North Carolina School Executive:

PRINCIPAL AND ASSISTANT PRINCIPAL
EVALUATION PROCESS

Public Schools of North Carolina
State Board of Education
Department of Public Instruction

STATE BOARD OF EDUCATION

SBE VISION: Every public school student will graduate ready for post-secondary education and work, prepared to be a globally engaged and productive citizen.

SBE MISSION: The State Board of Education has the constitutional authority to lead and uphold the system of public education in North Carolina.

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STATE BOARD OF EDUCATION STRATEGIC PLAN

VISION: Every public school student will graduate ready for post-secondary education and work, prepared to be a globally engaged and productive citizen.

MISSION: The State Board of Education has the constitutional authority to lead and uphold the system of public education in North Carolina.

GOALS	OBJECTIVES
1. Every student in the NC Public School System graduates from high school prepared for work, further education and citizenship	1. Increase the cohort graduation rate 2. Graduate students prepared for post-secondary education 3. Graduate students pursuing a Career and Technical Education (CTE) concentration prepared for careers 4. Reduce the percentage of students needing remediation in post-secondary education 5. Increase student performance on the state's End-of-Grade (EOG) and End-of-Course (EOC) Assessments and on the National Assessment of Educational Progress (NAEP)
2. Every student has a personalized education	1. Increase the number of students who graduate from high school with post-secondary credit 2. Increase the number of teachers and students using digital learning tools 3. Increase the number of schools designated as Science, Technology, Engineering and Mathematics (STEM)- or Global Education-ready 4. Increase the number of charter schools meeting academic, operational, and financial goals 5. Increase the percentage of schools with a performance composite at or above 60% and meeting or exceeding academic growth
3. Every student, every day has excellent educators	1. Develop and support highly effective teachers 2. Develop and support highly effective principals 3. Increase the number of teachers graduating from quality traditional and alternative educator preparation programs 4. Increase the number of principals graduating from quality traditional and alternative educator preparation programs 5. Increase the percentage of effective or highly effective teachers in schools with a performance composite below 60% and not meeting or exceeding academic growth
4. Every school district has up-to-date financial, business, and technology systems to serve its students, parents and educators	1. Provide all schools with sufficient wireless coverage to support 1:1 computing initiatives 2. Use Home Base as an essential resource for instructional delivery and communications with parents and students 3. Use State and federal funding according to State and federal laws and State Board of Education policies
5. Every student is healthy, safe, and responsible	1. Create and maintain a safe and respectful school environment 2. Promote healthy, active lifestyles for students 3. Decrease the number of students who are chronically absent, dropout, or suspended out of school 4. Decrease violence and crime in schools

North Carolina School Executive:
Principal and Assistant Principal Evaluation Process

Introduction

The mission of the North Carolina State Board of Education is that every public school student will graduate from high school, globally competitive for work and postsecondary education and prepared for life in the 21st century. This mission requires a new vision of school leadership and dictates the need for a new type of school leader—an executive instead of an administrator. No longer are school leaders just maintaining the status quo by managing complex operations. Like their colleagues in business, they must be able to create schools as organizations that can learn and change quickly if they are to improve performance. Schools need principals and assistant principals who are adept at creating systems for change and building relationships with and across staff. These systems not only tap into the collective knowledge and insight they possess but also into the powerful relationships that stir their passions for their work with children. Out of these relationships principals and assistant principals must create among staff a shared understanding for the purpose of the work of the school, its values that direct its action and commitment and ownership of a set of beliefs and goals that focus everyone's decision making. This common understanding of the school's identity empowers them to seek and build powerful alliances and partnerships with students, parents and community stakeholders in order to enhance their ability to produce increased student achievement. The successful work of the new principal or assistant principal will only be realized in the creation of a culture in which leadership:

- Is distributed among all members of the school community;
- Consists of open, honest communication;
- Is focused on the use of data, teamwork, researched-based practices; and
- Uses tools to drive ethical and principled, goal-oriented action.

This culture of disciplined thought and action is rooted in the ability of the relationships among stakeholders to build a trusting, transparent environment that reduces stakeholders' sense of vulnerability as they address the challenges of transformational change.

The Purposes of the Evaluation

The principal/assistant principal performance evaluation process will:

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

Definitions

For purposes of this evaluation process, the following terms are defined below:

1. *Artifact* – A product resulting from a principal's/assistant principal's work. Artifacts are natural by-products of work and are not created for the purpose of satisfying evaluation requirements. Artifacts should be authentic by-products of a principal's performance and used as evidence to support an evaluation rating. Principals/assistant principals may use them as exemplars of their work.

    Examples of artifacts include these:
    - *School Improvement Plan* – A plan that includes strategies for improving student performance, how and when improvements will be implemented, use of state funds, requests for waivers, etc. Plans are in effect for no more than three years.
    - *School Improvement Team Data* – Work from a team made up of the school executive and representatives of administration, instructional personnel, instructional support personnel, teacher assistants and parents of children enrolled in the school whose purpose is to develop a school improvement plan to strengthen student performance.

- *North Carolina Teacher Working Conditions Survey* – A statewide survey of teacher working conditions in five areas—time, empowerment, facilities and resources, leadership and professional development—conducted on a biennial basis (see www.ncteachingconditions.org).
- Student Achievement Data – Student achievement/testing data available from the North Carolina School Report Card. (See www.ncschoolreportcard.org).
- Student Dropout Data – Data about grade 9–12 students who drop out of high school. (See www.ncschoolreportcard.org).
- *Teacher Retention Data* – The teacher turnover rate, including the distribution of inexperienced teachers.
- *National Board Certified Teachers* – Teachers who have earned National Board Certification.
- *Professional Development* – Staff development, based on research, data, practice and reflection that focuses on deepening knowledge and pedagogical skills in a collegial and collaborative environment.
- *PTSA Data*– Work or related documents of the school's parent, teacher, student association.

2. *Code of Ethics for North Carolina Educators* – The standards of professional conduct required of educators. (See Appendix B, p.56).
3. *Code of Professional Practice and Conduct for North Carolina Educators* – The uniform standards of professional conduct for licensed professional educators. (See Appendix B, p.57).
4. *Data* – Factual information used as the basis for reasoning, discussion or planning.
5. *Evidence* – Documents that demonstrate or confirm the work of the person being evaluated and support the rating on a given element.
6. *North Carolina School Executive Evaluation Rubric* – A composite matrix of the standards, elements and descriptors of the North Carolina Standards for School Administrators
    - *Performance Standard* – The distinct aspect of leadership or realm of activities which form the basis for the evaluation of a school executive.
    - *Performance Elements* – The sub-categories of performance embedded within the performance standard.
    - *Performance Descriptors* – The specific performance responsibilities embedded within the elements of each performance standard. Descriptors are checked to determine the rating of each element.
7. *Optional Evaluation Forms* – Forms that will help principals, assistant principals, and evaluators gain a deeper understanding of the principal's/assistant principal's level of performance. These forms are not required by the NC Department of Public Instruction. (See Appendix A, p.52).
    - Goal Setting Worksheet-to identify strengths and areas for improvement
    - North Carolina Principal/Assistant Principal: Summary Goal Form
    - Mid-Year Evaluation: Progress Toward Achieving Goals
    - Principal/Assistant Principal Evaluation Process Documentation
8. *Performance Goals* – Goals for improvement in professional practice based on the self-assessment and/or supervisor recommendation.
9. *Performance Rating Scales- (There are different rating scales for standards 1-7 and standard 8.)*
   Performance Rating Scale For Standards 1-7 – The following rating scale will be used for evaluating North Carolina school principals and assistant principals for standards 1-7:
    - **Developing:** Principal/assistant principal demonstrated adequate growth toward achieving standard(s) during the period of performance, but did not demonstrate competence on standard(s) of performance.
    - **Proficient:** Principal/assistant principal demonstrated basic competence on standard(s) of performance
    - **Accomplished:** Principal/assistant principal exceeded basic competence on standard(s) for performance most of the time.
    - **Distinguished:** Principal/assistant principal consistently and significantly exceeded basic competence on standards of performance.
    - **Not Demonstrated:** Principal/assistant principal did not demonstrate competence on or adequate growth toward achieving standard(s) of performance. If the "Not Demonstrated" rating is used, the evaluator must comment about why it was used.

Performance Rating *For Standard 8: An executive's rating on the eighth standard is determined by a school-wide growth value as calculated by the statewide growth model for educator effectiveness. The student growth value places an executive into one of three rating categories:*

- **Does not meet expected growth:** The school-wide student growth value is lower than what was expected per the statewide growth model.
- **Meets expected growth:** The school-wide student growth value is what was expected per the statewide growth model.
- **Exceeds expected growth:** The school-wide student growth value exceeds what was expected per the statewide growth model.

10. *School Executives* – Principals/assistant principals licensed to work in North Carolina.
11. *Self-assessment* – Personal reflection about one's professional practice to identify strengths and areas for improvement conducted without input from others.
12. *Status* – An overall status for a school executive is determined once the executive has a three-year rolling average of school-wide student growth values to populate Standard 8. There are three categories for status:
    - **In Need of Improvement.** An administrator who fails to receive a rating of at least "proficient" on each of the Evaluation Standards 1-7 or receives a rating of "does not meet expected growth on Standard 8.
    - **Effective.** An administrator who receives a rating of at least "proficient" on each of the Evaluation Standards 1-7 and receives a rating of at least "meets expected growth" on Standard 8.
    - **Highly Effective.** An administrator who receives a rating of at least "accomplished" on each of the Evaluation Standards 1-7 and receives a rating of "exceeds expected growth" on Standard 8.
13. Summary/End-of-Year Evaluation: A composite of the principal's/assistant principal's performance based on the evaluation rubric and supporting evidence.

Principal/Assistant Principal and Evaluator Responsibilities

Principal/Assistant Principal Responsibilities:
- Know and understand the North Carolina Standards for School Executives.
- Understand the North Carolina School Executive: Principal and Assistant Principal Evaluation Process.
- Prepare for the initial meeting, including a self-evaluation, identification of performance goals, and identification of change initiatives underway at their school.
- Gather data, artifacts, evidence to support performance in relation to standards and progress in attaining goals.
- Develop and implement strategies to improve personal performance/attain goals in areas individually or collaboratively identified.
- Participate in the Mid-year and Final Evaluation Conferences.

Evaluator Responsibilities:
- Know and understand the North Carolina Standards for School Executives
- Participate in training to understand and implement the North Carolina School Executive: Principal and Assistant Principal Evaluation Process.
- Supervise the North Carolina School Executive: Principal and Assistant Principal Evaluation Process and ensure that all steps are conducted according to the approved process.
- Identify the principal's/assistant principal's strengths and areas for improvement and make recommendations for improving performance.
- Ensure that the contents of the Principal/Assistant Principal Evaluation Rating Form contains accurate information and accurately reflects the principal's/assistant principal's performance.

Instructions for North Carolina School Executive:
Principal and Assistant Principal Evaluation Process

The intended purpose of the evaluation process is to assess the principal's or assistant principal's performance in relation to the North Carolina Standards for School Executives in a collegial and non-threatening manner. The individual being evaluated will take the lead in conducting the evaluation process through the use of self-assessment, reflection and by gathering input from the various stakeholders with an interest in the leadership in the school. The input and evidence gathered by the principal or assistant principal is **not** intended to become part of a portfolio. Rather, it should provide a basis for self-assessment, goal-setting, professional development, and demonstration of performance on specific standards. The following steps outline the required elements of the evaluation process.

Step 1: Orientation
At the beginning of the school year, the superintendent/designee will conduct a group orientation with all of the district principals and assistant principals. At this orientation, each principal and assistant principal will be provided a complete set of materials outlining the evaluation process.

Step 2: Pre-Evaluation Planning/Preparation for Initial Meeting
Principals and assistant principals will complete a self-assessment using the Rubric for Evaluating North Carolina Principals/Assistant Principals. (pp. 25-36) This self-assessment will serve as the basis for goal development, which should be completed prior to Step 3.

Step 3: Initial Meeting Between Principal/Assistant Principal and Superintendent/Designee
Principals/assistant principals will meet individually with the district superintendent/designee who has been delegated the responsibility to discuss the results of the self-evaluation, goal development, and the evidence and data to be gathered for the evaluation process. The principal/assistant principal and superintendent/designee will agree on the data, evidence, and artifacts necessary to complete the evaluation process and confirm the principal's/assistant principal's level of performance.

Step 4: Data Collection
The principal/assistant principal will collect the data agreed upon in Step 3. These data may include the artifacts listed for each standard on the rubric; feedback from parents, students, and the school community; documentation of professional development completed during the year; and other data to document achievement of performance goals. The district superintendent/designee will visit the school during this period in order to observe the environment and interact with teachers and other members of the school community.

Step 5: Mid-Year Evaluation Between Principal/Assistant Principal and Superintendent/Designee
Principals/assistant principals will meet individually with the district superintendent or a designee who has been delegated the responsibility to discuss the principal's/assistant principal's progress toward achieving his or her annual goals. This mid-year discussion will focus on the status of goal attainment and mid-year adjustments to action plans that must be made in order to achieve goals by the end of the school year. By mid-year, school-wide student growth data should be available for review.

Step 6: Prepare a Consolidated Performance Assessment
The principal/assistant principal will synthesize the information obtained under Steps 4 and 5 in order to prepare a consolidated assessment or comprehensive view of performance throughout the year. This brief summary of the data and artifacts used to judge performance should be provided to the superintendent/designee well in advance of the performance discussion at which final performance levels will be discussed.

Step 7: Meeting Between Principal/Assistant Principal and Superintendent/Designee
The principal/assistant principal and superintendent/designee will meet at the school to discuss progress in completing the evaluation process. They will discuss the self-assessment, consolidated assessment, and summary/end-of-year evaluation of the principal/assistant principal, which the superintendent/designee prepared in advance of the meeting. Should additional data or artifacts need to be brought into the discussion; the principal/assistant principal will have them readily available to share at that time. At this meeting, the principal/assistant principal and superintendent/designee will agree upon the next year's performance goals.

All forms needed to complete this process are included in this packet. While all of the forms are highly recommended, use of the following is required:
- Rubric for Evaluating North Carolina Principals/Assistant Principals and Self-Assessment Form (pp. 25-36).
- Principal/Assistant Principal Summary/End-of-Year Evaluation Rating Form (pp. 42-47)

North Carolina Standards For School Executives

A New Vision of School Leadership

Public education's changed mission dictates the need for a new type of school leader — an executive instead of an administrator. No longer are school leaders just maintaining the status quo by managing complex operations but just like their colleagues in business, they must be able to create schools as organizations that can learn and change quickly if they are to improve performance. Schools need executives who are adept at creating systems for change and at building relationships with and across staff that not only tap into the collective knowledge and insight they possess but powerful relationships that also stir their passions for their work with children. Out of these relationships the executive must create among staff a common shared understanding for the purpose of the work of the school, its values that direct its action, and commitment and ownership of a set of beliefs and goals that focus everyone's decision making. The staff 's common understanding of the school's identity empowers them to seek and build powerful alliances and partnerships with students, parents and community stakeholders in order to enhance their ability to produce increased student achievement. The successful work of the new executive will only be realized in the creation of a culture in which leadership is distributed and encouraged with teachers, which consists of open, honest communication, which is focused on the use of data, teamwork, research-based best practices, and which uses modern tools to drive ethical and principled, goal-oriented action. This culture of disciplined thought and action is rooted in the ability of the relationships among all stakeholders to build a trusting, transparent environment that reduces all stakeholders' sense of vulnerability as they address the challenges of transformational change.

Philosophical Foundation for the School Executive Standards

The standards are predicated on the following beliefs:
- Today, schools must have proactive school executives who possess a great sense of urgency.
- The goal of school leadership is to transform schools so that large-scale, sustainable, continuous improvement becomes built in to their mode of operation.
- The moral purpose of school leadership is to create schools in which all students learn, the gap between high and low performance is greatly diminished and what students learn will prepare them for success in their futures, not ours.
- Leadership is not a position or a person. It is a practice that must be embedded in all job roles at all levels of the school district.
- The work of leadership is about working with, for and through people. It is a social act. Whether we are discussing instructional leadership, change leadership or leadership as learning, people are always the medium for the leader.
- Leadership is not about doing everything oneself but it is always about creating processes and systems that will cause everything to happen.
- Leadership is about the executive's ability to select and develop a strong executive staff whose complementary strengths promote excellence in all seven functions of leadership identified in this document.
- The concept of leadership is extremely complex and systemic in nature. Isolating the parts of leadership completely misses the power of the whole. It is not just knowing what to do, but why to do it, how to do it and when to do it.
- Within a school district there are nested leadership systems (local boards of education, central office, school, and classroom). For the organization to be successful these systems must be aligned and supportive, and function as a team.
- Leadership is about setting direction, aligning and motivating people to implement positive sustained improvement.
- Leaders bring their "person" to the practice of leadership. Matching the context of leadership to the "person" of the individual is important to the success of the leader.

Intended Purposes of the Standards

The North Carolina School Executive Standards have been developed as a guide for principals and assistant principals as they continually reflect upon and improve their effectiveness as leaders throughout all of the stages of their careers. Although there are many influences on a school executive's development, these standards will serve as an important tool for principals and assistant principals as they consider their growth and development as executives leading schools in the 21st century. Taken as a whole these standards, practices and competencies are overwhelming. One might ask, "How can one person possess all of these?" The answer

is they cannot. It is, therefore, imperative that a school executive understands the importance of building an executive team that has complementary skills. The more diversity that exists on the team the more likely the team will be to demonstrate high performance in all critical function areas. The main responsibility of the school executive is to create aligned systems of leadership throughout the school and its community.

In addition, these standards will serve other audiences and purposes. These standards will:

- Inform higher education programs in developing the content and requirements of school executive degree programs;
- Focus the goals and objectives of districts as they support, monitor and evaluate their school executives;
- Guide professional development for school executives; and
- Serve as a tool in developing coaching and mentoring programs for school executives.

Organization of the Standards

Each standard is formatted as follows:

- Standard: The standard is the broad category of the executive's knowledge and skills;
- Summary: The summary more fully describes the content and rationale of each standard;
- Practices: The practices are statements of what one would see an effective executive doing in each standard;
- Artifacts: The artifacts are evidence of the quality of the executive's work or places where evidence can be found in each standard. Collectively they could be the components of a performance portfolio. The lists of artifacts are not meant to be exhaustive.
- Competencies: Although not articulated there are many obvious competencies inherent in the practices of each critical leadership function. This document concludes with a list of those competencies which may not be obvious but that support practice in multiple leadership functions.

The Eight Standards of Executive Leadership and Their Connections

Relevant national reports and research in the field focused on identifying the practices of leadership that impact student achievement were considered in the development of these standards. Particularly helpful were the Maryland Instructional Leadership Framework, and work by the Wallace Foundation, the Mid-continental Regional Education Laboratory, the Charlotte Advocates for Education and the Southern Regional Education Board. Work by the National Staff Development Council, the National Association of Secondary School Principals, the National Association of Elementary School Principals, the National Middle School Association, the Interstate School Leader Licensure Consortium, and the National Policy Board for Educational Administration Education Leadership Constituent Council were also considered in the development of these standards. Additionally, input was solicited from stakeholders and leaders in the field.

The first seven critical standards used as the framework for the North Carolina School Executive Standards are borrowed from a Wallace Foundation study, *Making Sense of Leading Schools: A Study of the School Principalship* (2003). Unlike many current efforts that look at all of the things principals "might" or "should" do, this study examined what principals actually do. As such, it is grounded in practice, exploits story and narrative, and supports the distribution of leadership rather than the "hero leader."

North Carolina's Standards for School Executives are interrelated and connect in executives' practice. They are not intended to isolate competencies or practices. Executives' abilities in each standard will impact their ability to perform effectively in other standard areas. For example, the ability of an executive to evaluate and develop staff will directly impact the school's ability to reach its goals and will also impact the norms of the culture of the school. School executives are responsible for ensuring that leadership happens in all seven critical areas, but they don't have to provide it.

The Standards and Their Practices

Standard I: Strategic Leadership

Summary: School executives will create conditions that result in strategically re-imaging the school's vision, mission, and goals in the 21st century. Understanding that schools ideally prepare students for an unseen but not altogether unpredictable future, the leader creates a climate of inquiry that challenges the school community to continually re-purpose itself by building on its core values and beliefs about its preferred future and then developing a pathway to reach it.

Practices: The school executive practices effective strategic leadership when he or she
- Is able to share a vision of the changing world in the 21st century that schools are preparing children to enter;
- Systematically challenges the status quo by leading change with potentially beneficial outcomes;
- Systematically considers new ways of accomplishing tasks and is comfortable with major changes in how processes are implemented;
- Utilizes data from the NC Teacher Working Conditions Survey in developing the framework for continual improvement in the School Improvement Plan;
- Is a driving force behind major initiatives that help students acquire 21st century skills;
- Creates with all stakeholders a vision for the school that captures peoples' attention and imagination;
- Creates processes that provide for the periodic review and revision of the school's vision, mission, and strategic goals by all school stakeholders;
- Creates processes to ensure the school's identity (vision, mission, values, beliefs and goals) actually drive decisions and inform the culture of the school;
- Adheres to statutory requirements regarding the School Improvement Plan;
- Facilitates the collaborative development of annual school improvement plans to realize strategic goals and objectives;
- Facilitates the successful execution of the school improvement plan aligned to the mission and goals set by the State Board of Education;
- Facilitates the implementation of state education policy inside the school's classrooms;
- Facilitates the setting of high, concrete goals and the expectations that all students meet them;
- Communicates strong professional beliefs about schools, teaching, and learning that reflect latest research and best practice in preparing students for success in college or in work; and
- Creates processes to distribute leadership throughout the school.

Artifacts:
- Degree to which school improvement plan strategies are implemented, assessed and modified
- Evidence of an effectively functioning, elected School Improvement Team
- NC Teacher Working Conditions Survey
- School improvement plan, its alignment with district and state strategic priorities, and a plan for growth on items of concern as evidenced in the NC TWC Survey
- The degree to which staff can articulate the school's direction and focus
- Student testing data

Standard II: Instructional Leadership

Summary: School executives will set high standards for the professional practice of 21st century instruction and assessment that result in a no nonsense accountable environment. The school executive must be knowledgeable of best instructional and school practices and must use this knowledge to cause the creation of collaborative structures within the school for the design of highly engaging schoolwork for students, the on-going peer review of this work and the sharing of this work throughout the professional community.

Practices: The school executive practices effective instructional leadership when he or she
- Focuses his or her own and others' attention persistently and publicly on learning and teaching by initiating and guiding conversations about instruction and student learning that are oriented towards high expectations and concrete goals;
- Creates an environment of practiced distributive leadership and teacher empowerment;
- Demonstrates knowledge of 21st century curriculum, instruction, and assessment by leading or participating in meetings with teachers and parents where these topics are discussed, and/or holding frequent formal or informal conversations with students, staff and parents around these topics;
- Ensures that there is an appropriate and logical alignment between the curriculum of the school and the state's accountability program;

- Creates processes and schedules that facilitate the collaborative (team) design, sharing, evaluation, and archiving of rigorous, relevant, and engaging instructional lessons that ensure students acquire essential knowledge;
- Challenges staff to reflect deeply on and define what knowledge, skills and concepts are essential to the complete educational development of students;
- Creates processes for collecting and using student test data and other formative data from other sources for the improvement of instruction;
- Creates processes for identifying, benchmarking and providing students access to a variety of 21st century instructional tools (e.g., technology) and best practices for meeting diverse student needs;
- Creates processes that ensure the strategic allocation and use of resources to meet instructional goals and support teacher needs;
- Creates processes to provide formal feedback to teachers concerning the effectiveness of their classroom instruction;
- Creates processes that protect teachers from issues and influences that would detract from their instructional time; and
- Systematically and frequently observes in classrooms and engages in conversation with students about their learning.

Artifacts:
- School improvement plan
- NC Teacher Working Conditions Survey
- Student achievement data
- Dropout data
- Teacher retention data
- Documented use of formative assessment instruments to impact instruction
- Development and communication of goal-oriented personalized education plans for identified students (ESOL, exceptional children, Level I and Level II children)
- Evidence of the team development and evaluation of classroom lessons

Standard III: Cultural Leadership

Summary: School executives will understand and act on the understanding of the important role a school's culture contributes to the exemplary performance of the school. School executives must support and value the traditions, artifacts, symbols and positive values and norms of the school and community that result in a sense of identity and pride upon which to build a positive future. A school executive must be able to "reculture" the school if needed to align with school's goals of improving student and adult learning and to infuse the work of the adults and students with passion, meaning and purpose. Cultural leadership implies understanding the school as the people in it each day, how they came to their current state, and how to connect with their traditions in order to move them forward to support the school's efforts to achieve individual and collective goals.

Practices: The school executive practices effective cultural leadership when he or she
- Creates a collaborative work environment predicated on site-based management that supports the "team" as the basic unit of learning and decision-making within the school and promotes cohesion and cooperation among staff;
- Communicates strong ideals and beliefs about schooling, teaching, and professional learning communities with teachers, staff, parents, and students and then operates from those beliefs;
- Influences the evolution of the culture to support the continuous improvement of the school as outlined in the school improvement plan;
- Systematically develops and uses shared values, beliefs and a shared vision to establish a school identity that emphasizes a sense of community and cooperation to guide the disciplined thought and action of all staff and students;
- Systematically and fairly acknowledges failures and celebrates accomplishments of the school and staff;
- Visibly supports the positive, culturally-responsive traditions of the school community;
- Promotes a sense of well-being among staff, students and parents;
- Builds a sense of efficacy and empowerment among staff that result in a "can do" attitude when faced with

challenges; and
- Empowers staff to recommend creative 21st century concepts for school improvement.

Artifacts:
- Work of Professional Learning Communities within and tangential to the school
- Documented use of the SIT in decision making throughout the year
- NC Teacher Working Conditions Survey
- School improvement plan
- Teacher retention data
- Student achievement data
- Awards structure developed by school

Standard IV: Human Resource Leadership

Summary: School executives will ensure that the school is a professional learning community. School executives will ensure that processes and systems are in place that results in the recruitment, induction, support, evaluation, development and retention of a high performing staff. The school executive must engage and empower accomplished teachers in a distributive leadership manner, including support of teachers in day-to-day decisions such as discipline, communication with parents, and protecting teachers from duties that interfere with teaching, and must practice fair and consistent evaluation of teachers. The school executive must engage teachers and other professional staff in conversations to plan their career paths and support district succession planning.

Practices: The school executive practices effective human resource leadership when he or she
- Provides structures for the development of effective professional learning communities aligned with the school improvement plan, focused on results, and characterized by collective responsibility for instructional planning and for 21st century student learning;
- Models the importance of continued adult learning by engaging in activities to develop personal knowledge and skill along with expanded self – awareness;
- Communicates a positive attitude about the ability of staff to accomplish substantial outcomes to improve their efficacy;
- Creates processes for teachers to assume leadership and decision making roles within the school that foster their career development;
- Creates and monitors processes for hiring, inducting and mentoring new teachers and other staff to the school;
- Uses the results of the Teacher Working Conditions Survey to create and maintain a positive work environment for teachers and other staff;
- Evaluates teachers and other staff in a fair and equitable manner and utilizes the results of evaluations to improve performance;
- Provides for results-oriented professional development that is aligned with identified 21st century curricular, instructional, and assessment needs, is connected to school improvement goals and is differentiated based on staff needs;
- Continuously searches for the best placement and utilization of staff to fully benefit from their strengths; and
- Is systematically and personally involved in the school's professional activities.

Artifacts:
- School improvement plan
- NC Teacher Working Conditions Survey – with special emphasis on the leadership and empowerment domains
- Copy of master school schedule documenting the time provided for individual and collaborative planning for every teacher
- Number of National Board Certified teachers
- Teacher retention data
- Number of teachers pursuing school executive credentials, National Board Certification, or advanced licensure in their teaching areas

- ▪ Records of school visits for the purpose of adult learning
- ▪ Record of professional development provided staff and an assessment of the impact of professional development on student learning
- ▪ Mentor records, beginning teacher feedback, and documentation of correlation of assignment of mentor to mentee
- ▪ Copies of professional growth plans
- ▪ Student achievement data

Standard V: Managerial Leadership

Summary: School executives will ensure that the school has processes and systems in place for budgeting, staffing, problem solving, communicating expectations and scheduling that result in organizing the work routines in the building. The school executive must be responsible for the monitoring of the school budget and the inclusion of all teachers in the budget decisions so as to meet the 21st century needs of every classroom. Effectively and efficiently managing the complexity of everyday life is critical for staff to be able to focus its energy on improvement.

Practices: The school executive practices effective managerial leadership when he or she
- ▪ Creates processes to provide for a balanced operational budget for school programs and activities;
- ▪ Creates processes to recruit and retain a high-quality workforce in the school that meets the diverse needs of students;
- ▪ Creates processes to identify and solve, resolve, dissolve or absolve school-based problems/conflicts in a fair, democratic way;
- ▪ Designs a system of communication that provides for the timely, responsible sharing of information to, from, and with school and district staff;
- ▪ Designs scheduling processes and protocols that maximize staff input and addresses diverse student learning needs;
- ▪ Develops a master schedule for the school to maximize student learning by providing for individual and on-going collaborative planning for every teacher; and
- ▪ Collaboratively develops and enforces clear expectations, structures, rules and procedures for students and staff.

Artifacts:
- ▪ NC Teacher Working Conditions Survey
- ▪ School Improvement Plan
- ▪ External reviews, such as budget
- ▪ Copies of master schedules/procedures
- ▪ Communication of safety procedures and behavioral expectations throughout the school community

Standard VI: External Development Leadership

Summary: A school executive will design structures and processes that result in community engagement, support, and ownership. Acknowledging that schools no longer reflect but in fact build community, the leader proactively creates with staff opportunities for parents, community and business representatives to participate as "stockholders" in the school such that continued investments of resources and good will are not left to chance.

Practices: The school executive practices effective external development leadership when he or she
- ▪ Implements processes that empower parents and other stakeholders to make significant decisions;
- ▪ Creates systems that engage all community stakeholders in a shared responsibility for student and school success;
- ▪ Designs protocols and processes that ensures compliance with state and district mandates;
- ▪ Creates opportunities to advocate for the school in the community and with parents;
- ▪ Communicates the school's accomplishments to the district office and public media in accordance with LEA policies;
- ▪ Garners fiscal, intellectual and human resources from the community that support the 21st century learning agenda of the school; and

- Builds relationships with individuals and groups to support specific aspects of the learning improvement agenda and also as a source of general good will.

Artifacts:
- PTSA participation
- PTSA meeting agendas, bulletins, etc.
- Parent attendance at school improvement team meetings
- Survey results from parents
- Evidence of visible support from community
- Booster club participation
- Number of school volunteers
- Plan for shaping the school's image throughout the community
- PTSA membership
- Evidence of business partnerships and projects involving business partners

Standard VII: Micro-political Leadership

Summary: The school executive will build systems and relationships that utilize the staff's diversity, encourage constructive ideological conflict in order to leverage staff expertise, power and influence to realize the school's vision for success. The executive will also creatively employ an awareness of staff's professional needs, issues, and interests to build social cohesion and to facilitate distributed governance and shared decision-making.

Practices: The school executive practices effective micro-political leadership when he or she:
- Uses the School Improvement Team to make decisions and provides opportunities for staff to be involved in developing school policies;
- Creates an environment and mechanisms to ensure all internal stakeholder voices are heard and respected;
- Creates processes and protocols to buffer and mediate staff interests;
- Is easily accessible to teachers and staff;
- Designs transparent systems to equitably manage human and financial resources;
- Demonstrates sensitivity to personal needs of staff;
- Demonstrates awareness of informal groups and relationships among school staff and utilizes these as a positive resource;
- Demonstrates awareness of hidden and potentially discordant issues in the school;
- Encourages people to express opinions contrary to those of authority;
- Demonstrates ability to predict what could go wrong from day to day;
- Uses performance as the primary criterion for reward and advancement;
- Maintains high visibility throughout the school; and
- Maintains open, vertical and horizontal communications throughout the school community.

Artifacts:
- NC Teacher Working Conditions Survey
- Teacher retention data
- Dissemination of clear norms and ground rules
- Evidence of ability to confront ideological conflict and then reach consensus
- Evidence of shared decision making
- Evidence of use of a decision matrix
- Evidence of a school that operates through teams
- Evidence of distributed leadership

Standard VIII: Academic Achievement Leadership

Summary: The school executive will contribute to the academic success of students. The work of the school executive will result in acceptable, measurable progress for students based on established performance expectations using appropriate data to demonstrate growth.

Practice: The school executive practices effective academic achievement leadership when he or she:
- Demonstrates acceptable school-wide growth as calculated by the statewide growth model for educator effectiveness.

Artifacts:
- Student growth values generated through a method approved by the State Board of Education.

Competencies

A competency is a combination of knowledge (factual and experiential) and skills that one needs to effectively implement the practices. Factual knowledge is simply "knowing" content; experiential knowledge is the knowledge one gains from understanding; it is knowing the when and why. Skills bring structure to experiential knowledge. It is when one can put their accumulated knowledge into a series of steps that, if followed, will lead to practice.

There are many competencies that are obviously inherent in the successful performance of all of the practices listed under each of the seven critical functions of leadership. The principal may or may not personally possess all of these competencies but must ensure that a team is in place that not only possesses them but can effectively and efficiently execute them. Although the principal may not personally possess them all, he or she is still responsible for their effective use in the various leadership practices.
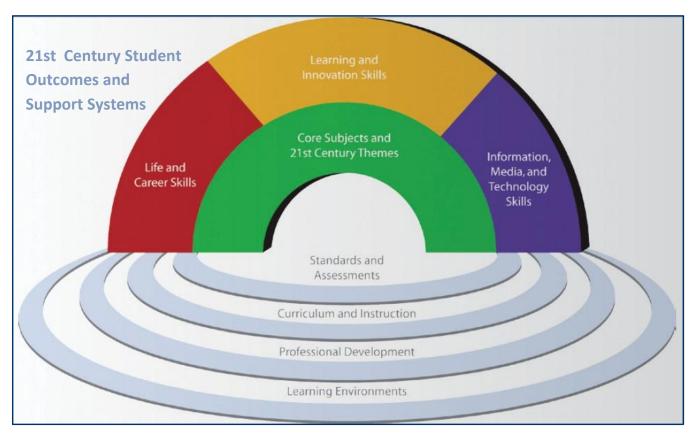
The competencies listed below are not so obvious in the practices, can be applied to multiple practices and are absolutely essential for all school executives to possess to ensure their success. For example, the competency "conflict management" is important in Micro-political Leadership, Strategic Planning, Cultural Leadership, and perhaps one could argue that this competency is necessary in all eight Standards. These competencies are listed here to emphasize their importance and to make sure they are incorporated into the development of school executives.

- **Communication** – Effectively listens to others; clearly and effectively presents and understands information orally and in writing; acquires, organizes, analyzes, interprets, maintains information needed to achieve school or team 21st century objectives.
- **Change Management** – Effectively engages staff and community in the change process in a manner that ensures their support of the change and its successful implementation.
- **Conflict Management** – Anticipates or seeks to resolve confrontations, disagreements, or complaints in a constructive manner.
- **Creative Thinking** – Engages in and fosters an environment for others to engage in innovative thinking.
- **Customer Focus** – Understands the students as customers of the work of schooling and the servant nature of leadership and acts accordingly.
- **Delegation** – Effectively assigns work tasks to others in ways that provide learning experiences for them and in ways that ensure the efficient operation of the school.
- **Dialogue/Inquiry** – Is skilled in creating a risk free environment for engaging people in conversations that explore issues, challenges or bad relationships that are hindering school performance.
- **Emotional Intelligence** – Is able to manage oneself through self-awareness and self-management and is able to manage relationships through empathy, social awareness and relationship management. This competency is critical to building strong, transparent, trusting relationships throughout the school community.
- **Environmental Awareness** – Becomes aware and remains informed of external and internal trends, interests and issues with potential impacts on school policies, practices, procedures and positions.
- **Global Perspective** – Understands the competitive nature of the new global economy and is clear about the knowledge and skills students will need to be successful in this economy.
- **Judgment** – Effectively reaching logical conclusions and making high quality decisions based on available information. Giving priority and caution to significant issues. Analyzing and interpreting complex information.
- **Organizational Ability** – Effectively plans and schedules one's own and the work of others so that resources are used appropriately, such as scheduling the flow of activities and establishing procedures to monitor projects.
- **Personal Ethics and Values** – Consistently exhibits high standards in the areas of honesty, integrity, fairness, stewardship, trust, respect, and confidentiality.
- **Personal Responsibility for Performance** – Proactively and continuously improves performance by focusing on needed areas of improvement and enhancement of strengths; actively seeks and effectively applies feedback from others; takes full responsibility for one's own achievements.

- **Responsiveness** – Does not leave issues, inquiries or requirements for information go unattended. Creates a clearly delineated structure for responding to requests/situations in an expedient manner.
- **Results Orientation** – Effectively assumes responsibility. Recognizes when a decision is required. Takes prompt action as issues emerge. Resolves short-term issues while balancing them against long-term goals.
- **Sensitivity** – Effectively perceives the needs and concerns of others; deals tactfully with others in emotionally stressful situations or in conflict. Knowing what information to communicate and to whom. Relating to people of varying ethnic, cultural, and religious backgrounds.
- **Systems Thinking** – Understands the interrelationships and impacts of school and district influences, systems and external stakeholders, and applies that understanding to advancing the achievement of the school or team.
- **Technology** – Effectively utilizes the latest technologies to continuously improve the management of the school and enhance student instruction.
- **Time Management** – Effectively uses available time to complete work tasks and activities that lead to the achievement of desired work or school results. Runs effective meetings.
- **Visionary** – Encourages Imagineering by creating an environment and structure to capture stakeholder dreams of what the school could become for all the students.

Framework for 21st Century Learning

The Partnership for 21st Century Skills has developed a vision for 21st century student success in the new global economy.

21st Century Student Outcomes

The elements described in this section as "21st century student outcomes" (represented by the rainbow) are the skills, knowledge and expertise students should master to succeed in work and life in the 21st century.

Core Subjects and 21st Century Themes

Mastery of **core subjects and 21st century themes** is essential for students in the 21st century. Core subjects include English, reading or language arts, world languages, arts, mathematics, economics, science, geography, history, government and civics.

We believe schools must move beyond a focus on basic competency in core subjects to promoting understanding of academic content at much higher levels by weaving **21st century interdisciplinary themes** into core subjects:

- **Global Awareness**
- **Financial, Economic, Business and Entrepreneurial Literacy**
- **Civic Literacy**
- **Health Literacy**

Learning and Innovation Skills

Learning and innovation skills are what separate students who are prepared for increasingly complex life and work environments in the 21st century and those who are not. They include:

- **Creativity and Innovation**
- **Critical Thinking and Problem Solving**
- **Communication and Collaboration**

Information, Media and Technology Skills

People in the 21st century live in a technology and media-driven environment, marked by access to an abundance of information, rapid changes in technology tools and the ability to collaborate and make individual contributions on an unprecedented scale. To be effective in the 21st century, citizens and workers must be able to exhibit a range of functional and critical thinking skills, such as:

- **Information Literacy**
- **Media Literacy**
- **ICT (Information, Communications and Technology) Literacy**

Life and Career Skills

Today's life and work environments require far more than thinking skills and content knowledge. The ability to navigate the complex life and work environments in the globally competitive information age requires students to pay rigorous attention to developing adequate life and career skills, such as:

- **Flexibility and Adaptability**
- **Initiative and Self-Direction**
- **Social and Cross-Cultural Skills**
- **Productivity and Accountability**
- **Leadership and Responsibility**

21st Century Support Systems

Developing a comprehensive framework for 21st century learning requires more than identifying specific skills, content knowledge, expertise and literacies. An innovative support system must be created to help students master the multi-dimensional abilities required of them in the 21st century. The Partnership has identified five critical support systems that ensure student mastery of 21st century skills:

- **21st Century Standards**
- **Assessment of 21st Century Skills**
- **21st Century Curriculum and Instruction**
- **21st Century Professional Development**
- **21st Century Learning Environments**

For more information, visit the Partnership's Web site at www.p21.org. Used with permission.

Milestones for Improving Learning and Education

The Partnership for 21st Century Skills developed the Milestones for Improving Learning and Education (MILE) Guide for 21st Century Skills to assist educators and administrators in measuring the progress of their schools in defining, teaching, and assessing 21st century skills. The following describes the skills and knowledge required of students in the 21st century. This list was adapted from the 21st Century Partnership's MILE Guide and served as a foundation for the North Carolina Professional Teaching Standards.

Global Awareness
- Using 21st century skills to understand and address global issues.
- Learning from and working collaboratively with individuals representing diverse cultures, religions and lifestyles in a spirit of mutual respect and open dialogue in personal, work and community contexts.
- Having the ability to utilize non-English languages as a tool for understanding other nations and cultures.

Financial, Economic, Business and Entrepreneurial Literacy
- Knowing how to make appropriate personal economic choices.
- Understanding the role of the economy and the role of business in the economy.
- Using entrepreneurial skills to enhance workplace productivity and career options.

Civic Literacy
- Being an informed citizen to participate effectively in government.
- Exercising the rights and obligations of citizenship at local, state, national and global levels.
- Understanding the local and global implications of civic decisions.

Health Literacy
- Having the ability to access health information and services, navigate health institutions and act as an effective advocate to improve health for self, family and/or community.
- Understanding preventive physical and mental health measures, including proper diet, nutrition, exercise, risk avoidance and stress reduction.
- Demonstrating understanding of national and international health.

Thinking and Learning Skills

Critical Thinking and Problem Solving Skills
- Exercising sound reasoning in understanding.
- Making complex choices.
- Understanding the interconnections among systems.
- Framing, analyzing and solving problems.

Communication
- Articulating thoughts and ideas clearly and effectively.

Information and Media Literacy Skills
- Understanding, managing and creating effective oral, written and/or multimedia communication in a variety of forms and contexts.
- Analyzing, accessing, managing, integrating, evaluating and creating information in a variety of forms and media.

Creativity and Innovation Skills

- Demonstrating originality and inventiveness in work.
- Developing, implementing and communicating new ideas to others.
- Being open and responsive to new and diverse perspectives.

Collaboration Skills

- Demonstrating ability to work effectively with diverse teams.
- Being willing to be helpful and make necessary compromises to accomplish a common goal.

Contextual Learning Skills

- Having the ability to take advantage of education in a variety of contexts both inside and outside the classroom; understanding that knowledge is acquired within a context.

ICT literacy

- Using technology in the course of attaining and utilizing 21st century skills.

Life Skills

Leadership

- Using interpersonal and problem-solving skills to influence more than one person toward a goal.
- Having the ability to leverage strengths of others to accomplish a common goal.

Ethics

- Demonstrating integrity and ethical behavior in personal, workplace and community contexts.

Accountability

- Setting and meeting high standards and goals for one's self and others.

Adaptability

- Adapting to varied roles and responsibilities.
- Tolerating ambiguity and changing priorities.

Personal Productivity

- Utilizing time efficiently and manage workload.
- Being punctual and reliable.

Personal Responsibility

- Exercising personal responsibility and flexibility in personal, workplace and community contexts.

People Skills

- Working appropriately and productively with others.

Self-Direction

- Monitoring one's own understanding and learning needs.
- Demonstrating initiative to advance professional skill levels.
- Having the ability to define, prioritize and complete tasks without direct oversight.
- Demonstrating commitment to learning as a lifelong process.

Social Responsibility

- Acting responsibly with the interests of the larger community in mind.

Rubric for Evaluating North Carolina Principals/Assistant Principals

Explanation of the Rubric and Performance Ratings

The following rubric was developed to align with and exemplify the North Carolina Standards for School Executives approved by the North Carolina State Board of Education in May 2008. The rubric should be used in conjunction with the standards. The rubric will be used by the principal and assistant principal for self-assessment and by the superintendent or designee to guide performance ratings on the Summary/End-of-Year Evaluation Rating Form. A form for summarizing ratings, Summary Evaluation Worksheet, is also provided. Together, these materials form the core of the North Carolina School Executive: Principal and Assistant Principal Evaluation Process.

The principal's/assistant principal's performance levels for standards 1-7 will be noted as follows:

Developing: Principal/assistant principal demonstrated adequate growth toward achieving standard(s) during the period of performance, but did not demonstrate competence on standard(s) of performance.

Proficient: Principal/assistant principal demonstrated basic competence on standard(s) of performance.

Accomplished: Principal/assistant principal exceeded basic competence on standard(s) of performance most of the time.

Distinguished: Principal/assistant principal consistently and significantly exceeded basic competence on standard(s) of performance.

Not Demonstrated: Principal/assistant principal did not demonstrate competence on or adequate growth toward achieving standard(s) of performance. (Note: If the "Not Demonstrated" rating is used, the evaluator must comment about why it was used.)

Standards 1-7 have sub-categories of performance elements. Each element has performance descriptors. These levels of performance are cumulative across the rows of the rubric. A principal or assistant principal who is new to the position or an experienced principal or assistant principal who is working in a new school, or who needs a new skill in order to meet the standard, may be rated Developing for an element. A principal or assistant principal who is rated Proficient for an element must exhibit the skills and knowledge described under the *Developing* leader as well as those under *Proficient*. Likewise, a principal or assistant principal who is rated Distinguished for an element exhibits all of the skills and knowledge described for that element across the row. Occasionally, a principal or assistant principal might not demonstrate evidence of proficiency on a particular element. In that case, the *Not Demonstrated* column should be selected. This column may also be used to document evidence that a principal or assistant principal is performing at a level below expectations or below standard. If that column is chosen, then a comment must be made as to why it was selected.

Rubric for Evaluation and Self-Assessment (Required)

This form **must** be completed by the principal/assistant principal as part of the self-assessment process *and* by the superintendent/designee in preparation for the summary/end-of-year evaluation conference.

Standard I: Strategic Leadership

Principals/assistant principals will create conditions that result in strategically re-imaging the school's vision, mission, and goals in the 21st century. Understanding that schools ideally prepare students for an unseen but not altogether unpredictable future, the leader creates a climate of inquiry that challenges the school community to continually re-purpose itself by building on its core values and beliefs about its preferred future and then developing a pathway to reach it.

Element Ia. School Vision, Mission and Strategic Goals: The school's identity, in part, is derived from the vision, mission, values, beliefs and goals of the school, the processes used to establish these attributes, and the ways they are embodied in the life of the school community.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
❑ Develops his/her own vision of the changing world in the 21st century that schools are preparing children to enter	. . . and ❑ Leads and implements a process for developing a shared vision and strategic goals for student achievement that reflect high expectations for students and staff ❑ Maintains a focus on the vision and strategic goals throughout the school year	. . . and ❑ Creates with stakeholders a vision for the school that captures peoples' attention and imagination ❑ Designs and implements collaborative processes to collect and analyze data about the school's progress for the periodic review and revision of the school's vision, mission, and strategic goals	. . . and ❑ Ensures that the school's identity (vision, mission, values, beliefs and goals) actually drive decisions and inform the culture of the school ❑ Initiates changes to vision and goals based on data to improve performance, school culture and school success	

Element Ib. Leading Change: The principal/assistant principal articulates a vision, and implementation strategies, for improvements and changes which result in improved achievement for all students.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
❑ Identifies changes necessary for the improvement of student learning	. . . and ❑ Systematically considers new and better ways of leading for improved student achievement and engages stakeholders in the change process	. . . and ❑ Adapts/varies leadership style according to the changing needs of the school and community ❑ Is comfortable with major changes in implementing processes and accomplishing tasks ❑ Routinely and systematically communicates the impacts of change processes to all stakeholders	. . . and ❑ Is a driving force behind major initiatives that help students acquire 21st century skills ❑ Systematically challenges the status quo by leading change with potentially beneficial outcomes	

Element Ic. School Improvement Plan: The school improvement plan provides the structure for the vision, values, goals and changes necessary for improved achievement for all students.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
❑ Understands statutory requirements regarding the School Improvement Plan	. . . and ❑ Facilitates the collaborative development of the annual School Improvement Plan to realize strategic goals and objectives ❑ Uses the NC Teacher Working Conditions Survey and other data sources to develop the framework for the School Improvement Plan	. . . and ❑ Facilitates the successful execution of the School Improvement Plan aligned to the mission and goals set by the State Board of Education, the local Board of Education ❑ Systematically collects, analyzes, and uses data regarding the school's progress toward attaining strategic goals and objectives	. . . and ❑ Incorporates principles of continuous improvement and creative 21st century concepts for improvement into the School Improvement Plan	

Element Id. Distributive Leadership: The principal/assistant principal creates and utilizes processes to distribute leadership and decision making throughout the school.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
❑ Seeks input from a variety of stakeholder groups, including teachers and parents/guardians ❑ Understands the importance of providing opportunities for teachers to assume leadership and decision-making roles within the school	. . . and ❑ Involves parents/guardians, the community, and staff members in decisions about school governance, curriculum and instruction. ❑ Provides leadership development activities for staff members	. . . and ❑ Ensures that parents/guardians, community members and staff members have autonomy to make decisions and supports the decisions made as a part of the collective decision-making process ❑ Creates opportunities for staff to demonstrate leadership skills by allowing them to assume leadership and decision-making roles	. . . and ❑ Encourages staff members to accept leadership responsibilities outside of the school building ❑ Incorporates teachers and support staff into leadership and decision-making roles in the school in ways that foster the career development of participating teachers	

Comments

Examples of Artifacts:

- School Improvement Plan
- NC Teacher Working Conditions Survey
- Evidence of School Improvement Team
- Student achievement and testing data
- Statement of school vision, mission, values, beliefs and goals
- Evidence of stakeholder involvement in development of vision, mission, value, belief and goal statements

- Evidence of shared decision making and distributed leadership
- _____
- _____
- _____
- _____

Standard II: Instructional Leadership

Principals/assistant principals set high standards for the professional practice of 21st century instruction and assessment that result in a no-nonsense accountable environment. They must be knowledgeable of best instructional and school practices and must use this knowledge to cause the creation of collaborative structures within the school for the design of highly engaging schoolwork for students, the on-going peer review of this work, and the sharing of this work throughout the professional community.

Element IIa. Focus on Learning and Teaching, Curriculum, Instruction and Assessment: The principal/assistant principal leads the discussion about standards for curriculum, instruction and assessment based on research and best practices in order to establish and achieve high expectations for students.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
❑ Collects and analyzes student assessment data in adherence with instructional and legal requirements ❑ Provides students access to a variety of 21st century instructional tools, including technology	. . . and ❑ Systematically focuses on the alignment of learning, teaching, curriculum, instruction, and assessment to maximize student learning ❑ Organizes targeted opportunities for teachers to learn how to teach their subjects well ❑ Ensures that students are provided opportunities to learn and utilize best practices in the integrated use of 21st century instructional tools, including technology, to solve problems	. . . and ❑ Ensures that the alignment of learning, teaching, curriculum, instruction, and assessment is focused to maximize student learning ❑ Creates a culture that it is the responsibility of all staff to make sure that all students are successful	. . . and ❑ Ensures that knowledge of teaching and learning serves as the foundation for the school's professional learning community ❑ Encourages and challenges staff to reflect deeply on, and define, what knowledge, skills and concepts are essential to the complete educational development of students	

Element IIb. Focus on Instructional Time: The principal/assistant principal creates processes and schedules which protect teachers from disruption of instructional or preparation time.				
Developing	**Proficient**	**Accomplished**	**Distinguished**	**Not Demonstrated (Comment Required)**
❑ Understands the need for teachers to have daily planning time and duty-free lunch periods ❑ Is knowledgeable of designs for age-appropriate school schedules which address the learning needs of diverse student populations	. . . and ❑ Adheres to legal requirements for planning and instructional time ❑ Develops a master schedule to maximize student learning by providing for individual and on-going collaborative planning for every teacher ❑ Designs scheduling processes and protocols that maximize staff input and address diverse student learning needs	. . . and ❑ Ensures that teachers have the legally required amount of daily planning and lunch periods ❑ Routinely and conscientiously implements processes to protect instructional time from interruptions	. . . and ❑ Structures the school schedule to enable all teachers to have individual and team collaborative planning time ❑ Systematically monitors the effect of the master schedule on collaborative planning and student achievement ❑ Ensures that district leadership is informed of the amounts and scheduling of individual and team planning time	

Comments

Examples of Artifacts:
- School Improvement Plan
- NC Teacher Working Conditions Survey
- Student achievement and testing data
- Student drop-out data
- Documented use of formative assessment instruments to impact instruction
- Development and communication of goal-oriented personalized education plans for identified students
- Evidence of team development and evaluation of classroom lessons

- Use of research-based practices and strategies in classrooms
- Master school schedule documenting individual and collaborative planning for every teacher
- _____
- _____
- _____

Standard III: Cultural Leadership

Principals/assistant principals will understand and act on the understanding of the important role a school's culture plays in contributing to the exemplary performance of the school. Principals/assistant principals must support and value the traditions, artifacts, symbols and positive values and norms of the school and community that result in a sense of identity and pride upon which to build a positive future. A principal/assistant principal must be able to "re-culture" the school if needed to align with school's goals of improving student and adult learning and to infuse the work of the adults and students with passion, meaning and purpose. Cultural leadership implies understanding the school and the people in it each day, how they came to their current state, and how to connect with their traditions in order to move them forward to support the school's efforts to achieve individual and collective goals.

Element IIIa. Focus on Collaborative Work Environment: The principal/assistant principal understands and acts on the understanding of the positive role that a collaborative work environment can play in the school's culture.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
❑ Understands characteristics of a collaborative work environment within the school ❑ Understands the importance of data gained from the Teacher Working Conditions Survey and other data sources from parents, students, teachers and stakeholders that reflect on the teaching and learning environment within the school.	. . . and ❑ Designs elements of a collaborative and positive work environment within the school ❑ Participates in and relies upon the School Improvement Team and other stakeholder voices to make decisions about school policies ❑ Utilizes data gained from the Teacher Working Conditions Survey and other sources to understand perceptions of the work environment	. . . and ❑ Utilizes a collaborative work environment predicated on site-based management and decision making, a sense of community, and cooperation within the school ❑ Monitors the implementation and response to school policies and provides feedback to the School Improvement Team for their consideration ❑ Initiates changes resulting from data gained from the Teacher Working Conditions Survey and other sources	. . . and ❑ Establishes a collaborative work environment which promotes cohesion and cooperation among staff ❑ Facilitates the collaborative (team) design, sharing, evaluation, and archiving of rigorous, relevant, and engaging instructional lessons that ensure students acquire essential knowledge and skills	

Element IIIb. School Culture and Identity: The principal/assistant principal develops and uses shared vision, values and goals to define the identity and culture of the school.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
❑ Understands the importance of developing a shared vision, mission, values, beliefs and goals to establish a school culture and identity	. . . and ❑ Systematically develops and uses shared values, beliefs and a shared vision to establish a school culture and identity	. . . and ❑ Establishes a culture of collaboration, distributed leadership and continuous improvement in the school which guides the disciplined thought and action of all staff and students	. . . and ❑ Ensures that the school's identity and changing culture (vision, mission, values, beliefs and goals) actually drives decisions and informs the culture of the school	

Element IIIc. Acknowledges Failures; Celebrates Accomplishments and Rewards: The principal/assistant principal acknowledges failures and celebrates accomplishments of the school in order to define the identity, culture and performance of the school.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
❑ Recognizes the importance of acknowledging failures and celebrating accomplishments of the school and staff	. . . and ❑ Uses established criteria for performance as the primary basis for reward and advancement	. . . and ❑ Systematically recognizes individuals for reward and advancement based on established criteria ❑ Recognizes individual and collective contributions toward attainment of strategic goals	. . . and ❑ Utilizes recognition, reward, and advancement as a way to promote the accomplishments of the school ❑ Utilizes recognition of failure as an opportunity to improve	

Element IIId. Efficacy and Empowerment: The principal/assistant principal develops a sense of efficacy and empowerment among staff which influences the school's identity, culture and performance.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
❑ Understands the importance of building a sense of efficacy and empowerment among staff ❑ Understands the importance of developing a sense of well-being among staff, students and parents/ guardians	. . . and ❑ Identifies strategies for building a sense of efficacy and empowerment among staff ❑ Identifies strategies for developing a sense of well-being among staff, students and parents/ guardians	. . . and ❑ Utilizes a variety of activities, tools and protocols to develop efficacy and empowerment among staff ❑ Actively models and promotes a sense of well-being among staff, students and parents/ guardians	. . . and ❑ Builds a sense of efficacy and empowerment among staff that results in increased capacity to accomplish substantial outcomes ❑ Utilizes a collective sense of well-being among staff, students and parents/guardians to impact student achievement	

Comments

Examples of Artifacts:

- School Improvement Plan
- School Improvement Team
- NC Teacher Working Conditions Survey
- Evidence of shared decision making and distributed leadership
- Recognition criteria and structure utilized
- Documented use of School Improvement Team in decision making

- Student achievement and testing data
- Existence and work of professional learning communities
- Teacher retention data
- _____
- _____
- _____

Standard IV: Human Resource Leadership

Principals/assistant principals will ensure that the school is a professional learning community. Principals/assistant principals will ensure that process and systems are in place which results in recruitment, induction, support, evaluation, development and retention of high performing staff. The principal/assistant principal must engage and empower accomplished teachers in a distributive manner, including support of teachers in day-to-day decisions such as discipline, communication with parents/guardians, and protecting teachers from duties that interfere with teaching, and must practice fair and consistent evaluations of teachers. The principal/assistant principal must engage teachers and other professional staff in conversations to plan their career paths and support district succession planning.

Element IVa. Professional Development/Learning Communities: The principal/assistant principal ensures that the school is a professional learning community.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
❑ Understands the importance of developing effective professional learning communities and results-oriented professional development ❑ Understands the importance of continued personal learning and professional development	. . . and ❑ Provides structures for, and implements the development of effective professional learning communities and results-oriented professional development ❑ Routinely participates in professional development focused on improving instructional programs and practices	. . . and ❑ Facilitates opportunities for effective professional learning communities aligned with the school improvement plan, focused on results, and characterized by collective responsibility for instructional planning and student learning	. . . and ❑ Ensures that professional development within the school is aligned with curricular, instructional, and assessment needs, while recognizing the unique professional development needs of individual staff members	

Element IVb. Recruiting, Hiring, Placing and Mentoring of staff: The principal/assistant principal establishes processes and systems in order to ensure a high-quality, high-performing staff.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
❑ Understands the school's need to recruit, hire, appropriately place, and mentor new staff members	. . . and At the school level, creates and implements processes for: ❑ Recruiting new teachers and staff ❑ Hiring new teachers and staff ❑ Placing new teachers and staff ❑ Mentoring new teachers and staff	. . . and ❑ Supports, mentors and coaches staff members who are new or emerging leaders or who need additional support	. . . and ❑ Continuously searches for staff with outstanding potential as educators and provides the best placement of both new and existing staff to fully benefit from their strengths in meeting the needs of a diverse student population ❑ Ensures that professional development is available for staff members with potential to serve as mentors and coaches	

Element IVc. Teacher and Staff Evaluation: The principal/assistant principal evaluates teachers and other staff in a fair and equitable manner with the focus on improving performance and, thus, student achievement.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
❑ Adheres to legal requirements for teacher and staff evaluation	. . . and ❑ Creates processes to provide formal feedback to teachers concerning the effectiveness of their classroom instruction and ways to improve their instructional practice ❑ Implements district and state evaluation policies in a fair and equitable manner	. . . and ❑ Utilizes multiple assessments to evaluate teachers and other staff members ❑ Evaluates teachers and other staff in a fair and equitable manner and utilizes the results of evaluations to improve instructional practice	. . . and ❑ Analyzes the results of teacher and staff evaluations holistically and utilizes the results to direct professional development opportunities in the school	

Comments

Examples of Artifacts:
- School Improvement Plan
- NC Teacher Working Conditions Survey
- Student achievement and testing data
- Teacher retention data
- National Board Certification
- Teacher professional growth plans
- Master school schedule documenting individual and collaborative planning for every teacher

- Number of National Board Certified Teachers
- Number of teachers pursuing advanced degrees
- Record of professional development provided staff
- Impact of professional development on student learning
- Mentor records and beginning teacher feedback
- _____
- _____
- _____

Standard V: Managerial Leadership

Principals/assistant principals will ensure that the school has processes and systems in place for budgeting, staffing, problem solving, communicating expectations and scheduling that result in organizing the work routines in the building. The principal/ assistant principal must be responsible for the monitoring of the school budget and the inclusion of all teachers in the budget decision so as to meet the 21st century needs of every classroom. Effectively and efficiently managing the complexity of everyday life is critical for staff to be able to focus its energy on improvement.

Element Va. School Resources and Budget: The principal/assistant principal establishes budget processes and systems which are focused on, and result in, improved student achievement.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
❑ Is knowledgeable of school budget and accounting procedures ❑ Utilizes input from staff to establish funding priorities and a balanced operational budget for school programs and activities	. . . and ❑ Incorporates the input of the School Improvement Team in budget and resource decisions ❑ Uses feedback and data to assess the success of funding and program decisions	. . . and ❑ Designs transparent systems to equitably manage human and financial resources	. . . and ❑ Ensures the strategic allocation and equitable use of financial resources to meet instructional goals and support teacher needs	

Element Vb. Conflict Management and Resolution: The principal/assistant principal effectively and efficiently manages the complexity of human interactions so that the focus of the school can be on improved student achievement.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
❑ Demonstrates awareness of potential problems and/or areas of conflict within the school	. . . and ❑ Creates processes to resolve problems and/or areas of conflict within the school	. . . and ❑ Resolves school-based problems/conflicts in a fair, democratic way ❑ Provides opportunities for staff members to express opinions contrary to those of authority or in relation to potentially discordant issues ❑ Discusses with staff and implements solutions to address potentially discordant issues	. . . and ❑ Monitors staff response to discussions about solutions to potentially discordant issues to ensure that all interests are heard and respected ❑ Resolves conflicts to ensure the best interest of students and the school result	

Element Vc. Systematic Communication: The principal/assistant principal designs and utilizes various forms of formal and informal communication so that the focus of the school can be on improved student achievement.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
❑ Understands the importance of open, effective communication in the operation of the school	. . . and ❑ Designs a system of open communication that provides for the timely, responsible sharing of information to, from, and with the school community ❑ Routinely involves the school improvement team in school wide communications processes	. . . and ❑ Utilizes a system of open communication that provides for the timely, responsible sharing of information within the school community ❑ Provides information in different formats in multiple ways through different media in order to ensure communication with all members of the community	. . . and ❑ Ensures that all community stakeholders and educators are aware of school goals for instruction and achievement, activities used to meet these goals, and progress toward meeting these goals	

Element Vd. School Expectations for Students and Staff: The principal/assistant principal develops and enforces expectations, structures, rules and procedures for students and staff.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
❑ Understands the importance of clear expectations, structures, rules and procedures for students and staff ❑ Understands district and state policy and law related to student conduct, etc.	. . . and ❑ Collaboratively develops clear expectations, structures, rules and procedures for students and staff through the School Improvement Team ❑ Effectively implements district rules and procedures	. . . and ❑ Communicates and enforces clear expectations, structures, and fair rules and procedures for students and staff	. . . and ❑ Systematically monitors issues around compliance with expectations, structures, rules and expectations. Utilizes staff and student input to resolve such issues ❑ Regularly reviews the need for changes to expectations, structures, rules and expectations	

Comments

Examples of Artifacts:
- School Improvement Plan
- NC Teacher Working Conditions Survey
- School financial information
- School safety and behavioral expectations
- Master school schedule documenting individual and collaborative planning for every teacher
- Evidence of formal and informal systems of communication

- Dissemination of clear norms and ground rules
- Evidence of ability to confront ideological conflict and then reach consensus
- _____
- _____
- _____

Standard VI: External Development Leadership

Principals/assistant principals will design structures and processes that result in community engagement, support, and ownership. Acknowledging that schools no longer reflect but, in fact, build community, the leader proactively creates with staff, opportunities for parents/guardians, community and business representatives to participate as "stockholders" in the school such that continued investment of resources and good will are not left to chance.

Element VIa. Parent and Community Involvement and Outreach: The principal/assistant principal designs structures and processes which result in parent and community engagement, support and ownership for the school.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
❑ Interacts with, and acknowledges that parents/guardians and community members have a critical role in developing community engagement, support and ownership of the school ❑ Identifies the positive, culturally-responsive traditions of the school and community	. . . and ❑ Proactively creates systems that engage parents/guardians and all community stakeholders in a shared responsibility for student and school success reflecting the community's vision of the school	. . . and ❑ Implements processes that empower parents/guardians and all community stakeholders to make significant decisions	. . . and ❑ Proactively develops relationships with parents/guardians and the community so as to develop good will and garner fiscal, intellectual and human resources that support specific aspects of the school's learning agenda	

Element VIb. Federal, State and District Mandates: The principal/assistant principal designs protocols and processes in order to comply with federal, state, and district mandates.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
❑ Is knowledgeable of applicable federal, state and district mandates ❑ Is aware of district goals and initiatives directed at improving student achievement	. . . and ❑ Designs protocols and processes to comply with federal, state and district mandates ❑ Implements district initiatives directed at improving student achievement	. . . and ❑ Ensures compliance with federal, state and district mandates ❑ Continually assesses the progress of district initiatives and reports results to district-level decision makers.	. . . and ❑ Interprets federal, state and district mandates for the school community so that such mandates are viewed as an opportunity for improvement within the school ❑ Actively participates in the development of district goals and initiatives directed at improving student achievement	

Comments

Examples of Artifacts:
- Parent involvement in School Improvement Team
- NC Teacher Working Conditions Survey
- PTSA/Booster club operation and participation
- Parent survey results
- Evidence of business partners and projects involving business partners

- Plan for shaping the school's image throughout the community
- Evidence of community support
- Number and use of school volunteers
- _____
- _____

Standard VII: Micro-political Leadership

Principals/assistant principals will build systems and relationships that utilize the staff's diversity, encourage constructive ideological conflict in order to leverage staff expertise, power and influence in order to realize the school's vision for success. The principal/assistant principal will also creatively employ an awareness of staff's professional needs, issues, and interests to build cohesion and to facilitate distributed governance and shared decision making.

School Executive Micro-political Leadership: The principal/assistant principal develops systems and relationships to leverage staff expertise and influence in order to influence the school's identity, culture and performance.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
	. . . and	. . . and	. . . and	
❑ Maintains high visibility and is easily accessible throughout the school	❑ Is aware of the expertise, power and influence of staff members, and demonstrates sensitivity to their personal and professional needs	❑ Builds systems and relationships that utilize the staff's diversity, ideological differences and expertise to realize the school's goals	❑ Creatively employs an awareness of staff's professional needs, issues and interests to build cohesion and to facilitate distributed governance and shared decision-making	

Comments

Examples of Artifacts:

• NC Teacher Working Conditions Survey

• Teacher retention data

• Evidence of visibility and accessibility

• Evidence of shared decision making and distributed leadership

• _____

• _____

• _____

Directions for Completing the Rubric

Completing the Rubric for Self-Assessment

The principal or assistant principal will complete a self-assessment by checking performance descriptors of each of the elements of the rubric. The self-assessment is a personal reflection about one's professional practice to identify strengths and areas for improvement conducted without input from others. Purposes of the self-assessment are to clarify performance expectations, to guide discussions about goal-setting and professional development and program needs, and to provide input to the final, end-of-year ratings. The principal or assistant principal should complete the rubric by checking descriptors that characterize strengths and consider descriptors that have not been checked as areas of improvement. The principal or assistant principal shall measure his or her own performance at the beginning of the year and reflect on his or her performance throughout the year.

Completing the Rubric and Summary/End-of-Year Evaluation Rating Form for Evaluation

To begin the end-of-year evaluation, the superintendent/designee should first complete the rubric. To prepare for completing the rubric, the evaluator should review information from the evaluation process. To complete the Rubric for Evaluating North Carolina Principals/Assistant Principals, the evaluator should begin with the left-hand column and mark each descriptor that describes performance during the period for which the principal or assistant principal is being evaluated. If the evaluator is not able to mark any of the descriptors, the "Not Demonstrated" column is used. In such a case, the evaluator must write a comment about why the principal or assistant principal was not able to demonstrate proficiency on the element.

After the descriptors in the rubric have been checked, each element within a standard can be scored on the Summary/End-of-Year Evaluation Rating Form. Then an overall rating can be documented for the standard. For example, Standard 1: Strategic Leadership has four elements: a) School Vision, Mission and Strategic Goals; b) Leading Change; c) School Improvement Plan; and d) Distributive Leadership. The rating for each element is the lowest rating for which all descriptors are marked. As illustrated in the example on pages 38-39, the principal or assistant principal would be rated as "Proficient" on School Vision, Mission and Strategic Goals even though at least one descriptor for "Accomplished" and "Distinguished" was marked. This is because "Proficient" is the lowest rating for which all descriptors were marked. Likewise, the principal or assistant principal would be rated as "Proficient" on Leading Change, "Developing" on School Improvement Plan, and "Developing" on Distributive Leadership. This would result in an overall rating of "Proficient" for Standard 1 because of the number of marked items in the "Accomplished" and "Distinguished" columns.

When a principal or assistant principal is rated as "Developing" or "Not Demonstrated," the superintendent or designee should strongly encourage the development of a goal to address the area(s) where proficiency has not been reached.

Example of How to Complete the Rubric

This form **must** be completed by the principal/assistant principal as part of the self-assessment process *and* by the superintendent/designee in preparation for the summary/end-of-year evaluation conference.

Standard I: Strategic Leadership

Principals/assistant principals will create conditions that result in strategically re-imaging the school's vision, mission, and goals in the 21st century. Understanding that schools ideally prepare students for an unseen but not altogether unpredictable future, the leader creates a climate of inquiry that challenges the school community to continually re-purpose itself by building on its core values and beliefs about its preferred future and then developing a pathway to reach it.

Element Ia. School Vision, Mission and Strategic Goals: The school's identity, in part, is derived from the vision, mission, values, beliefs and goals of the school, the processes used to establish these attributes, and the ways they are embodied in the life of the school community.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
☑ Develops his/her own vision of the changing world in the 21st century that schools are preparing children to enter	. . . and ☑ Leads and implements a process for developing a shared vision and strategic goals for student achievement that reflect high expectations for students and staff ☑ Maintains a focus on the vision and strategic goals throughout the school year	. . . and ❑ Creates with stakeholders a vision for the school that captures peoples' attention and imagination ☑ Designs and implements collaborative processes to collect and analyze data about the school's progress for the periodic review and revision of the school's vision, mission, and strategic goals	. . . and ❑ Ensures that the school's identity (vision, mission, values, beliefs and goals) actually drive decisions and inform the culture of the school ☑ Initiates changes to vision and goals based on data to improve performance, school culture and school success	

Element Ib. Leading Change: The principal/assistant principal articulates a vision, and implementation strategies, for improvements and changes which result in improved achievement for all students.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
☑ Identifies changes necessary for the improvement of student learning	. . . and ☑ Systematically considers new and better ways of leading for improved student achievement and engages stakeholders in the change process	. . . and ❑ Adapts/varies leadership style according to the changing needs of the school and community ☑ Is comfortable with major changes in implementing processes and accomplishing tasks ☑ Routinely and systematically communicates the impacts of change processes to all stakeholders	. . . and ❑ Is a driving force driving force behind major initiatives that help students acquire 21st century skills ☑ Systematically Challenges the status quo by leading change with potentially beneficial outcomes	

Element Ic. School Improvement Plan: The school improvement plan provides the structure for the vision, values, goals and changes necessary for improved achievement for all students.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
☑ Understands statutory requirements regarding the School Improvement Plan	. . . and ❑ Facilitates the collaborative development of the annual School Improvement Plan to realize strategic goals and objectives ☑ Uses the NC Teacher Working Conditions Survey and other data sources to develop the framework for the School Improvement Plan	. . . and ❑ Facilitates the successful execution of the School Improvement Plan aligned to the mission and goals set by the State Board of Education, the local Board of Education ☑ Systematically collects, analyzes, and uses data regarding the school's progress toward attaining strategic goals and objectives	. . . and ☑ Incorporates principles of continuous improvement and creative 21st century concepts for improvement into the School Improvement Plan	

Element Id. Distributive Leadership: The principal/assistant principal creates and utilizes processes to distribute leadership and decision making throughout the school.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
☑ Seeks input from a variety of stakeholder groups, including teachers and parents/ guardians ☑ Understands the importance of providing opportunities for teachers to assume leadership and decision-making roles within the school	. . . and ❑ Involves parents/ guardians, the community, and staff members in decisions about school governance, curriculum and instruction. ☑ Provides leadership development activities for staff members	. . . and ❑ Ensures that parents/guardians, community members and staff members have autonomy to make decisions and supports the decisions made as a part of the collective decision-making process ☑ Creates opportunities for staff to demonstrate leadership skills by allowing them to assume leadership and decision-making roles	. . . and ❑ Encourages staff members to accept leadership responsibilities outside of the school building ☑ Incorporates teachers and support staff into leadership and decision-making roles in the school in ways that foster the career development of participating teachers	

Comments

Example of How to Complete
Principal/Assistant Principal Summary Evaluation Worksheet

This form may be used to summarize self-assessment and evaluation ratings in preparation for the mid-year and summary/end-of-year evaluation conferences. It may also be used as a record of walkthrough findings.

Name: _____   Date: _____

School: _____   District: _____

Evaluator: _____   Title: _____

Standard I: Strategic Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. School Vision, Mission and Strategic Goals		✔			
B. Leading Change		✔			
C. School Improvement Plan	✔				
D. Distributive Leadership	✔				
Overall Rating for Standard 1		✔			

Standard II: Instructional Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Focus on Learning and Teaching, Curriculum, Instruction and Assessment		✔			
B. Focus on Instructional Time	✔				
Overall Rating for Standard 2		✔			

Standard III: Cultural Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Focus on Collaborative Work Environment			✔		
B. School Culture and Identity				✔	
C. Acknowledges Failures; Celebrates Accomplishments and Rewards	✔				
D. Efficacy and Empowerment	✔				
Overall Rating for Standard 3	✔				

Standard IV: Human Resource Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Professional Development/Learning Communities			✔		
B. Recruiting, Hiring, Placing and Mentoring of Staff		✔			
C. Teacher and Staff Evaluation		✔			
Overall Rating for Standard 4		✔			

Standard V: Managerial Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. School Resources and Budget		✔			
B. Conflict Management and Resolution		✔			
C. Systematic Communication	✔				
D. School Expectations for Students and Staff		✔			
Overall Rating for Standard 5		✔			

Standard VI: External Development Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Parent and Community Involvement and Outreach	✓				
B. Federal, State and District Mandates		✓			
Overall Rating for Standard 6	✓				

Standard VII: Micro-political Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. School Executive Micro-political Leadership			✓		
Overall Rating for Standard 7			✓		

Standard VIII: Academic Achievement Leadership

School executives will contribute to the academic success of students. The work of the school executive will result in acceptable, measurable progress for students based on established performance expectations using appropriate data to demonstrate growth.

An executive's rating on the eighth standard is determined by a school-wide student growth value as calculated by the statewide growth model for educator effectiveness. All local school boards shall use student growth values generated through a method approved by the State Board of Education.

Does not meet expected growth	**Meets expected growth**	**Exceeds expected growth**
The school-wide student growth value is lower than what was expected per the statewide growth model.	The school-wide student growth value is what was expected per the statewide growth model.	The school-wide student growth value exceeds what was expected per the statewide growth model.

Note: Standard VIII is included in the evaluation rubric as part of the overall principal evaluation; however, ratings for this Standard are *not* completed by the evaluator. No further work is needed with Standard VIII to complete the rubric.

Principal/Assistant Principal Summary/End-of-Year Evaluation Rating Form (Required)

The evaluation rubric should be completed by the superintendent/designee prior to the Summary Evaluation Conference.

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

Name: _____

School: _____ School Year: _____

Evaluator: _____ District: _____

Date Completed: _____ Evaluator's Title: _____

Standard I: Strategic Leadership

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. School Vision, Mission and Strategic Goals: The school's identity, in part, is derived from the vision, mission, values, beliefs and goals of the school, the processes used to establish these attributes, and the ways they are embodied in the life of the school community.					
B. Leading Change: The principal/assistant principal articulates a vision and implementation strategies for improvements and changes which result in improved achievement for all students.					
C. School Improvement Plan: The school improvement plan provides the structure for the vision, values, goals and changes necessary for improved achievement for all students.					
D. Distributive Leadership: The principal/assistant principal creates and utilizes processes to distribute leadership and decision making throughout the school.					
Overall Rating for Standard I					

Comments:	Evidence or documentation to support rating:
	___ School Improvement Plan.
	___ NC Teacher Working Conditions Survey.
	___ Evidence of School Improvement Team.
	___ Student achievement and testing data.
	___ Statement of school vision, mission, values, beliefs and goals.
	___ Evidence of stakeholder involvement in development of vision, mission, value, belief and goal statements.
Recommended actions for improvement:	___ Evidence of shared decision making and distributed leadership.
	___ 360 Feedback.
	___ _____
	___ _____
	___ _____

Resources needed to complete these actions:

Standard II: Instructional Leadership

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Focus on Learning and Teaching, Curriculum, Instruction and Assessment: The principal/assistant principal leads the discussion about standards for curriculum, instruction and assessment based on research and best practices in order to establish and achieve high expectations for students.					
B. Focus on Instructional Time: The principal/assistant principal creates processes and schedules which protect teachers form disruption of instructional or preparation time.					
Overall Rating for Standard II					

Comments:

Recommended actions for improvement:

Evidence or documentation to support rating:

___ School Improvement Plan.

___ NC Teacher Working Conditions Survey.

___ Student achievement and testing data.

___ Student drop-out data.

___ Teacher retention data.

___ Documented use of formative assessment instruments to impact instruction.

___ Development and communication of goal-oriented personalized education plans for identified students.

___ Evidence of team development and evaluation of classroom lessons.

___ Use of research-based practices and strategies in classrooms.

___ Master school schedule documenting individual and collaborative planning for every teacher.

___ 360 Feedback.

___ _____

___ _____

___ _____

Resources needed to complete these actions:

Standard III: Cultural Leadership

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Focus on Collaborative Work Environment: The principal/assistant principal understands and acts on the understanding of the positive role that a collaborative environment can play in the school's culture.					
B. School Culture and Identity: The principal/assistant principal develops and uses shared vision, values and goals to define the identity and culture of the school.					
C. Acknowledges Failures; Celebrates Accomplishments and Rewards: The principal/assistant principal acknowledges failures and celebrates accomplishments of the school in order to define the identity, culture and performance of the school.					
D. Efficacy and Empowerment: The principal/assistant principal develops a sense of efficacy and empowerment among staff which influences the school's identity, culture and performance.					
Overall Rating for Standard III					

Comments:

Recommended actions for improvement:

Evidence or documentation to support rating:

___ School Improvement Plan.

___ School Improvement Team.

___ Documented use of School Improvement Team in decision- making.

___ NC Teacher Working Conditions Survey.

___ Student achievement and testing data.

___ Teacher retention data.

___ Existence and work of professional learning communities.

___ Recognition criteria and structure utilized.

___ Evidence of shared decision-making and distributed leadership.

___ 360 Feedback.

___ _____

___ _____

___ _____

Resources needed to complete these actions:

Standard IV: Human Resource Leadership

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Professional Development/Learning Communities: The principal/assistant principal ensures that the school is a professional learning community.					
B. Recruiting, hiring, Placing and Mentoring of Staff: The principal/assistant principal establishes processes and systems in order to ensure a high-quality, high-performing staff.					
C. Teacher and Staff Evaluation: The principal/assistant principal evaluates teachers and other staff in a fair and equitable manner with the focus on improving performance and, thus, student achievement.					
Overall Rating for Standard IV					

Note: If the school's teacher turnover rate, according to the school report card, is above the state average and/or identified as a problem in the school improvement plan, it must be addressed here along with recommendations for improvement. If the turnover is equal to or lower than the state average, the principal must set a goal to at least maintain that rate.

School's Teacher Turnover Rate during previous school year:

School's Teacher Turnover Rate for current school year:

State's Teacher Turnover Rate for current school year:

Teacher Turnover Rate goal for next school year:

Recommendations to achieve teacher turnover goal for next school year:

Comments:

Recommended actions for improvement:

Evidence or documentation to support rating:

_____ School Improvement Plan

_____ NC Teacher Working Conditions Survey.

_____ Student Achievement and testing data.

_____ Teacher retention data.

_____ Master school schedule documenting individual and collaborative planning for every teacher.

_____ Number of National Board Certified Teachers.

_____ Number of teachers pursuing advanced degrees, licensure, National Board certification etc.

_____ Record of professional development provided staff and impact of professional development on student learning.

_____ Mentor records and beginning teacher feedback.

_____ Teacher professional growth plans.

_____ 360 Feedback

_____ _____

_____ _____

_____ _____

Resources needed to complete these actions:

Standard V: Managerial Leadership

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. School Resources and Budget: The principal/assistant principal establishes budget processes and systems which are focused on, and result in, improved student achievement.					
B. Conflict management and Resolution: The principal/assistant principal effectively and efficiently manages the complexity of human interactions so that the focus of the school can be on improved student achievement.					
C. Systematic Communication: The principal/assistant principal designs and utilizes various forms of formal and informal communication so that the focus of the school can be on improved student achievement.					
D. School Expectations for Students and Staff: The principal/assistant principal develops and enforces expectations, structures, rules and procedures for students and staff.					
Overall Rating for Standard V					

Comments: Recommended actions for improvement:	**Evidence or documentation to support rating:** ____ School Improvement Plan. ____ NC Teacher Working Conditions Survey. ____ Master school schedule documenting individual and collaborative planning for every teacher. ____ School safety and behavioral Expectations. ____ School financial information. ____ Dissemination of clear norms and ground rules. ____ Evidence of ability to confront ideological conflict and then reach consensus. ____ Evidence of formal and informal systems of communication. ____ 360 Feedback. ____ _____ ____ _____ ____ _____
Resources needed to complete these actions: 	

Standard VI: External Development Leadership

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Parent and Community Involvement and Outreach: The principal/assistant principal designs structures and processes which result in parent and community engagement, support and ownership for the school.					
B. Federal, State and District mandates: The principal/assistant principal designs protocols and processes in order to comply with federal, state and district mandates.					
Overall Rating for Standard VI					

Comments:

Recommended actions for improvement:

Evidence or documentation to support rating:

___ Parent involvement in School Improvement Team.

___ NC Teacher Working Conditions Survey.

___ PTSA/Booster club operation and participation.

___ Parent survey results.

___ Evidence of community support.

___ Number and use of school volunteers.

___ Plan for shaping the school's image throughout the community.

___ Evidence of business partners and projects involving business partners.

___ 360 Feedback.

____ _____

____ _____

____ _____

Resources needed to complete these actions:

Standard VII: Micro-political Leadership

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. School Executive Micro-political Leadership: The principal/assistant principal develops systems and relationships to leverage staff expertise and influence in order to influence the school's identity, culture and performance.					
Overall Rating for Standard VII					

Comments:	Evidence or documentation to support rating:
	___ NC Teacher Working Conditions Survey.
	___ Teacher retention data.
	___ Evidence of visibility and accessibility.
	___ Evidence of shared decision making and distributed leadership.
	___ 360 Feedback.
Recommended actions for improvement:	___ _____
	___ _____
	___ _____

Resources needed to complete these actions:

_____   _____
Principal/Assistant Principal Signature   Date

_____   _____
Superintendent/Designee Signature   Date

Comments Attached: _____Yes   _____No

_____   _____
Superintendent/Designee Signature   Date

Note: The principal's/assistant principal's signature on this form represents neither acceptance nor approval of the report. It does, however, indicate that the principal has reviewed the report with the evaluator and may reply in writing. The signature of the superintendent/designee verifies that the report has been reviewed and that the proper process has been followed according to North Carolina State Board of Education policy for The North Carolina School Executive: Principal and Assistant Principal Evaluation Process.

Standard VIII: Academic Achievement Leadership

School executives will contribute to the academic success of students. The work of the school executive will result in acceptable, measurable progress for students based on established performance expectations using appropriate data to demonstrate growth.

An executive's rating on the eighth standard is determined by a school-wide student growth value as calculated by the statewide growth model for educator effectiveness. All local school boards shall use student growth values generated through a method approved by the State Board of Education.

Does not meet expected growth	Meets expected growth	Exceeds expected growth
The school-wide student growth value is lower than what was expected per the statewide growth model.	The school-wide student growth value is what was expected per the statewide growth model.	The school-wide student growth value exceeds what was expected per the statewide growth model.

Note: Standard VIII is included in the evaluation rubric as part of the overall principal evaluation; however, ratings for this Standard are *not* completed by the evaluator. No further work is needed with Standard VIII to complete the rubric.

Principal/Assistant Principal Summary Evaluation Worksheet

This form may be used to summarize self-assessment and evaluation ratings in preparation for the mid-year and summary evaluation conferences. It may also be used as a record of walkthrough findings.

Name: _____ Date: _____

School: _____ District: _____

Evaluator: _____ Title: _____

Standard I: Strategic Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. School Vision, Mission and Strategic Goals					
B. Leading Change					
C. School Improvement Plan					
D. Distributive Leadership					
Overall Rating for Standard I					

Standard II: Instructional Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Focus on Learning and Teaching, Curriculum, Instruction and Assessment					
B. Focus on Instructional Time					
Overall Rating for Standard II					

Standard III: Cultural Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Focus on Collaborative Work Environment					
B. School Culture and Identity					
C. Acknowledges Failures; Celebrates Accomplishments and Rewards					
D. Efficacy and Empowerment					
Overall Rating for Standard III					

Standard IV: Human Resource Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Professional Development/Learning Communities					
B. Recruiting, Hiring, Placing and Mentoring of Staff					
C. Teacher and Staff Evaluation					
Overall Rating for Standard IV					

Standard V: Managerial Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. School Resources and Budget					
B. Conflict Management and Resolution					
C. Systematic Communication					
D. School Expectations for Students and Staff					
Overall Rating for Standard V					

Standard VI: External Development Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Parent and Community Involvement and Outreach					
B. Federal, State and District Mandates					
Overall Rating for Standard VI					

Standard VII: Micro-political Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. School Executive Micro-political Leadership					
Overall Rating for Standard VII					

Standard VIII: Academic Achievement Leadership

School executives will contribute to the academic success of students. The work of the school executive will result in acceptable, measurable progress for students based on established performance expectations using appropriate data to demonstrate growth.

An executive's rating on the eighth standard is determined by a school-wide student growth value as calculated by the statewide growth model for educator effectiveness. All local school boards shall use student growth values generated through a method approved by the State Board of Education.

Does not meet expected growth	Meets expected growth	Exceeds expected growth
The school-wide student growth value is lower than what was expected per the statewide growth model.	The school-wide student growth value is what was expected per the statewide growth model.	The school-wide student growth value exceeds what was expected per the statewide growth model.
Standard are *not* completed by the evaluator. No further work is needed with Standard VIII to complete the rubric.		

Appendix A: Optional Evaluation Forms

Goal Setting Worksheet (Optional)

Use this form to identify professional growth goals based on data gathered from artifacts and other sources.

Targeted Professional Growth Goals:

Data Source	Identified Strengths and Growth Areas	Identified Data Patterns or Trends	Corresponding Standard and Element
	Strength:		
	Growth Area:		
	Strength:		
	Growth Area:		
	Strength:		
	Growth Area:		
	Strength:		
	Growth Area:		
	Strength:		
	Growth Area:		
	Strength:		
	Growth Area:		

North Carolina Principal/Assistant Principal Goal Development Form (Optional)

Name: _____ ID#: _____

School: _____ School Year: _____

INSTRUCTIONS: This goal-setting form may be completed by the principal/assistant principal following the self-assessment process. The goals, as well as activities, outcomes and time line, will be reviewed by the evaluator prior to the beginning work on the goals. The evaluator may suggest additional goals as appropriate. It is not necessary to have a goal for each standard.

Standard	Goal(s)	Key Activities/Strategies (What you need to accomplish the goal)	Outcomes (Measurement)	Time Line For Measuring Goal Outcome
1. Strategic Leadership				
2. Instructional Leadership				
3. Cultural Leadership				
4. Human Resource Leadership*				
5. Managerial Leadership				
6. External Development Leadership				
7. Micro-political Leadership				

* A goal for maintaining or improving the school's teacher turnover rate must be included.

Comments:

Principal/Assistant Principal Signature_____Date _____

Superintendent/Designee Signature_____Date _____

Mid-Year Evaluation: Progress Toward Achieving Goals
(Required Meeting; Optional Form)

Name: _____ District: _____

School: _____ School Year: _____

Evaluator: _____ Title: _____

The evaluator determines whether the principal/assistant principal is making acceptable progress toward goal(s) attainment within each standard. Mark this category as **(P) – progressing** or **(NP) – not progressing**.

Goal	P	NP	NA
Standard 1: Strategic Leadership			
Standard 2: Instructional Leadership			
Standard 3: Cultural Leadership			
Standard 4: Human Resource Leadership			
Standard 5: Managerial Leadership			
Standard 6: External Development Leadership			
Standard 7: Micro-political Leadership			

Goal:

Revised Plan/Comment:

Goal:

Revised Plan/Comment

Goal:

Revised Plan/Comment

Principal/Assistant Principal Signature_____Date _____

Superintendent/Designee Signature_____Date _____

Principal/Assistant Principal Evaluation Process Documentation (Optional)

Name: _____ ID#: _____

School: _____ School Year: _____

Evaluator: _____ Title: _____

The North Carolina School Executive: Principal and Assistant Principal Evaluation Process is based, in part, on a formal discussion of performance and conferences conducted on the following dates:

Site Visit Dates	Conf. Dates	Principal's/Assistant Principal's Signature	Superintendent's/Designee's Signature

Mid-year Evaluation Conference Date: _____

Summary Evaluation Conference Date: _____

The Mid-year and Summary Evaluation Conferences are required for every North Carolina principal and assistant principal. In addition, observations and other relevant sources of performance may be considered in determining the final rating.

The guiding mission of the North Carolina State Board of Education is that every public school student will graduate from high school, globally competitive for work and postsecondary education and prepared for life in the 21st century. Pursuant to North Carolina Board of Education Policy, each LEA shall provide for the evaluation of all professional employees pursuant to G.S. 115C-333.

The following rating scale will be used for evaluating North Carolina school principals/assistant principals:

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

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

Appendix B: Code of Ethics for North Carolina Educators
Adopted by the State Board of Education June 5, 1997

Preamble

The purpose of this Code of Ethics is to define standards of professional conduct. The responsibility to teach and the freedom to learn, and the guarantee of equal opportunity for all are essential to the achievement of these principles. The professional educator acknowledges the worth and dignity of every person and demonstrates the pursuit of truth and devotion to excellence, acquires knowledge, and nurtures democratic citizenship. The educator strives to maintain the respect and confidence of colleagues, students, parents and legal guardians, and the community, and to serve as an appropriate role model. The educator exemplifies a commitment to the teaching and learning processes with accountability to the students, maintains professional growth, exercises professional judgment, and personifies integrity. To uphold these commitments, the educator:

I. Commitment to the Student

A. Protects students from conditions within the educator's control that circumvent learning or are detrimental to the health and safety of students.
B. Maintains an appropriate relationship with students in all settings; does not encourage, solicit, or engage in a sexual or romantic relationship with students, nor touch a student in an inappropriate way for personal gratification, with intent to harm, or out of anger.
C. Evaluates students and assigns grades based upon the students' demonstrated competencies and performance.
D. Disciplines students justly and fairly and does not deliberately embarrass or humiliate them.
E. Holds in confidence information learned in professional practice except for professional reasons or in compliance with pertinent regulations or statutes.
F. Refuses to accept significant gifts, favors, or additional compensation that might influence or appear to influence professional decisions or actions.

II. Commitment to the School and School System

A. Utilizes available resources to provide a classroom climate conducive to learning and to promote learning to the maximum possible extent.
B. Acknowledges the diverse views of students, parents and legal guardians, and colleagues as they work collaboratively to shape educational goals, policies, and decisions; does not proselytize for personal viewpoints that are outside the scope of professional practice.
C. Signs a contract in good faith and does not abandon contracted professional duties without a substantive reason
D. Participates actively in professional decision-making process and supports the expression of professional opinions and judgments by colleagues in decision-making processes or due process proceedings.
E. When acting in an administrative capacity:
    1. Acts fairly, consistently, and prudently in the exercise of authority with colleagues, subordinates, students, and parents and legal guardians.
    2. Evaluates the work of other educators using appropriate procedures and established statutes and regulations.
    3. Protects the rights of others in the educational setting, and does not retaliate, coerce, or intentionally intimidate others in the exercise of rights protected by law.
    4. Recommends persons for employment, promotion, or transfer according to their professional qualifications, the needs and policies of the LEA, and according to the law.

III. Commitment to the Profession

A. Provides accurate credentials and information regarding licensure or employment and does not knowingly assist others in providing untruthful information.
B. Takes action to remedy an observed violation of the Code of Ethics for North Carolina Educators and promotes understanding of the principles of professional ethics.
C. Pursues growth and development in the practice of the profession and uses that knowledge in improving the educational opportunities, experiences, and performance of students and colleagues.

Code of Professional Practice and Conduct for North Carolina Educators

The North Carolina State Board of Education (SBE) has adopted rules to establish uniform standards of professional conduct for licensed professional educators throughout the state. These rules have been incorporated into Title 16 of the North Carolina Administrative Code and have the effect of law. These rules shall be the basis for State Board of Education review of performance of professional educators and are binding on every person licensed by the State Board of Education. Violation of the standards shall subject an educator to investigation and possible disciplinary action by the State Board of Education or local school district.

SECTION .0600 - Code of Professional Practice and Conduct for North Carolina Educators

16 NCAC 6C.0601 - The Purpose and Applicability of the Rules of Professional Conduct for\Educators

The purpose of these rules is to establish and uphold uniform standards of professional conduct for licensed professional educators throughout the State. These rules shall be binding on every person licensed by the SBE, hereinafter referred to as "educator" or "professional educator," and the possible consequences of any willful breach shall include license suspension or revocation. The prohibition of certain conduct in these rules shall not be interpreted as approval of conduct not specifically cited.

History Note: Authority G.S. 115C-295.3;
Eff. April 1, 1998.

16 NCAC 6C.0602 - The Standards of Professional Conduct for NC Educators

A. The standards listed in this Section shall be generally accepted for the education profession and shall be the basis for State Board review of performance of professional educators. These standards shall establish mandatory prohibitions and requirements for educators. Violation of these standards shall subject an educator to investigation and disciplinary action by the SBE or LEA.

B. Professional educators shall adhere to the standards of professional conduct contained in this Rule. Any intentional act or omission that violates these standards is prohibited.

   1. Generally recognized professional standards. The educator shall practice the professional standards of federal, state, and local governing bodies.
   2. Personal conduct. The educator shall serve as a positive role model for students, parents, and the community. Because the educator is entrusted with the care and education of small children and adolescents, the educator shall demonstrate a high standard of personal character and conduct.
   3. Honesty. The educator shall not engage in conduct involving dishonesty, fraud, deceit, or misrepresentation in the performance of professional duties including the following:
      a. Statement of professional qualifications;
      b. Application or recommendation for professional employment, promotion, or licensure;
      c. Application or recommendation for college or university admission, scholarship, grant, academic award, or similar benefit;
      d. Representation of completion of college or staff development credit;
      e. Evaluation or grading of students or personnel;
      f. Submission of financial or program compliance reports submitted to state, federal, or other governmental agencies;
      g. Submission of information in the course of an official inquiry by the employing LEA or the SBE related to facts of unprofessional conduct, provided, however, that an educator shall be given adequate notice of the allegations and may be represented by legal counsel; and
      h. Submission of information in the course of an investigation by a law enforcement agency, child protective services, or any other agency with the right to investigate, regarding school-related criminal activity; provided, however, that an educator shall be entitled to decline to give evidence to law enforcement if such evidence may tend to incriminate the educator as that term is defined by the Fifth Amendment to the U.S. Constitution.
   4. Proper remunerative conduct. The educator shall not solicit current students or parents of students to purchase equipment, supplies, or services from the educator in a private remunerative capacity. An educator shall not tutor for remuneration students currently assigned to the educator's classes, unless approved by the local superintendent. An

educator shall not accept any compensation, benefit, or thing of value other than the educator's regular compensation for the performance of any service that the educator is required to render in the course and scope of the educator's employment. This Rule shall not restrict performance of any overtime or supplemental services at the request of the LEA; nor shall it apply to or restrict the acceptance of gifts or tokens of minimal value offered and accepted openly from students, parents, or other persons in recognition or appreciation of service.

5. Conduct with students. The educator shall treat all students with respect. The educator shall not commit any abusive act or sexual exploitation with, to, or in the presence of a student, whether or not that student is or has been under the care or supervision of that educator, as defined below:
    a. Any use of language that is considered profane, vulgar, or demeaning;
    b. Any sexual act;
    c. Any solicitation of a sexual act, whether written, verbal, or physical;
    d. Any act of child abuse, as defined by law;
    e. Any act of sexual harassment, as defined by law; and
    f. Any intentional solicitation, encouragement, or consummation of a romantic or physical relationship with a student, or any sexual contact with a student. The term "romantic relationship" shall include dating any student.

6. Confidential information. The educator shall keep in confidence personally identifiable information regarding students or their family members that has been obtained in the course of professional service, unless disclosure is required or permitted by law or professional standards, or is necessary for the personal safety of the student or others.

7. Rights of others. The educator shall not willfully or maliciously violate the constitutional or civil rights of a student, parent/legal guardian, or colleague.

8. Required reports. The educator shall make all reports required by Chapter 115C of the North Carolina General Statutes.

9. Alcohol or controlled substance abuse. The educator shall not:
    a. Be under the influence of, possess, use, or consume on school premises or at a school-sponsored activity a controlled substance as defined by N.C. Gen. Stat./90-95, the Controlled Substances Act, without a prescription authorizing such use;
    b. Be under the influence of, possess, use, or consume an alcoholic beverage or a controlled substance on school premises or at a school-sponsored activity involving students; or
    c. Furnish alcohol or a controlled substance to any student except as indicated in the professional duties of administering legally prescribed medications.
    d. Compliance with criminal laws. The educator shall not commit any act referred to in G.S. 115C-332 and any felony under the laws of the United States or of any state.

10. Public funds and property. The educator shall not misuse public funds or property, funds of a school-related organization, or colleague's funds. The educator shall account for funds collected from students, colleagues, or parents/legal guardians. The educator shall not submit fraudulent requests for reimbursement, expenses, or pay.

11. Scope of professional practice. The educator shall not perform any act as an employee in a position for which licensure is required by the rules of the SBE or by Chapter 115C or the North Carolina General Statutes during any period in which the educator's license has been suspended or revoked.

12. Conduct related to ethical violations. The educator shall not directly or indirectly use or threaten to use any official authority or influence in any manner that tends to discourage, restrain, interfere with, coerce, or discriminate against any subordinate or any licensee who in good faith reports, discloses, divulges, or otherwise brings to the attention of an LEA, the SBE, or any other public agency authorized to take remedial action, any facts or information relative to actual or suspected violation of any law regulating the duties of persons serving in the public school system including but not limited to these Rules.

History Note: Authority G.S. 115C-295.3;
Eff. May 1, 1998.