THE CENTER FOR THE FUTURE OF Teaching & Learning at WestEd

THE STATUS OF THE TEACHING PROFESSION 2011

Teaching and California's Future

Research conducted by SRI International

California State University
University of California, Office of the President
Public Policy Institute of California

Teaching and California's Future is sponsored by The Center for the Future of Teaching and Learning at WestEd. WestEd, a research, development, and service agency, works with education and other communities to promote excellence, achieve equity, and improve learning for children, youth, and adults. Its Center for the Future of Teaching and Learning advances the mission of WestEd by focusing on California's teacher workforce in order to deliver a rigorous and balanced curriculum for all students, thereby supporting every child's continued intellectual, ethical and social development.

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Full Report

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and

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PREFACE

The Center for the Future of Teaching and Learning at WestEd (the Center) is dedicated to strengthening teacher development policy and practice in California. For more than a decade, the Center has been supporting the Teaching and California's Future initiative to provide objective and timely data on the state's teacher workforce and to make recommendations for program improvements and policies that build a more coherent and effective system of teacher preparation and continuing development. Teaching and California's Future has five central goals:

1. Every student will have fully prepared and effective teachers.
2. Every district will be able to attract and retain fully qualified, effective teachers.
3. Every teacher will work in a safe, clean facility conducive to learning; have adequate materials with which to teach; and have the guidance and support of a capable leader.
4. Every pathway into teaching will provide high-quality preparation and be based on California's standards for what students should know and be able to do.
5. Every teacher will receive high-quality support as he or she begins teaching, as well as continuing professional development to ensure that he or she stays current in his or her field.

Since 1998, the Center has published an annual report on the status of the teaching profession. These reports provide the most recent information available on teacher supply and demand and updates on teacher development policy. In recognition of the important role that principals play in supporting teachers and ensuring students' success, the Center has begun to incorporate data on education leadership into these reports. In spring 2010, the Center commissioned a forum series entitled *Strengthening Teaching Practice: The Roles and Responsibilities of School Site Leaders,* in which participants explored the issues and challenges principals face in their efforts to support teaching quality. The Center released an accompanying policy brief, *School Leadership: A Key to Teaching Quality,* in early 2011. The research conducted for this year's annual report built on the forum series and policy brief. Relying on survey data, interviews, and secondary data, this report focuses on the role of the principal in supporting teaching quality and on the implications of the current fiscal and policy context for principals and teachers as they work to improve student outcomes.

The report is targeted toward a broad audience of state and local policymakers, education leaders, philanthropists, and researchers, with particular attention to issues relevant to state education leaders including the governor, state superintendent of public instruction, legislators, and members of the State Board of Education. Research for this report was conducted by a team at SRI International, an independent research and consulting organization.

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We also thank the Teaching and California's Future Cosponsors, Task Force Members, Advisors, and the staff of the Center for the Future of Teaching and Learning at WestEd and their Board of Directors for their insights and suggestions throughout the development of this report.

Conversations with several education stakeholders were crucial in building our understanding of the current status of the state's public education system. We are especially grateful to Rick Miller of the California Office to Reform Education (CORE), Paula Mishima of the California Department of Education, Anne Padilla of the California Commission on Teacher Credentialing, Sue Stickel of the Sacramento County Office of Education, and Marjorie Suckow of the California Commission on Teacher Credentialing.

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Finally, we thank the many education practitioners who took the time to complete our survey and telephone interviews. Without their participation, this report would not be possible.

EXECUTIVE SUMMARY

Given the demand for an ever more highly educated workforce, preparing students to succeed in the knowledge economy has become increasingly critical. In response, policymakers are calling for higher standards, more meaningful assessments, and greater investment in science, technology, engineering, and mathematics (STEM) education. Indeed, California's state education leaders have made a clear commitment to college and career readiness through the state's adoption of the Common Core State Standards, its participation in the SMARTER Balanced Assessment Consortium to create assessments aligned with the Common Core standards, and its involvement in creating the Next Generation Science Standards.

At the same time, state education leaders face pervasive challenges to improving student outcomes. The steady budget cuts over the past few years have eroded district and school capacity to support teachers and provide needed services to students. While student achievement on state tests has increased slowly but steadily over the last decade, close scrutiny of the data reveals several areas of concern: nearly half of the state's students are still failing to achieve proficiency on these assessments; there is a persistent achievement gap between African American and Latino students and white and Asian students; and other indicators, including the state's high school dropout rate, completion rates for the state's A-G requirements, and pass rates for the California State University Early Assessment Program (designed to identify whether students will need remedial coursework upon entering college) all suggest that many high school students are not graduating with the skills they need to succeed in college and careers. At the same time, increasingly higher benchmarks for meeting federal accountability targets are sending a greater percentage of the state's schools into program improvement status, with accompanying sanctions. The recent adoption of the Common Core State Standards in English language arts and mathematics is likely to raise expectations for teachers and students even more.

At the intersection of these fiscal and policy developments, and given teachers' efforts to promote greater student learning, school leaders take on an increasingly central role. Principals need to balance the competing demands of reduced resources and rising academic expectations, wearing the hats of both beleaguered business manager and knowledgeable instructional leader with the capacity to evaluate and support teachers. And with experienced teachers making up more and more of the state's workforce, the feedback that many teachers want or need to continuously refine their practice requires school leaders to have substantial time, knowledge, and skill.

It is in the context of these conditions for teachers and principals that the Center for the Future of Teaching and Learning at WestEd presents its 13th annual report on the status of the teaching profession in California, focusing on the role of the principal in supporting teaching quality. More specifically, the report discusses fiscal and policy trends, the competing demands of the principalship, implications of budget cuts for principals and teachers, and the state's teacher evaluation system. The report draws on numerous data sources, including a statewide survey of public school principals; interviews with principals, teachers, district officials, and state-level education leaders; and analyses of secondary data, including the limited data available on the composition of the state's teacher workforce.

FISCAL AND POLICY CONTEXT

California's deep budget cuts have forced school districts to make tough decisions about the types of programs and services to scale back while maintaining core operations. Looking ahead, the possibility of additional budget cuts during the middle of the 2011–12 school year has heightened uncertainty about the future. At the same time, the state must begin to prepare an increasingly

experienced teacher workforce to implement the recently-adopted Common Core State Standards and consider how to respond to ongoing questions about the value and purpose of the teacher evaluation system, all while depending on a data system that remains limited in its ability to allow for assessments of state investments in teacher development.

Key findings include:

- The state's financial challenges have resulted in drastic cuts to K–12 public education over the last few years. From 2007–08 through 2010–11, California districts and schools were dealt over $20 billion in cumulative cuts. Districts have responded by increasing class size, laying off teaching and administrative staff, scaling back support and professional development for teachers, and reducing instructional days. One-time federal funds may have staved off the worst of the impact so far, but these funds expire at the end of the 2011–12 academic year, and California educators face uncertainty as they brace for the possibility of substantial midyear budget cuts.
- In 2007–08, the number of K–12 teachers in the workforce had peaked at over 310,000. By 2010–11, the number had dropped to under 287,000. As the teacher workforce has contracted, the composition of the workforce has changed dramatically, with fewer new teachers and underprepared teachers (those without a preliminary or clear credential). The proportion of first- and second-year teachers in the state's teacher workforce declined from approximately 15% in 2000–01 to approximately 5% a decade later, and the proportion of underprepared teachers declined from 14% in 2000–01 to 2% by the end of the decade. As of 2009–10 (the most recent year for which data are available), more than half of the state's teachers (57%) had been in the classroom for over 10 years.
- Enrollment in teacher preparation programs and the number of new teaching credentials issued have declined sharply over the last few years. The number of credentials issued declined by over 40% in 6 years after peaking in 2003–04, and enrollment in teacher preparation programs declined by over 50% between 2001–02 and 2009–10.
- Educator retirements have also been rising steadily since 2005–06. In 2009–10, more than 15,000 educators retired, an increase of 21% over the previous year and the largest percentage increase in over a decade.
- Over the past 14 years, California has made strides to develop a K–12 statewide data system capable of informing policymakers and the public on a variety of important questions about the educator workforce as well as questions about the outcomes associated with state K–12 investments, including investments in professional development for teachers and principals and investments in school improvement. However, barriers—such as the elimination of funding for a system to house data on educators' credentials and teaching authorizations as well as their educational backgrounds—continue to challenge efforts to make a wide range of K–12 education data available to the public in a timely manner. The state's current system for making data publicly available, DataQuest, can only provide a valuable service to schools, school districts, parents, community members, and other education stakeholders if the data are comprehensive and up-to-date.
- California has adopted the Common Core State Standards and is participating in the development of new science standards and an ambitious new student assessment system. The development and rollout of these new standards and assessments will require teachers to significantly modify their instruction to prepare their students to achieve proficiency. To do this, California teachers and administrators—like their colleagues across the country—will need extensive professional development and appropriate

instructional materials and resources. This is likely to be especially difficult to fund given the state's fiscal challenges.

- The movement to reform educator evaluation systems has been gaining momentum, nationally and in California. The California legislature is beginning to consider revisions to the state's teacher evaluation system, including Assembly Bill 5 (Fuentes) which, if passed, will require districts to adopt and implement a teacher evaluation system that uses student growth and evidence of effective teaching practice as measured by multiple observations by trained evaluators. In addition to state legislation, some individual districts are in various stages of conceptualizing, developing, and piloting new educator evaluation systems. For example, in Los Angeles Unified, district leaders are seeking to pilot a new evaluation system that involves the use of student achievement data. However, the issue of using student test data has become quite contentious in that district, leading to two competing lawsuits.

CALIFORNIA'S PRINCIPAL WORKFORCE

Understanding the role that California's school leaders can play in supporting teaching quality and student achievement is of significant interest to policymakers given recent studies that clearly identify links between school leadership and student outcomes. The research identifies *instructional leadership*—i.e., overseeing the school's core functions of teaching and learning—as the component of a principal's job that relates to improved student outcomes. Yet the demands of the principal's job encompass far more than just instructional leadership. Principals must also serve as managers who oversee all that is required to keep the school operational. Numerous studies show that the time required to fulfill the management-related responsibilities is increasingly crowding out time for principals to observe, evaluate, and support teachers.

Despite the importance of the principal, relatively little is known about how California's principals are prepared and supported to take on their many roles. Publicly available data systems provide only very basic information about the principal workforce, such as race, gender, and average years of service in education overall. To provide additional policy-relevant information on California principals' backgrounds, experience, paths to an administrative credential, and induction and inservice training, we collected original data to describe what the principal's job entails and to detail how principals are prepared and supported to fulfill those responsibilities.

Key findings include:

- Principals need substantial time, as well as expertise or access to expertise, to fulfill their multiple responsibilities. Full-time public school principals reported working an average of nearly 60 hours per week, with nearly 15% of principals reporting average workweeks of 70 hours or more. Still, principals face tremendous difficulty simultaneously taking on all that is asked of them. Principals reported that their responsibilities often compete for their attention, and many asserted that it is their ability to serve as an instructional leader that loses in the tug-of-war of competing demands.
- The majority of California's principals are relatively new to the principalship and to their current school, with 51% having been principals for 5 or fewer years and 53% having been principal at their current school for 3 or fewer years. A large majority of principals have prior experience as school administrators, with 72% having served as assistant principals or vice principals in the year immediately before assuming the principalship.
- Principals' prior experience with core job functions varies. The majority of principals reported moderate or significant experience with each of a set of core functions associated with instructional leadership, such as conducting classroom observations

(74%), conducting formal evaluations (63%), and organizing and providing professional support (69% and 64% respectively). Conversely, the majority of principals reported no experience or minimal experience with business and management responsibilities such as developing and managing a budget (59% and 66% respectively), fundraising (52%), or master scheduling (55%). This relative inexperience is especially concerning given that over half of California's principals became principals for the first time in the last 5 years, as budget challenges have been escalating for schools and districts across the state.

- Most California principals (87%) secured their administrative services credentials by participating in a professional administrator preparation program.
- Of the professional development opportunities and supports available to them, principals reported that those they found most valuable were individualized and targeted directly towards their needs, such as opportunities to engage with experts (e.g., coaching, mentoring) or their peers (e.g., principal networks, professional learning communities). The majority of principals reported having opportunities to engage in one or both of these types of activities in their first few years of the principalship. However, more than a quarter of the state's principals (28%), spanning all school types and achievement levels, reported neither receiving coaching/mentoring nor participating in a principals' network or professional learning community.

FISCAL UNCERTAINTY: CALIFORNIA'S NEW NORMAL

Principals have a critical role in strengthening teaching quality at the site level as the key instructional leaders of schools. However, they face real challenges in supporting their teachers in the state's current fiscal climate. Using original data collected from principals and teachers, we illustrate how California's substantial and well-publicized reductions to the K–12 education budget have directly affected teachers and the principals who support them.

Key findings include:

- To tackle massive budget deficits, many California school districts have increased class sizes over the past 4 years. Nearly three fourths of principals (71%) reported that class size at their school has gone up since the 2008–09 school year. Although schools serving all grades have been affected by class size increases, California's elementary schools have been hit especially hard—82% of elementary school principals reported class size increases at their school compared with 68% of middle and high school principals. Additionally, a greater percentage of high-performing schools have experienced an increase in class size (83%) compared with lower-performing schools (64%). A reason for this difference may be that low-performing schools have been able to use extra funding sources, such as funds provided by the Quality Education Investment Act (QEIA), to preserve staff-student ratios.
- Districts are continuing to use furlough days (which can reduce instructional and/or noninstructional days) to balance their budgets. The 2011–12 state budget allows schools to cut an additional 7 instructional days in the event of a midyear budget reduction, which could reduce the number of instructional days this school year to 168—among the lowest of any state in the nation.
- The loss of staff members who support teachers in and out of the classroom has been widespread as districts cut their budgets. More than half of surveyed principals reported that the number of support personnel (ranging from counselors to librarians to instructional aides) has declined since 2008–09.

- State funding for teacher development programs has been both reduced by millions of dollars and subject to categorical flexibility provisions. Facing large reductions in overall revenue, many districts have taken advantage of funding flexibility and have shifted funds away from a variety of programs related to teacher training and development in order to offset shortfalls elsewhere.
- Principal survey results suggest that that the impact of budget cuts on professional development is somewhat nuanced. While nearly one-third (31%) of surveyed principals reported that professional development opportunities for teachers have decreased since 2008–09, 39% reported that professional development has stayed the same, and 30% reported that the amount of professional development has increased. Principals of high-poverty schools and principals of low-performing schools were the most likely to report an *increase* in professional development. The lowest performing and highest poverty schools may have been able to increase professional development during these economic times because of programs and funding sources specifically dedicated to these schools, such as QEIA and federal School Improvement Grants.
- Layoffs of administrative and support staff have forced principals to take on more responsibilities, making it even more difficult for them to serve as instructional leaders. Nearly one-third of principals (31%) reported that the number of school administrators in their schools had decreased since the 2008–09 school year, and half of principals reported that the number of instructional support personnel (e.g., content coaches, mentors) had decreased.
- With cuts to district personnel, some principals are taking on responsibilities that were previously taken care of by their district office. Moreover, districts are increasingly shifting funds away from principal training.

USING TEACHER EVALUATION TO STRENGTHEN TEACHING QUALITY

Education leaders and policymakers at the federal, state, and local levels are increasingly focusing on teacher evaluation as a key lever in the ongoing effort to improve teaching quality. However, the many demands on principals' time—and the concurrent reductions in support for principals—raise questions about principals' abilities to respond to the call for more thorough and meaningful systems of teacher evaluation. In the best of circumstances, teacher evaluation systems support the complex task of ensuring high quality teaching within a given school building by (1) providing educators with meaningful feedback and related support aimed at informing and improving teaching and learning and (2) identifying and removing poor performers. Prior research suggests that California's current evaluation processes serve neither of these purposes especially well. The inadequacy of the teacher evaluation system is most evident when it comes to assessing and informing the ongoing development of experienced teachers who are not underperforming—presumably the vast majority of the teacher workforce.

Key findings include:

- While the basic framework for a statewide teacher evaluation system has been in place since 1971, specific teacher evaluation processes are negotiated locally. The California Stull Act defines the scope of evaluation to include the progress of pupils toward state-adopted academic content standards as measured by state-adopted criterion-referenced assessments; the instructional techniques and strategies used by the teacher; the teacher's adherence to curricular objectives; and the establishment and maintenance of a suitable learning environment, within the scope of the teacher's responsibilities.

- Regardless of whether teachers are tenured or probationary, the activities that principals reported "always" occur as part of the formal evaluation process are similar. For both tenured and probationary teachers, principals typically meet with teachers for a pre-observation conference, followed by an announced observation and a post-observation conference in which the completed observation form is provided to the teacher. Three in five principals also review student results on state tests.
- Whether through the formal evaluation process or more informal means, principals rely on a wide set of strategies to assess teaching quality. More than half of principals find unannounced classroom observations and reviews of student scores on both benchmark and state achievement tests very valuable for assessing teaching quality. Many of the strategies that the most principals find valuable for assessing teaching quality are those they reported were least likely to be part of the formal evaluation process.
- New principals have varied levels of evaluation-related experience to draw on when they first take on the work of evaluating teachers. Nearly three fourths of principals (74%) reported having "moderate" or "significant" experience conducting classroom observations or walk-throughs before becoming a principal, and about three in five (63%) reported having moderate or significant experience evaluating teachers. Whether principals receive training in these areas once on the job also varies.
- Less than half of principals report that formal performance evaluation of teachers is used to a great extent to inform key school decisions about improving teaching quality. Similarly, just under half (45%) reported that teacher evaluation informs, to a great extent, whether or not a teacher is retained. About one third (34%) agreed that the formal evaluation process results in the removal of ineffective teachers, though only 5% strongly agreed.
- Teachers and principals alike were consistent in stating that the formal evaluation process does not easily allow for formative feedback for teachers, limiting the extent to which teachers can use results of their formal evaluations to inform ongoing professional growth.
- Principals identified a wide range of challenges associated with improving teaching quality. Nearly three in four principals (73%) cited the "overly cumbersome procedures" for removing a teacher identified as unsatisfactory as a serious barrier to improving teaching quality. Nearly half of California principals (49%) noted the role that seniority plays in staffing decisions as a serious barrier. Significant percentages of principals also identified limited resources, both in terms of time and finances, as serious barriers. Approximately one in three principals cited insufficient time to observe teachers for formal evaluation (34%) and insufficient time to debrief with all teachers after classroom observations (30%) as serious barriers to improving teaching quality. Likewise, 35% noted limited resources to support the specific professional development needs of each teacher as a serious barrier, while 32% of principals identified limited resources to support schoolwide professional development needs.
- Principals of schools that are struggling academically were more likely to identify high teacher turnover, difficulty recruiting, and the role seniority plays in staffing decisions as barriers to improving teaching quality.

* * *

Our discussion of these issues associated with the role of the principal in supporting teaching quality is intended to be instructive to state education leaders including the governor, state

superintendent of public instruction, legislators, and members of the State Board of Education, as well as to a broad range of policymakers, practitioners, philanthropists, researchers, and other education stakeholders. We turn now to the Center for the Future of Teaching and Learning at WestEd's recommendations for these groups.

RECOMMENDATIONS FROM THE CENTER FOR THE FUTURE OF TEACHING AND LEARNING AT WESTED

The Center for the Future of Teaching and Learning at WestEd believes that in this challenging high-stakes environment, ensuring teacher effectiveness is fundamental to helping students reach today's high academic standards. The report offers recommendations to address the following four areas identified as essential to support teachers, principals, and policymakers in improving education outcomes for all students, particularly as the state and local districts prepare for delivery of the Common Core Standards:

1. Reinvent evaluation and support for teachers to focus on student learning, with the goal of improving both teaching and learning.
2. Reinvent evaluation and support for principals to focus on improved teaching and learning, as well as improvement of their own practice.
3. Support both principals and teachers in transitioning to the newly adopted Common Core Standards.
4. Ensure that California has a trustworthy and easily accessible data system for teacher and principal information.

CHAPTER 1
INTRODUCTION

Given the demand for an ever more knowledgeable and highly skilled workforce, preparing students to succeed in the knowledge economy has become increasingly important—as echoed in policy debates about higher standards, more meaningful assessments, and greater investment in science, technology, engineering, and mathematics (STEM) education. Indeed, California's state education leaders have made a clear commitment to college and career readiness through the state's adoption of the Common Core State Standards, its participation in the SMARTER Balanced Assessment Consortium to create assessments aligned with the Common Core standards, and its involvement in creating the Next Generation Science Standards.

At the intersection of fiscal and policy developments and teachers' efforts to promote greater student learning, school leaders take on an increasingly central role.

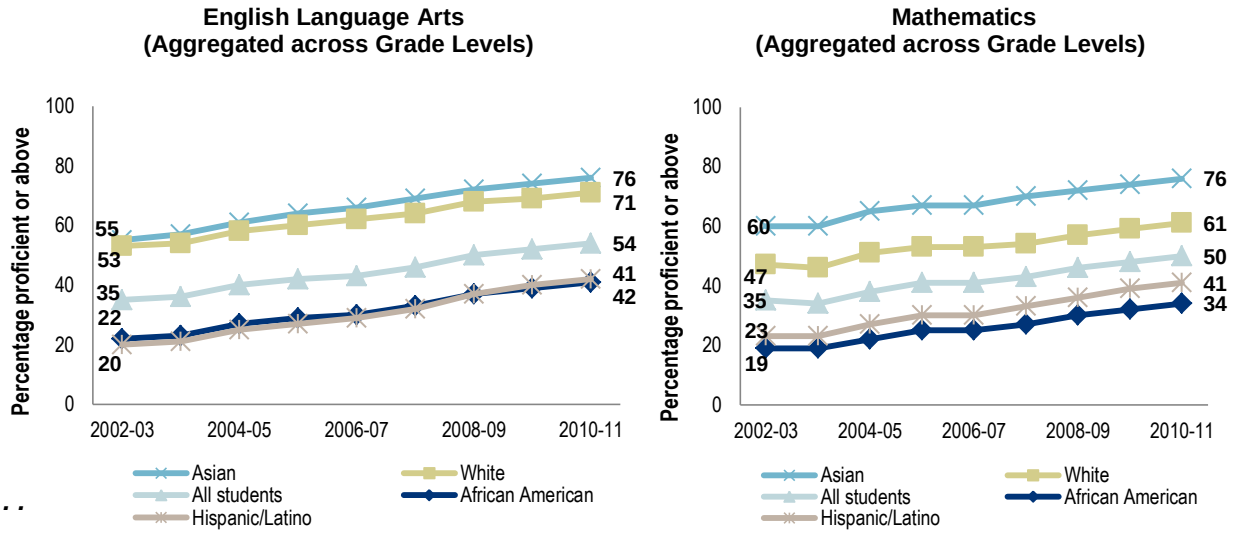
At the same time, state education leaders face pervasive challenges to improving student outcomes. The steady budget cuts over the past few years have eroded district and school capacity to support teachers and provide needed services to students. Concurrently, increasingly higher benchmarks for meeting federal accountability targets are sending a higher percentage of the state's schools into program improvement status. The recent adoption of the Common Core State Standards in English language arts and mathematics is likely to raise expectations for teachers and students even more. At the intersection of these fiscal and policy developments and teachers' efforts to promote greater student learning, school leaders take on an increasingly central role. Principals need to balance the competing demands of resource reduction and rising expectations, wearing the hats of both beleaguered business manager and knowledgeable instructional leader with the capacity to evaluate and support teachers.

In this introductory chapter, we review recent achievement trends in California and then place them within the context of the evolving policy landscape. We then identify the implications of these developments for school leaders. We end with a review of the Teaching and California's Future initiative and a description of the rest of the report.

ACHIEVEMENT TRENDS IN CALIFORNIA

Since the introduction of the California Standards Tests (CSTs) in 2002–03, student achievement on state assessments has increased slowly but steadily, a promising development. However, close scrutiny of the data uncovers areas of concern. Overall proficiency rates still hover around 50%, meaning that nearly half the state's students are failing to meet the state's academic standards. More troubling is the fact that the achievement gap between African American and Latino students and white and Asian students shows little sign of narrowing (Exhibit 1-1).

Exhibit 1-1
CST Results by Ethnicity, 2002–03 through 2010–11



For source and technical information, see Appendix B.

"More than 60 percent of the . . . freshmen admitted to the CSU require remedial education in English, mathematics, or both."

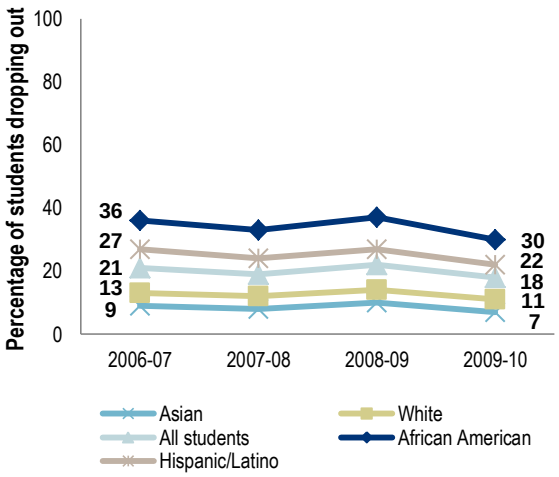
Importantly, achievement at the proficient level or above does not necessarily signal that a student is on track toward college and career readiness. Other indicators—such as the completion rate for the state's A-G requirements and the pass rate for the California State University (CSU) Early Assessment Program (EAP), a program designed to identify whether students will need remedial coursework upon entering college—have remained largely flat (A-G) or increased more gradually and from a lower baseline than CST scores (EAP) over the last several years (Exhibit 1-2). In fact, according to the EAP website:

> More than 60 percent of the nearly 40,000 first-time freshmen admitted to the CSU require remedial education in English, mathematics, or both. These 25,000 freshmen all have taken the required college preparatory curriculum and earned at least a B grade point average in high school. The cost in time and money to these students and to the state is substantial. Moreover, these students are confused by seemingly having done the right things in high school only to find out after admission to the CSU that they need further preparation (California State University, 2011).

Furthermore, California Department of Education data on the high school dropout rate reveals that nearly a fifth of California's ninth graders do not graduate at all. Across all of these indicators, the gap among student racial/ethnic groups persists. Lower percentages of Latino and African American students are college and career ready in comparison to their Asian and white counterparts.

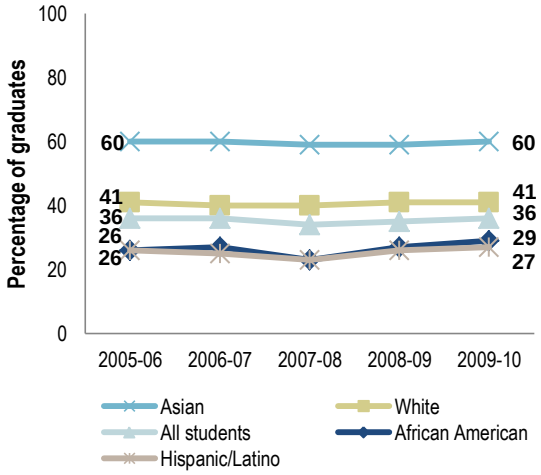
Exhibit 1-2
College and Career Readiness Indicators for California High School Students

Four-Year Adjusted Derived Dropout Rate, 2006–07* through 2009–10



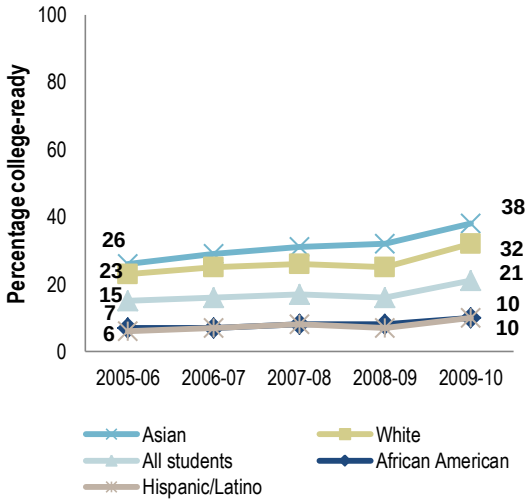
*Data before 2006–07 not comparable to subsequent years because of changes in method used to calculate dropout rate.

Statewide Completion Rates for A-G Requirements, 2005–06 through 2009–10

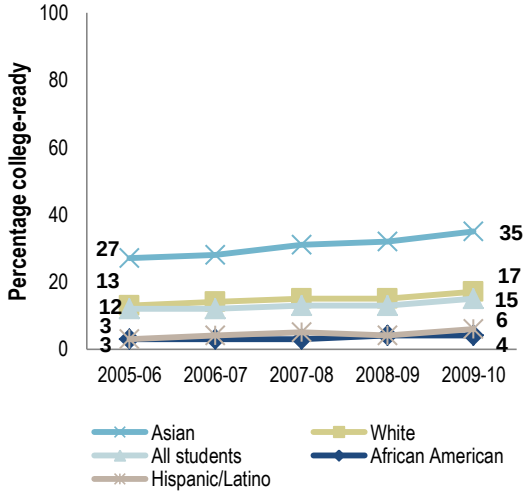


Lower percentages of Latino and African American students are college and career ready in comparison to their Asian and white counterparts.

Pass Rates for Early Assessment Program, 2005–06 through 2009–10 (English)



Pass Rates for Early Assessment Program, 2005–06 through 2009–10 (Math)



For source and technical information, see Appendix B.

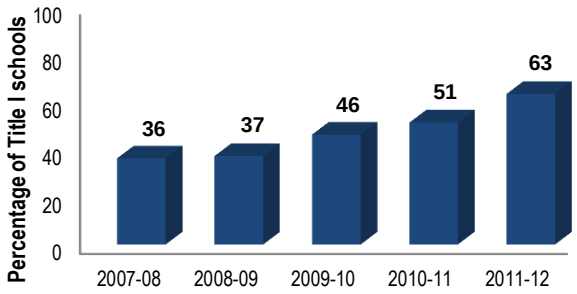
THE SHIFTING POLICY LANDSCAPE

The current achievement trajectory is nowhere near steep enough to meet federal accountability requirements. As a result, each year an increasingly higher proportion of schools are identified as in need of improvement under federal guidelines, with accompanying sanctions (Exhibit 1-3). Although reauthorization of the federal Elementary and Secondary Education Act (ESEA) is on the horizon and waivers for No Child Left Behind (NCLB) accountability requirements may be

The current achievement trajectory is nowhere near steep enough to meet federal accountability requirements.

possible down the road, the NCLB accountability sanctions are likely to remain in place in California at least for the short term. High-level state education officials have expressed concerns that California will not be able to meet all of the waiver requirements.[1]

Exhibit 1-3
Percentage of California Title I Schools in Program Improvement



Note: Schools in any stage of Program Improvement (i.e., Year 1 through Year 5) were included in this exhibit.
For source and technical information, see Appendix B.

Due to the rollout of the Common Core State Standards, California plans to transition to a new assessment system in 2014–15. Implications for teachers and school leaders are considerable because the new Common Core–aligned assessments will require teachers to prepare their students to demonstrate college and career readiness through critical thinking, communication, and other applied skills. These changes are expected to necessitate substantial training and support for teachers—both those already in the classroom and those in the early stages of the teacher development pipeline—and their school leaders. Yet as we documented in detail in *California's Teaching Force 2010: Key Issues and Trends*, teachers are currently receiving less support at all stages of the teacher development system as a result of budget cuts, with responsibility for professional development increasingly being left to site leaders and to teachers themselves (Bland et al., 2010). Moreover, the rollout of these new assessments in 2014–15 is projected to precede the adoption of new Common Core–aligned instructional materials by several years.

A FOCUS ON PRINCIPALS

With policymakers concentrating on efforts to ensure teaching quality and improve student outcomes, school leadership has taken on elevated importance. Research points to the important roles that principals play in supporting quality teaching and improved student achievement. As we described in the 2011 policy brief *School Leadership: A Key to Teaching Quality*, numerous empirical studies have shown that the principal's influence is second only to classroom instruction in school-related factors that contribute to student learning and achievement (The Center for the Future of Teaching and Learning, 2011). More specifically, a recent report that aggregated the findings from studies of effects of school leadership on student outcomes revealed that dimensions of instructional leadership had the strongest average effects on student

[1] As of early November 2011, 40 states plus the District of Columbia and Puerto Rico had signaled their intent to apply for a waiver; California was not among them (McNeil, 2011). Because the State Board of Education did not make a decision to apply for a waiver at its November 2011 meeting, the state effectively passed up two application deadlines (November 2011 and February 2012). At the conclusion of the 2011–12 school year, the state will have a final opportunity to apply for a waiver.

achievement—specifically, by promoting and participating in teacher learning and development and by planning, coordinating, and evaluating teaching and the school's instructional program (Robinson, Lloyd, & Rowe, 2008).

Although direct support of teachers and teaching quality may be the most immediate route by which principals influence student achievement, the principal's job entails much more than instructional leadership. In fact, their role as a school's instructional leader competes with a large and increasing set of business and management-related responsibilities that keep the school operational and the teachers focused on instruction. Both sets of responsibilities are difficult to do individually, but with budget cuts limiting support from district and school staff and accountability pressure intensifying, the job is only getting harder. As we detail in this report, principals have more to do, less time to do it, fewer people to help and fewer other sources of support, and higher stakes to contend with.

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TEACHING AND CALIFORNIA'S FUTURE 2011

This 13th annual report on the status of the teaching profession in California focuses on the role of the principal in supporting teaching quality. The report is based on several original data sources, including a survey of a representative sample of more than 600 K–12 public school principals from across the state, stratified by school type and Academic Performance Index (API) level; follow-up phone interviews with a subset of these principals to learn more detail about their roles and responses to policy trends; phone interviews with experienced and accomplished K–12 teachers from across the state who are associated with organizations designed to contribute teacher voice to education policy discussions (Accomplished California Teachers, the California Teacher Advisory Council, and the Center for Teaching Quality); phone interviews with administrators in a subset of focus districts from around the state; and phone interviews with a number of state-level education leaders. The report also draws on secondary data on the composition of the teacher workforce;[2] reviews of literature, legislation, regulations (e.g., California Education Code), and state-level budget documents; and publicly available background documents (e.g., budget documents, teacher contracts) from focus districts.

The report is organized as follows:

This 13th annual report on the status of the teaching profession in California focuses on the role of the principal in supporting teaching quality.

- Chapter 2 provides an overview of fiscal and policy trends affecting teachers and principals. The chapter addresses issues related to the California state budget, resulting changes to California's teacher workforce, and the availability of statewide student and teacher data and then discusses ongoing state policy developments influenced by the federal policy emphasis on college- and career-ready standards and teacher effectiveness.
- Chapter 3 describes California's principal workforce, documenting the demands of the job and the preparedness of California's principals to take on those demands.
- Chapter 4 examines the on-the-ground implications of California's budget challenges for teachers and for principals' efforts to support teaching quality.
- Chapter 5 explores California's current teacher evaluation system and considers teacher evaluation systems as a possible avenue for providing supports at various stages of a teacher's career.

[2] To facilitate comparisons between different subsets of the population, we divided data in demographic categories of interest (e.g., API, poverty) into terciles. All reported comparisons of survey data across demographic categories (e.g., API tercile, poverty tercile, school type) are statistically significant at $p < .05$ unless otherwise noted. See Appendix A for information on research methods, Appendix B for additional graphs and technical information on secondary data, and Appendix C for technical information on survey data.

The report concludes with a summary and a set of policy recommendations from the Center for the Future of Teaching and Learning at WestEd.

CHAPTER 2
FISCAL AND POLICY CONTEXT

California's deep budget cuts have had a dramatic impact on the state's public school system. Districts have had to make tough decisions about where to scale back services and supports while maintaining core operations. Looking ahead, the possibility of additional budget cuts during the middle of the 2011–12 school year has heightened uncertainty about the future. These cumulative cuts and ongoing difficult budget choices have wide-ranging implications for teachers, students, and their school leaders. The teacher workforce is shrinking, with fewer new teachers entering the profession each year. Significantly, because of budget constraints, many districts are not hiring new teachers. As a result, over time the teacher workforce is becoming more experienced—meaning that efforts to improve teaching quality have to focus on the needs of more experienced teachers. During this time of fiscal uncertainty and diminishing resources, teachers, students, and school leaders face increased expectations for performance. The introduction of the Common Core State Standards and their associated assessments create new expectations for what and how teachers should teach and how students will demonstrate their academic proficiency and readiness for college and career opportunities. At the same time, the value and purpose of the teacher evaluation system are being questioned, with efforts at the federal, state, and local levels to use the evaluation process as a means to improve teaching quality.

The teacher workforce is becoming more experienced—meaning that efforts to improve teaching quality have to focus on the needs of more experienced teachers.

This chapter draws on policy documents and interviews with state-level education leaders to describe recent fluctuations in state funding for K–12 education and to discuss the state-level implications of federal education priorities and national policy trends. This chapter also draws on available secondary data to describe characteristics of the teacher workforce—such as the proportion of teachers with various levels of experience—that have implications for how school leaders and the teacher development system can best support teachers. As we describe in this chapter, much of the more detailed teacher workforce data that we typically present as part of reports for the Teaching and California's Future Initiative was not publicly available for the 2009–10 or 2010–11 academic years.[3] Where possible, data that were not publicly available were obtained by special request from state agencies, and the results of those analyses are included in this chapter. To provide further context on the issues that have limited data availability, we also describe the current status of the state's efforts to implement a statewide K–12 education data system.

THE STATE BUDGET CRISIS

The state's financial challenges have resulted in drastic cuts to K–12 public education over the last few years. From 2007–08 through 2010–11, California districts and schools were dealt over $20 billion in cumulative cuts. Districts have responded by increasing class size, laying off teaching and administrative staff, scaling back support and professional development for teachers, and reducing instructional days. One-time federal funds, including $6.1 billion from the American Recovery and Reinvestment Act of 2009 and $1.2 billion from the Education Jobs Fund Act of 2010, may have staved off the worst of the impact so far. According to a February 2011 survey of California's school districts by the Legislative Analyst's Office (LAO), California school districts have "relied heavily" on this federal aid (LAO, 2011a). These funds expire at the end of the 2011–12 academic year, however, and similar federal funds are unlikely to be available in the future. The LAO's survey findings also indicated that districts have been relying on the

From 2007–08 through 2010–11, California districts and schools were dealt over $20 billion in cumulative cuts.

[3] For a more detailed discussion of these issues, also see *California's Teaching Force 2010: Key Issues and Trends* (Bland et al., 2010).

state provisions that allow them flexibility in the use of categorical funds, and that districts have been tapping into reserves and borrowing money, to reduce the impact of budget shortfalls on teachers and students.

Bracing for the possibility of substantial midyear budget cuts, California educators face uncertainty.

In June 2011, the legislature passed and Governor Jerry Brown signed the 2011–12 state budget bill (SB 87, 2011) and the associated education trailer bill (AB 114, 2011). The state budget kept K–12 funding for the 2011–12 school year flat relative to 2010–11 levels. To balance the budget without raising taxes, however, legislators built in an extra $4 billion in projected revenue during the next fiscal year, based on higher than expected tax revenue through May 2011. If revenues are not sufficiently high by December 2011, districts will need to respond to a "mid-year trigger" specified in the education trailer bill that would cut state funding for K–12 education halfway through the academic year.[4]

The trailer bill prevents districts from laying off teachers to accommodate potential midyear cuts but authorizes them to eliminate up to 7 additional instructional days, in addition to the 5 days that they are already allowed to drop (for a total of 12 instructional days) during the academic year. However, furlough days are still subject to collective bargaining and thus must be negotiated with local unions before the end of the 2011–12 school year.[5]

In California, where districts depend heavily on state-level funding to balance their own books, such an unpredictable fiscal forecast has prevented districts from restoring cut programs or services, and in many cases has led to further cuts.

The decision to make midyear cuts will be made by December 15, 2011. The Department of Finance will make the determination after reviewing the LAO's analyses of state revenue as well as its own revenue estimate and will use the higher of the two revenue estimates. The LAO revenue estimate, which was released in mid-November 2011 based on the first 4 months of the fiscal year (July–October 2011), projected that 2011–12 state revenue would fall $3.7 billion below the projection assumed in the budget passed in June 2011 (LAO, 2011b). The Department of Finance's estimate, to be released in December, will include an additional month of revenues. The automatic spending reductions will be triggered if revenues are not as high as expected.

In California, where districts depend heavily on state-level funding to balance their own books, such an unpredictable fiscal forecast—combined with current funding levels that fall far short of the prerecession years before the suspension of Proposition 98—has prevented districts from restoring cut programs or services, and in many cases has led to further cuts. (In Chapter 4, we discuss in detail how these budget cuts and this ongoing uncertainty continue to affect school leaders, teachers, and the students they serve.)

THE CALIFORNIA TEACHER WORKFORCE

The state's teacher workforce is changing dramatically in response to California's recent economic challenges. However, because of weaknesses in the state's data systems, a full complement of up-to-date information on the workforce remains elusive.

[4] The extent of the cuts will be determined by the revenues from the first few months of the 2011–12 fiscal year. If revenue projections fall $2 billion or more short of the $4 billion estimated in the budget bill, then there will be up to approximately $1.54 billion in cuts to K–12 education (or 4% cut to revenue limits) and $248 million to eliminate the home-to-school bus transportation program. These cuts will be made in full if the revenue shortfall reaches the full $4 billion, and will be prorated for any shortfall amount between $2 billion and $4 billion.

[5] State law requires teachers to work at least 175 days to receive credit for a full year toward their pension. AB 114 did not change this. Note also that these reductions to the number of instructional days on the academic calendar are in addition to the elimination of teacher professional development days in some districts.

In response to budget shortfalls, districts have reduced teaching staff and are hiring fewer new teachers.

Budget cuts, resulting teacher layoffs and reluctance to hire new teachers, and a slow decline in student enrollment from 2004–05 to 2009–10[6] have contributed to a decline in the number of teachers statewide. In 2007–08, the number of K–12 teachers in the workforce had peaked at over 310,000. By 2010–11, the number was under 287,000 (see Exhibit B-1 in Appendix B).[7]

The process of sending out thousands of layoff notices to teachers has become an annual occurrence over the last few years as a direct response to the budget uncertainty. Facing an unclear 2011–12 budget outlook, districts issued approximately 19,000 layoff notices in March 2011 (Associated Press, 2011). By summer 2011, some districts had rescinded many or all layoff notices, whereas others maintained their layoffs to protect against the possibility of midyear shortfalls.

Perhaps one of the biggest impacts of the budget cuts and the state's ongoing fiscal uncertainty is that many districts and schools are simply not hiring. Consequently, the proportion of first- and second-year teachers in the state's workforce declined from approximately 15% in 2000–01 to approximately 5% in 2010–11 (Exhibit 2-1). The proportion of underprepared teachers (those without a preliminary or clear credential) has similarly declined, from 14% in 2000–01 to 2% in 2009–10 (Exhibit 2-2).[8] This steady decline of underprepared teachers coincides with several events that have discouraged districts from employing underprepared teachers or created conditions under which districts were not compelled to hire such teachers. For example, a federal NCLB requirement that all teachers in core subjects be "highly qualified"[9] placed pressure on Title I schools to eliminate the hiring of teachers without full credentials (CDE, 2011a). In 2006, state legislation (SB 1209) was passed to bolster teacher preparation, to change credentialing requirements by limiting the length of service of teachers without full credentials, and to provide incentives to districts to distribute novice teachers more equitably. In the last few years, teacher layoffs associated with widespread district budget shortfalls have reduced the demand for teachers and consequently the need to hire individuals who have not completed the requirements for a full credential.

The proportion of first- and second-year teachers in the state's workforce declined from approximately 15% in 2000–01 to approximately 5% in 2010–11. The proportion of underprepared teachers (those without a preliminary or clear credential) has similarly declined.

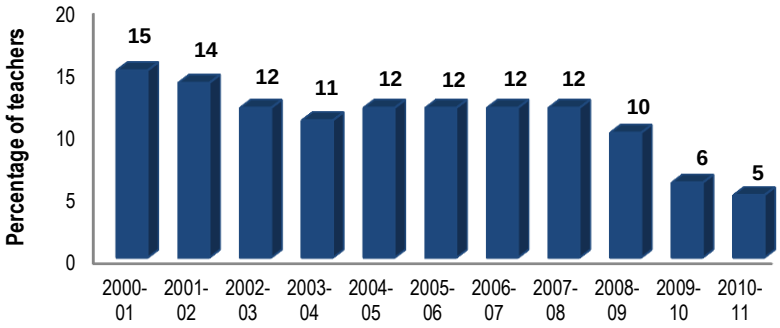
[6] In 2010–11, statewide student enrollment increased by just over 25,000 students, but enrollment numbers remained more than 100,000 below the 2004–05 peak. Additionally, enrollment trends vary by school level (i.e., elementary, middle, high) (see Exhibit B-2 in Appendix B).

[7] Note that as a result of the implementation of a new statewide data system (the California Longitudinal Pupil Achievement Data System, or CALPADS), a very small number of schools (24 out of more than 11,000) were not included in the 2010–11 data set.

[8] As a result of the implementation of CALPADS, the calculation of the percentage of underprepared teachers changed in 2009–10. Although the change in calculation does not allow strict comparison between the academic year of 2009–10 and previous years, the decline of underprepared teachers over the last decade follows an expected trend. Also note that 2010–11 data were not available at the time this report was published.

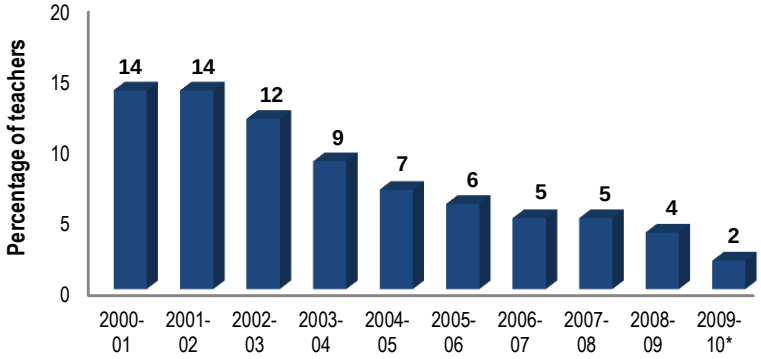
[9] According to the California Department of Education, "the Elementary and Secondary Education Act (ESEA) requires all teachers of core academic subjects to demonstrate ESEA teacher quality compliance. The federal definition of a Highly Qualified Teacher (HQT) is threefold: teachers must hold at least a bachelors degree, be appropriately licensed by the state, and demonstrate subject matter competency" (CDE, 2011a).

Exhibit 2-1
Percentage of First- and Second-Year Teachers in the Overall State Teacher Workforce, 2000–01 through 2010–11



For source and technical information, see Appendix B.

Exhibit 2-2
Percentage of Underprepared Teachers in the Overall State Teacher Workforce, 2000–01 through 2009–10



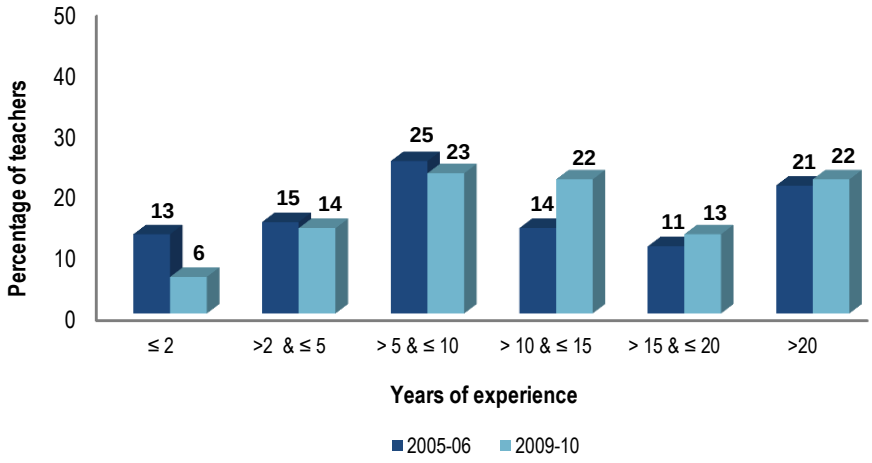
For source and technical information, see Appendix B.

*As a result of the implementation of the new statewide data system, the California Longitudinal Pupil Achievement Data System (CALPADS), the calculation of the percentage of underprepared teachers changed in 2009–10. Although the change in calculation does not allow for a strict comparison between 2009–10 and previous years, the decline of underprepared teachers over the last decade follows the expected trend.

A more detailed look at overall experience underscores the growing percentage of experienced teachers across the state. In addition to the small proportion of teachers who were in their first or second year as of 2009–10 (the most recent year for which data are available), 14% were in their third, fourth, or fifth year of teaching; more than half of the state's teachers (57%) had been in the classroom for over 10 years (Exhibit 2-3).

As of 2009–10, more than half of the state's teachers (57%) had been in the classroom for over 10 years.

Exhibit 2-3
Statewide Percentage of Teachers by Years of Experience, 2005–06 and 2009–10



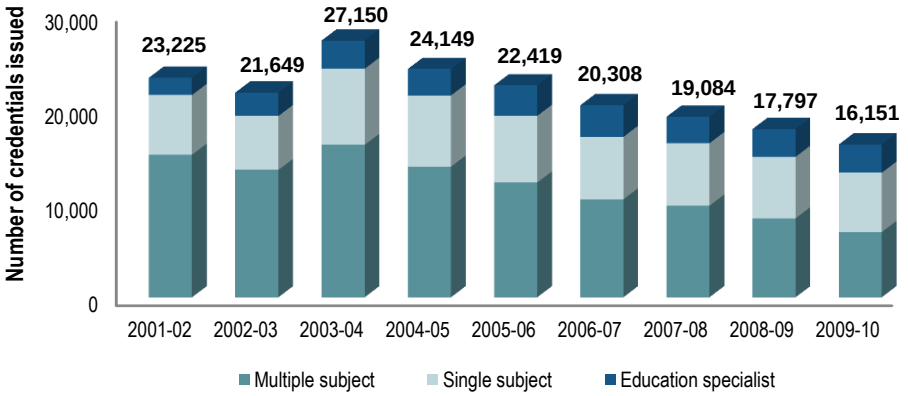
Note that the percentage of teachers with two years of experience or less in 2005–06 that appears in this exhibit is one percentage point higher than that same group in Exhibit 2-1. This discrepancy can be attributed to the fact that the data for the two exhibits comes from different sources: the data for Exhibit 2-1 comes directly from DataQuest, and the data for Exhibit 2-3 comes from the PAIF downloadable file. For further source and technical information, see Appendix B.

The number of credentials issued declined by over 40% in 6 years after peaking in 2003–04, and enrollment in teacher preparation programs declined by over 50% between 2001–02 and 2009–10.

Consistent with the shift toward fewer new teachers in the workforce, enrollment in teacher preparation programs and the number of new teaching credentials issued have both declined over the last few years. The number of credentials issued declined by over 40% in 6 years after peaking in 2003–04 (Exhibit 2-4), and enrollment in teacher preparation programs declined by over 50% between 2001–02 and 2009–10 (Exhibit 2-5). Furthermore, because the most recent teacher preparation enrollment data are for the 2009–10 academic year, these data do not reflect the full brunt of the continuing budget crisis. Teacher preparation enrollment numbers may be substantially lower now because of cuts at university teacher preparation programs and potential loss of interest in the profession, as documented in *California's Teaching Force 2010* (Bland et al., 2010).[10]

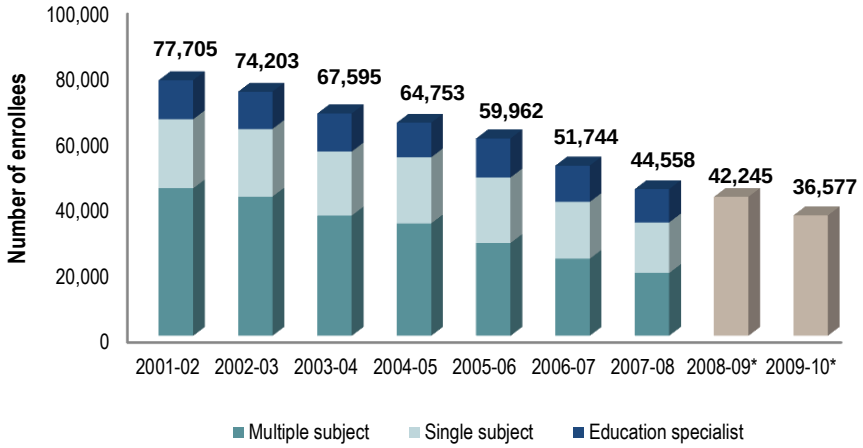
[10] Teacher preparation programs vary in length from one-year to three-year programs. In addition, institutions of higher education offer both full- and part-time programs. Therefore, in any given year, the number of candidates enrolled in teacher preparation programs will be higher than the number issued credentials in the following year.

Exhibit 2-4
New Preliminary Teaching Credentials Issued by Universities, 2001–02 through 2009–10



For source and technical information, see Appendix B.

Exhibit 2-5
Number of Enrollees in Teacher Preparation Programs, 2001–02 through 2009–10



*As of 2008–09, the California Commission on Teacher Credentialing no longer releases breakdowns by credential type.
For source and technical information, see Appendix B.

In 2009–10, more than 15,000 educators retired, an increase of 21% over the previous year and the largest percentage increase in over a decade.

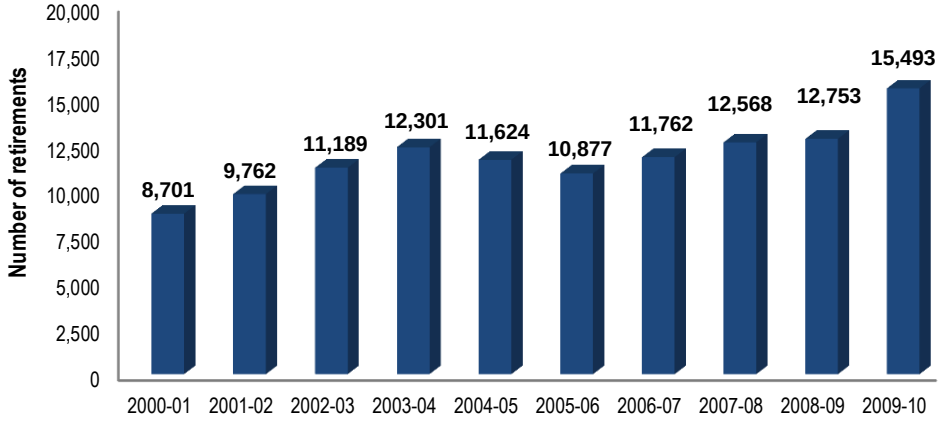
The number of educators retiring rose significantly between 2008–09 and 2009–10.

Educator retirements have also been rising steadily since 2005–06. In 2009–10, more than 15,000 educators retired, an increase of 21% over the previous year and the largest percentage increase in over a decade (Exhibit 2-6).[11] Publicly available retirement data do not provide details on the factors that explain this trend in rising retirements, yet it likely reflects some combination of the aging of the workforce, district incentives for early retirements, and other factors. In addition, publicly available retirement statistics include all California State Teachers' Retirement System (CalSTRS) members from prekindergarten through twelfth grade teachers, public school

[11] In 1997–98, retirements increased by nearly 22%, from 6,011 in 1996–97 to 7,332 in 1997–98.

administrators, and community college instructors. The retirement trends for these different member groups could be very different. Any substantial wave of retirements at the community college level could have a large impact on these retirement statistics given the size of the state's community college system—112 campuses serving more than 2.9 million students.

Exhibit 2-6
Number of California State Teachers' Retirement System (CalSTRS) Membership Retirements, 2000–01 through 2009–10



For source and technical information, see Appendix B.

California still lacks a statewide data system capable of informing policymakers and the public about the impacts of the state's investment in K–12 education.

California trails many states in developing a data system capable of informing policymakers and the public about the impacts of the state's investment in K–12 education.

California trails many states (including large, similarly diverse states like Texas and Florida) in developing a data system capable of informing policymakers and the public about the impacts of the state's investment in K–12 education. A comprehensive statewide data system provides the basis for policymakers and education leaders to make informed decisions. Without such a data system, these stakeholders cannot easily access data to

- evaluate the impact of many state-sponsored reform efforts, such as investments in professional development for teachers and principals;
- gauge the attrition, retention, and mobility of teachers and principals;
- track the trajectory of teachers and principals who enter the profession through different credentialing routes; or
- uncover troubling trends in the data, such as the rise in underprepared teachers that surprised state policymakers over a decade ago.

California policymakers are aware of these shortcomings. For more than 14 years, efforts have been under way to build the foundation for a viable data system. This history is punctuated by real progress but regular setbacks (Exhibit 2-7).

Exhibit 2-7
The History of California's Efforts to Develop a Statewide Data System for K–12 Education

Year	Action
1997	California School Information Services (CSIS) is established to create a new electronic data submission system.
2002	Senate Bill 1453 (Alpert) authorizes (1) the assignment of Statewide Student Identifiers (SSIDs) to every K–12 public school student in California and (2) the development of the California Longitudinal Pupil Achievement Data System (CALPADS) under the direction of the California Department of Education (CDE).
2005	CSIS completes the task of assigning unique SSIDs to all K–12 public school students in preparation for CALPADS.
2006	Senate Bill 1614 (Simitian) authorizes the development of the California Teacher Integrated Data Education System (CALTIDES) under the direction of the California Commission on Teacher Credentialing (CCTC) and the CDE. The CCTC is charged with assigning and maintaining unique identifiers to teachers and other educators, such as school principals, who receive a credential or permit from the CCTC to work in a public school setting.
2008	A contract is awarded to begin development of CALPADS.
2008	The CCTC completes assignment of unique identifiers to all credentialed individuals in the state and establishes a system for assigning identifiers to all newly credentialed individuals and maintaining existing identifiers.
Fall 2009	All SSIDs are pulled into CALPADS.
Fall 2009	CALPADS begins collecting data (collection process referred to as Fall 1 data collection, which includes student enrollment and prior year graduate and dropout information). Serious problems with the new system emerge.
January–February 2010	The first of four CALPADS audit reports finds "significant issues with the system and project, representing a threat to the success of CALPADS" (Sabot Technologies, 2010).
February 2010	As a result of "unacceptable system performance issues that occurred during the rollout of CALPADS," the deadline for submitting Fall 1 data is extended indefinitely. Additional data that were to be collected (e.g., staff demographic and assignment data, student course enrollment) would not be collected for the 2009–10 school year (CDE, 2010a).
August 2010	State superintendent O'Connell informs districts and independent charter schools that the CALPADS system is stable and announces new data submission dates for the 2010–11 school year.
June 2011	Governor Brown vetoes funds for CALTIDES.
November 2011	2010–11 student and educator data from CALPADS are made public via DataQuest. In prior years, these data were generally available in August. Information on teacher authorizations is no longer available in DataQuest. Although these data were previously collected by the CDE, the new CALPADS system does not collect this information. Data on teacher credentials and authorizations were to be made publicly available through the CALTIDES system.

Sources: Bland et al., 2010; CCTC, personal communication, November 17, 2011; CDE, 2010a; CDE, personal communication, November 17, 2011; Sabot Technologies, 2010.

This long-term effort has focused on the development of two related data systems. The first, the California Longitudinal Pupil Achievement Data System (CALPADS), is managed by the California Department of Education (CDE). The 2010–11 school year was the first year CALPADS collected the full complement of data on students and educators.[12] However, data on the state's 2010–11 teacher workforce were just being made publicly available at the time this report was being published. The delay in releasing the 2010–11 statewide teacher workforce data is due in part to CDE's efforts to verify the accuracy of the data in the new system, and in part to

[12] CALPADS, which maintains a unique identifier for each K–12 public school student in the state, houses student-level data on demographics, enrollment and graduation, program participation, and assessment results. The system also includes some teacher-level data, including demographics, employing school/district, course assignments, highest level of education, participation in induction program, employment status (i.e., tenured, probationary), and NCLB highly qualified designation.

the priority given to meeting federal reporting requirements, specifically the calculation of four-year cohort graduation rates. CDE is making K–12 data publicly available through the DataQuest website (http://dq.cde.ca.gov/dataquest/) and downloadable files on CDE's Data and Statistics webpage (http://www.cde.ca.gov/index.asp) once the federal reporting requirements have been completed.

The second data system, the California Teacher Integrated Data Education System (CALTIDES), was to be administered jointly by the CDE and California Commission on Teacher Credentialing (CCTC). This data system was authorized to complement CALPADS, providing information on teacher credentials and authorizations as well as information on teachers' educational backgrounds (e.g., university attended to obtain teaching credential). The CCTC began preparing for CALTIDES by issuing unique identifiers to all educators who have received a credential or authorization to work in public schools (e.g., teachers, counselors, school administrators). That unique identifier would then be used in CALPADS if the individual was hired to work in a public school, district, or county office of education.[13] Although CCTC completed the task of assigning a unique identifier to all California educators, the funding to create CALTIDES was vetoed from the 2011–12 budget. CCTC will continue to issue unique identifiers to anyone who receives a credential or authorization.[14] But the elimination of CALTIDES means it will be more difficult to merge data held by CCTC on individuals' credentials, preparation, and educational backgrounds with information from CALPADS about those individuals who become educators in California because the existing CCTC data infrastructure was not built to facilitate this type of merging. In addition, without either CALTIDES or funding to merge CALPADS and CCTC data, it is unclear whether this merging will occur on an annual basis and be made available to the public. Efforts are under way to merge the data; however, these efforts could delayed or halted without a specific mandate to make this information publicly available.

The more difficult it becomes to access timely data, the greater the likelihood that only special interest groups and researchers who are able to make special requests and who have statistical expertise will be able to use and report on local, regional, and statewide data.

The state's current system for making data available to the public in an easily accessible format, DataQuest, can provide a valuable service to schools, school districts, parents, community members, and other education stakeholders only if the data are up to date. Easy access to up-to-date data is imperative for a number of reasons. First, although local districts typically have access to their local information, many districts do not have the technical capacity to analyze their local data. Such technical capacity may be a special challenge in some of the state's smaller districts. Second, state websites like DataQuest can provide education stakeholders such as parents and community members one-click access to certain data without the need to submit special requests to districts that may or may not have the capacity (e.g., sufficient staff or staff with appropriate technical expertise) to respond to those requests in a timely manner. The more difficult it becomes to access timely data, the greater the likelihood that only special interest groups and researchers who are able to make special requests and who have statistical expertise will be able to use and report on local, regional, and statewide data.

STATE-LEVEL IMPLICATIONS OF NEW FEDERAL POLICY FOCUS

Current national policy developments have clear implications for California's teachers and school leaders. First, the introduction of the Common Core State Standards and upcoming associated assessments will influence what is taught and how it is taught in California classrooms. Second, ongoing discussions about teacher evaluation have already begun to impact local districts' thinking about judging and supporting teaching quality.

[13] This includes school administrators such as assistant principals and principals, as well as individuals serving as counselors, school psychologists, and other types of pupil support roles.

[14] CCTC issues unique identifiers to all those who receive credentials or permits regardless of whether those individuals become public school educators in California.

Along with most states across the country, California has adopted the Common Core State Standards and is participating in the development of new science standards and an ambitious new student assessment system.

The development and preparation for implementation of the Common Core State Standards for English language arts and mathematics has received substantial attention nationally and in California. The standards, adopted by the California State Board of Education in early August 2010, were designed to "include rigorous content and application of knowledge through higher-order skills" (Common Core State Standards Initiative, 2011). For example, the English language arts standards include literacy in science and social studies and ask teachers to include complex informational texts.

The standards are to be followed by new assessments by 2014–15, which are expected to be quite different than the California Standards Tests. California has joined the SMARTER Balanced Assessment Consortium (SBAC)—one of two national assessment consortia funded by Race to the Top dollars—as a governing state, meaning that state representatives are consulting and casting decision-making votes on test design and policy. The SBAC assessments include computer-adaptive summative exams as well as optional formative benchmark exams, and they are expected to require students to demonstrate more evidence of critical and persuasive reasoning, problem solving, and other higher order thinking skills than are currently tested in California. The new assessments are also expected to involve a higher proportion of long-form responses.

At the same time, the National Research Council released a framework for developing new, common content standards in science. The framework calls for a focus on both the underlying ideas of science and engagement in the practices of science, and gives prominence to the principles and practices of engineering. California is among a set of states that will be working to develop the Next Generation Science Standards. The expectation is that the development of these standards will be followed by the development and ultimate implementation of a new, more ambitious science test.

With the development and rollout of the new standards and assessments, teachers will need to significantly modify their instruction to prepare their students to achieve proficiency and, by proxy, college and career readiness.

With the development and rollout of the new standards and assessments, teachers will need to significantly modify their instruction to prepare their students to achieve proficiency and, by proxy, college and career readiness. To do this, California teachers and administrators—like their colleagues across the country—will need extensive professional development and appropriate instructional materials and resources. Focusing on mathematics, the CEO of the National Math and Science Initiative described the nature of the changes that will be required,

> The Common Core math standards show clearly that teachers of math in all grades must have much deeper content knowledge to teach math effectively and that content preparation needs to be tied closely with pedagogical training. Unfortunately, for far too many of our new and veteran teachers, that combination of content and pedagogy has not yet occurred (The Opportunity Equation, 2011).

This extensive content and pedagogical training would not be a small undertaking in normal budget circumstances and is likely to be especially difficult given the state's fiscal challenges.

With the CDE and the State Board of Education primarily addressing the technical aspects of Common Core adoption and with no broad state-level policy conversations having yet occurred about how to modify teacher training, there is a tremendous amount of ground yet to be covered. Individual district and county leaders are beginning to learn more about the details of what is contained in the new standards in order to develop training modules for teachers and school leaders. In addition, the standards are a major focus area for the seven districts involved with the

newly created California Office to Reform Education (CORE).[15] The CORE districts are beginning to develop and pilot instructional materials and formative assessments aligned with the Common Core standards. In addition, the California County Superintendents Educational Services Association (CCSESA) has begun to develop and share resources regarding the Common Core and the upcoming assessments. As the implementation of the new standards and assessments draws closer, aligned training and support for teachers is likely to be a major theme in conversations about California's teacher workforce and teacher development system.

The movement to reform educator evaluation systems has been gaining momentum, nationally and in California.

Past state policies and initiatives, driven in part by federal policy such as the No Child Left Behind Act (NCLB), have focused on years of experience, credential status, and advanced degrees as proxies for teaching quality. In recent years, however, the federal policy focus has shifted toward teacher effectiveness, with associated stipulations for how teachers are evaluated and supported appearing in competitive grants (e.g., Race to the Top, School Improvement Grants, Statewide Longitudinal Data Systems, the Teacher Incentive Fund). Most recently, the Obama administration offered states a reprieve from some of the requirements of NCLB in exchange for establishing guidelines for teacher evaluation based partly on student performance, among other requirements.[16] The administration is advocating for similar provisions to appear in the next reauthorization of the Elementary and Secondary Education Act.

Past state policies and initiatives, driven in part by federal policy, have focused on years of experience, credential status, and advanced degrees as proxies for teaching quality. In recent years, however, the federal policy focus has shifted toward teacher effectiveness.

In part fueled by the Race to the Top competition, states across the country have passed new legislation revamping their teacher evaluation systems. For example, over the past 2 years, Illinois, Colorado, Tennessee, Indiana, and Florida have all passed legislation that affects the ways teachers are evaluated, addressing the following components of teacher evaluation to varying degrees: frequency, the use of student achievement, defining levels of teacher effectiveness, public reporting of teacher effectiveness, how tenure is awarded and revoked, the possibility of dismissal for teachers deemed ineffective, the impact of effectiveness on workforce-reduction considerations, the authority of individual principals to determine their own teaching staff and other human capital needs on the school level, and the possibility of monetarily awarding teachers on the basis of their level of effectiveness (Bellwether Education Partners, 2011).

In California, a bill sponsored by Assemblymember Fuentes (AB 5) would require districts to adopt and implement a teacher evaluation system that is grounded in best practices. This 2-year bill, which is in committee and will be voted on in the next legislative session, would repeal specific sections of the Stull Act of 1971 (which outlined the basic parameters for teacher evaluation and observation currently in place). It would require that teacher evaluations include the use of student growth measures and evidence of effective teaching practice as measured by multiple observations by trained evaluators. The details of the new teacher evaluation system as

[15] California's second unsuccessful Race to the Top proposal inspired the seven participating districts (Clovis Unified, Fresno Unified, Long Beach Unified, Los Angeles Unified, Sacramento Unified, San Francisco Unified, and Sanger Unified) to form CORE as a new entity to advance the ideas in their federal proposal. Although only seven school districts are currently involved, these districts collectively serve approximately one sixth of the state's public school students.

[16] Specifically, evaluation systems in each state receiving a waiver would need to be based on three or more different categories, including student growth, which would need to be a "significant factor in judging teacher effectiveness." Districts, in turn, would need to "ensure that these evaluations provide 'clear feedback' to teachers and inform personnel decisions" (Klein, 2011). States receiving a waiver would be required to adopt evaluation guidelines that meet these criteria during the 2011–12 academic year, with districts having 2 years to "develop and pilot aligned evaluation systems" (Sawchuck, 2011). As of early November 2011, California had not signaled an intent to seek a waiver.

implemented in each district would need to be locally negotiated. The bill includes many specific mandates but also allows districts to shape their evaluation system to fit their needs. The provisions of another teacher evaluation bill (AB 48, Perez) were rolled into AB 5 and would delay the implementation of the new evaluation system until schools receive money owed to them under Proposition 98.[17]

In addition to state legislation, California's CORE districts are in various stages of conceptualizing, developing, and piloting new educator evaluation systems. For example, in Clovis Unified, teacher evaluations will include student performance on districtwide benchmark tests for the first time in 2011–12.[18] In Los Angeles Unified, district leaders are seeking to pilot a new evaluation system that involves the use of student achievement data. However, the issue of using student test data has become quite contentious in that district. On one side, the local teachers union is challenging the district's pilot system in the courts, with no resolution currently in place. On the other side, a group of parents recently filed a lawsuit against the school district for violating the Stull Act by failing to use measures of student performance as part of the teacher evaluation process.[19] Notably, while leaders in all CORE districts are committed to incorporating student data as one of multiple evaluation measures, they are taking diverse approaches regarding the use of the data. Some districts are looking to incorporate student achievement data as part of the processes that inform personnel decisions, whereas others are committed to using these data only to inform professional development and support for teachers (CORE, personal communication, October 7, 2011).

* * *

California's budget woes have reshaped the K–12 education landscape. There are fewer teachers overall, very few new teachers as schools limit hiring by increasing class size, and fewer new teachers entering the profession. Yet expectations for student learning are rising across the content areas, and teachers are coming under even greater scrutiny in efforts to raise student achievement. Within this context, school leaders are heavily implicated: It is they who need to balance their budgets, make decisions about scarce resources, and take on new forms of teacher evaluation. Given the decline of novice teachers and the increasing proportion of highly experienced teachers in California's workforce, principals have to attend to the continuous improvement of all their teachers rather than focusing specifically on new teachers. Because relatively few teachers are entering the profession right now, when it comes to improving teaching quality the real leverage comes from supporting the teachers who are already in the classrooms. A meaningful evaluation system can play a critical role in shaping this support. As we stated in *California's Teaching Force 2010: Key Issues and Trends*, "The notion of accountability rings hollow if we do not also provide the resources for teachers to *continually* develop knowledge, skills, and expertise to ensure that all students have the opportunity to meet California's ambitious standards" (Bland et al., 2010). Yet as we went on to document in 2010 and have documented in other previous Teaching and California's Future Initiative reports, the system of teacher development that California was beginning to create before the recent budget challenges is now largely disassembled due to changes in funding, putting that much more emphasis on the principal's ability to support teachers at the building level. In the next chapter, we describe the state's principal workforce and discuss how principals are equipped to meet the needs of their teachers.

Given the increasing proportion of highly experienced teachers in California's workforce, when it comes to improving teaching quality the real leverage comes from supporting the teachers who are already in the classrooms.

[17] According to an analysis of AB 5, the new evaluation system would go into effect by July 1 of "the first fiscal year following the fiscal year in which the deficit factor is reduced to zero" (Senate Committee on Education, 2011).

[18] Note that there is no teachers' association (i.e., local bargaining unit) in Clovis.

[19] For more information about the lawsuit, *Jane Doe et al. v. Deasy et al.*, see EdVoice's website (http://www.edvoice.org/parentlawsuit).

CHAPTER 3
CALIFORNIA'S PRINCIPAL WORKFORCE

> In today's world, principals are asked to be master teachers, curriculum directors, technology directors, chief budget officers, nurses, athletic directors, crisis negotiators and managers, community liaisons, and fundraising wizards!
>
> —Experienced California middle school principal

Understanding the role that California's school leaders can play in supporting teaching quality and student achievement is of significant interest to policymakers given recent studies that clearly identify links between school leadership and student outcomes.[20] The research identifies *instructional leadership*—i.e., overseeing the school's core functions of teaching and learning—as the component of a principal's job that relates to improved student outcomes. Yet the demands of the principal's job encompass far more than just instructional leadership, and these demands are extensive and expanding. Principals must also serve as managers who oversee all that is required to keep the school operational. Numerous studies show that the time required to fulfill the management-related responsibilities is increasingly crowding out time for principals to observe, evaluate, and support teachers. For example, a study published as part of the *Getting Down to Facts* series on California education policy found that principals' most frequent activities are "interacting with parents, interacting with district staff, and attending to discipline problems," and that principals reported spending time "complying with funding regulations and doing paperwork" as frequently as "assessing individual teachers and helping them [fulfill] curricular standards" (Fuller, Loeb, Arshan, Chen, & Yi, 2007).[21]

Research identifies instructional leadership—i.e., overseeing the school's core functions of teaching and learning—as the component of a principal's job that relates to improved student outcomes.

Despite the importance of the principal, relatively little is known about how California's principals are prepared and supported to fulfill their many responsibilities. Publicly available data systems provide only very basic information about the principal workforce, such as race, gender, and average years of service in education overall. To provide additional policy-relevant information on California principals' backgrounds, experience, future plans, paths to an administrative credential, and induction and inservice training, we collected original data through our survey of the state's public school principals and follow-up interviews with a subset of these principals. In this chapter, we draw on survey and interview data to describe what the principal's job entails and then detail how principals are prepared and supported to fulfill those responsibilities.

DEMANDS OF THE JOB

To balance support for teachers with the business of keeping the school running, California principals spend large amounts of time and need a broad range of expertise or access to expertise.

Full-time public school principals reported working an average of nearly 60 hours per week.

Principals need substantial time, as well as expertise or access to expertise, to fulfill their multiple responsibilities.

Full-time public school principals (i.e., not those in dual assignments such as superintendent/principal) reported working an average of nearly 60 hours per week, with nearly

[20] See, for example, Louis, Leithwood, Wahlstrom, & Anderson, 2010; Robinson, Lloyd, & Rowe, 2008; Waters, Marzano, & McNulty, 2003.

[21] For further details on principals' responsibilities and how they intersect, including reviews of related literature, also see Walker, 2010; Louis et al., 2010; and Darling-Hammond, Orphanos, LaPointe, & Weeks, 2007.

15% of principals reporting average workweeks of 70 hours or more (see Exhibit C-1 in Appendix C). Lengthy workweeks are the norm for principals across the state regardless of the grade levels served or overall achievement levels.[22]

Principals reported that even if they can do each of several things well, it is tremendously difficult to do them all well at the same time.

A consistent theme that emerged from our conversations with principals across the state was the difficulty of simultaneously fulfilling all their responsibilities, even when working long hours. Principals reported that their responsibilities often overlap and compete for their attention. The consensus was that even if a principal can do each of several things well, it is tremendously difficult to do them all well at the same time. As one principal illustrated,

> The most challenging thing to me is time management. I'm consumed with so many things. Little fires come up all day that require my attention. . . . I could be in the middle of a PTA meeting, working on the budget for next year, and the master schedule is due that day, and then a fight breaks out on campus . . .

Consistent with the research cited above, many California principals asserted that it is a principal's ability to serve as an instructional leader that loses in the tug-a-war of competing demands. While some principals reflected on the importance of "keeping the trains running" to enable teachers and other staff to focus on their core job functions, other principals expressed frustration with the sheer number and proliferation of business- and management-related responsibilities competing with their ability to devote time to supporting teachers' instruction. As one principal described,

"…there are so many clerical-type things that supersede the crucial work of being an instructional leader. Every day you are not in classrooms and visible to staff, students, and parents, you lose an ounce of credibility."

> Principals have too many management-type responsibilities—there are so many clerical-type things that supersede the crucial work of being an instructional leader. Every day you are not in classrooms and visible to staff, students, and parents, you lose an ounce of credibility. Teachers, especially, have to trust that you will see them teach enough to assess their effectiveness accurately.

Another principal concurred: "Administrators have less . . . support than ever, and more mandated tasks. . . . We are spending more time moving paper and sifting through volumes of administrivia. That prevents us from spending the needed time in classrooms evaluating teaching and learning." Still another described the tension inherent in having instructional expertise but not having sufficient time to draw on that expertise in supporting her teachers: "As a former literacy and math coach, I possess the strategies to help [teachers with instruction], but I can't be the professional developer, coach, *and* run the school on a daily basis."

Most of the principals we surveyed reported working with others to oversee the running of the school. Approximately 83% of principals—including nearly all principals of secondary schools—reported that there is at least one other individual on the administrative team that meets on a regular basis to help manage the school (see Exhibit C-3 in Appendix C).[23] Administrative teams are larger, on average, in secondary schools than in elementary schools, which is consistent with trends in the average size of secondary versus elementary schools. Average administrative team sizes are also larger in lower performing schools than in higher performing schools, even though lower performing schools are not consistently larger than higher performing schools across the state (see Exhibits C-3 and C-4 in Appendix C).

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[22] There was statistically significant variation by school level in the average hours principals work per week, although this does not amount to a substantive difference in hours worked: high school principals reported average work weeks of 61 hours, middle school principals reported average work weeks of 58 hours, and elementary school principals reported average work weeks of 57 hours (see Exhibit C-2 in Appendix C). There was no statistically significant variation by API (Academic Performance Index).

[23] It is important to note that principals were asked to identify the *total number* of individuals on the administrative team who meet on a regular basis to manage the school, *not* the full-time-equivalent (FTE) count of dedicated leadership positions.

Notably, at least half the personnel identified as participating in these administrative teams at each school level have primary job responsibilities that fall outside administration, including teachers, counselors, department chairs, and instructional coaches (see Exhibit C-5 in Appendix C). While these personnel undoubtedly bring valuable perspective to site-based planning and decision-making efforts, their nonadministrative responsibilities limit their availability to help the principal with the day-to-day business of running the school. Furthermore, as we describe in the next chapter, recent budget cuts have reduced the number of assistant principals and other personnel in many schools and have resulted in a substantial expansion of responsibility for those who remain.

BACKGROUNDS, EXPERIENCE, AND PREPARATION OF CALIFORNIA PRINCIPALS

The many and varied responsibilities of the state's public school principals, and the time and expertise required to fulfill those responsibilities, raise a series of policy-relevant questions: How experienced is the state's principal workforce, and how long have principals been in their current assignments? What were their backgrounds before becoming principals? How long do they expect to stay in their positions? These questions are explored below.

The majority of the state's principals are relatively new, having been principals for 5 or fewer years (51%) and having been principals at their current schools for 3 or fewer years (53%).

The majority of California's principals are relatively new both to the principalship and to their current school.

The majority of the state's principals are relatively new, having been principals for 5 or fewer years (51%) and having been principals at their current schools for 3 or fewer years (53%). Variation in principals' average years of experience at their current schools was statistically significant by API level, with principals in the state's highest-performing schools tending to have more experience at their current schools than principals in lower-performing schools (see Exhibit C-6 in Appendix C). We found no differences by school type.

We asked California principals both how long they estimated they will stay at their current schools (an average of 4 more years) and how long they planned to serve as principals at *any* school (an average of 8 more years) (see Exhibit C-7 in Appendix C).[24] Although the sample size of our principal survey was not sufficiently large to investigate the variation in estimates of principal longevity by different regions of the state, a recent series of reports by REL West at WestEd has used secondary data on administrators' age and student enrollment trends to project the regional demand for new school administrators. The most recent such report, published in early 2011, found that the demand for new administrators will vary widely across different regions of the state, with individual regions projected to replace anywhere from 17% to 42% of their 2007–08 school site administrators between 2010–11 and 2017–18 (Fong & Makkonen, 2011).

Nearly three quarters of California principals (72%) served as assistant principals or vice principals in the year immediately before assuming the principalship.

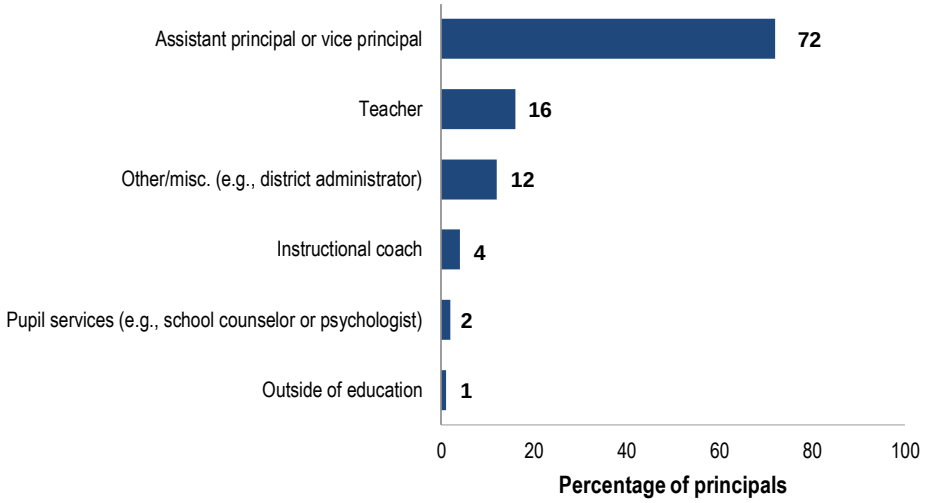
A large majority of principals have prior experience as school administrators.

Nearly three quarters of California principals (72%) served as assistant principals or vice principals in the year immediately before assuming the principalship (Exhibit 3-1). Just under one in six principals (16%) came directly from the classroom (15% as general education teachers and 1% as special education teachers); 4% were instructional coaches, 2% worked in pupil services, 1% came from outside education, and 12% served in other roles, with the majority having held

[24] These estimates are by principals who chose to specify an estimate. Note that when we asked principals how long they expected to stay at their current schools, nearly a third of the workforce (29%) stated that they planned to stay at their current school until retirement without estimating a specific number of years, and 3% stated that they were not sure how long they planned to stay at their current school. When asked about the total number of years they planned to serve as a principal at *any* school, 39% reported planning to serve an unspecified number of years until retirement and 5% were not sure.

district administrator positions in the year before becoming principals. Principals' responses regarding their immediate past position were similar across different school types and achievement levels.

Exhibit 3-1
Principals' Work Role(s) in the Year Immediately Before They Became Principals



Note that because some principals served in multiple roles in the year immediately prior to assuming the principalship, the percentages in this exhibit add to slightly more than 100.

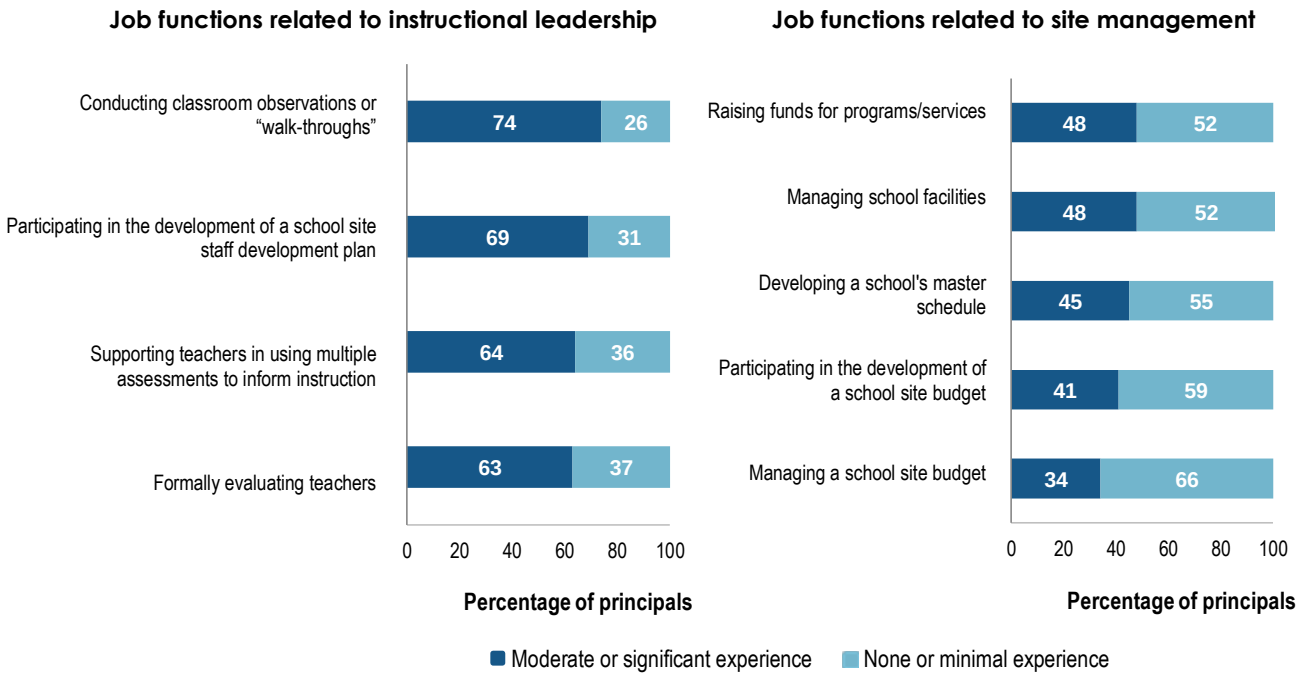
For source and technical information, see Exhibit C-8 in Appendix C.

Most principals cited experience with some core functions of the job, particularly in the area of instructional leadership and less so in areas related to budgeting and management.

Principals' prior experience with core job functions varies—more principals reported prior experience with the instructional leadership components of the job than with the management components of the job.

Most principals cited experience with some core functions of the job, particularly in the area of instructional leadership and less so in areas related to budgeting and management (Exhibit 3-2). The majority of principals reported moderate or significant experience with each of a set of core functions associated with instructional leadership, such as conducting classroom observations, conducting formal evaluations, and organizing and providing professional support. Still, over a quarter of principals reported no or minimal experience conducting classroom observations or walk-throughs (26%), nearly a third of principals reported no or minimal experience in helping to develop a schoolwide staff development plan (31%), and over a third of principals reported no or minimal prior experience with supporting teachers in using multiple assessments to inform instruction (36%) or formally evaluating teachers (37%).

Exhibit 3-2
Principals' Prior Experience with Core Job Functions



For source and technical information, see Exhibit C-9 in Appendix C.

Conversely, the majority of principals reported no experience or minimal experience with business and management responsibilities such as developing and managing a budget, fundraising, or master scheduling. California principals entered their jobs especially inexperienced with developing (59%) or managing (66%) a school site budget. This relative inexperience is especially concerning given that over half of California's principals became principals for the first time in the last 5 years, as budget challenges have been escalating for schools and districts across the state.

Most California principals secured their administrative services credentials by participating in a professional administrator preparation program.

California has a two-tier credential process for administrators, overseen by the California Commission on Teacher Credentialing (CCTC). The process for principals currently serving in California is described in Exhibit 3-3.

The route to the principalship in California begins by fulfilling several prerequisites. California principals must hold a valid prerequisite credential such as a teaching credential or a pupil personnel services credential;[25] must complete three years of full-time experience in a public, nonprofit, or private school; and must verify basic skills proficiency.[26]

[25] According to the CCTC, pupil personnel services credentials "authorize individuals to provide school services in grades 12 and below, including preschool, and in classes organized primarily for adults as counselors, school psychologists, school social workers, or school child welfare and attendance regulators" (CCTC, 2011a).

[26] There are several tests that, with a passing score, meet the basic skills proficiency requirement including the California Test of Basic Skills, the California Subject Examinations for Teachers (CSET): Multiple Subject plus writing skills examination, the CSU Early Assessment Program or the CSU Placement Examinations, a basic skills test from another state (CCTC, 2011b).

Exhibit 3-3
Credentialing Process for California Administrators

California principal candidates have three options for securing their 5-year preliminary administrative services credential:

- completing a California Commission on Teacher Credentialing (CCTC)-approved professional preparation program for administrative services, resulting in a formal recommendation from the program sponsor;
- completing a CCTC-approved administrative services internship program, resulting in a formal recommendation from the program sponsor; or
- receiving a passing score on the California Preliminary Administrative Credential Examination (CPACE).[27]

Upon receipt of the preliminary credential, principals have 5 years to fulfill the requirements to secure their clear credential, which include:

- completing a minimum of 2 years of successful experience in a full-time administrative position in a California public school, nonpublic school, or private school, while holding the preliminary administrative services credential, and
- meeting one of the following requirements:[28]
    - obtaining the recommendation of a CCTC-approved program verifying completion of an individualized program of advanced preparation;
    - meeting Mastery of Fieldwork Performance Standards through a CCTC-approved program; or
    - obtaining the recommendation of a CCTC-approved alternative program.

Source: CCTC, 2011c.

The vast majority of current California principals (87%) reported participating in a professional preparation program for administrative services in order to secure their administrative services credential.

In November 2011, the CCTC approved recommendations from an advisory panel that will result in changes to the way clear credentials are issued. Moving forward, an induction program will be the sole pathway for administrators to earn their clear credential, and there will be a more specific timeline for administrators to begin progress towards their clear credential (CCTC, 2011d).

The vast majority of *current* California principals (87%) reported participating in a professional preparation program for administrative services in order to secure their administrative services credential, while 7% took and passed the School Leaders Licensure Assessment and 4% completed an intern program. One percent of principals reported that they had secured their administrative services credential through other means (typically through reciprocity agreements with other states where they had received equivalent credentials), and another 1 percent stated that they had not yet secured their administrative services credential; these principals tended to work at charter schools with alternative credentialing requirements (see Exhibit C-10 in Appendix C). There were no statistically significant differences in principals' route to their credential by API status or school type, suggesting that principals in schools that are struggling academically were no more or less likely than principals in other schools around the state to have pursued specific credentialing routes.

[27] Prior to March 2011, the School Leaders Licensure Assessment (SLLA) was also accepted as a way to meet one of the requirements for the preliminary administrative services credential.

[28] According to the credentialing requirements published by the California Commission on Teacher Credentialing, completion of the AB430/AB75 Administrator Training Program will no longer fulfill the requirements for the clear administrative services credential after June 2013 (CCTC, 2011c).

INDUCTION, INSERVICE SUPPORT, AND ONGOING NEEDS

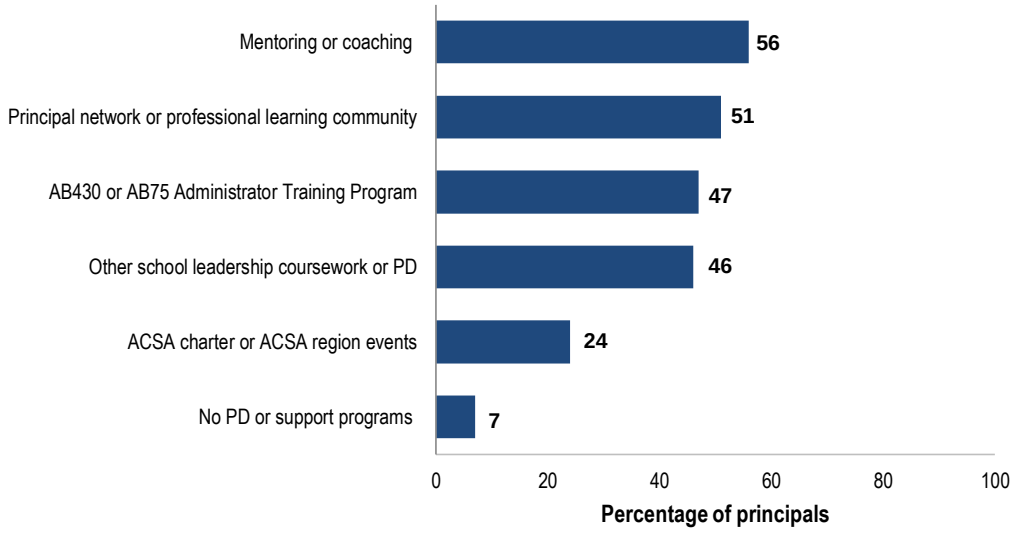
> [What's] most challenging is trying to be good at everything. Most school administrators were not trained to be administrators; we were trained to be teachers, and then we [entered] an administrator role. We all got [administrative] credentials . . . [but] few people have enough experience to do all the different things necessary to do what you have to do in this job.
>
> —Experienced California high school principal

In addition to preservice training, principals need ongoing professional development to keep up with the complex demands of the principalship. Here we draw on principal survey and interview data to describe the support that principals receive and to shed light on principals' perceptions of the utility of that support and their hopes for future professional development.

Nearly all principals reported participating in coursework or professional development related to school leadership during their first 3 years on the job.

The vast majority of principals (93%) reported participating in at least some coursework or professional development related to school leadership during their first 3 years in the principal role. Many participated in several types of coursework or professional development. A majority of principals statewide received some mentoring or coaching (56%) and participated in principal networks or professional learning communities (51%) during their first 3 years on the job. Additionally, nearly half of principals (47%) participated in the AB430/AB75 Administrator Training Program—which draws on curriculum adopted by the State Board of Education to "develop administrators who are effective instructional leaders" (CDE, 2011b)—during their first three years on the job (Exhibit 3-4).

Exhibit 3-4
Principals' Participation in Inservice Training During Their First, Second, or Third Year



For source and technical information, see Exhibit C-11 in Appendix C.

Of the professional development opportunities and supports available to them, principals reported that individualized mentoring and support directly targeted to their needs was especially valuable.

Principals reported that individualized mentoring and support directly targeted to their needs was especially valuable.

To expand on the survey questions about *what* training and support principals had received in their first years on the job, we asked the principals we interviewed to comment on the *utility* of the various opportunities available to them. The theme that emerged was that principals were especially pleased with initial—as well as ongoing—professional development and training that gave them the opportunity to work with knowledgeable peers, predecessors, and/or district administrators who understood their schools and districts and were available to help them address specific needs. Principals were especially enthusiastic about mentoring and coaching from "people who had been there before." For example, one of several principals who described the general utility of the mentorship process noted: "On-the-job experience was very helpful. I'd spent a long time doing junior administration types of jobs [in the district] and knew my way around. But the mentorship I received from others prepared me the most." Several others described the value and efficiency associated with being able to ask very specific questions. One stated, "Personally, if I need something, I . . . can go out and ask. [In my district] we were all given mentors as principals, and I could call my mentor and say, Hey, I don't know how to handle this. What can I do?" Another concurred:

> I was hired by a woman who knew that principals need mentorship. She[29] hired someone to be a mentor. A retired principal—for the entire school year, once a week for one hour—was just at my complete disposal with any issue I was dealing with. Difficult conversations with teachers, student discipline issues, working with a large staff, anything. It rarely had to do with instruction. I came in as an instructional leader . . . but I needed help with the rest of it. And my mentor was a sounding board, validator, [who] added other perspective and advice. She helped me process things but didn't tell me what to do or how to handle them. Sometimes it helped just in getting to the root of what was in the way.

More than a quarter of the state's principals (28%), spanning all school types and achievement levels, reported neither receiving coaching/ mentoring nor participating in a principals' network or professional learning community.

More than a quarter of the state's principals (28%), spanning all school types and achievement levels, reported neither receiving coaching/mentoring nor participating in a principals' network or professional learning community (see Exhibit C-12 in Appendix C). When we interviewed such principals, many expressed the belief that they had missed out on potentially important growth opportunities. As one explained, "I would have loved to have had a coach . . . someone [who] would come to me and get to know my staff and [my] challenges and be there to bounce ideas off of. A coach would have been extremely helpful."

While such individualized mentoring and support has not previously been compulsory for California principals, the value of such support was acknowledged by the CCTC in November 2011 when it unanimously adopted the recommendation by an advisory panel that the CCTC "establish induction as the sole pathway for the clear credential program." Specifically, the advisory panel recommended that

> The Commission should establish consistent and coherent criteria for the clear credential that require candidates to participate in an induction program that is sustained over time, embedded in the candidate's current administrative work, and guided by quality coaching/mentoring by experienced administrators. Further, it is the Panel's belief that the coaching should occur in the initial years of an administrator's service (CCTC, 2011d).

[29] Note: To preserve confidentiality and clear writing, all gendered pronouns in this report have been changed to the feminine form.

While some principals described positive experiences from other, more generalized events they had participated in (e.g., seminars, conferences), many were lukewarm about these events relative to more personalized training opportunities because of the inclusion of material they already knew or did not believe they needed in their own school contexts.

Principals described a range of areas in which they would like additional support. Support grounded in each principal's school and district context emerged as a priority.

When we asked principals in open-ended survey questions and interviews to describe areas in which they would find additional professional development or support helpful, their responses spanned the full range of their overall instructional leadership and site management responsibilities. The areas in which principals *most frequently* expressed a desire for additional training were all management related. Budgeting and financial efficiency, data management, and regulations/policies concerning paperwork, documentation, and legal issues were all areas where principals consistently expressed a need for additional support. Newer principals expressed a need for additional support on these topics to get a handle on them, and principals who had been on the job for several years or more described each of these as areas where new policies or trends demanded new or deeper expertise that was not always readily available.

Making time and space for instructional leadership was frequently on principals' minds when they discussed their desire to become more proficient in their management-related responsibilities.

Although principals were less consistent in wanting support related to instructional leadership responsibilities, making time and space for instructional leadership was frequently on their minds when they discussed their desire to become more proficient in their management-related responsibilities. This is not surprising given that they consistently described their management responsibilities as crowding out time in which they might focus on instructional leadership, as we documented earlier in this chapter.

Because of the wide variation in the areas where principals wanted additional support, no consensus emerged on obvious topics for which a broad workshop or other one-size-fits-all type of training might be developed. Instead, principals were nearly universal in stating that their needs were grounded in issues and challenges pertaining to their specific responsibilities. Even when attempting to navigate state policies that would theoretically be relevant to their colleagues across California, principals frequently wanted to know how these apply in their school and district and how local politics, policies, and precedents come into play. As in their descriptions of the most valuable sources of induction and initial on-the-job support, principals were consistent in describing their best possible sources of ongoing support as highly specific to their local (e.g., school, district, county) policies, politics, and contexts.

* * *

Today's principalship is characterized by complex and competing responsibilities. The data presented here suggest that many principals would benefit from additional time and support from others to fulfill their many responsibilities, as well as support in continuing to build their expertise where needed. Yet principals' responsibilities are only increasing, and the availability of support is decreasing as California's budget crisis continues to impose constraints at the school site. In the next chapter, we describe the implications of widespread budget cuts for teachers, principals, and the students they serve.

CHAPTER 4
FISCAL UNCERTAINTY: CALIFORNIA'S NEW NORMAL

> The expectations have changed. . . . The bar keeps being raised, and our teachers are expected to do so much with now bigger classrooms. We lost our 20 to 1 [teacher to student ratio]. My teachers went from 20 to 32 kids in a class. . . . I'm asking them to take on so much more, raising that level of expectation to make sure we raise our API again. There's so much pressure on them.
>
> — California elementary school principal

Principals have a critical role in strengthening teaching quality at the site level as the key instructional leaders of schools. However, they face real challenges in supporting their teachers in the state's current fiscal climate. California's schools have experienced 3 years of cumulative budget cuts since 2008–09. Our research suggests that teachers and principals are working in tougher conditions than in previous years. Teachers are facing increased class sizes, reduced instructional days, and fewer resources to pay for materials and equipment. At the same time, teachers have less support, with fewer counselors, instructional aides, librarians, secretaries, and custodians. Moreover, with less teacher development funding available from the state and with districts using new budget flexibility provisions to shift funds away from teacher development programs, teachers are increasingly left to pursue professional development on their own. Likewise, with fewer supporting administrators (e.g., assistant principals) and cuts to district personnel, principals—who on average are relatively new to the position—are taking on more duties and responsibilities, often finding themselves too busy to serve as instructional leaders to their teaching staff.

Teachers are facing increased class sizes, reduced instructional days, and fewer resources to pay for materials and equipment. At the same time, teachers have less support from others.

In this chapter, we draw on our statewide principal survey, interviews with a subset of those principals, and interviews with teachers affiliated with one of three statewide policy organizations to illustrate how California's substantial and well-publicized reductions to the K–12 education budget have directly affected teachers and the principals who support them. We look at the impact of budget cuts on classroom conditions and teachers and discuss the challenges principals face as they attempt to fulfill their dual roles as site managers and instructional leaders.

TEACHERS: DOING MORE WITH LESS

Districts and schools throughout the state are attempting to minimize the impact of budget cuts on classroom teaching and learning, but the reality is that teachers face challenging working conditions that may threaten their ability to provide high-quality instruction to our state's diverse student population.

Class size has increased, which may make it more difficult for teachers to provide their students with personalized instruction.

To tackle massive budget deficits, many California school districts have increased class sizes over the past 4 years. In a recent survey of California school districts, the Legislative Analyst's Office (LAO) found that the average class size in grades K–3 rose to 25 students during the 2010–11 school year, compared with approximately 20 students during the 2008–09 school year. The LAO also found that average class sizes in grades 4–12 grew from about 28 students to 31 students (LAO, 2011a). In some cases, elementary class sizes have gone above 30 students. A survey conducted by California Watch in September 2010 found that 9 of the state's 30 largest districts had class sizes in excess of 30 students for some or all of grades K–3 (Freedberg, 2010). The findings from our own statewide survey of principals suggest that the majority of the state's

Nearly three fourths of principals (71%) reported that class size at their school has gone up since the 2008–09 school year.

schools have increased class size in recent years: Nearly three fourths of principals (71%) reported that class size at their school has gone up since the 2008–09 school year (see Exhibit C-13 in Appendix C).

Very little research has been done on student outcomes and class sizes at the levels occurring in California. In April 2011, education researcher and president of the California State Board of Education Michael Kirst cited the lack of research on class sizes in excess of 30 students in elementary schools and the lack of research on the effects of large class sizes in the secondary grades when he asserted that California was "flying blind into an uncertain future" (Kirst, 2011).

Many teachers and principals we interviewed who had experienced class size increases were frustrated with their large class sizes. According to interviewees, with more students to attend to teachers can find it challenging to accommodate each student's level of understanding and provide individualized feedback. As one elementary teacher told us, "With larger class size, we have children in our classrooms with all sorts of issues . . . and it's just difficult to meet all their needs." Likewise, a high school principal explained, "Teachers can't give students as much feedback, especially in the area of writing." A high school science teacher described the situation at her school:

> Most of my classes were 32 to 36 students. They had 8 lab stations; 4 students comfortably fit at each side, but we don't mind putting another stool on the end, so we usually would have 36. [Now class size is] starting to go to 40. We're told next year [2011–12], because of cuts and stuff, we're starting at 45 students.

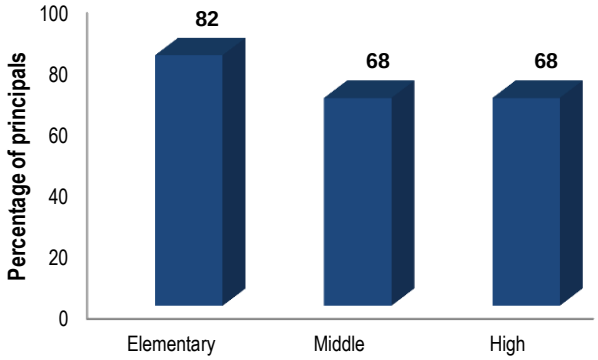
With more students to attend to, teachers can find it challenging to accommodate each student's level of understanding and provide individualized feedback.

Especially in lab science classes in which limited equipment is available for students and a hands-on experience is the goal, such large class sizes threaten to limit students' learning opportunities.

Although schools serving all grades have been affected by class size increases, California's elementary schools have been hit especially hard. Since 1996, the state's Class Size Reduction (CSR) program has been providing districts with incentive funding to keep K–3 class sizes small. In 2009, in response to districts' budget pressures, the legislature substantially increased the average class size for which districts could still receive this incentive funding.[30] This policy change has reduced the incentive for districts to maintain small class sizes in the primary grades. Indeed, in our statewide survey of principals, elementary school principals were more likely than secondary school principals to report that class size had increased since the 2008–09 school year—82% of elementary school principals reported class size increases at their school compared with 68% of middle and high school principals (Exhibit 4-1).

[30] In the original 1996 legislation, districts would not receive any incentive funding for K–3 classrooms that went over an average of 20.44 students. In 2004, the legislature eased the restrictions on class size by allowing districts to receive partial CSR incentive funding for K–3 classrooms with averages between 20.44 and 21.85. In 2009, the legislature increased the average class size eligible for partial CSR incentive funding to 24.95 students (EdSource, 2011a).

Exhibit 4-1
Principals Reporting Class Size Increases since 2008–09, by School Type

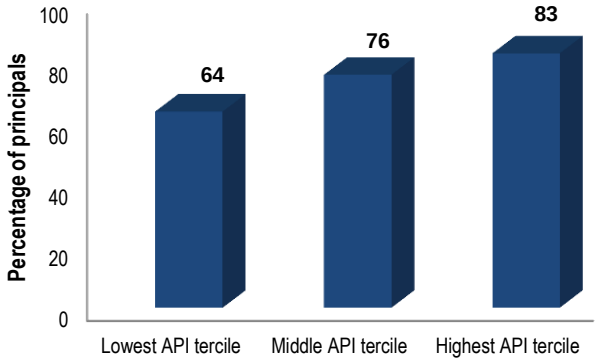


For source and technical information, see Exhibit C-14 in Appendix C.

Class size increases have affected teachers and students in both high- and low-performing schools across California.

Class size increases have affected teachers and students in both high- *and* low-performing schools across California. Notably, our survey suggests that a greater percentage of high-performing schools have experienced an increase in class size compared with low-performing schools—83% of principals of high-performing schools, compared with 64% of principals of low-performing schools, reported class size increases in their schools since 2008–09 (Exhibit 4-2).

Exhibit 4-2
Principals Reporting Class Size Increases since 2008–09, by API Tercile



For source and technical information, see Exhibit C-15 in Appendix C.

Interviews with teachers and administrators suggest that a reason for this difference may be that that low-performing schools have been able to use extra funding sources, such as funds provided by the Quality Education Investment Act (QEIA), to preserve staff-student ratios.[31] As an

[31] QEIA provides funds for schools that ranked in the lowest two deciles of the state's 2005 Academic Performance Index and have high percentages of English learner, minority, and low-income students. QEIA schools were required to have met the following class-size reduction restrictions by the end of the 2010–11 school year: (1) having a maximum of 20 students per class in grades K–3, (2) reducing class sizes at each grade level in grades 4–12 by an average of 5 students per class, or to an average of 25, whichever is lower, and (3) not increasing any other class

elementary school teacher told us, "We get QEIA funds and we are in the fourth or fifth year of that grant. That grant has class size reduction, so my class size is constant and won't change for the next 2 years."

With cuts to the number of instructional days and to summer school programs, students are receiving less instruction, yet teachers still must prepare them for California's rigorous standards.

While in 2008–09, 100% of districts reported that they had 180 instructional days, in 2009–10, 81% of districts did, and this percentage plummeted to just 43% of school districts in the 2010–11 school year.

In 2009, California passed legislation (AB X4_2, Evans) that permitted districts to shorten the instructional school year by 5 days, from 180 to 175 days, without incurring any fiscal penalties. The bill went into effect during the 2009–10 school year and remains in place through the 2012–13 school year. With limited options for balancing budgets, the majority of districts across the state now are taking advantage of this allowance. The LAO's February 2011 survey found that a growing percentage of school districts are shortening the school year. While in 2008–09, 100% of districts reported that they had 180 instructional days, in 2009–10, 81% of districts did, and this percentage plummeted to just 43% of school districts in the 2010–11 school year (LAO, 2011a). Web research and interviews with district administrators indicate that for the 2011–12 school year, districts are continuing to use furlough days (which can reduce instructional and/or noninstructional days) to balance their budgets. Moreover, as described in Chapter 2, the 2011–12 state budget allows schools to cut an additional 7 instructional days in the event of a midyear budget reduction, which could reduce the number of instructional days this school year to 168.

To provide national context, we looked at data from other states. In general, the number of required instructional days and/or hours varies little across the nation. According to a report by the National Center on Time and Learning, most states require a minimum threshold of 180 instructional days per year. Currently, Kansas has the highest requirement for instructional days, at 186, while Colorado has the lowest, at 160. Most states, including Florida, New York, and Texas (other states with large, diverse student populations similar to California's), all require 180 instructional days (Farbman, Christie, Davis, Griffith, & Zinth, 2011).[32] If California's midyear trigger for budget cuts goes into effect, the resulting reduction of required instructional days to 168 means that California schools could have among the lowest required instructional days in the nation.

64% of surveyed principals reported that the number of students served in summer school/credit recovery programs has decreased since 2008–09.

In addition to the loss of instructional time, the loss of summer school programming for students may make teachers' jobs more challenging. A recent RAND study reported that students lose an average of 1 month of learning over the summer, and that the loss is even more pronounced for low-income students (McCombs et al., 2011). Despite the importance of addressing "summer learning loss," many California districts have cut summer school programs because of budget shortages, resulting in fewer students attending summer school programs than in the past. A recent EdSource survey found that 25 of the 30 largest school districts in California had fewer students participating in summer school programs in 2011 than in 2008 (EdSource, 2011b). Our findings corroborate this research: 64% of surveyed principals reported that the number of students served in summer school/credit recovery programs has decreased since 2008–09 (see Exhibit C-13 in Appendix C). With fewer students participating in summer programs, teachers must cover more ground to make up for summer learning loss and the lack of intervention programs for students who are struggling.

sizes in the school above the size during the 2005–06 school year (CDE, 2010b). For additional information on program requirements, also see http://www.qeia.org.

[32] The report notes that in many states, public schools are subject to multiple time-related requirements. Specifically, most states require a minimum number of hours in the school day *and* have either a minimum requirement for instructional days *or* hours in the school year.

With less money to purchase classroom supplies and equipment, teachers are buying materials on their own or making do with less.

A common theme emerged from our interviews with teachers: They are receiving less funding than in the past from their schools or districts to purchase supplies and equipment for their classrooms, compounding the challenges posed by larger class sizes and less instructional time. Consequently, many of these teachers, who often have already had their salaries reduced because of furlough days, reported spending their own money and/or raising money to buy materials for their classrooms. In the past, teachers received a tax credit designed to compensate them for purchasing classroom materials, but this tax credit was cut in the 2007–08 budget.[33]

A teacher described the change at her school: "I have to buy my own copy paper and bring it in. . . . Everyone is carting their own copy paper to school. I spend a lot of money on supplies, more than before." Another teacher described her efforts to bring in external resources in response to a lack of funding for materials: "If I did not write grants, if I did not have parents who could donate materials and a husband who doesn't mind us [spending money] for my science classroom, I couldn't do the hands-on things that I do with my kids."

If teachers do not receive funds from their schools or districts for classroom supplies, or are unable to fundraise or pay for supplies themselves, they do without. This has the effect of limiting the educational resources available to their students, making their jobs more challenging.

More than half of surveyed principals (55%) reported that the number of support personnel (ranging from counselors to librarians to instructional aides) has gone down since 2008–09.

Reduced numbers of support staff inside and outside the classroom have made teachers' jobs more difficult.

The loss of staff members who support teachers in and out of the classroom has been widespread as districts cut support staff in response to budget cuts. More than half of surveyed principals (55%) reported that the number of support personnel (ranging from counselors to librarians to instructional aides) has gone down since 2008–09 (see Exhibit C-13 in Appendix C). Without help from these and other support staff, teachers are pressured to assume additional responsibilities, which can lessen instructional quality. For example, without instructional aides, it can be harder for teachers to break up the class into smaller groups and provide their students with more personalized instruction. In some schools, instructional aides provide direct support for students with specific acute academic needs. Some of the teachers and principals we interviewed expressed concern that the reduction in the number of aides may be a detriment to students who are most in need of the additional support. For example, a principal explained that her middle school had dedicated aides to support English learners in their English language development classes but that the aides have been cut.

In addition, the loss of counselors and an increasing caseload for remaining counselors may be forcing teachers to address the emotional, social, and college/career counseling needs of students more than they might have in the past. In 2007–08, California already had a counselor/student ratio of almost 1,000 students per counselor, far above the national average of 460 to 1, and the continuing loss of counselors has only made matters worse (Johnson, Rochkind, Ott, & DuPont, 2010). One teacher, after telling us that multiple counselors had been let go at her school, explained how this loss affected her own work life: "You see teachers like myself step up to fill the role of college counselor and emotional counselor. It takes away from preparation and sometimes class time." Beyond the loss of preparation and instructional time, teachers may have

In 2007–08, California already had a counselor/ student ratio of almost 1,000 students per counselor, far above the national average of 460 to 1.

[33] The amount of the tax credit was determined by teachers' years of experience. For example, teachers with 4 years of experience could receive up to a $250 credit, and teachers with 20 years or more of experience could receive up to $1,500. Although this credit was not actually based on expenses incurred, its stated purpose was to reimburse teachers for classroom expenses. This credit was permanently removed in the 2007–08 budget (see LAO analysis of the proposal to eliminate the teacher retention tax credit at http://www.lao.ca.gov/analysis_2007/2007_pandi/pi_10_anl07.aspx).

to deal directly with situations for which they are not adequately trained as a result of the loss of counseling support for students.

Beyond the loss of preparation and instructional time, teachers may have to deal directly with situations for which they are not adequately trained as a result of the loss of counseling support for students.

Similarly, the loss of librarians has forced teachers to choose between scaling back their planned curriculum, especially when it comes to projects that involve technology integration and/or research, or taking on more work themselves. A teacher who is losing the librarian at her school next year described what the loss will mean for her teaching:

> [Our librarian] is the center of the coordination and collaboration of research in all subjects and all grade levels at our school site. . . . [The librarian] teaches the big issues of research, and then as things progress she teaches [students] how to evaluate sources and how to select the most appropriate source. . . . [The librarian] teaches [students] how to take notes . . . and is literally in the front of the classroom teaching my students, not just checking out books. . . . [The librarian] pulls together all of the sources I need in order to do the projects. . . . I can't do a research project without support from the librarian. . . . It's going to affect my curriculum. It's not . . . possible for me to teach the way I have been without the support of my librarian.

Finally, principals and teachers we spoke to described the implications of losing noninstructional support staff, including clerical workers and custodians. Many of these support staff have been laid off or have had their hours severely reduced, creating more paperwork for both teachers and administrators and, for some, a need to perform cleaning duty on top of their instructional responsibilities. As one teacher explained,

> With a lack of secretaries, [teachers] have other secretarial duties. We have to do what we didn't have to do before . . . making sure everything gets [copied], coordinating meetings. I also vacuum my room three days a week because the janitors have been cut back. . . . [Teachers] take on different responsibilities than we had before.

At the same time that supports are decreasing and conditions for teachers are becoming increasingly challenging, the state's fragile teacher development system has become even more strained. As we documented in *California's Teaching Force 2010: Key Issues and Trends*, the system of teacher development that California was beginning to create before the recent budget challenges is now largely dismantled due to changes in funding. Further, as detailed in that report, teachers are receiving less support at all stages of the teacher development system as a result of budget cuts, with responsibility for professional development increasingly being left to site leaders and to teachers themselves (Bland et al., 2010).

State funding for teacher development programs has been both reduced by millions of dollars and subject to categorical flexibility provisions.

Districts have less funding available from the state for teacher development than in the past, and they are increasingly taking advantage of categorical flexibility to use these funds for other purposes.

Since the onset of the budget crisis, state funding for teacher development programs has been both reduced by millions of dollars and subject to categorical flexibility provisions, resulting in less overall funding for professional development (Exhibit 4-3).

Exhibit 4-3
Recent Funding Changes to Selected State Teacher Induction and Professional Development Programs

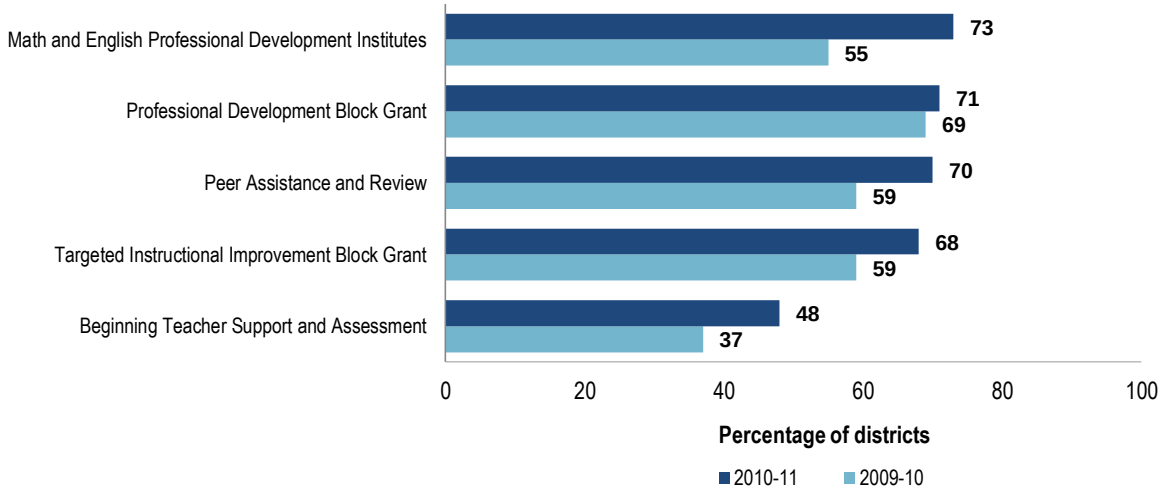
Program	Description	2007–08 Funding*	2011–12 Funding*	% Change
Teacher Credentialing Block Grant	Provides funding for Beginning Teacher Support and Assessment (BTSA), a 2-year statewide induction program for new teachers consisting of orientation, mentoring, formative assessments, and professional development. New teachers earn their professional clear credentials upon completion of program.	$128,700,000	$90,400,000	- 29.8
Certificated Staff Mentoring Program	Provides incentives for experienced teachers who agree to teach in low-performing schools and to mentor intern teachers and newly credentialed teachers in their first 2 years of teaching.	$11,700,000	$8,600,000	- 26.5
Professional Development Block Grant	Includes Instructional Time and Staff Development Reform, Teaching as a Priority, and Intersegmental Staff Development (College Readiness Program and the Comprehensive Teacher Education Institute).	$274,700,000	$218,400,000	- 20.5
Peer Assistance and Review	Provides services to experienced teachers aiming to improve their skills or content knowledge.	$30,100,000	$23,900,000	- 20.6
Mathematics and Reading Professional Development Program (MRPDP) and Professional Development for Teachers of English Learners (ELPD)	Provides standards-aligned professional development and follow-up training for mathematics and reading teachers. Consists of 120 hours of professional development, including 40 hours of professional development for English language learner instruction. Note that these were two separate line items before the Budget Act of 2008.	$56,700,000 ($31,700,000 for MRPDP + $25,000,000 for ELPD)	$45,500,000	- 19.8
Bilingual Teacher Training Program	Assists kindergarten through grade 12 teachers who already possess a basic credential in attaining authorizations to provide English Language Development, Specially Designed Academic Instruction in English, and primary language instructional services to English learners.	$2,100,000	$1,700,000	- 19.0
National Board Certification Incentive Program	Provides districts with funds to award teachers who hold National Board for Professional Teaching Standards certification and who teach in low-performing schools (API deciles 1–5). A one-time incentive award of $20,000 is paid in $5,000 installments for 4 consecutive years.	$6,000,000	$2,400,000	- 60.0

* Numbers are rounded to the nearest $100,000.
Source: CDE, 2007, 2011c

In February 2009, California changed the rules governing how districts could spend state dollars. Categorical programs, which had previously been reserved for specific purposes (such as special education or teacher professional development), were divided into three tiers of flexibility. Programs in Tier I remained intact, with no changes to funding levels or program spending restrictions; programs in Tier II received reduced funding levels but retained program spending restrictions; and programs in Tier III were both reduced in amount of money allocated and "flexed," allowing districts to spend money in these programs for any educational purpose. Most of the state's existing teacher development programs were placed in Tier III (including all the professional development programs listed in Exhibit 4-3). Facing large reductions in overall revenue, many districts have taken advantage of this funding flexibility. Respondents to the LAO's fall 2010 survey of districts reported that they had shifted funds away from a variety of programs related to teacher training and development. Moreover, a greater percentage of districts

took advantage of flexibility provisions related to teacher development in 2010–11 than in 2009–10.[34] Exhibit 4-4 displays the percentage of districts shifting funds away from a variety of teacher development categorical grants in 2009–10 and 2010–11 (LAO, 2010, 2011). With more districts spending categorical funds intended for teacher development for purposes other than these programs, the amount of total funds dedicated to professional development has gone down.

Exhibit 4-4
Districts Shifting Funds Away From Teacher Development Programs, by Year



Source: LAO, 2010, 2011a.

Principals' reports regarding changes in the amount of teacher professional development were mixed, reflecting the fact that some low-performing schools were insulated with targeted state and federal funding.

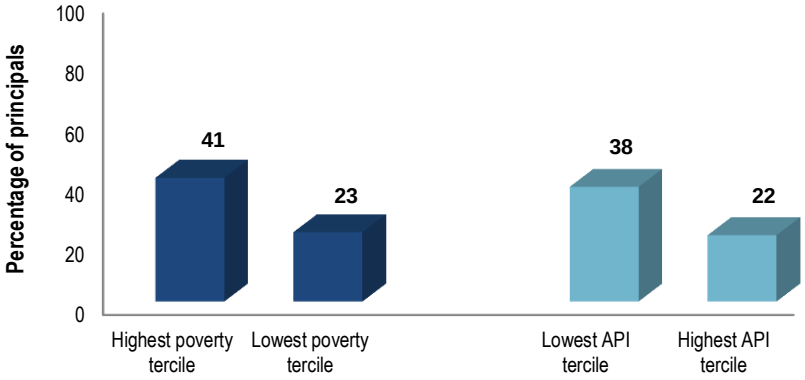
Less overall state funding is dedicated to teacher development, and districts are shifting state categorical funds intended for teacher development to other priorities, but our principal survey results suggest that that the story about professional development is somewhat more nuanced than the budget numbers indicate. While nearly one-third (31%) of surveyed principals reported that professional development opportunities for teachers have decreased since 2008–09, 39% reported that professional development has stayed the same, and 30% reported that the amount of professional development has increased (see Exhibit C-13 in Appendix C).

Principals of high-poverty and low-performing schools were the most likely to report an increase in professional development.

With so many principals reporting that professional development has increased, we explored differences across schools. We found that principals of high-poverty and low-performing schools were the most likely to report an *increase* in professional development: 41% of principals of high-poverty schools reported an increase in professional development compared with 23% of principals of low-poverty schools. Similarly, 38% of principals of low-performing schools reported that professional development had increased compared with 22% of principals of high-performing schools (Exhibit 4-5).

[34] In the fall of both 2009 and 2010, the LAO administered a budget survey to all public school districts in the state.

Exhibit 4-5
Principals Reporting an Increase in Professional Development since 2008–09, by Poverty Tercile and API Tercile



For source and technical information, see Exhibit C-16 in Appendix C.

As discussed, the lowest performing and highest poverty schools may have been able to increase professional development during these economic times because of programs and funding sources specifically dedicated to these schools, such as QEIA and federal School Improvement Grants (SIGs). Among other requirements, schools receiving QEIA funds must ensure that every teacher at the school completes an average of 40 hours of professional development per year over the course of the grant.[35] As of 2008–09, nearly 500 low-performing schools across California were receiving QEIA funding (CDE, 2010b).[36] Like QEIA, SIG grants provide eligible local educational agencies (LEAs) with funds to restructure their schools. To qualify, LEAs must have one or more schools that the state has identified as "persistently low achieving" and are eligible for (but not necessarily receiving) Title I funding.[37] Most LEAs that receive SIG funds are required to "provide instructional staff ongoing, high-quality, job-embedded professional development."[38] In 2010–11, 41 districts received SIG funds on behalf of 92 schools.[39] The fact that SIG funding targets low-performing and Title I–eligible schools, in combination with the SIG professional development requirement, could account for the increase in professional development reported by surveyed principals in low-performing and low-income schools.

One principal described a decision by her district that illustrates how professional development resources are being targeted to teachers in the neediest schools:

> In our district, the only schools that received any training from actual consultants were the program improvement schools for their new ELA curriculum. They got in-depth training and also got someone from the county office to work with their

[35] The full set of QEIA professional development requirements is described on the CDE website (http://www.cde.ca.gov/ta/lp/qe/qeia08adv.asp).

[36] A total of 499 schools, or 34% of the 1,455 eligible schools (those in the lowest two deciles of the state's 2005 academic performance index), received QEIA funding.

[37] SIG grants are described in further detail on the CDE website (http://www.cde.ca.gov/sp/sw/t1/sig09progdesc.asp).

[38] SIG schools pursue one of four different intervention models: a restart model, a turnaround model, a transformation model, or a closure model. If a school chooses either a turnaround model or a transformation model (which a majority of California districts do), they are required to provide their teachers with professional development.

[39] California 2010–11 SIG grant recipients (with chosen intervention models) are listed on the CDE website (http://www.cde.ca.gov/sp/sw/ t1/sigreg09result.asp).

> administrators and the teachers got to be trained in grade level teams. But, because my school is high performing and not in need of improvement, my teachers didn't get that.

Interviews with teachers and principals revealed that the responsibility for teacher professional development is increasingly falling to teachers and principals due to cuts to many state- and district-supported professional development programs.

In schools that are not receiving as many professional development resources as in the past, the structure of professional development appears to be changing. As documented in *California's Teaching Force 2010: Key Issues and Trends*, in many districts, professional development has shifted from the district level to the site level. This shift does not necessarily translate to less professional development overall, but it often results in more training and support being delivered by site-level staff. As professional development is increasingly decentralized to school sites, the availability and quality of the professional development that does occur can vary widely within and across districts (Bland et al., 2010).

Our interviews with selected principals and teachers this year corroborate our findings from last year—the structure and format of professional development may be shifting due to the overall reduction in state support for professional development. Because we spoke with a particularly experienced and accomplished subset of the state's teachers, their characterizations of the impact of cuts to professional development funds may not represent the experiences of their peers around the state. Nonetheless, two themes emerged from our interviews with these teachers about the impact of budget cuts on their professional development: (1) teachers are increasingly left on their own to find meaningful, high-quality professional development and (2) teachers are collaborating with colleagues to design and implement professional development at their school sites. To compensate for the lack of district-supported professional development, a number of these teachers reported that they took the initiative to find meaningful professional learning opportunities. For example, a teacher described the lack of professional development in her district and how she has pursued and funded professional development on her own:

> A lot of staff development, I do on my own. It's not district provided. Having good staff development would be beneficial all around. [My] school offers very few [such opportunities]. When you start wanting to look at a content area and then enriching it for those teachers, that is left to us because there is no funding available. Last year alone, out of my own pocket, I spent $800 for staff development I thought was necessary.

Another teacher agreed, noting that if teachers want training, "We have to do it ourselves . . . we have to go seek it. It's not something that's right there for us."

Some teachers reported drawing on the expertise and experience of their colleagues to provide professional development. They discussed how they have helped to organize and develop site-level professional development plans. A teacher described what this looked like at her school:

> The only real professional development that has happened and only professional development that teachers felt is real has actually come from teachers bringing things in. We identified . . . that classroom management was a real weakness across our campus, and we got together and designed a micro-conference, we called it, at the beginning of this past academic year, where we had speakers and breakout sessions on different aspects of classroom management—it was 100% teacher created and teacher led.

Likewise, another teacher described how "Prior to the budget problems, there was much more rich and robust professional development for math teachers. [Now] professional development is

only offered through the teachers." In some cases, administrators have responded to reduced funding by delivering professional development at their own sites. As a principal told us,

> We can't afford to bring in consultants or send [teachers] to conferences anymore. So most of the staff development takes place in house on our own site. I've done staff development for my teachers. I also have a leadership team and that leadership team has done staff development.

Although professional development organized at the site level can be effective, teachers need collaboration time during the school day to plan and carry out their own professional development. Many districts have taken furlough days on noninstructional days, however, and have cut back on professional development and collaboration time for teachers. As a teacher explained, "We're trying to do professional learning teams, but everyone is so frustrated with time. With cutbacks and with furlough days, we start on August 15 and we have no prep days before that." Meanwhile, another teacher reported, "For the last 4 years we had release time as a department to get together and work on things, our own professional development, within our school. Each department was able to do that. We don't have any release time next year." She then spoke about the negative effect this may have on teaching at her school: "Time [for collaboration] won't be there anymore. In order for teachers to get better, there needs to be some dialogue. . . . If you want teachers to get better at what they're doing, you need to give teachers the opportunity to talk about what they're doing."

"If you want teachers to get better at what they're doing, you need to give teachers the opportunity to talk about what they're doing."

With less state- and district-supported and directed professional development, teachers are left on their own to determine what they need and how to get it. Some teachers, like the ones we spoke with, may be motivated and take initiative to seek out their own professional development. We do not know what the vast majority of teachers are doing in these difficult times to refine their practice given the extraordinary responsibilities they are taking on. In either case, the quality of the professional development teachers receive (whether from their colleagues or from others) may vary considerably and depend on the available local expertise.

With district-provided professional development programs becoming less common and the responsibility for professional development increasingly falling to school sites and individual teachers, a principal's ability to provide teachers with instructional support and training is more important than ever. However, as with teachers, budget cuts have made it harder for principals to do their jobs.

PRINCIPALS: MORE MANAGEMENT, LESS INSTRUCTIONAL LEADERSHIP

Just as teachers have been forced to do more with less in their classrooms, principals have fewer personnel supporting the management and leadership of their schools, hindering their ability to work with teachers to improve teaching quality.

Nearly one third of principals (31%) reported that the number of administrators in their schools had decreased since the 2008–09 school year.

Layoffs of administrative and support staff have forced principals to take on more responsibilities, making it even more difficult for them to serve as instructional leaders.

In 2008–09, California already ranked 48th out of the 50 states in its ratio of principals and assistant principals to students, with 2.3 administrators for every 1,000 students (EdSource, 2011c). Since then, many districts have dealt with reduced revenue from the state by laying off school administrators, such as assistant principals or vice principals. In our statewide survey of principals, nearly one third (31%) reported that the number of administrators in their schools had decreased since the 2008–09 school year (see Exhibit C-13 in Appendix C).

Generally, the loss of administrative and support staff means more—and more varied—responsibilities for the principal. For example, a principal described how the loss of support and

clerical staff has affected her job: "Much of my time is 'sucked up' by dealing with peer mediation (which used to be handled by a counselor), attendance concerns (which used to be handled by a clerk), or general duties that the school secretary previously handled." In elementary schools, where the principal may be the only school administrator, the loss of support staff can be especially challenging. As a district administrator told us:

> At elementary schools, because we've had to reduce clerical staff, it's not uncommon for the principal to be the first person to answer the phone. Might the principal's time be better spent planning professional development or supervising classes? Yes. But when there's no one else to do it, you need someone to pick up the phone.

Half of principals reported that the number of instructional support personnel (e.g., content coaches, mentors) had decreased, while about one third (36%) reported that it has remained the same since the 2008–09 school year.

In Chapter 3, we described principals' frustration about not being able to find the time to provide instructional leadership and support improvements in teaching quality. In some cases, principals turn to others—such as instructional coaches, mentors, and other administrators—to help provide teachers with needed support. However, principal survey data reveal that cuts to such instructional support staff were widespread in response to budget shortfalls. Half of principals reported that the number of instructional support personnel (e.g., content coaches, mentors) had decreased, while about one third (36%) reported that it has remained the same since the 2008–09 school year, the first year that the recession affected California schools (see Exhibit C-13 in Appendix C). One principal mentioned how the loss of an instructional coach who worked with the teachers at her school had limited opportunities to support teacher development:

> The coaching position has been cut completely in half [here]. My first year [we] had a full-time coach, and now I have to share with another site. And this person was instrumental in helping with classroom walk-throughs and just providing additional support, and that was a huge loss.

In schools where assistant principals or other administrators provided some of the instructional leadership, principals explained how reductions in these positions also restrict their abilities to provide instructional leadership. For example, a principal explained that five school administrators used to be available to do classroom observations whereas now there are two. She described the negative impact this has had on her ability to support teachers to improve their instruction and on her relationships with students and teachers:

> We make it to everyone's classroom at least once in a 9-week period, but that's instead of three to four times in a 9-week period, which is what it used to be. And that cuts down on what kind of support we can give [teachers] . . . It changes the conversations. We have less knowledge than we should have, because we are running a school. We're doing the same amount of work with fewer resources, and that transfers to teachers and students. Teachers are not seeing us, and students are not seeing us as much as they had been.

Faced with conditions at their school sites that make it hard for them to serve as instructional leaders, some principals articulated the desire for more support from their districts. Despite this desire that the district would take over more administrative duties, in some cases just the opposite has happened.

With cuts to district personnel, some principals are taking on responsibilities that were previously taken care of by their district office, and districts are increasingly shifting funds away from principal training.

In 2008–09, California ranked 45th out of the 50 states in its ratio of district administrators to students, with 0.6 district administrators for every 1,000 students (EdSource, 2011c). Moreover, in a June 2010 survey conducted by the California Department of Education, a majority of

California districts (58%) reported that they had cut district administration during the 2008–09 and 2009–10 school years (CDE, 2010c). In that survey, California districts were more likely to report that they cut district administration than almost any other spending category.

Our findings suggest that these cuts to district staff have implications for principals. For example, our principal interviews revealed that some principals are taking on responsibilities that were traditionally fulfilled by district-level staff, in addition to taking on more responsibilities at the school site. A principal described her situation and its impact on her work:

> The challenge is, if you're going to be an instructional leader supporting teachers and kids and you have to take hours out of every week . . . it's a real source of frustration. . . . I've been a liaison to our migrant program, which used to be fully a district function and that's involved some extra meetings, coordination time; that's just one specific example. There are number of liaison functions that site principals have taken on. We don't have a district-level tech person; that's something a principal has taken that on with a little support from others. It's an outcome of the cuts. [We] used to have four district-level administrators and we're now down to two.

At the same time that principals are taking on more responsibilities because of cuts to both school and central office staff, they are also receiving less direct support and professional development. Most districts are allocating state funds for the Administrator Training Program to other purposes. The program, which gives districts up to $3,000 per administrator to provide principals and assistant principals with training on topics including personnel and financial management, core academic standards, and instructional leadership, was "flexed" along with other professional development programs in the 2009–10 school year.[40] A survey conducted by the LAO indicated that districts have been shifting program dollars toward their general fund instead of providing support for principals and other administrators. The survey found that 67% of districts had shifted funds away from the Administrator Training Program in 2010, up from the 52% of districts in 2009 (LAO, 2011a).

* * *

Despite the additional responsibilities that principals are taking on as a result of budget cutbacks and the lack of support they are receiving from both their diminished school-level staff and their scrambling district offices, California still expects its principals to sustain and improve academic results. Moreover, because so few new teachers are entering the profession right now, when it comes to improving teaching quality the real leverage comes from supporting the teachers who are already in the classrooms. One way for a principal to accomplish this goal is to accurately assess the strengths and weaknesses of teachers, provide them with personalized feedback, and support them in becoming more effective in the classroom. In the next chapter, we turn to the principal's role in teacher evaluation.

Despite the additional responsibilities that principals are taking on as a result of budget cutbacks, California still expects its principals to sustain and improve academic results.

[40] However, only the state funds dedicated to AB430 are subject to flexibility provisions. If districts opt to use the funds for their intended purpose, they receive federal funds in addition to state funds; but if they choose to "flex" the funds, they receive only state funds. For more information regarding flexibility provisions and the administrator training program, see the CDE website (http://www.cde.ca.gov/fg/fr/eb/ab430admtpfaq.asp). For a description of the program in general, see California Education Code (http://www.leginfo.ca.gov/cgi-bin/displaycode?section=edc&group=44001-45000&file=44510-44517).

CHAPTER 5
USING TEACHER EVALUATION TO STRENGTHEN TEACHING QUALITY

Education leaders and policymakers at the federal, state, and local levels are increasingly focusing on teacher evaluation as a key lever in the ongoing effort to improve teaching quality. However, the many demands on principals' time—and the concurrent reductions in support for principals—raise questions about principals' abilities to respond to the call for more thorough and meaningful systems of teacher evaluation. In the best of circumstances, teacher evaluation systems support the complex task of ensuring high-quality teaching within a given school building by (1) providing educators with meaningful feedback and related support aimed at informing and improving teaching and learning and (2) identifying and removing poor performers. Prior research—including findings documented in *The Status of the Teaching Profession 2007*—suggests that California's current evaluation processes serve neither of these purposes especially well (Wechsler et al., 2007). The inadequacy of the teacher evaluation system is most evident when it comes to assessing and informing the ongoing development of experienced teachers who are not underperforming—presumably the vast majority of the teacher workforce.

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As education leaders and policymakers consider ways to improve teacher evaluation, establishing a clear understanding of the current system and the capacities required to implement it is a critical first step. This chapter describes the current system of teacher evaluation in California and highlights principal and teacher perspectives on the benefits, challenges, and potential of teacher evaluation. We focus on teacher evaluation as a core component of the state's teacher development system and as a means of strengthening teaching practice and content knowledge among teachers across all stages of the profession. We draw on a review of state statutes regulating teacher evaluation, a sample of teacher contracts from our focus districts, principals' responses to survey and interview questions about their current evaluation practices, and interviews with experienced and accomplished K–12 teachers from across the state who are associated with organizations designed to contribute teacher voice to education policy discussions.

EVALUATION SYSTEM AND PROCESSES

In California, some aspects of the teacher evaluation system are established by state law and others are determined locally. Although many similarities exist from district to district, there are also key differences in the specifics of the evaluation processes.

In California, some aspects of the teacher evaluation system are established by state law and others are determined locally.

While the basic framework for a statewide teacher evaluation system has been in place since 1971, specific teacher evaluation processes are negotiated locally.

Teacher evaluation in California was formalized in 1971 under the California Stull Act (AB 293, 1971), which outlined the basic parameters for evaluation and observation. It has twice been amended (in 1983 and 1999) to further define the scope of evaluation to include

- the progress of pupils toward state-adopted academic content standards as measured by state-adopted criterion-referenced assessments,
- the instructional techniques and strategies used by the teacher,
- the teacher's adherence to curricular objectives, and

- the establishment and maintenance of a suitable learning environment, within the scope of the teacher's responsibilities.

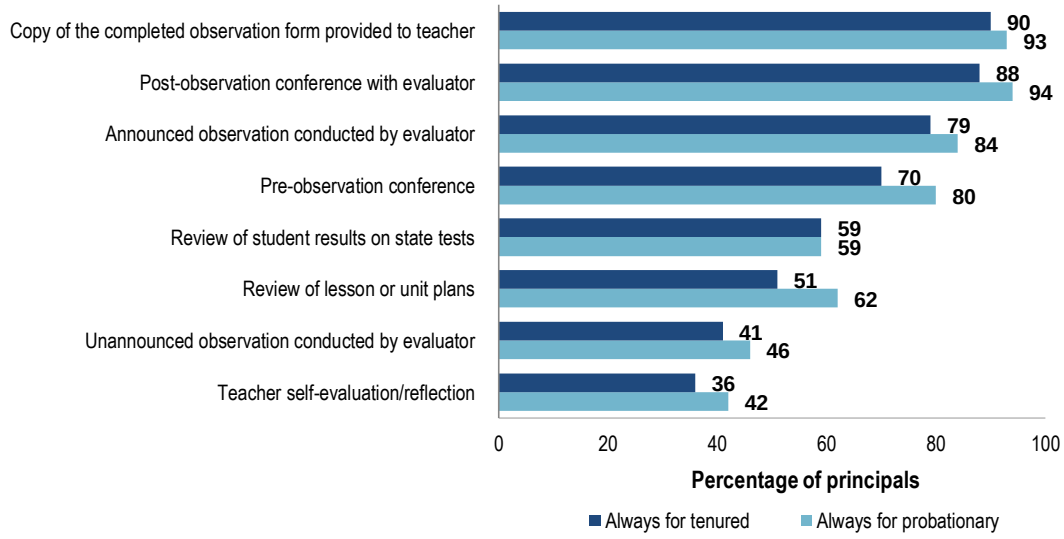
Districts and local bargaining units have the option to negotiate and extend the timeline of evaluation for some tenured teachers. Districts and local bargaining units can also choose how to include and assess student progress toward standards.

While these basic parameters are codified in the California Education Code (Sections 44661.5 and 44662), districts negotiate many aspects of their evaluation systems with local bargaining units. For example, the parameters for the frequency of evaluations in the state Education Code [44644] require evaluations at least once each school year for probationary personnel and at least every other year for personnel with permanent status (i.e., tenured teachers). However, districts and local bargaining units have the option to negotiate and extend the timeline of evaluation for some tenured teachers (those who have been in the district for 10 years, are compliant with the "highly qualified" provisions of the No Child Left Behind Act, and received a satisfactory rating on their most recent formal Stull evaluation may be evaluated every 5 years). Districts and local bargaining units can also choose how to include and assess student progress toward standards, the specifics of classroom observations (e.g., whether they must be scheduled in advance), whether to use either the California Standards for the Teaching Profession (CSTPs) or National Board for Professional Teaching Standards to assess teacher practice, and whether to exceed minimum requirements for the frequency with which teachers are evaluated.

Most principals conduct an announced classroom observation and hold a pre- and post-conference with the observed teacher, and three in five principals also review student results on state tests.

Regardless of whether teachers are tenured or probationary, the activities that principals reported "always" occur as part of the evaluation process are similar (Exhibit 5-1). For both tenured and probationary teachers, principals typically meet with teachers for a pre-observation conference, followed by an announced observation and a post-observation conference in which the completed observation form is provided to the teacher.

Exhibit 5-1
Activities Included in the Teacher Evaluation Process



For source and technical information, see Exhibit C-17 in Appendix C.

A majority of principals (nearly three in five) reported always reviewing student test results as part of the teacher evaluation process.

A majority of principals (nearly three in five) reported always reviewing student test results as part of the teacher evaluation process. Our review of local contracts revealed that most have provisions for considering student progress toward established standards. Some contracts lack

specific language, but others specify that formal evaluations can or shall include a review of test results, student work, and other student records. Several of the contracts we reviewed also include language noting that standardized test results may be used as long as publishers' norms are not considered as a measure of performance. As discussed in Chapter 2, the issue of considering assessments of student progress towards established standards is the subject of a new lawsuit that argues that the Los Angeles Unified School District has violated the Stull Act by failing to evaluate teachers based on evidence of student learning.[41]

Contracts also vary with respect to classroom observations. Again, some lack specific language, while others note that both announced and unannounced observations can be considered in formal evaluation; still others specifically preclude unannounced observations. Contracts can also cap the total number of evaluations.

Finally, whereas the state requires annual evaluations of probationary teachers, many probationary teachers appear to be evaluated more frequently: 54% of principals evaluate probationary teachers two or more times per year (see Exhibit C-18 in Appendix C). For tenured teachers, the majority of principals follow the standard time frame, with 70% reporting that evaluation occurs every 2 years. However, 13% of principals reported that tenured teachers are evaluated less than once every two years, and 17% reported evaluating tenured teachers more often than required in the Education Code (see Exhibit C-19 in Appendix C).

Many of the strategies principals find most valuable for assessing teaching quality are those they reported were least likely to be part of the formal evaluation process.

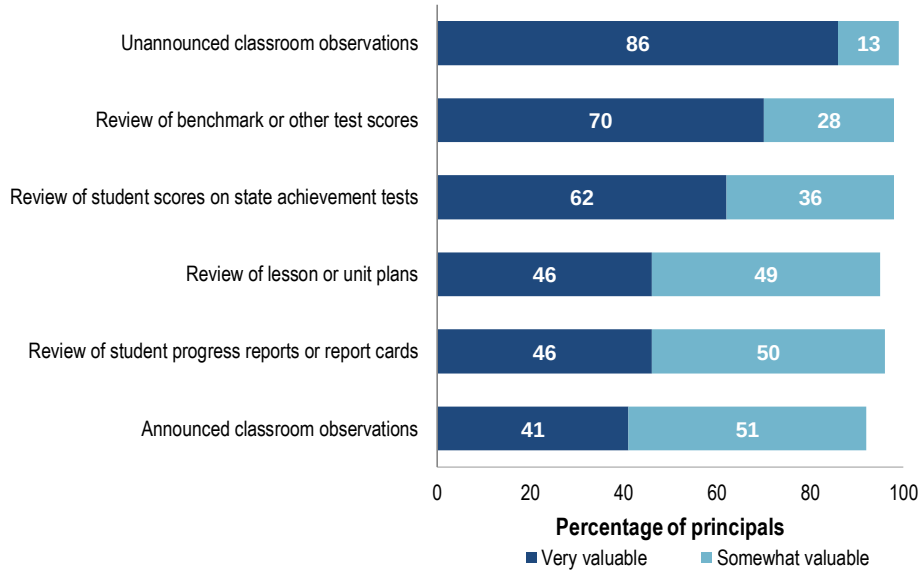
In addition to formal evaluation, principals use a variety of strategies to informally assess teaching quality at their schools. Many of the strategies principals find most valuable for assessing teaching quality are those they reported were least likely to be part of the formal evaluation process.

More than half of principals find unannounced classroom observations and reviews of student scores on both benchmark and state achievement tests very valuable for assessing teaching quality.

Whether through the formal evaluation process or more informal means, principals rely on a wide set of strategies to assess teaching quality. When asked about the value of various strategies for assessing teaching quality, the activities most frequently cited as "very valuable" were unannounced classroom observations (86%), review of benchmark or other test scores (70%), and review of student scores on state tests (62%) (Exhibit 5-2). Conversely, less than half of principals (41%) identified announced classroom observations as very valuable. When ratings of "somewhat valuable" are also considered, there is little variation across principals, with over 90% of principals rating each of the activities listed in Exhibit 5-2 as at least somewhat valuable.

[41] For more information about the lawsuit, *Jane Doe et al. v. Deasy et al.*, see EdVoice's website (http://www.edvoice.org/parentlawsuit).

Exhibit 5-2
Strategies Rated as "Very Valuable" or "Somewhat Valuable" for Assessing Teaching Quality by Principals Who Use These Strategies



For source and technical information, see Exhibit C-20 in Appendix C.

Time constraints appear to limit observation frequency and duration.

Though nearly all principals reported conducting unannounced classroom observations, time constraints appear to limit observation frequency and duration. In response to an open-ended survey question asking principals what would be most helpful in their efforts to improve teaching quality, one principal wrote: "Time to visit classes more frequently and for longer periods." Another concurred, writing: "More time dedicated to regular classroom walk-through observations and time to meet specifically with teachers about those observations as soon as possible following the walk-through."

Whether through formal or informal evaluation, assessing teaching practice requires substantial knowledge and skill on the part of school leaders. We turn now to a review of our findings regarding principals' expertise and experience.

Central to the role of instructional leader is managing a school's human resources by evaluating teaching and learning.

PRINCIPALS' KNOWLEDGE AND SKILL TO CONDUCT EVALUATIONS

As discussed in Chapters 1 and 3, providing instructional leadership is the most direct way principals can support improved teaching quality and student outcomes. Central to the role of instructional leader is managing a school's human resources by evaluating teaching and learning. Here we address the question of the extent to which California's principals have the knowledge, skill, and content expertise to conduct meaningful evaluations of teaching quality. We also look at whether principals are supported and given the time and tools they need.

Principals are most often a teacher's formal evaluator; they bring varied experience and expertise to the job.

Ninety-eight percent of principals reported that they conduct teacher evaluations (see Exhibit C-21 in Appendix C). New principals have varied levels of direct experience to draw on when they first take on this task. Nearly three fourths of principals (74%) reported having "moderate" or "significant" experience conducting classroom observations or walk-throughs

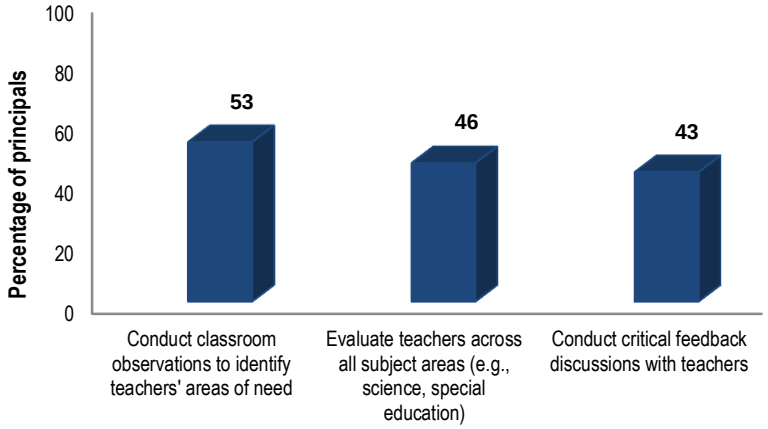
before becoming a principal, and about three in five (63%) reported having moderate or significant experience evaluating teachers (see Exhibit 3-2 in Chapter 3).

Nearly three fourths of principals (74%) reported having "moderate" or "significant" experience conducting classroom observations or walk-throughs before becoming a principal, and about three in five (63%) reported having moderate or significant experience evaluating teachers.

Whether principals receive training in these areas once on the job also varies. Just over two thirds of principals reported that their on-the-job professional development included, to a "moderate" or "great" extent, conducting classroom observations as part of the formal evaluation (72%), providing feedback to individual teachers regarding the results of the formal teacher evaluation (70%), or completing formal teacher evaluation forms (71%). Still, this leaves nearly one third of principals who reported receiving no or minimal professional development in each of these areas (see Exhibit C-22 in Appendix C).

In reflecting on their personal knowledge and skills, as well as those of their administrator colleagues, about half of principals strongly agreed that their administrative team (including themselves) has the expertise to carry out key components of teacher evaluation (Exhibit 5-3).[42]

Exhibit 5-3
Principals Who Strongly Agree Their Administrative Team Has Expertise in Areas Related to Evaluation



For source and technical information, see Exhibit C-23 in Appendix C.

Principals' level of confidence evaluating teachers' content knowledge varies by content area.

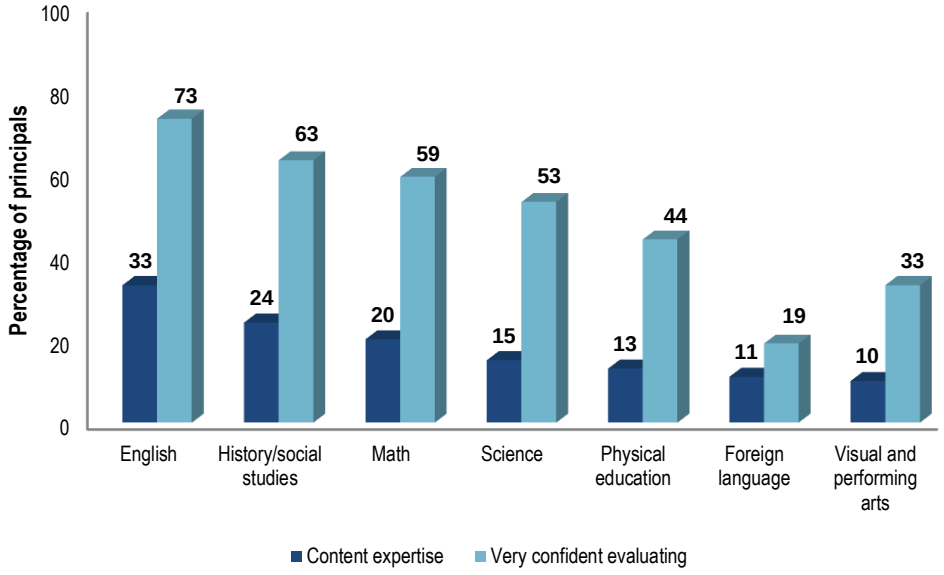
Many more principals reported feeling very confident evaluating teachers' content expertise than reported having content area expertise themselves.

Not surprisingly, principals' content area expertise and their levels of confidence evaluating teachers' content expertise tend to follow a similar pattern (Exhibit 5-4). However, many more principals reported feeling very confident evaluating teachers' content expertise than reported having content area expertise themselves.[43]

[42] Because of the high stakes of evaluation for teachers, we present the percentage of principals reporting that they "strongly agree" with these statements regarding their administrative teams' expertise. We show the frequency of principals' responses to all response categories in Appendix C.

[43] Again, because of the high stakes of evaluation for teachers, we present the percentage of principals who report feeling "very confident" evaluating teachers' content expertise. We show the frequency of principals' responses to all response categories in Appendix C.

Exhibit 5-4
Principals' Content Expertise and
Confidence in Evaluating Teachers' Content Expertise



Note that for each of these two survey items, principals were given the option to select all subjects that apply; hence, the totals for both principals' content expertise and principals' confidence in evaluating teachers' content expertise add up to more than 100. Also note that when principals were asked about their own content expertise, more principals selected "multiple subject teaching/general elementary" (62%) than any other item. That total is not shown in this exhibit because there was no corresponding survey item pertaining to principals' confidence in evaluating teachers' multiple-subject content expertise.

For source and technical information, see Exhibits C-24 and C-25 in Appendix C.

Principals most frequently reported that they have content expertise in English (33%) and feel very confident evaluating teachers' content expertise in English (73%). Nearly one fourth (24%) of principals report having content expertise in history/social studies, while 63% reporting feeling very confident evaluating teachers' content expertise in these content areas. Principals' expertise and confidence drops dramatically for subjects such as foreign languages and visual and performing arts. Additionally, given the current policy focus on STEM education, the relatively low percentage of principals with content expertise in math (20%) and science (15%) has implications for efforts to strengthen teaching and learning in these content areas. Percentages were similar when the analysis was restricted to principals of secondary schools, where teachers are typically departmentalized and the content they teach is more advanced.

Overall, just 4% of principals rated limited content expertise among administrators as a serious barrier to improving teaching quality.

An explanation for the discrepancy between content area expertise and confidence may be that many evaluations do not require principals to make judgments about teachers' content expertise and instead focus on more general teaching practices. Nearly two in three principals (65%) reported that when they evaluate teachers in a subject they do not have expertise in, they emphasize aspects of instruction that are not content specific. Sixty-eight percent review lesson plans beforehand to become familiar with the content, and 45% seek support from individuals who do have content expertise (see Exhibit C-26 in Appendix C). Overall, just 4% of principals rated limited content expertise among administrators as a serious barrier to improving teaching quality (see Exhibit C-29 in Appendix C).

Our interviews with teachers further suggested that principals may not feel their own limited subject area expertise is a barrier to improving teaching quality at least in part because the formal evaluation process tends not to require an assessment of teachers' content expertise. These teachers explained that content area expertise may not be essential, *given the current focus of teacher evaluation*. For example, a middle school math teacher noted that having an administrator with content expertise would be helpful but that the formal evaluation process does not necessarily require it: "I don't think it's an issue at all really, because the evaluation process is so, it's so, the opposite of thorough." A high school science teacher agreed. She noted that, "If the system were better and more related to teaching in your content area, it would be much more appropriate for the evaluator to have that subject area knowledge. That would be ideal."

Secondary-level teachers were most vocal about wanting to see more attention paid to content expertise. For example, a high school science teacher explained that evaluators tend to focus on general teaching skills, such as classroom management, rather than discipline-specific skills, such as how to run a lab. A high school math teacher echoed this sentiment:

> When they come and watch me teach all they're looking for from me is classroom management and engaging students because they don't understand algebra or calculus, so they don't look at that detail. They do look at that detail for areas they're comfortable with, but for people like me or when they go visit the Japanese class, they're probably just looking at other factors. . . . I really wish they would be able to evaluate my content knowledge and contribute something.

A teacher at the elementary level had a similar view, focusing on the developmental level of students: "I think it affects [the evaluation] greatly if you have someone who doesn't know the child development level that you're teaching. . . . I think they might not be seeing things that you want them to see."

Just as principals' and teachers' perceptions of the skills and knowledge required for evaluation vary, they also have somewhat different perspectives about the utility of the teacher evaluation process.

UTILITY OF FORMAL TEACHER EVALUATIONS

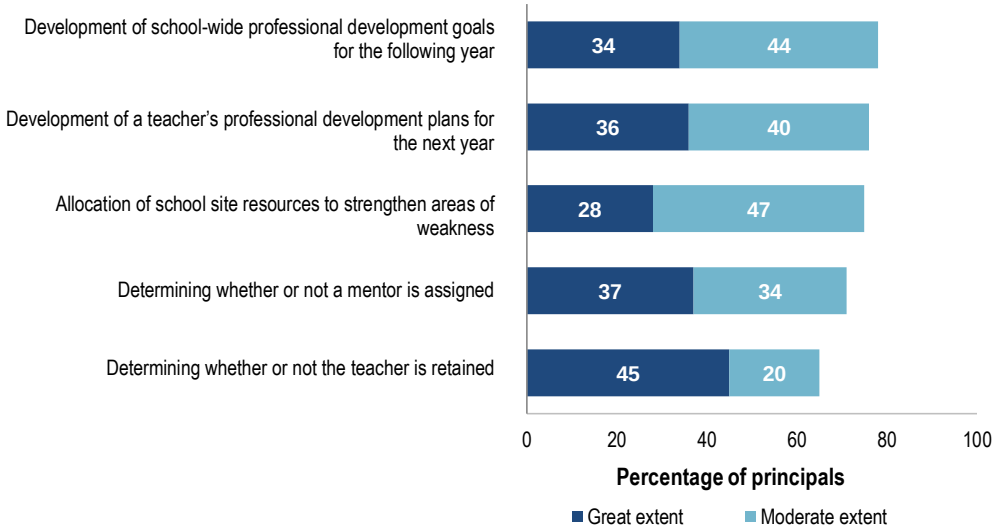
Here we describe principals' and teachers' perspectives on how well the formal teacher evaluation system serves its dual purpose: (1) providing educators with meaningful feedback and related support aimed at informing and improving teaching and learning and (2) identifying and removing poor performers.

About a third of principals reported that formal performance evaluation informs, to a "great extent," a teacher's professional development plans.

Less than half of principals report that formal performance evaluation of teachers is used to a great extent to inform key school decisions about improving teaching quality.

About a third of principals reported that formal performance evaluation informs, to a "great extent," a teacher's professional development plans (36%), schoolwide professional development goals (34%), and determining whether a mentor is assigned (37%) (Exhibit 5-5). Likewise, just over a fourth of principals (28%) reported that formal evaluation informs, to a great extent, the allocation of school site resources to strengthen areas of weakness. Many more principals report that these aspects of formal evaluation inform efforts to improve teaching quality to a "moderate extent." Following a similar pattern, when asked about the utility of the formal teacher evaluation system for supporting all teachers in continuously improving their practice, nearly 7 in 10 principals (69%) agreed that it does; however, only 16% *strongly* agreed (Exhibit 5-6).

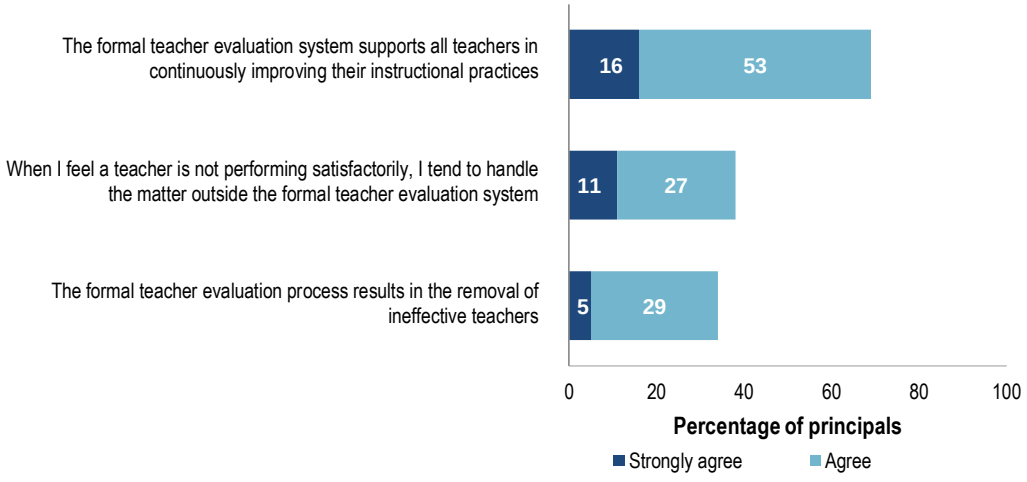
Exhibit 5-5
Extent to Which the Formal Performance Evaluation Informs Activities to Improve Teaching Quality



For source and technical information, see Exhibit C-27 in Appendix C.

Principals are similarly divided about the utility of teacher evaluation systems and processes for determining whether or not a teacher is retained and for removing ineffective teachers. Just under half (45%) reported that teacher evaluation informs, to a great extent, whether or not a teacher is retained (Exhibit 5-5), whereas approximately one in three (34%) agreed that the process results in the removal of ineffective teachers (though only 5% strongly agreed) (Exhibit 5-6).

Exhibit 5-6
Principals' Perspectives on the Use of Formal Evaluations



For source and technical information, see Exhibit C-28 in Appendix C.

Perhaps as a result of the shortcomings of the current system and processes, some principals work outside of the formal evaluation system. Nearly two in five principals (38%) agreed that when a

teacher is not performing satisfactorily, they tend to handle the matter outside the formal teacher evaluation system (Exhibit 5-6). One principal summed up many of the concerns others voiced about the utility of the formal evaluation system and noted that she has a parallel informal system that is designed to improve teaching:

> I feel that the [evaluation] system we use is antiquated and is not tied to student performance. For my many tenured teachers, it's as effective (ineffective) as the STAR for our students. It provides very little opportunity to measure teacher growth and flies in the face of what we ask our teachers to do with our students, provide timely feedback. I do my evaluations and then improve teaching through informal observations with feedback and a review of student and subgroup scores.

One reason principals may go outside the formal teacher evaluation system when it comes to giving feedback is that the typical evaluation instruments are too blunt to communicate nuanced information.

The instruments used in teacher evaluation typically provide limited opportunity for in-depth feedback to teachers.

Teacher evaluations instruments used under the Stull Act may include as few as two ratings of observed practice: "meets standards" and "does not meet standards." As a result, the process often provides no opportunity for discussion of degrees of proficiency. Teachers and principals alike agree that the instruments used in teacher evaluation are too limited. Teachers and their evaluators overwhelmingly reported they would prefer evaluation instruments that encourage more feedback.

One principal elaborated on the limited nature of instruments: "Forms always seem to be too black and white, when we sometimes need those gray shades." She added that "conversations are more beneficial but provide less hard documentation," highlighting the desire to move beyond informal feedback to an instrument that documents the broader evaluation discussion. Another principal, whose form allows for three ratings, agreed that the form should be formatted to encourage more feedback:

> We are only able to use *satisfactory*, *needs improvement*, or *unsatisfactory* to rate a teacher. This needs to change. It would be great to evaluate teachers in a standards-based report card type of way that we can give specific feedback of strengths and specific input of what needs to be improved.

Another principal suggested that teachers should contribute to the discussion of performance in formal evaluation. She would prefer an evaluation form with "a more useful and concrete scoring rubric, which both the teacher and evaluator use." She would also like to see "a reflection piece that the teacher uses." Another interviewed teacher agreed, suggesting that "Change number one would be not to have *satisfactory / unsatisfactory* as the only two options. More of like a rubric with maybe four or five categories including one that was some form of *not observed*."

"The only instrument that we currently have is just kind of like a Scantron sheet where the principal just has the score of 'meets standards.'"

Other teachers who were interviewed also expressed concern about the nature of the instruments used for evaluation. A teacher described the current instruments and suggested a preference for more descriptive feedback:

> Basically, the only instrument that we currently have is just kind of like a Scantron sheet where the principal just has the score of *meets standards*. I think it's aligned with the teaching standards. It's more aligned now than it used to be. And then you can just say does the teacher meet standards or needs to improve . . . it's just kind of yes or no, pass or fail. . . . I would like to see more of an interactive narrative to

> know about what my practice looks like, what areas I can improve in, things like that.

In other instances, teachers and principals reported that their districts had developed a 4-point scale rubric based on the CSTPs for teacher evaluations. One teacher noted that her district had recently agreed to use the National Board *Take One!* protocol.[44] She described the new system: "*Take One!* is one piece of the National Board portfolio. . . . You videotape yourself teaching a lesson and write reflectively about it using the National Board standards." Noting that it helps to improve teaching, she likened the new system to the state's Teacher Performance Assessment (an evaluation tool used in teacher preparation programs). Other National Board certified teachers we interviewed also suggested improving teacher evaluation by drawing on the National Board certification process.

Most local teacher contracts we reviewed call for providing support and recommendations for improvement only when a teacher receives an unsatisfactory rating.

Teachers and principals alike agree that the formal evaluation process does not easily allow for formative feedback for teachers.

Teachers described an evaluation process that does not provide them with meaningful feedback or support. One teacher voiced the feelings of many when she noted

> I think that evaluations should be formative in nature to begin with. I think that as it stands right now, teacher evaluations are summative in nature. They happen two, maybe three times per year, they're usually used to fill out a report or a form. . . . Teacher evaluations are sort of like the midterm and final, you just sort of pass or you don't pass or you get a grade, and then very little is done after the fact.

Principals also recognize the need to provide more formative feedback. However, they identified several barriers to achieving the dual purposes of formative and summative evaluation. As one principal noted, being both an evaluator and a coach can be difficult:

> I think it [teacher evaluation] would be more meaningful if it were a longer process. For example, if I had the time to truly work as a team with my teachers that are on evaluation cycle . . . to go in and just take notes that are not evaluative, just to say, OK, I'm popping in on a day where you are not putting on a dog and pony show. This is what I saw—what do you think? And having that kind of conversation. But, unfortunately, I'm not viewed as coach. I'm viewed as an evaluator.

Another principal shared, "We need to separate evaluation from professional development. We need to be able to have nonevaluative conferences with teachers about their practice and getting better and how do we improve—with them with their guard down, being unafraid that is this somehow related to their evaluation."

Given time constraints, principals focus their evaluations on newer and struggling teachers.

Our review of local teacher contracts reveals that most call for providing support and recommendations for improvement only when a teacher receives an unsatisfactory rating. As a result, teachers who receive satisfactory ratings, such as those we interviewed, get very little feedback. In fact, several teachers reported that, given time constraints, they feel principals focus their evaluations on newer or struggling teachers. One experienced teacher commented, "The principal usually works with the really needy ones. I tend to go with the assistant principal because I am low key and easy and good, I suppose." Another teacher, with National Board Certification, echoed these sentiments, "Honestly, maybe because I'm Board Certified, I haven't been thoroughly evaluated in a long time. I think the feeling is that, 'Well, [she] is a known element, so I'm going to spend my time more on the new teachers.'"

[44] For more information, see the National Board for Professional Teaching Standards website (http://www.nbpts.org/help_and_faqs/take_one#2588).

Finally, one teacher offered a vision for an alternative approach to evaluation that would be designed to support continuous improvement for all teachers, regardless of their stage in the profession:

> If an evaluation tool were actually being used to develop you professionally . . . I would imagine it happening early in the year, your initial evaluation, that "These are your areas of strength, these are some areas that you and I both think, based on observing you as well as talking with you, that you want to work on, here are the things for you to do individually to develop," as well as maybe using it as a way to identify common needs across our whole staff as well as particular groups of the staff. . . . I think for master teachers or teachers who've been in the profession and gained a certain level of confidence, I really think they're not being asked to do enough, whereas like new teachers are being asked to do more than they're often capable of. So I would like to see evaluation being able to identify "How can we utilize the capabilities already existent within our staff?" So to me, I would see it as an ongoing professional training . . . rather than sort of this agreed-upon one means to exit a teacher from the profession.

In reflecting on efforts to improve teaching quality, principals identified challenges associated with removing ineffective teaches and barriers to supporting the continuous improvement of all teachers.

BARRIERS TO IMPROVING TEACHING QUALITY

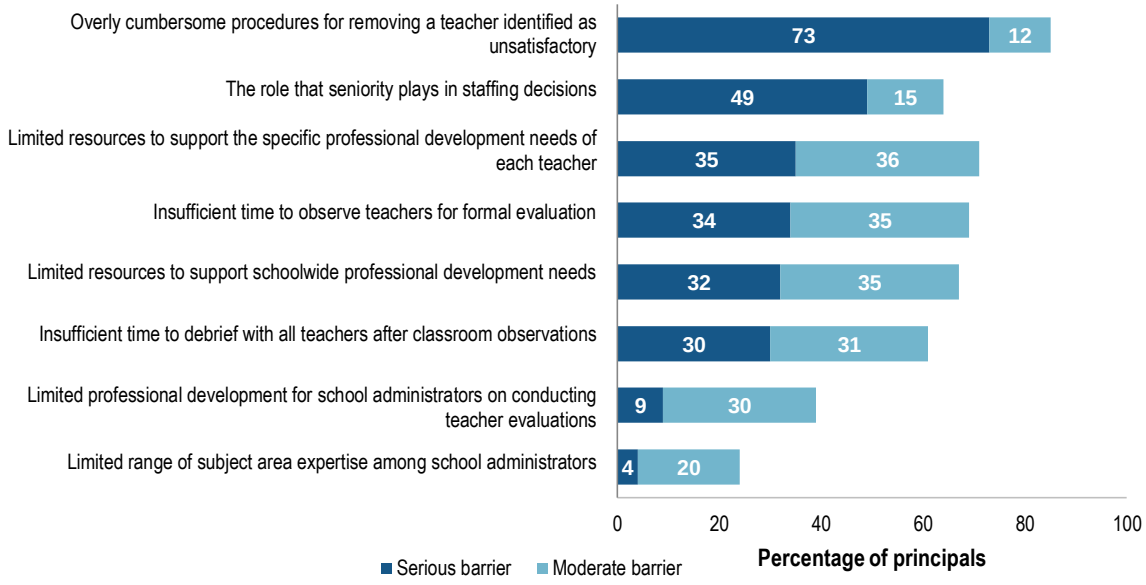
Principals and teachers reported a wide range of challenges associated with improving teaching quality. Most principals zeroed in on staffing issues, including overly cumbersome procedures for removing unsatisfactory teachers and difficulty recruiting effective teachers. Many principals also identified limited time to observe and debrief with teachers and limited resources for professional development as serious barriers. Many of the teachers we interviewed confirmed that principals dedicate too little time to evaluation. Given the multiple and competing demands placed on principals (described in Chapter 3), the lack of time is not a surprise.

Survey responses suggest that when principals think about improving teaching quality, many think first about staffing—removing any poorly performing teachers and keeping their most effective teachers—and second about increasing the expertise and skills of their staff as a whole.

Principals identified a wide range of challenges associated with improving teaching quality.

Nearly three in four principals (73%) cited the "overly cumbersome procedures" for removing a teacher identified as unsatisfactory as a serious barrier to improving teaching quality (Exhibit 5-7). During this time of teacher layoffs, nearly half of California principals (49%) noted the role that seniority plays in staffing decisions as a serious barrier. These responses suggest that when principals think about improving teaching quality, many think first about staffing—removing any poorly performing teachers and keeping their most effective teachers—and second about increasing the expertise and skills of their staff as a whole.

Exhibit 5-7
Principals' Perspectives on Barriers to Improving Teaching Quality



For source and technical information, see Exhibit C-29 in Appendix C.

When asked about the scale of the problem of unsatisfactory or ineffective teachers, California principals have reported that the actual number of teachers they would like to remove is small.

When asked about the scale of the problem of unsatisfactory or ineffective teachers, California principals have reported that the actual number of teachers they would like to remove is small. A 2007 study of issues affecting California principals that was released as part of the *Getting Down to Facts* series also found that a large majority of principals felt they lacked the flexibility to dismiss underperforming teachers, but reported that the proportion of the state's principals who wanted to remove many of their current teachers was small: over half of principals reported wanting to remove one or none and just under one quarter of principals wanted to remove more than 2 teachers (Fuller, Loeb, Arshan, Chen, & Yi, 2007). Moreover, in districts elsewhere across the country that have designed their teacher evaluation systems in order to more effectively identify and remove unsatisfactory teachers, principals have terminated only a small proportion of teachers as a result of being rated ineffective. For example, in Washington, DC, where the teacher evaluation system was overhauled in 2009–10, 2% of the teachers included in the new evaluation system in 2010–11 were rated ineffective and terminated; an additional 4% were terminated after being rated minimally effective 2 years in a row (2009–10 and 2010–11).

It may be that one reason so many principals identified "overly cumbersome procedures for removing a teacher identified as unsatisfactory" as a serious barrier to improving teaching quality, even though it is not likely to make large numbers of teachers more effective, is that it takes so much of a principal's time to complete the thorough documentation required for dismissal. As one principal explained, "I have to pick my battles. In order for me to document everything . . . I would be spending an exorbitant amount of time in that classroom and doing paperwork." Again noting the time it takes for principals who already have multiple competing demands on their time, another principal explained:

> A lot of work is involved in "writing someone up" and when you think about what a principal has to do in a given day, when you take out the time to do that, and you're not supported [by the district], you're not going to do that too often.

Significant percentages of principals also identified limited resources, both in terms of time and finances, as serious or moderate barriers. Approximately one in three principals cited insufficient time to observe teachers for formal evaluation (34%) and insufficient time to debrief with all teachers after classroom observations (30%) as serious barriers to improving teaching quality. Likewise, 35% noted limited resources to support the specific professional development needs of each teacher as a serious barrier, while 32% of principals identified limited resources to support schoolwide professional development needs. Similar percentages of principals identified these same issues as moderate barriers.

One in three principals cited insufficient time to observe teachers for formal evaluation (34%) and insufficient time to debrief with all teachers after classroom observations (30%) as serious barriers to improving teaching quality.

The teachers in our interview sample also noted the time pressure that principals face in completing evaluations and how this affects the utility of the process. As one noted,

> A lot of times what happens is the administrators get so overwhelmed that they don't even end up coming in for your second or third observation and it's on them to get their paperwork done. A lot of times they just throw something together and have you sign it real quick.

Another described a similar experience of incomplete evaluations due to overburdened administrators:

> I've been working at [name of school] for 4 years going on 5, so the first 2 years there I was considered a probationary teacher, and I was never evaluated. My first year I spent three different meetings trying to get my goals and objectives to be satisfactory for the assistant principal who was supposed to be evaluating me that year. And then she never came to my room. She's a good person, and her heart was in the right place, but she's incredibly overworked, and this was something that slipped by.

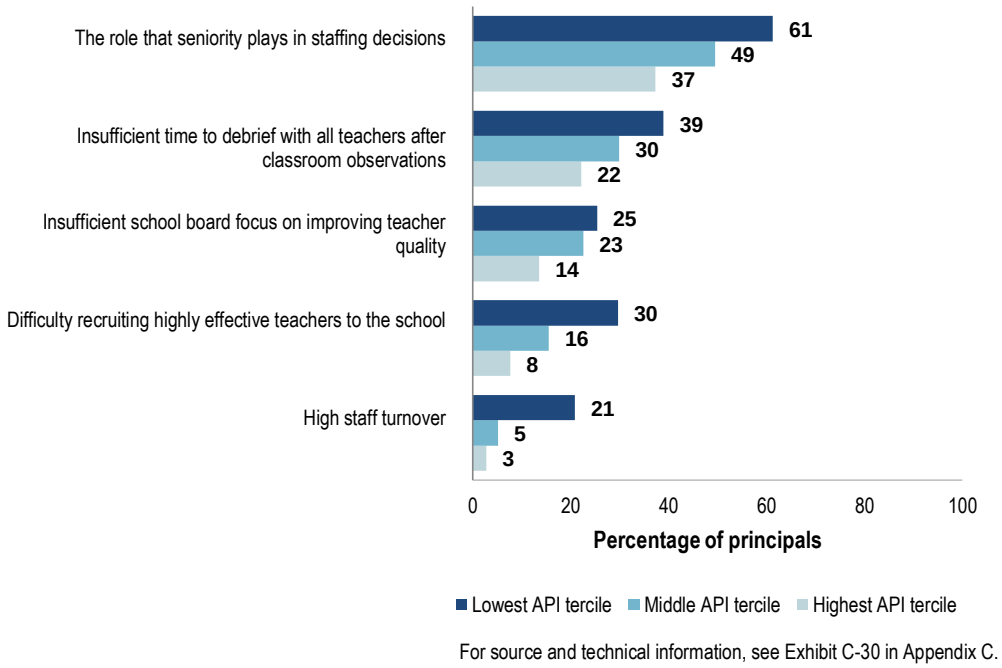
The range of serious barriers suggests that principals may have different priorities given the different realities at their schools. Some barriers to improving teaching quality may disproportionately affect principals depending on the context of their school.

Principals of schools that are struggling academically were more likely than principals at higher-performing schools to identify a number of barriers to improving teaching quality, including high teacher turnover, recruiting, and the role seniority plays in staffing decisions.

Principals of lower API schools were more likely to identify high staff turnover and difficulty recruiting highly effective teachers to the school as serious barriers.

Although staffing concerns were identified as serious barriers by many principals, principals of schools with lower API scores were more likely than those in higher API schools to identify the role that seniority plays in staffing decisions as a serious barrier to improving teaching quality (Exhibit 5-8). Furthermore, principals of lower API schools were also more likely to identify high staff turnover and difficulty recruiting highly effective teachers to the school as serious barriers. These differences may stem from the fact that lower-performing schools are more likely to employ teachers with less experience and so may be affected more by seniority-based layoffs. In addition, over the years in which we have documented the status of the teaching profession in California, we have found that lower-performing schools face persistent challenges recruiting and retaining teachers.

Exhibit 5-8
Principals' Perspectives on Serious Barriers to Improving Teaching Quality, by API Tercile



For source and technical information, see Exhibit C-30 in Appendix C.

As districts consider alternative approaches to teacher evaluation, district leaders will need to ensure that principals have the time, expertise, tools, and support to meaningfully engage in a new system.

A principal highlighted the challenges with seniority-based staffing policies—noting that the issue emerged as a result of recent teacher layoffs:

> So many of our wonderful new teachers are being laid off only because they are low on the seniority list. We have awesome teachers that have a lot of seniority, but we also have some teachers who are low performing and remain in their jobs protected by seniority. . . . We should be able to keep our best teachers regardless of their seniority.

In addition to staffing concerns, principals of lower API schools were also more likely than principals of higher API schools to report serious barriers related to insufficient time to debrief with all teachers after classroom observations and an insufficient school board focus on improving teacher quality.

* * *

The limitations of California's current teacher evaluation system for supporting improvements in teaching quality that span a teacher's career have been documented for some time (see, for example, Fuller, Loeb, Arshan, Chen, & Yi, 2007 and Wechsler et al., 2007). With a few exceptions, California districts have yet to make significant changes in their teacher evaluation systems. As districts consider alternative approaches, district leaders will need to ensure that principals have the time, expertise, tools, and support to meaningfully engage in a new system.

CHAPTER 6
SUMMARY AND IMPLICATIONS

The education system in California is at a crossroads. The state has embraced new, internationally benchmarked content standards and more meaningful assessments of student learning. At the same time, historic cuts to its overall education budget have impacted the ability of California's teachers and school leaders to do their jobs. Meanwhile, the state has an increasingly veteran teacher workforce and a relatively inexperienced corps of principals. This year's report on the status of the teaching profession seeks to inform policymakers about the implications of this dynamic environment and point out the potential repercussions of policy inaction.

More specifically, we ask if California is prepared to bring new standards and assessments to the state's classrooms. We provide an update on the state's educator data systems, highlighting the ongoing inability to answer basic questions about the educator workforce and the impact of policy changes. We document the demands of the principalship and raise questions about the ability of school leaders to do all of the things they are asked to do. We note that efforts to provide instructional leadership are becoming increasingly untenable as a result of deep budget cuts. Finally, we explore the state's current teacher evaluation system with an eye towards informing the development of a more meaningful system.

- **New standards and assessments.** California has committed to implement the Common Core State Standards and is participating in the development of new science standards and a new, dramatically different student assessment system that is expected to be put in place in school year 2014–15. Successfully implementing these new standards and assessments will depend on the success of efforts to align teaching to these new learning goals. Such efforts will require investments in teachers—including the state's large cadre of veteran teachers—and the system that supports them. More specifically, California will need to ensure that its teacher preparation and professional development programs are up to the task of preparing teachers for a new set of demands. To date, despite the fact that the Common Core standards were adopted in 2010, little has been done to ensure systemic support for the state's teachers. In fact, as documented in this report, budget cuts have significantly weakened the state's fragile teacher development system. This raises questions about the prospect of support for current and future teachers—specifically, whether California policymakers will adopt ambitious goals for students and educators and fail to match the policies and rhetoric with support.
- **Data systems.** After 14 years of effort, California still does not have a fully functional statewide data system. In the current fiscal crisis, one can question the wisdom of additional investments in statewide data—especially given that local districts do have access to their own data and can theoretically mine that data to address local questions. However, without access to a comprehensive set of K–12 data collected across all schools in the state, the uneven technical capacity at the local level can lead to uneven availability of data for local policymakers and citizens. Moreover, local data does not allow for the answering of statewide questions that could point to the more effective use of scarce funds. At this point, central questions about key policy issues—such as the retention and mobility of teachers—cannot be answered without making special requests to state agencies. Arguably, in a time of constrained resources, the availability of timely data on the state of education and the efficacy of state-sponsored interventions in schools is even more crucial.
- **The principalship.** The current fiscal and policy context places school principals between a rock and a hard place. Ever-shrinking budgets put pressure on principals to

tightly manage the allocation of scarce resources, including how to place and support teachers. Concurrent accountability requirements call for them to strengthen their role as instructional leaders and increase the amount of time they spend working directly with teachers. At the same time, non-instructional administrative tasks continue to dominate much of their time and energy. Over the long haul, these competing pressures may make the job untenable in the absence of concerted state and district action to support principals.

- **Teacher evaluation.** Across the country, reforming teacher evaluation has emerged as an increasingly popular approach to improving teaching quality. California is no exception. As state and local policymakers consider their options, they will need to keep in mind that efforts to improve the practices of the large majority of teachers in California will require going beyond evaluation for the purposes of making employment decisions. Specifically, any new system should be designed to ensure that those teachers who are *not* new to the profession and *not* underperforming receive meaningful feedback and professional development that helps them continue to improve and refine their practice. Moreover, district leaders will need to ensure that principals have the time, expertise, tools, and support to meaningfully engage in a new system.

CHAPTER 7

RECOMMENDATIONS FROM THE CENTER FOR THE FUTURE OF TEACHING AND LEARNING AT WESTED

SUPPORTING, DEVELOPING, AND EVALUATING EXPERIENCED TEACHERS AND PRINCIPALS TO ENSURE TEACHING QUALITY

California's teacher workforce is comprised of a higher proportion of highly experienced teachers than has been the case in at least a decade. These teachers face classroom conditions that include some combination of increased class sizes, reduced instructional days, and fewer resources to pay for materials and equipment. In addition, teachers have less general support outside of their classrooms, with fewer counselors, instructional aides, librarians, secretaries, and custodians. Finally, with less teacher development funding available from the state and districts making use of flexibility in the deployment of those funds, many teachers are not receiving the professional development necessary to refine their practice.

At a time when students more than ever need to be prepared for a rapidly changing and increasingly knowledge-based economy, as well as the introduction of the new Common Core State Standards and assessments, supporting the state's now veteran teaching workforce in meeting that challenge requires targeted professional development and strategic support from principals to help build upon the many years of practice that these teachers have already developed.

Meanwhile, both principals and teachers report a wide range of challenges associated with improving teaching quality and substantial deficiencies in the current system of teacher development, support and evaluation. Among those challenges is the amount of time that principals have available to provide the type of formative support necessary to identify the instructional challenges confronted by this experienced teaching workforce and develop strategies for improvement. If California is serious about implementing a meaningful evaluation system that supports teachers in improving their practice throughout the year, then policymakers must acknowledge that principals need additional time to attend to that responsibility. With the typical principal already experiencing a 60 hour work week, it is difficult to imagine them taking on more hours to fulfill this expectation. This means that additional administrative supports are needed just as they are largely being eliminated due to the budget crisis.

The focus on principals is critical because studies show that the influence of the principal on student learning and achievement is second only to the classroom teacher and, like their classroom counterparts, today's principals are expected to simultaneously manage a tremendous number of responsibilities.[45] California's principal workforce is generally new to the principal profession, with limited experience in many of the management and budgeting responsibilities that consume much of their time. However, student achievement and school quality are directly impacted by the principal's ability to promote and participate in teacher learning and development as well as to plan, coordinate, and evaluate teaching and the school's instructional program. Today's principals have more to do, fewer people to help, and higher stakes with which to contend. At the same time, the systems in place to prepare, support, develop, and evaluate school principals are severely lacking.

[45] The research addresses "in-school" influences on student achievement.

The following recommendations are offered to support teachers, principals and policymakers improve educational outcomes for all students, particularly as the state and local districts prepare for delivery of the Common Core Standards.

Reinvent evaluation and support for teachers to focus on student learning, with the goal of improving both teaching and learning. The evaluation system should emphasize formative evaluation in order to assist teachers in refining instructional practice throughout the year. The process should be a means of identifying both strengths and challenges for these teachers, while continuously strengthening teaching practice. Components of a reinvented evaluation system would include:

- a multidimensional approach, to include, but not be limited to, student performance assessments and outcome measures;
- tying evaluation results directly to substantive feedback to teachers and linking these results to a wide range of professional development offerings to strengthen their teaching practice and keep current with changes in curricular content;
- streamlining procedures necessary to remove the small percentage of teachers who have been determined to be ineffective despite ongoing feedback and opportunities to improve their performance;
- identifying opportunities for those in the current teacher workforce, which is comprised of many practitioners who have decades of experience in the classroom, to lend needed expertise in observing the practice of colleagues, providing substantive feedback on both content-based teaching and methodology, and participating in support and development based on evaluation outcomes;
- increasing the amount of time principals or other evaluators have allotted for conducting evaluations, which will require adjustments in fulfilling other administrative functions;
- providing corresponding training to principals and others who conduct evaluations that highlights providing substantive feedback to teachers and specific ways to refine their teaching practice; and
- ensuring a continuous pathway for professional growth and development over the span of a teacher's career, while avoiding duplication in ongoing development, by using the results of existing assessments. (e.g., Teacher Performance Assessment administered during preparation, the Formative Assessment for California Teachers conducted during induction) to inform and guide the teacher's ongoing professional growth.

Revise the system of education leadership support and evaluation by:

- reinventing evaluation systems of principals to focus on support for teachers to improve student learning as well as improving their own practice;
- providing principals with formal mentoring from more experienced and highly effective school leaders and implementing a formal induction period, especially since the current principal workforce is comprised of many individuals who are experienced educators, but who are new to the role of school site leadership;
- creating professional learning communities for principals that allow for communication and collaboration across schools; and
- systematically developing strategies to support principal retention.

Reinvented evaluation systems would include multiple measures of quality leadership reflecting the complexity of their role and would be based on research that addresses effective leadership, organizations, and personnel evaluation. They would also include appropriate feedback from multiple stakeholders. The systems should avoid a "one size fits all" approach, accounting for differences in school contexts, while focusing on selected high-impact criteria and behaviors. Principals should participate in creating evaluation goals and objectives and in reviewing their own performance. Evaluation tools should be reliable and valid and evaluation systems should be based on established standards of administrative practice as well as objective and measurable performance objectives. Evaluations for principals should be linked to worthwhile, iterative opportunities for professional development across their careers. School districts should regularly review the relationship between the district's principal evaluation system and the critical goals and needs of students, teachers, principals, schools, and the district.

TRANSITIONING TO THE COMMON CORE STANDARDS

California has committed to continued implementation of the Common Core State Standards. Although California's existing standards are widely viewed as rigorous, new assessments to be administered in 2014–15 linked to the Common Core standards are expected to deviate widely from California's current assessments and will require teachers to prepare their students to demonstrate critical thinking, communications, and other applied skills. At the same time, nearly half of the state's students are failing to meet existing standards, and the achievement gap between African American and Hispanic/Latino students and white and Asian students shows no sign of narrowing. Additionally, nearly a fifth of California's ninth graders drop out of high school entirely, and over 60% of those students who do graduate high school and matriculate at CSU campuses need remedial education in English, mathematics, or both. Rollout of new assessments is currently projected to predate the adoption of Common Core-aligned instructional materials by several years. These changes are expected to necessitate substantial training and support for teachers—both those already in the classroom and those preparing for a teaching career—and their school leaders.

We recommend policymakers take the steps necessary to support local educators in transitioning to the newly adopted Common Core Standards by:

- addressing professional development offerings to classroom teachers resulting from state budget cuts and categorical "flexibility";
- making available locally or regionally designed and delivered professional development for teachers and administrators based on the Common Core standards, accompanying assessments, and, upon adoption, standards-aligned instructional materials; and
- ensuring availability to classroom teachers and school principals of regular timely, reliable, and valid data on student performance, such as benchmark results, analyzed and presented in formats designed to inform and strengthen teaching and learning.

Local school districts and boards should begin working toward the transition now by offering teachers time to receive the guidance, support, and development necessary to adapt their practice to the new standards and to make adjustments to instruction as necessary. Districts should periodically review data on the impact of changes in practice that would enable them to make mid-course corrections to implementation plans as appropriate.

ENSURING ADEQUATE, RELIABLE TEACHER AND PRINCIPAL WORKFORCE DATA TO PROMOTE STUDENT LEARNING, TEACHER AND PRINCIPAL DEVELOPMENT, AND EDUCATION EQUITY

We applaud the implementation of CALPADS, the existing statewide data system, and restoration of funding for continued implementation of the system. However, gaps remain that if addressed would allow state and local policymakers to continue to address education equity, program evaluation, education transparency for parents and others, and program quality during an era of diminishing resources. The system collects, for example, virtually no data necessary to address the issues of preparation, development, or turnover in the principal workforce. Nor does it illuminate potential shortages in the teaching and administrative workforce. The ways in which these data are to be collected and reported should keep in mind the need for utility and transparency for both policymakers and the public.

In order to ensure state policymakers have the data necessary to make informed decisions about policy priorities, we recommend that they commit to:

- ensuring that local educators have the resources necessary for ongoing analyses of student performance data linked to reinvented evaluation systems, including teacher and principal development based on these analyses;
- taking the necessary steps, amending statutes governing CALPADS as necessary, to facilitate sharing of existing teacher workforce data between the California Department of Education and the Commission on Teacher Credentialing to ensure that both local and state policymakers have the information they need to anticipate and address teacher turnover, out of field teaching, and potential shortages in the teacher workforce; and
- allocating funds strategically in support of improved student outcomes while recognizing the critical role that school principals play in supporting teachers and students by ensuring access to data, including information on the characteristics of the principal workforce, information on principal mobility, and the efficacy of supports that are provided to principals, to help inform and strengthen principal leadership.

APPENDIX A
RESEARCH METHODS

During the 2010–11 academic year, we collected original data on issues and trends related to the role of the principal in supporting teaching quality. This appendix details the design and procedures for the primary data collection methods and analyses used in this study. Specifically, we discuss the sampling, administration, and analysis of our statewide survey of public school principals; the procedures for our follow-up phone interviews with a subset of these principals and for our phone interviews with a set of experienced and accomplished K–12 teachers from around the state; the procedures for our review of current state and federal policy issues; and the procedures for analysis of secondary data describing characteristics of the teacher workforce.

STATEWIDE SURVEY OF K–12 SCHOOL PRINCIPALS

The survey of California public school principals was designed to provide a statewide look at principals' experiences and perspectives related to a variety of topics that aligned with our overarching research questions, grouped broadly into the following sections:

- background (e.g., title, previous experience, professional development, future plans);
- the work of a principal;
- budget changes; and
- teacher evaluation.

We surveyed 606 principals from public schools serving any combination of grades K–12 from across the state. A total of 463 principals completed the survey, for a response rate of 76%.

Sampling procedures. The research team restricted the school sample to schools identified in California's Public Schools and Districts database downloaded from the California Department of Education's website in February 2011. Schools serving special student populations (e.g., California Youth Authority schools, state special education schools, continuation schools) were excluded from the analysis to allow for a more focused analysis of the experiences and perspectives of principals within the state's most typical school settings.

The research team selected a random sample of 606 California public schools, stratified by school type and Academic Performance Index (API). Of the 606 sampled schools, 174 were elementary schools, 174 were middle schools, 174 were high schools, and 84 were schools that fit into an "other" category. We defined school type using the grades schools served from California's Public Schools and Districts Database.

- We defined elementary schools as schools that did not serve students higher than 6th grade.
- We defined middle schools as schools that did not serve students in grades lower than 5th grade, served students in 7th grade, and did not serve students in grades higher than 9th grade.
- We defined high schools as schools that did not serve students in grades lower than 8th grade, served students in 10th grade, and did not serve students in grades higher than 12th grade.
- We defined schools as "other" when they served students in some combination of grades K–12 but did not meet the criteria above.

For the API stratification variable, the research team calculated terciles based on 2010 API scores for each school type. Exhibit A-1 displays the API score ranges for each tercile by school type. Schools missing API information in the API Base data file were excluded from the survey sample.

Exhibit A-1
Principal Survey Sample by School Type and API

School Type	API Tercile 1 (API Score Range)	API Tercile 2 (API Score Range)	API Tercile 3 (API Score Range)
Elementary	422–771	772–841	842–999
Middle	538–733	734–814	815–988
High	418–709	710–777	778–976
Other	394–744	745–816	817–988

Exhibits A-2 and A-3 display the size distribution of schools in the survey sample, overall and by API tercile.

Exhibit A-2
Size Distribution of Schools in Survey Sample

	Mean	SD	Range
Elementary	571	211.48	Minimum: 104 Maximum: 1360
Middle	808	396.63	Minimum: 4 Maximum: 2141
High	1480	992.21	Minimum: 16 Maximum: 4056
Other	490	407.77	Minimum: 31 Maximum: 2117

Exhibit A-3
Size Distribution of Schools in Survey Sample, by School API Tercile

	Mean	SD	Range
Lowest API Tercile	843.78	732.86	Minimum: 4 Maximum: 4056
Middle API Tercile	833.06	702.42	Minimum: 16 Maximum: 3861
Highest API Tercile	943.18	673.42	Minimum: 31 Maximum: 3312

The sampling frame was designed to provide a sufficiently large number of respondents to conduct analyses of, and make comparisons across, subgroups of schools.

Instrument development. The research team drew upon school leadership literature as well as existing surveys of principals from around the country to develop survey items designed to address this study's research questions. After drafting the initial survey instrument, the research team piloted it with a small sample of current and former principals whose schools were not included in the survey sample to gauge item clarity and time needed to complete the survey. The survey was also reviewed by reviewers internal to SRI and external reviewers, all with expertise in school leadership. The team finalized the survey instrument based on recommendations and feedback from pilot respondents and these reviewers.

Survey administration. The survey was distributed to the sample of 606 school principals in online and hard-copy formats from April 2011 through July 2011. Each respondent was offered a $100 gift certificate to Amazon.com as an incentive for completing the survey. E-mail invitations to participate in the survey were sent to each principal in the sample, along with a link to the online questionnaire. Approximately 1 month after the online invitations were sent, hard-copy surveys were mailed to all nonrespondents, along with a cover letter explaining the survey and a postage-paid return envelope. During the survey administration period, nonrespondents periodically received reminder e-mails, postcards, and telephone calls encouraging their participation.

The survey team created a tracking system by assigning principals unique identifiers to link them to their school information. Returned surveys were logged into the tracking system, enabling the research team to calculate response rates overall, by school type, and by API level. Exhibit A-4 displays the final response rates.

Exhibit A-4
Survey Response Rates, by School Level and API Level

		Lowest API Tercile	Middle API Tercile	Highest API Tercile	*Total*
Elementary	Number of schools in California	1,153	1,681	1,867	4,701
	Number of schools sampled	58	58	58	174
	Response rate of schools sampled	81%	86%	84%	84%
Middle	Number of schools in California	531	368	351	1,250
	Number of schools sampled	58	58	58	174
	Response rate of schools sampled	81%	71%	76%	76%
High	Number of schools in California	613	312	163	1,088
	Number of schools sampled	58	58	58	174
	Response rate of schools sampled	67%	72%	76%	72%
Other	Number of schools in California	407	339	311	1,057
	Number of schools sampled	28	28	28	84
	Response rate of schools sampled	75%	64%	75%	71%
Total	Number of schools in California	2,704	2,700	2,692	8,096
	Number of schools sampled	202	202	202	606
	Response rate of schools sampled	76%	75%	78%	76%

Survey analysis. Paper questionnaires were developed using Cardiff Teleform. Completed questionnaires were scanned electronically. They were then reviewed by one staff person, and 100% validation was performed by another. Data from online surveys were collected via the web interface. Data from the paper and online surveys were merged to create one data file for analysis.

Before analysis, schools were assigned separate weights to reflect their relative frequency in the population. Schools were assigned weights in each of the two strata by the stratum size in the overall population (*N*) divided by the actual number of respondents in each stratum (*n*). In addition, the weights were scaled to add up to the total number of survey respondents by multiplying them by the total number of respondents (Total *n*) divided by the total population size from the sampling frame (Total *N*). This scaling was performed to ensure the correct calculation of standard errors using the SAS statistical software package. The weight assigned to each stratum equals (*N*/*n*)*(Total *n*/Total *N*). This weighting strategy makes the final sample representative of the target population in each stratum.

All survey analyses were conducted with the SAS statistical software package. The research team computed summary statistics and examined the response distribution for each item. Comparative analyses were conducted to determine differences by school type, school size and across poverty and API levels (broken into terciles based on statewide data from 2010). Chi-square tests were used for categorical variables, and analysis of variance (ANOVA) tests were used for continuous variables. Reported contrasts between groups are statistically significant at $p < .05$ unless noted otherwise (for statistical support for survey data, see Appendix C).

TELEPHONE INTERVIEWS WITH PRINCIPALS AND TEACHERS

In order to bring additional depth and context to the survey findings, and in order to incorporate teacher perspectives, the research team conducted a series of telephone interviews with over 30 principals and over 30 experienced and accomplished teachers from around the state in late spring and summer 2011. To expand on principals' perspectives, we conducted a set of follow-up interviews with principals who had completed our survey, in which they were asked to provide more detailed information about their roles and responses to major policy issues (e.g., implications of budget cuts, teacher evaluation). To incorporate the perspectives of teachers on these various policy issues, we interviewed experienced and accomplished K–12 teachers from across the state who had volunteered to speak with us in their capacity as affiliates of three organizations designed to contribute teacher voice to education policy discussions (Accomplished California Teachers, the California Teacher Advisory Council, and the Center for Teaching Quality).

Although the interview sample of teachers or principals is not of sufficient size to be representative of their colleagues around the state, findings from interviews expand upon findings from the principal survey. In particular, the teachers that we interviewed were disproportionately experienced and accomplished relative to the general population. Accordingly, while they do not constitute a sample that is representative of the entire teaching profession in California, these teachers were especially well equipped to comment on K–12 policy issues as a result of their experience, training, and engagement with education policy organizations.

Sampling procedures for principal interviews. Principals were asked to indicate at the end of the survey if they would be willing to participate in a follow-up telephone interview with a member of our research team. The sample for principal interviews was randomly generated from the subset of 124 survey respondents who responded that they would be willing to participate in such interviews, controlling for API tercile and school type such that a critical mass of principals at each API level and school type would be contacted. The research team contacted 55 principals for these follow-up telephone interviews and successfully completed interviews with 31 principals (Exhibit A-5).

Exhibit A-5
Sampling and Participation Information for Principal Telephone Interviews

		Lowest API Tercile	Middle API Tercile	Highest API Tercile	Total
Elementary	Number of principals sampled	6	7	7	20
	Number of principals completing interviews	2	2	5	9
Middle	Number of principals sampled	4	4	4	12
	Number of principals completing interviews	3	2	3	8
High	Number of principals sampled	4	4	4	12
	Number of principals completing interviews	2	2	4	8
Other	Number of principals sampled	3	4	4	11
	Number of principals completing interviews	1	3	2	6
Total	Number of principals sampled	17	19	19	55
	Number of principals completing interviews	8	9	14	31

Consistent with the overall population of principals that were surveyed across the state, the median level of experience for the principals that we interviewed was 5 years of experience overall and 3 years of experience at their current schools.

Sampling procedures for teacher interviews. On the research team's behalf, representatives from three policy organizations contacted affiliated teachers to solicit participation in our study. The three organizations include Accomplished California Teachers, the California Teacher Advisory Council, and the Center for Teaching Quality.

- Accomplished California Teachers (ACT) was established in January 2008 by the National Board Resource Center at Stanford University. According to their website (http://nbrc.stanford.edu/act), "ACT membership is open to National Board Certified Teachers and other accomplished teachers who wish to contribute to conversations about initiatives that advance quality teaching in California. Its primary mission is to give policymakers and the public ways to learn the views of skilled practitioners about the issues that will build and enhance the quality of the teacher workforce in the state. ACT's work has focused on teacher evaluation policies in California and the development of a new professional compensation system for teachers."
- The California Teacher Advisory Council (Cal TAC) is modeled after the nationally known and respected Teacher Advisory Council, established in 2002 by the National Academies. According to their website (http://www.ccst.us/ccstinfo/caltac.php), "Cal TAC works in conjunction with the National Academies Teacher Advisory Council (TAC) to provide a valuable and currently absent connection between the teaching community and the educational experts and policymakers who are shaping California's educational system. Cal TAC members integrate their 'wisdom of practice' and contribute a valuable perspective to the California Council on Science and Technology education research and projects."
- The Center for Teaching Quality (CTQ) is a national teacher leadership, research, and advocacy organization. (All CTQ-affiliated interviewees for this study teach in California). According to their website (http://www.teachingquality.org), "Since 1999, CTQ's work—rooted in the National Commission on Teaching and America's Future (1996) landmark report *What Matters Most*—has sought to promote a coherent system of teacher recruitment, preparation, induction, professional development, compensation and leadership that can dramatically close the nation's student achievement gap." Accomplished teacher leaders play a significant role in informing the Center's research and policy materials.

The research team was provided with contact information for 38 teachers across these organizations and completed interviews with 31 volunteers. Participating teachers covered a full range of school types and subjects taught (Exhibit A-6). Each interviewee was offered a $50 Amazon.com gift card as an incentive for completing the interview.

Exhibit A-6
Characteristics of Teachers Interviewed

Characteristic	Number of Teachers
School type	Elementary: 8 Middle: 12 High: 9 Other: 2
Subject area taught	English: 5 History/social studies: 4 Math: 7 Multiple subjects (elementary): 7 Science: 5 Special education: 2 Other: 1
Median years teaching experience	18
Selected accomplishments and leadership roles	National Board certification: at least 15 Former California Teachers of the Year: at least 3 Service as teacher mentor or coach: at least 19

Data collection and analysis. The research team conducted 30 to 60 minute interviews with principals and teachers using semistructured interview guides linked to the study's overarching research questions. Researchers recorded these interviews in electronic audio files and used these files to type and clean their notes for accuracy. During and after the period where interviews were conducted, the entire research team assembled to discuss findings across interviewees; to identify overarching themes related to the demands of the principalship, the implications of the state's budget challenges for teachers and principals, and the process and purpose of teacher evaluation; and to discuss how these themes related to survey findings. Researchers used the Atlas.ti software package to systematically code interview notes according to these themes.

BACKGROUND RESEARCH ON LEGISLATIVE, BUDGET, AND POLICY TRENDS

In order to understand the implications of legislative, budget, and policy trends that affect teacher development and school leadership, the research team collected a variety of secondary data, supplemented by some additional original data collection. The research team reviewed program documents, existing legislation, and proposed legislation related to teacher development, school leadership, and pertinent policy trends such as teacher evaluation and the budget crisis. The team also interviewed a range of state policymakers, program leaders, and other education stakeholders familiar with budget and policy changes affecting teachers, principals, and schools across the state. Areas of focus included development and implementation plans for the Common Core State Standards, implications of the state's budget challenges, capacity and ongoing developments related to California's statewide longitudinal education data systems, teacher evaluation, and the activities of the California Office to Reform Education (CORE) districts.

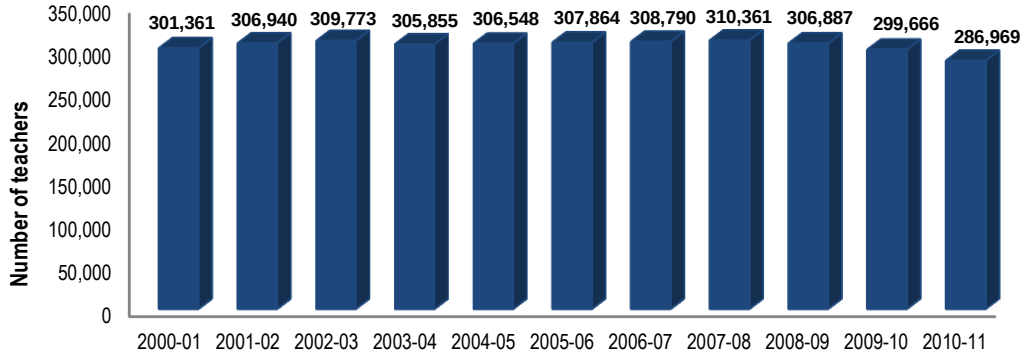
In addition, building upon analyses that we began in 2010 and were presented in *California's Teaching Force 2010: Key Issues and Trends*, we took an in-depth look at a select number of large "focus districts" distributed across a range of geographic regions in California (Bland et al., 2010). Specifically, we selected the largest district in each of the 11 California County Superintendents Educational Services Association (CCSESA) regions. In the two cases where the

largest district in the region was not a unified district, we selected the region's largest elementary school district and its largest high school district, resulting in 13 focus districts overall. Data collection for each focus district included reviews of publicly available budget information (e.g., district budget documents and related communication materials); interviews with district administrators, when available, in order to collect additional budget information and learn about implications for teachers and principals; and a review of teacher contract language in the 10 focus districts where teacher contracts were publicly available.

APPENDIX B

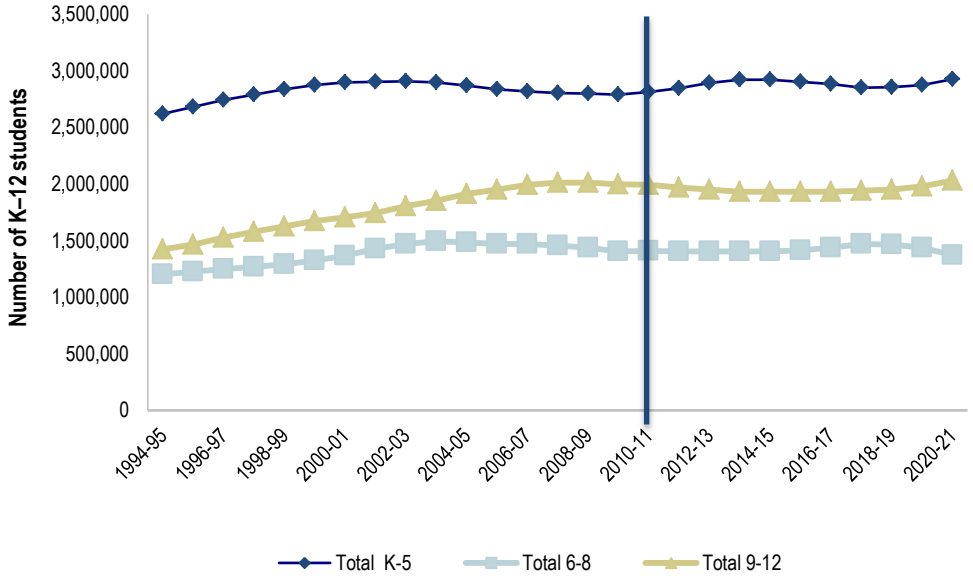
ADDITIONAL GRAPHS AND SOURCE & TECHNICAL INFORMATION FOR SECONDARY DATA

Exhibit B-1
Number of K–12 Teachers in California, 2000–01 through 2010–11



Source and technical information appears later in Appendix B.

Exhibit B-2
Actual and Projected K–12 Enrollment, 1994–95 to 2020–21



Source and technical information appears later in Appendix B.

Exhibit 1-1. CST Results by Ethnicity, 2003–2011. Data were obtained from the California Department of Education (CDE) website (http://www.cde.ca.gov/nr/ne/yr11/yr11rel55.asp).

Exhibit 1-2. College and Career Readiness Indicators for California High School Students. Four-year adjusted, derived dropout rate and A-G completion data were obtained from CDE's DataQuest website (http://dq.cde.ca.gov/dataquest/). Early Assessment Program data were obtained from the Office of the Chancellor of California State University (http://eap2010.ets.org/FindReports.asp).

Exhibit 1-3. Percentage of California Title I Schools in Program Improvement. Title I and Program Improvement data were obtained from CDE's DataQuest website (http://www.cde.ca.gov/ta/ac/ay/tidatafiles.asp).

Exhibit 2-1. Percentage of First- and Second-Year Teachers in the Overall State Teacher Workforce, 2000–01 through 2009–10. Data for all years were obtained from CDE's DataQuest website (http://dq.cde.ca.gov/dataquest/).

Exhibit 2-2. Percentage of Underprepared Teachers in the Overall State Teacher Workforce, 2000–01 through 2009–10. For the years 2000–01 to 2008–09, data from the Professional Assignment Information Form (PAIF) were used for the analysis. These data were obtained from CDE's California Basic Educational Data System (CBEDS) website (http://www.cde.ca.gov/ds/ss/cb/staffdatafiles.asp). Underprepared teachers are teachers who responded on the PAIF that they held a credential, permit, or certificate other than a "full credential" (i.e., preliminary, professional clear, or life credential). Teachers who did not report holding any type of credential, permit, or certificate are not included in this analysis.

For the year 2009–10, a file obtained by special request from the California Commission on Teacher Credentialing (CCTC) was used to merge personnel information from the PAIF file to credential information contained in CCTC's database. Underprepared teachers were defined as those teachers that did not hold a preliminary, clear, professional clear, or life credential.

Exhibit 2-3. Statewide Percentage of Teacher by Years of Experience, 2005–06 and 2009–10. Data from the PAIF were used for this analysis. These data were obtained from CDE's CBEDS website (http://www.cde.ca.gov/ds/ss/cb/staffdatafiles.asp).

Exhibit 2-4. New Preliminary Teaching Credentials Issued by Universities, 2001–02 through 2009–10. Data for all years were obtained from CCTC's annual *Teacher Supply in California* reports, the most recent of which may be found on the CCTC website (http://www.ctc.ca.gov/reports/TS_2009-2010_AnnualRpt.pdf). "New preliminary credentials" include first-time, new-type preliminary or professional clear credentials. Intern credentials are not included in this exhibit.

Exhibit 2-5. Number of Enrollees in Teacher Preparation Programs, 2001–02 through 2009–10. Data for all years were obtained from CCTC's annual *Teacher Supply in California* reports, the most recent of which may be found on the CCTC website (http://www.ctc.ca.gov/reports/TS_2009-2010_AnnualRpt.pdf).

Exhibit 2-6. Number of California State Teachers' Retirement System (CalSTRS) Membership Retirements, 2000–01 through 2009–10. Data from all years were obtained from the CalSTRS Comprehensive Annual Financial Report, the most recent of which may be found on the CalSTRS website (http://www.calstrs.com/Help/forms_publications/printed/CurrentCAFR/cafr_2010.pdf).

Exhibit B-1. Number of K–12 Teachers in California, 2000–01 through 2010–11. Data for all years were obtained from CDE's DataQuest website (http://dq.cde.ca.gov/dataquest/).

Exhibit B-2. Actual and Projected K–12 Enrollment, 1994–95 to 2020–21. Data were obtained from the California Department of Finance 2011 Series *California K-12 Public Enrollment and High School Graduates*. The 2011 Series was obtained from CDF's website (CDF, 2011).

APPENDIX C
SOURCE & TECHNICAL INFORMATION FOR SURVEY DATA

STATISTICAL SUPPORT FOR SURVEY DATA IN CHAPTER 3

Exhibit C-1
Data from 2011 Survey of California School Principals, Question 11: In a typical week, approximately how many hours do you work in your capacity as a principal? (Please include school events outside the regular school day, conferences with parents or staff, community events, etc.)

	Mean	% Working 70+ Hours Per Week	Standard Deviation	Median	Range	*n*
Hours per week	58.00	13.43	8.21	60	Minimum: 40 Maximum: 100	409

Note: This data is restricted to full-time principals. It does not include administrators on dual assignment.
Source: SRI 2011 Survey of California School Principals, Question 11.

Exhibit C-2
Data by School Type from 2011 Survey of California School Principals, Question 11: In a typical week, approximately how many hours do you work in your capacity as a principal? (Please include school events outside the regular school day, conferences with parents or staff, community events, etc.)

	School Type						
	Elementary	Middle	High	F value	DF	p value	*n*
Average hours per week	57.32	58.08	61.11	5.01	2	<.01	372
Standard deviation	11.10	5.78	6.01				

Note: This data is restricted to full-time principals. It does not include administrators on dual assignment.
Source: SRI 2011 Survey of California School Principals, Question 11.

Exhibit C-3
Aggregated Data by School Type from 2011 Survey of California School Principals, Question 12: Who is on the administrative team at your school (i.e., the team that meets on a regular basis to manage the school)?

	School Type						
	Elementary	Middle	High	F value	DF	p value	*n*
Average number of people on administrative team	2.97	4.78	7.35				
Standard deviation	2.90	2.02	3.60	60.98	2	<.01	403
Range	Minimum: 0 Maximum: 13	Minimum: 0 Maximum: 16	Minimum: 0 Maximum: 26				

Source: SRI 2011 Survey of California School Principals, Question 12.

Total Administrative Team Size		
No larger than 1	%	17.27
	SE	2.19
2 or more	%	82.73
	SE	2.19
	n	463

Source: SRI 2011 Survey of California School Principals, Question 12

Exhibit C-4
Aggregated Data by School API Tercile from 2011 Survey of California School Principals, Question 12: Who is on the administrative team at your school (i.e., the team that meets on a regular basis to manage the school)?

	School API Tercile						
	Lowest	Middle	Highest	F value	DF	p value	*n*
Average number of people on administrative team	4.73	3.45	3.68				
Standard deviation	3.79	3.10	2.86	6.67	2	<.01	463
Range	Minimum: 0 Maximum: 24	Minimum: 0 Maximum: 26	Minimum: 0 Maximum: 14				

Source: SRI 2011 Survey of California School Principals, Question 12.

Exhibit C-5
Disaggregated Data by School Type from 2011 Survey of California School Principals, Question 12: Who is on the administrative team at your school (i.e., the team that meets on a regular basis to manage the school)?

School Type		Average Total Number of Personnel on the Adminis-trative Team (Including the Principal)	Average Number of Principals	Average Number of Assistant Principals and Vice Principals	Average Number of Deans	Average Number of Pupil Services Personnel	Average Number of School-Based Instructional Coaches	Average Number of Other Personnel (e.g., Classroom Teachers, Dept. Chairs)
Elementary	#	2.97	0.96	0.28	0	0.70	0.42	0.59
	SD	2.90	0.28	0.47	0	0.83	0.68	1.47
	Range	Minimum: 0 Maximum: 13	Minimum: 0 Maximum: 2	Minimum: 0 Maximum: 2	Minimum: 0 Maximum: 0	Minimum: 0 Maximum: 5	Minimum: 0 Maximum: 3	Minimum: 0 Maximum: 12
Middle	#	4.78	0.98	1.23	0.13	1.60	0.49	0.36
	SD	2.02	0.28	0.79	0.40	1.24	0.83	1.04
	Range	Minimum: 0 Maximum: 16	Minimum: 0 Maximum: 3	Minimum: 0 Maximum: 3	Minimum: 0 Maximum: 3	Minimum: 0 Maximum: 6	Minimum: 0 Maximum: 4	Minimum: 0 Maximum: 8
High	#	7.35	0.96	2.06	0.54	2.82	0.45	0.50
	SD	3.60	0.27	1.49	0.89	2.88	1.01	1.39
	Range	Minimum: 0 Maximum: 26	Minimum: 0 Maximum: 2	Minimum: 0 Maximum: 6	Minimum: 0 Maximum: 3	Minimum: 0 Maximum: 12	Minimum: 0 Maximum: 6	Minimum: 0 Maximum: 7

Source: SRI 2011 Survey of California School Principals, Question 12.

Exhibit C-6
Data from 2011 Survey of California School Principals, Question 1, Overall and by School API Tercile:

Overall: Including the current 2010–11 school year, how many years have you . . .

	Mean	Standard Deviation	Median	Range	*n*
Been working as a principal? (If this is your first year, enter 1.)	7.18	0.33	5	Minimum: 1 Maximum: 41	453
Been working as a principal at this school? (If this is your first year, enter 1.)	4.30	0.21	3	Minimum: 1 Maximum: 30	445

Source: SRI 2011 Survey of California School Principals, Question 1.

By School API Tercile: Including the current 2010–11 school year, how many years have you been working as a principal at this school?

	School API Tercile						
	Lowest	Middle	Highest	F value	DF	p value	*n*
Average number of years as principal at current school	3.72	3.96	5.19				
Standard deviation	2.95	2.82	4.66	7.04	2	<.01	445
Range	Minimum: 1 Maximum: 17	Minimum: 1 Maximum: 19	Minimum: 1 Maximum: 30				

Source: SRI 2011 Survey of California School Principals, Question 1b.

Exhibit C-7
Data from 2011 Survey of California School Principals, Question 10:
Not counting the current school year, approximately HOW MANY MORE YEARS do you expect to work in each of the following capacities?

	Average Number of Years		Not Sure	Until Retirement
a. Serve as a principal at this school?	4.04	%	3.25	29.00
n	313	*n*	15	134
b. Work as a principal at any school?	7.77	%	4.78	39.13
n	258	*n*	22	180
c. Work in education?	13.57	%	0.87	44.25
n	253	*n*	4	204

Note: For each subitem, principals were asked to respond in one of three ways: by indicating the number of years that they expected to work in that capacity, by selecting "not sure," or by selecting "until retirement" *without specifying a number of years*.
Source: SRI 2011 Survey of California School Principals, Question 10.

Exhibit C-8
Survey Data for Exhibit 3-1:
Principals' Work Role(s) in the Year Immediately Before They Became Principals

a. Assistant principal or vice principal	%	71.64
	SE	2.45
b. Dean	%	1.11
	SE	0.58
c. General education teacher (e.g. social studies, science, math, English language arts, visual and performing arts, physical education, career and technical education)	%	14.54
	SE	1.89
d. Special education teacher	%	1.05
	SE	0.52
e. Pupil services (e.g. school counselor or school psychologist)	%	1.57
	SE	0.64
f. Instructional coach (e.g., math coach)	%	4.19
	SE	1.21
g. Outside of education	%	0.73
	SE	0.38
h. Other (please specify)	%	10.76
	SE	1.68
	n	463

Source: SRI 2011 Survey of California School Principals, Question 3: What best describes your work role(s) IN THE YEAR IMMEDIATELY BEFORE you became a principal?

Exhibit C-9
Survey Data for Exhibit 3-2:
Principals' Prior Experience with Core Job Functions

		No Experience	Minimal Experience	Moderate Experience	Significant Experience	*n*
a. Participating in the development of a school site budget	%	17.06	41.77	27.36	13.81	458
	SE	2.03	2.67	2.45	1.96	
b. Managing a school site budget (e.g., approve or deny requested expenditures of funds)	%	26.76	39.25	20.61	13.39	456
	SE	2.41	2.66	2.16	1.95	
c. Conducting classroom observations or "walk-throughs"	%	6.34	19.59	33.25	40.83	455
	SE	1.27	2.17	2.61	2.67	
d. Formally evaluating teachers	%	22.83	14.05	25.42	37.69	456
	SE	2.34	1.86	2.44	2.60	
e. Formally evaluating classified staff	%	18.68	18.12	28.67	34.53	457
	SE	2.12	2.13	2.48	2.57	
f. Participating in the development of a school site staff development plan	%	7.47	23.59	32.25	36.69	455
	SE	1.43	2.32	2.52	2.65	
g. Managing school facilities [e.g., plant maintenance, renovations, tech maintenance, school-wide resources (gym, theatre, etc.)]	%	21.68	30.12	26.92	21.29	458
	SE	2.28	2.49	2.45	2.15	
h. Supporting teachers in using multiple assessments to inform instruction	%	9.76	25.95	35.21	29.08	456
	SE	1.51	2.38	2.62	2.50	
i. Managing community partnerships (e.g., working with local service clubs such as Lions to support programs for students)	%	14.73	32.65	34.13	18.49	455
	SE	1.91	2.55	2.62	2.10	
j. Communicating with parent groups (e.g., PTA, non-English-speaking parents)	%	1.27	20.17	39.95	38.62	458
	SE	0.61	2.19	2.65	2.67	
k. Resolving conflicts among school personnel	%	7.91	32.63	32.98	26.49	457
	SE	1.46	2.59	2.55	2.38	
l. Developing a school's master schedule	%	24.03	30.99	21.93	23.05	456
	SE	2.40	2.52	2.26	2.21	
m. Raising funds for programs/services	%	14.71	36.94	28.94	19.41	457
	SE	1.93	2.65	2.45	2.14	
n. Public relations/marketing	%	19.21	37.56	28.50	14.73	454
	SE	2.19	2.66	2.41	1.98	

Source: SRI 2011 Survey of California School Principals, Question 7: How much experience did you have doing the following BEFORE becoming a principal?

Exhibit C-10
Data from 2011 Survey of California School Principals, Question 4: How did you secure your administrative services credential?

a. I completed a professional preparation program in administrative services	%	87.05
	SE	1.79
b. I completed an administrative services internship program	%	3.84
	SE	1.02
c. I achieved a passing score on the School Leaders Licensure Assessment (SLLA)	%	6.95
	SE	1.24
d. I have not yet secured my administrative services credential	%	1.20
	%	0.65
e. Other (please specify)	%	0.96
	SE	0.69
	n	456

Note: This analysis was restricted to include only full-time principals.
Source: SRI 2011 Survey of California School Principals, Question 4.

Exhibit C-11
Survey Data for Exhibit 3-4:
Principals' Participation in Inservice Training During Their First, Second, or Third Year

a.	AB430 or AB75 Administrator Training Program	%	47.14
		SE	2.71
b.	Course work or professional development for school leadership (other than that related to AB430/AB75)	%	45.99
		SE	2.70
c.	Principal network or professional learning community [e.g., new principal network, online forum, regular meetings with principals in the district or charter management organization (CMO)]	%	50.71
		SE	2.71
d.	Mentoring or coaching from more experienced principals, district/CMO personnel, or retired administrators	%	56.24
		SE	2.67
e.	ACSA* charter or ACSA region events	%	23.72
		SE	2.30
f.	I didn't participate in any professional development or support programs in my first, second, or third year as a principal	%	7.08
		SE	1.33
		n	463

*ACSA is the Association of California School Administrators.
Source: SRI 2011 Survey of California School Principals, Question 8: During your first, second, and/or third year as a principal, did you participate in any of the following?

Exhibit C-12
Data from 2011 Survey of California School Principals, Questions 8c and 8d: During your first, second, and/or third year as a principal, did you participate in any of the following? (Mark all that apply.)

Principal network or professional learning community [e.g., new principal network, online forum, regular meetings with principals in the district or charter management organization (CMO)]	%	15.46
	SE	1.93
Mentoring or coaching from more experienced principals, district/CMO personnel, or retired administrators	%	20.99
	SE	2.23
Participated in both of the above	%	35.25
	SE	2.61
Participated in neither of the above	%	28.30
	SE	2.40
	n	463

Source: SRI 2011 Survey of California School Principals, Question 8.

STATISTICAL SUPPORT FOR SURVEY DATA IN CHAPTER 4

Exhibit C-13
Data from 2011 Survey of California School Principals, Question 14: Compared with the 2008–09 school year, indicate how the following have changed at your school:

		Increased	Remained the Same	Decreased	*n*
a. Number of teachers	%	21.04	22.62	56.33	442
	SE	1.94	1.99	2.36	
b. Number of school administrators (e.g., assistant principals, deans)	%	5.06	63.91	31.03	435
	SE	1.05	2.31	2.22	
c. Number of instructional support personnel (e.g., content coaches, mentors).	%	14.48	35.66	49.87	373
	SE	1.82	2.48	2.59	
d. Number of other support personnel (e.g., counselors, librarians, aides)	%	6.44	38.16	55.40	435
	SE	1.18	2.33	2.39	
e. Class size	%	70.91	25.00	4.09	440
	SE	2.17	2.07	0.95	
f. Number of course offerings in core subjects	%	16.71	60.55	22.74	365
	SE	1.96	2.56	2.20	
g. Number of course offerings in visual and performing arts	%	13.50	54.27	32.23	363
	SE	1.80	2.62	2.46	
h. Number of course offerings in foreign languages	%	20.88	54.62	24.50	249
	SE	2.58	3.16	2.73	
i. Number of course offerings in advanced classes (e.g., AP, Honors, IB)*	%	35.10	48.98	15.92	245
	SE	3.06	3.20	2.34	
j. Number of students served in summer school/credit recovery programs	%	11.07	25.08	63.84	307
	SE	1.79	2.48	2.75	
k. Number of athletic programs	%	15.89	63.91	20.20	302
	SE	2.11	2.77	2.31	
l. Professional development for staff	%	29.84	38.95	31.21	439
	SE	2.19	2.33	2.21	
m. Availability of extracurricular and after-school programs	%	18.81	52.62	28.57	420
	SE	1.91	2.44	2.21	
n. Number of course offerings in career technical education or ROP**	%	26.06	49.09	24.85	165
	SE	3.43	3.90	3.37	

* AP stands for Advanced Placement. IB stands for International Baccalaureate.
** ROP stands for Regional Occupational Programs
Note: This analysis excluded responses of "don't know" and "not applicable".
Source: SRI 2011 Survey of California School Principals, Question 14.

Exhibit C-14
Survey Data for Exhibit 4-1:
Principals Reporting Class Size Increases Since 2008–09, by School Type

		School Type						
		Elementary	Middle	High	χ2	DF	p value	*n*
Class size	Increased	82.16	67.83	68.10	9.78	2	<.01	379
	Stayed the same or decreased	17.84	32.17	31.90				

Source: SRI 2011 Survey of California School Principals, Question 14: Compared with the 2008–09 school year, indicate how the following have changed at your school.

Exhibit C-15
Survey Data for Exhibit 4-2:
Principals Reporting Class Size Increases since 2008–09, by API Tercile

		School API Tercile						
		Lowest	Middle	Highest	χ2	DF	p value	*n*
Class size	Increased	63.96	76.00	83.03	14.05	2	<.01	436
	Stayed the same or decreased	36.04	24.00	16.97				

Source: SRI 2011 Survey of California School Principals, Question 14: Compared with the 2008–09 school year, indicate how the following have changed at your school.

Exhibit C-16
Survey Data for Exhibit 4-5:
Principals Reporting an Increase in Professional Development since 2008–09, by Poverty Tercile and API Tercile

		School Poverty Tercile						
		Highest	Middle	Lowest	χ2	DF	p value	*n*
Professional development for staff	Increased	40.58	21.67	22.70	14.02	2	<.01	373
	Stayed the same or decreased	59.42	78.33	77.30				

Source: SRI 2011 Survey of California School Principals, Question 14: Compared with the 2008–09 school year, indicate how the following have changed at your school.

		School API Tercile						
		Lowest	Middle	Highest	χ2	DF	p value	*n*
Professional development for staff	Increased	38.10	25.48	22.13	10.08	2	<.01	437
	Stayed the same or decreased	61.90	74.52	77.87				

Source: SRI 2011 Survey of California School Principals, Question 14: Compared with the 2008–09 school year, indicate how the following have changed at your school.

STATISTICAL SUPPORT FOR SURVEY DATA IN CHAPTER 5

Exhibit C-17
Survey Data for Exhibit 5-1:
Activities Included in the Teacher Evaluation Process

		Probationary Teachers				Tenured Teachers			
		Always	Sometimes	Never	*n*	Always	Sometimes	Never	*n*
a. Pre-observation conference	%	79.79	17.50	2.71	446	69.71	25.92	4.37	436
	SE	2.23	2.12	0.88		2.56	2.44	1.11	
b. Announced observation conducted by evaluator	%	83.55	14.76	1.69	445	79.17	19.54	1.29	432
	SE	1.95	1.88	0.60		2.21	2.18	0.45	
c. Unannounced observation conducted by evaluator	%	45.89	36.70	17.41	441	41.46	40.30	18.25	429
	SE	2.77	2.64	2.19		2.77	2.73	2.23	
d. Post-observation conference with evaluator	%	94.22	5.55	0.23	441	87.65	11.65	0.69	428
	SE	1.23	1.22	0.16		1.81	1.79	0.32	
e. Copy of the completed observation form provided to teacher	%	92.59	6.15	1.26	444	90.30	8.07	1.63	430
	SE	1.42	1.29	0.63		1.63	1.50	0.69	
f. Review of lesson or unit plans	%	61.83	34.43	3.74	444	50.71	43.01	6.28	432
	SE	2.67	2.61	1.06		2.80	2.76	1.37	
g. Review of student progress reports or report cards	%	38.13	48.28	13.59	442	36.12	49.30	14.58	432
	SE	2.74	2.77	1.82		2.75	2.80	1.91	
h. Review of student results on state tests	%	59.04	27.85	13.11	444	58.57	27.63	13.79	433
	SE	2.67	2.38	1.80		2.70	2.39	1.84	
i. Review of student benchmark test scores and/or other achievement tests	%	54.35	34.36	11.28	444	54.02	34.55	11.43	431
	SE	2.72	2.55	1.61		2.76	2.58	1.63	
j. Review of student subgroup performance (e.g., achievement records for English language learners, special education students) on state tests, benchmark tests, and/or other achievement tests	%	53.17	33.65	13.18	446	53.05	33.30	13.65	429
	SE	2.74	2.54	1.78		2.79	2.58	1.82	
k. Review of student attendance records	%	24.66	43.77	31.57	445	24.08	43.88	32.04	433
	SE	2.48	2.74	2.49		2.50	2.78	2.53	
l. Review of student discipline records	%	24.86	52.79	22.35	443	24.71	53.04	22.25	431
	SE	2.49	2.77	2.23		2.53	2.80	2.25	
m. Peer observation	%	10.71	44.91	44.38	439	8.51	44.44	47.05	430
	SE	1.65	2.76	2.77		1.53	2.78	2.81	
n. Teacher self-evaluation/reflection	%	42.34	38.25	19.41	438	36.47	44.52	19.02	426
	SE	2.76	2.70	2.18		2.72	2.80	2.19	
o. Survey of teachers' students and/or their families	%	14.28	30.92	54.79	432	14.21	29.49	56.30	422
	SE	1.91	2.61	2.79		1.94	2.61	2.81	
p. Other (please specify)	%	14.37	18.19	67.44	44	15.40	12.90	71.70	41
	SE	5.15	6.88	7.92		6.10	6.12	7.96	

Source: SRI 2011 Survey of California School Principals, Question 22: Do the following processes occur for formal evaluations of probationary and tenured teachers?

Exhibit C-18
Data from 2011 Survey of California School Principals, Question 15:
How often are probationary teachers formally evaluated at your school?

a. Less than once every 2 years	%	1.82
	SE	0.80
b. Once every 2 years	%	1.78
	SE	0.62
c. Once per year	%	42.16
	SE	2.71
d. Twice per year	%	37.31
	SE	2.65
e. More than twice per year	%	16.92
	SE	1.96
	n	455

Source: SRI 2011 Survey of California School Principals, Question 15.

Exhibit C-19
Data from 2011 Survey of California School Principals, Question 16:
How often are tenured teachers formally evaluated at your school?

a. Less than once every 2 years	%	12.68
	SE	1.88
b. Once every 2 years	%	70.49
	SE	2.47
c. Once per year	%	8.52
	SE	1.41
d. Twice per year	%	5.03
	SE	1.15
e. More than twice per year	%	3.28
	SE	0.94
	n	453

Source: SRI 2011 Survey of California School Principals, Question 16.

Exhibit C-20
Survey Data for Exhibit 5-2:
Strategies Rated as "Very Valuable" or "Somewhat Valuable" for Assessing Teaching Quality by Principals Who Use These Strategies

		Very Valuable	Somewhat Valuable	Not Valuable	*n*
a. Announced classroom observations	%	40.94	50.56	8.50	447
	SE	2.33	2.37	1.32	
b. Unannounced classroom observations	%	86.10	13.44	0.46	439
	SE	1.65	1.63	0.32	
c. Review of lesson or unit plans	%	46.28	49.30	4.42	430
	SE	2.41	2.41	0.99	
d. Review of student progress reports or report cards	%	45.91	49.52	4.57	416
	SE	2.45	2.45	1.02	
e. Review of student scores on state achievement tests	%	62.29	35.56	2.15	419
	SE	2.37	2.34	0.71	
f. Review of benchmark or other test scores and/or other achievement test scores	%	69.52	28.10	2.38	420
	SE	2.25	2.20	0.74	
g. Review of student subgroup performance (e.g., achievement records for English language learners, special education students) on state tests, benchmark tests, and/or other achievement tests.	%	65.87	31.03	3.10	419
	SE	2.32	2.26	0.85	
h. Review of student attendance records	%	31.62	57.03	11.35	370
	SE	2.42	2.58	1.65	
i. Review of student discipline records	%	35.55	56.52	7.93	391
	SE	2.42	2.51	1.37	
j. Results of peer observation	%	39.65	50.88	9.47	285
	SE	2.90	2.97	1.74	
k. Teacher self-evaluation/reflection	%	54.67	41.07	4.27	375
	SE	2.57	2.54	1.05	
l. Results of student and/or parent surveys	%	37.16	54.73	8.11	296
	SE	2.81	2.90	1.59	
m. Other (please specify)	%	69.23	23.08	7.69	13
	SE	13.32	12.16	7.69	

Note: Analysis only includes responses that indicated these strategies were used.
Source: SRI 2011 Survey of California School Principals, Question 23: How valuable are the following in assessing the teaching quality of individual teachers at your school?

Exhibit C-21
Data from 2011 Survey of California School Principals, Question 17:
Do YOU formally evaluate teachers at your school?

a. Yes	%	98.25
	SE	0.64
b. No	%	1.75
	SE	0.64
	n	457

Source: SRI 2011 Survey of California School Principals, Question 17.

Exhibit C-22
Data from 2011 Survey of California School Principals, Question 19:
To what extent has the professional development you have received since becoming a principal focused on the following aspects of evaluating teaching quality?

		Great Extent	Moderate Extent	Minimal Extent	Not At All	*n*
a. Conducting a pre-observation conference for the formal teacher evaluation	%	15.93	33.91	35.89	14.27	455
	SE	1.97	2.60	2.61	1.93	
b. Conducting classroom observations (as part of the formal teacher evaluation)	%	33.47	38.40	22.97	5.15	455
	SE	2.58	2.65	2.33	1.16	
c. Reviewing lesson or unit plans of **individual teachers**	%	15.29	33.00	33.16	18.55	454
	SE	1.97	2.56	2.57	2.16	
d. Reviewing student progress reports or grades of **individual teachers**	%	21.82	31.75	30.27	16.15	454
	SE	2.27	2.55	2.49	2.04	
e. Reviewing state test score results **at the individual teacher level** (rather than by grade level or department)	%	34.81	37.32	19.36	8.52	453
	SE	2.62	2.66	2.12	1.46	
f. Reviewing the state benchmark test scores and/or other achievement test scores **at the individual teacher level**	%	34.75	37.57	19.63	8.05	455
	SE	2.63	2.67	2.05	1.46	
g. Reviewing student subgroup performance (e.g., achievement records for English language learners, special education students) on state tests, benchmark tests, and/or other achievement tests **at the individual teacher level**	%	36.62	35.97	19.58	7.83	454
	SE	2.65	2.64	2.13	1.40	
h. Reviewing student attendance records **at the individual teacher level**	%	15.41	24.92	37.24	22.43	455
	SE	1.97	2.38	2.64	2.26	

Source: SRI 2011 Survey of California School Principals, Question 19.

Exhibit C-22 [continued]
Data from 2011 Survey of California School Principals, Question 19:
To what extent has the professional development you have received since becoming a principal focused on the following aspects of evaluating teaching quality?

		Great Extent	Moderate Extent	Minimal Extent	Not At All	*n*
i. Reviewing student discipline records **at the individual teacher level**	%	16.32	29.05	34.86	19.77	453
	SE	2.03	2.50	2.61	2.15	
j. Completing the formal teacher evaluation form(s)	%	32.01	38.70	20.59	8.70	452
	SE	2.52	2.69	2.20	1.58	
k. Providing feedback to individual teachers regarding the results of the formal teacher evaluation	%	32.67	37.10	23.48	6.75	454
	SE	2.54	2.65	2.35	1.36	
l. Ensuring that all teacher evaluators are giving similar teacher performance a similar evaluation score (e.g., calibrating teacher evaluators' teacher performance scores using a teacher evaluation rubric)	%	18.61	29.07	30.34	21.98	450
	SE	2.06	2.50	2.53	2.32	

Source: SRI 2011 Survey of California School Principals, Question 19.

Exhibit C-23
Survey Data for Exhibit 5-3:
Principals Who Strongly Agree Their Administrative Team Has Expertise in Areas Related to Evaluation

My school's administrative team has the expertise (knowledge and skills) to . . .		Strongly Agree	Agree	Disagree	Strongly Disagree	*n*
a. Develop a common set of goals for the school that are shared among all staff	%	51.82	45.73	1.98	0.47	455
	SE	2.73	2.72	0.84	0.23	
b. Monitor the implementation of curricula and instructional strategies	%	45.02	49.98	4.26	0.75	455
	SE	2.73	2.73	1.13	0.44	
c. Support the long-term professional development of all teachers	%	42.17	49.00	8.60	0.24	453
	SE	2.73	2.73	1.59	0.17	
d. Share school leadership responsibilities with other members of the school community	%	45.87	48.19	5.59	0.36	454
	SE	2.73	2.73	1.26	0.21	
e. Support teachers in using multiple assessments to inform instruction	%	45.30	47.65	6.69	0.36	453
	SE	2.74	2.73	1.39	0.21	
f. Manage the school site's facilities and grounds	%	43.90	46.20	8.86	1.03	454
	SE	2.70	2.73	1.54	0.59	
g. Manage the school site budget to support the learning of all student subgroups	%	49.32	42.50	7.60	0.57	455
	SE	2.73	2.69	1.41	0.26	
h. Conduct classroom observations to identify teachers' areas of need	%	52.77	40.68	5.29	1.27	455
	SE	2.72	2.66	1.25	0.61	
i. Evaluate teachers across all subject areas (e.g., science, special education)	%	46.42	41.10	10.81	1.67	453
	SE	2.73	2.68	1.80	0.72	
j. Conduct critical feedback discussions with teachers	%	43.38	48.84	7.14	0.63	455
	SE	2.71	2.73	1.43	0.43	
k. Manage community partnerships	%	27.18	57.66	14.28	0.87	453
	SE	2.45	2.71	1.95	0.46	
l. Communicate with all parents through a variety of media	%	42.00	50.35	6.76	0.89	455
	SE	2.71	2.73	1.49	0.48	

Source: SRI 2011 Survey of California School Principals, Question 13: To what extent do you agree/disagree with the following statements about your school administrative team's expertise?

Exhibit C-23 [continued]
Survey Data for Exhibit 5-3:
Principals Who Strongly Agree Their Administrative Team Has Expertise in Areas Related to Evaluation

My school's administrative team has the expertise (knowledge and skills) to . . .		Strongly Agree	Agree	Disagree	Strongly Disagree	*n*
m. Foster a professional culture where all school staff aspire to improve their skills	%	49.10	44.63	6.02	0.24	452
	SE	2.74	2.71	1.32	0.17	
n. Work with all members of the school community to promote equity	%	40.73	52.56	6.35	0.36	453
	SE	2.70	2.73	1.28	0.21	
o. Resolve personal conflicts	%	41.10	52.89	5.65	0.36	450
	SE	2.71	2.74	1.30	0.21	

Source: SRI 2011 Survey of California School Principals, Question 13.

Exhibit C-24
Survey Data for Exhibit 5-4:
Principals' Content Expertise

a. Math	%	19.86
	SE	2.08
b. English language arts	%	33.31
	SE	2.53
c. History/social studies	%	23.63
	SE	2.18
d. Science	%	15.40
	SE	1.86
e. Foreign language	%	11.02
	SE	1.71
f. Visual and performing arts	%	9.75
	SE	1.66
g. English as a second language	%	23.94
	SE	2.36
h. Special education	%	11.26
	SE	1.69
i. Physical education	%	13.24
	SE	1.73
j. Multiple subject teaching/general elementary	%	61.99
	SE	2.50
k. Other (please specify)	%	13.32
	SE	1.80
	n	463

Source: SRI 2011 Survey of California School Principals, Question 9: In which of the following subject areas do you have expertise (e.g., a teaching credential, administrative credential, teaching experience, college major or minor)?

Exhibit C-25
Survey Data for Exhibit 5-4 [continued]:
Principals' Confidence in Evaluating Teachers' Content Expertise

		Very Confident	Moderately Confident	Not Very Confident	Not Applicable	*n*
a. Math	%	59.07	37.14	3.37	0.42	454
	SE	2.67	2.62	0.93	0.42	
b. English language arts	%	73.10	25.47	0.59	0.84	456
	SE	2.37	2.32	0.27	0.59	
c. History/social studies	%	63.26	34.00	1.93	0.82	454
	SE	2.66	2.62	0.68	0.58	
d. Science	%	52.68	41.75	3.92	1.65	452
	SE	2.74	2.70	1.00	0.82	
e. Foreign language	%	18.56	19.76	11.13	50.55	454
	SE	1.95	1.96	1.46	2.72	
f. Visual and performing arts	%	32.99	36.87	8.51	21.62	455
	SE	2.48	2.59	1.56	2.47	
g. English as a second language	%	47.21	36.92	7.99	7.88	455
	SE	2.73	2.63	1.38	1.55	
h. Special education	%	40.99	46.72	10.50	1.80	454
	SE	2.67	2.73	1.68	0.76	
i. Physical education	%	44.32	43.65	3.69	8.35	455
	SE	2.69	2.72	1.02	1.69	
j. Other (please specify)	%	12.84	12.78	0.79	73.59	127
	SE	2.90	3.36	0.57	4.23	

Source: SRI 2011 Survey of California School Principals, Question 20: How confident do you feel evaluating teachers' content expertise in each of the following subject areas/teaching assignments?

Exhibit C-26
Data from 2011 Survey of California School Principals, Question 21: How do you typically approach the task of evaluating teachers in subject areas for which you do not have content expertise?

		Yes	No	*n*
a. I do not evaluate teachers at my school	%	0.70	99.30	463
	SE	0.45	0.45	
b. I emphasize aspects of instruction that are not content specific (e.g., classroom management, student engagement)	%	64.75	35.25	463
	SE	2.68	2.68	
c. I review course materials/lesson plans beforehand to familiarize myself with lesson content	%	67.72	32.28	463
	SE	2.56	2.56	
d. I seek support from others who do have content expertise (e.g., assistant principal, lead teacher, department chair, or district staff)	%	45.14	54.86	463
	SE	2.69	2.69	
e. I do not evaluate teachers in subject areas in which I do not have content expertise	%	8.67	91.33	463
	SE	1.69	1.69	
f. Other (please specify)	%	6.38	93.62	463
	SE	1.29	1.29	

Source: SRI 2011 Survey of California School Principals, Question 21.

Exhibit C-27
Survey Data for Exhibit 5-5:
Extent to Which the Formal Performance Evaluation Informs Activities to Improve Teaching Quality

		Great Extent	Moderate Extent	Minimal Extent	Not at All	Not Used at This School	*n*
a. Development of a teacher's professional goals for the next year	%	40.34	36.23	15.87	2.58	4.98	453
	SE	2.69	2.60	2.02	0.87	1.27	
b. Development of a teacher's professional development plans for the next year	%	35.98	39.96	15.79	3.27	5.00	450
	SE	2.64	2.68	1.98	1.03	1.27	
c. Determining a teacher's salary for the next year	%	0 .70	3.32	5.08	55.05	35.84	452
	SE	0.33	0.95	1.12	2.73	2.66	
d. Determining whether or not the teacher is retained	%	45.03	20.11	20.78	8.75	5.33	446
	SE	2.73	2.17	2.31	1.66	1.27	
e. Development of school-wide professional development goals for the following year	%	34.34	43.56	15.41	4.24	2.45	449
	SE	2.60	2.73	1.93	1.11	0.88	
f. Allocation of school site resources to strengthen areas of weakness	%	28.37	46.87	16.90	6.11	1.74	452
	SE	2.47	2.74	2.02	1.29	0.68	
g. Determining the frequency of future observations	%	45.77	38.99	9.72	3.23	2.30	450
	SE	2.73	2.68	1.64	0.94	0.88	
h. Determining whether or not a mentor is assigned	%	37.46	34.46	10.06	5.56	12.46	450
	SE	2.65	2.62	1.57	1.34	1.80	
i. Determining class assignments for the following year	%	30.96	34.33	21.42	8.49	4.81	450
	SE	2.56	2.57	2.28	1.55	1.17	

Source: SRI 2011 Survey of California School Principals, Question 24: To what extent does the formal performance evaluation of teachers inform the following activities?

Exhibit C-28
Survey Data for Exhibit 5-6:
Principals' Perspectives on the Use of Formal Evaluations

		Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know	*n*
a. The formal teacher evaluation system supports all teachers in continuously improving their instructional practices	%	16.43	52.50	21.90	7.51	1.66	453
	SE	2.05	2.73	2.25	1.45	0.74	
b. The formal teacher evaluation system is useful only for identifying the worst performing teachers for dismissal	%	6.49	18.37	54.92	17.08	3.14	453
	SE	1.34	2.10	2.72	2.07	1.03	
c. The formal teacher evaluation process results in the removal of ineffective teachers	%	4.98	29.47	35.02	27.69	2.84	452
	SE	1.14	2.44	2.61	2.52	0.93	
d. When I conduct a formal teacher evaluation, the district supports my findings	%	28.86	54.28	5.49	1.94	9.43	448
	SE	2.47	2.74	1.28	0.80	1.65	
e. When I feel a teacher is not performing satisfactorily, I tend to handle the matter outside the formal teacher evaluation system	%	11.36	27.16	45.00	12.88	3.61	451
	SE	1.73	2.41	2.73	1.84	1.08	

Source: SRI 2011 Survey of California School Principals, Question 25: To what extent do you agree with the following statements about your school's (or your district's) formal teacher evaluation system?

Exhibit C-29
Survey Data for Exhibit 5-7:
Principals' Perspectives on Barriers to Improving Teaching Quality

		Serious Barrier	Moderate Barrier	Minor Barrier	Not a Barrier	*n*
a. Insufficient time to observe teachers for formal evaluations	%	33.86	35.32	20.27	10.54	452
	SE	2.58	2.62	2.18	1.79	
b. Insufficient time to debrief with all teachers after classroom observations	%	30.27	31.09	27.01	11.63	452
	SE	2.50	2.54	2.45	1.79	
c. Limited range of subject area expertise among school administrators	%	4.18	20.14	42.61	33.07	450
	SE	1.02	2.20	2.69	2.65	
d. Limited professional development for school administrators on conducting teacher evaluations	%	9.19	30.15	35.40	25.26	451
	SE	1.53	2.50	2.62	2.44	
e. Limited professional development for school administrators on how to support struggling teachers	%	15.50	35.75	31.20	17.55	452
	SE	1.98	2.61	2.54	2.16	
f. Limited resources to support school-wide professional development needs	%	32.01	35.34	20.88	11.77	451
	SE	2.54	2.62	2.23	1.82	
g. Limited resources to support the specific professional development needs of each teacher	%	34.58	36.00	20.74	8.68	451
	SE	2.59	2.64	2.24	1.56	
h. Difficulty recruiting highly effective teachers to the school	%	17.54	20.47	29.54	32.45	452
	SE	2.09	2.08	2.50	2.63	

Source: SRI 2011 Survey of California School Principals, Question 27: To what extent are the following barriers to improving teaching quality?

Exhibit C-29 [continued]
Survey Data for Exhibit 5-7:
Principals' Perspectives on Barriers to Improving Teaching Quality

		Serious Barrier	Moderate Barrier	Minor Barrier	Not a Barrier	*n*
i. High staff turnover	%	9.54	9.56	24.12	56.78	451
	SE	1.67	1.52	2.29	2.70	
j. The role that seniority plays in staffing decisions	%	49.24	15.00	17.10	18.66	450
	SE	2.75	1.90	2.04	2.14	
k. Overly cumbersome procedures for removing a teacher identified as unsatisfactory	%	72.80	11.73	9.84	5.63	451
	SE	2.39	1.71	1.69	1.08	
l. Insufficient school board focus on improving teacher quality	%	20.46	22.89	19.34	37.31	447
	SE	2.26	2.31	2.14	2.67	
m. Other (please specify)	%	41.13	8.24	2.81	47.82	52
	SE	7.92	3.96	1.66	8.02	

Source: SRI 2011 Survey of California School Principals, Question 27: To what extent are the following barriers to improving teaching quality?

Exhibit C-30
Survey Data for Exhibit 5-8:
Principals' Perspectives on Serious Barriers to Improving Teaching Quality, by API Tercile

		School API Tercile						
		Lowest	Middle	Highest	χ2	DF	p value	*n*
Insufficient time to debrief with all teachers after classroom observations	Serious barrier	38.97	29.93	22.17	10.05	2	<.01	449
Difficulty recruiting highly effective teachers to the school	Serious barrier	29.66	15.56	7.72	25.59	2	<.01	449
High staff turnover	Serious barrier	20.87	5.16	2.80	33.33	2	<.01	448
The role that seniority plays in staffing decisions	Serious barrier	61.28	49.46	37.36	17.13	2	<.01	448
Insufficient school board focus on improving teacher quality	Serious barrier	25.39	22.55	13.57	6.97	2	.03	444

Source: SRI 2011 Survey of California School Principals, Question 27: To what extent are the following barriers to improving teaching quality?

GLOSSARY

ACSA	Association of California School Administrators
ACT	Accomplished California Teachers
AP	Advanced Placement
API	Academic Performance Index
BTSA	Beginning Teacher Support and Assessment
CALPADS	California Longitudinal Pupil Achievement Data System
CalSTRS	California State Teachers' Retirement System
Cal TAC	California Teacher Advisory Council
CALTIDES	California Teacher Integrated Data Education System
CBEDS	California Basic Educational Data System
CCSESA	California County Superintendents Educational Services Association
CCTC	California Commission on Teacher Credentialing
CDE	California Department of Education
CDF	California Department of Finance
CEO	Chief Executive Officer
CMO	Charter Management Organization
CORE	California Office to Reform Education
CPACE	California Preliminary Administrative Credential Examination
CSET	California Subject Examinations for Teachers
CSR	Class Size Reduction
CSTs	California Standards Tests
CSTPs	California Standards for the Teaching Profession
CTQ	Center for Teaching Quality
EAP	Early Assessment Program
ELA	English Language Arts
ELPD	Professional Development for Teacher of English Learners
ESEA	Elementary and Secondary Education Act

FTE	Full Time Equivalent
IB	International Baccalaureate
LAO	Legislative Analyst's Office
LEA	Local Education Agency
MRPDP	Mathematics and Reading Professional Development Program
NCLB	No Child Left Behind Act of 2001
PAIF	Professional Assignment Information Form
PTA	Parent-Teacher Association
QEIA	Quality Education Investment Act
ROP	Regional Occupational Programs
SBAC	SMARTER Balanced Assessment Consortium
SIG	School Improvement Grant
SLLA	School Leaders Licensure Assessment
SSID	Statewide Student Identifier
STEM	Science, Technology, Engineering, and Mathematics

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