-added,” “measures,” “system,” “categories,” “ratings,” and “district.”
10. The study was based on analysis of teacher demographic and evaluation data along with collective bargaining agreements in 12 districts in four states: Arkansas (El Dorado, Jonesboro, Little Rock, Springdale), Colorado (Denver, Pueblo), Illinois (Chicago, Rockford, District U-46), and Ohio (Akron, Cincinnati, and Toledo). The authors also collected and analyzed surveys from about 15,000 teachers and 1,300 administrators in those districts (response rates for the surveys were not reported) and conducted 130 interviews with district personnel to better understand their findings.
11. Goldring et al. (2009) conducted a content analysis of 65 evaluation instruments across the United States.
12. Surveys were sent to all school districts in the United States with more than 10,000 students ($n = 867$). The response rate was 22 percent ($n = 193$).
13. California Education Code section 44662 states that “the governing board of each school district shall evaluate and assess certificated employee performance as it reasonably relates to (1) The progress of pupils toward the standards established pursuant to . . . standards of expected pupil achievement at each grade level in each area of study . . . and, if applicable, the state adopted academic content standards as measured by state adopted criterion referenced assessments.”
14. For this section, searches of the Education Resources Information Center and ProQuest Education, Psychology, and Social Science journal databases were limited to peer-reviewed literature since 2000 and combined the terms “teacher evaluation” or “principal evaluation” and “teacher effectiveness” separately with “California.”
15. The New Teacher Project administered an online survey to all teachers in the Los Angeles Unified School District (34,956), with a 10 percent response rate (3,663 teachers).
16. For this section, searches of the Education Resources Information Center

and ProQuest Education, Psychology, and Social Science journal databases were limited to peer-reviewed literature since 2000 and combined the search terms “charter school” and “teacher evaluation.”

17. Podgursky and Ballou administered the survey to 200 charter schools and received 132 completed surveys from schools in Arizona, California, Colorado, Florida, Massachusetts, Michigan, and Texas.
18. The authors interviewed teachers and principals in the charter schools and senior managers in the charter

management organizations, asking: Does teacher evaluation in charter schools improve instruction, student learning, and achievement? Do charter school evaluations exhibit greater variation in teacher ratings? Are charter school administrators able to use the results to identify and dismiss teachers who are not effective and reward those who are?

19. County-district-school codes are 14-digit codes used by the California Department of Education and other state agencies to identify schools within California.

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