

Allan R. Odden

STRATEGIC MANAGEMENT OF  
HUMAN CAPITAL  
IN EDUCATION

Improving Instructional Practice  
and Student Learning in Schools



# STRATEGIC MANAGEMENT OF HUMAN CAPITAL IN EDUCATION

*Strategic Management of Human Capital in Education* offers a comprehensive and strategic approach to address what has been labeled as “talent and human capital.” Grounded in extensive research and examples of leading edge districts, this book shows how the entire human resource system in schools—from recruitment, to selection/placement, induction, professional development, performance management and evaluation, compensation, and career progression—can be reformed and restructured to boost teacher and principal effectiveness in ways that dramatically improve instructional practice and student learning. *Strategic Management of Human Capital in Education* guides educators toward putting more effective teachers, teacher leaders, and principals in the country’s schools—especially in poverty-impacted urban and rural communities—equipping those teachers and principals with instructional and leadership expertise, and rewarding and retaining those who are successful in attaining these objectives. Drawing from cases, experiences, and deliberations from a national task force, this book outlines a comprehensive framework for how to transform current human resource management practices into authentic, strategic talent management systems in order to improve student achievement.

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and Student Learning in Schools*

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To my wife, Eleanor, my best friend and toughest critic.

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# FOREWORD

Several years ago, when I was a superintendent in Long Beach, California, the Harvard Education and Business schools invited a dozen of us urban superintendents to the campus for a weekend discussion of which challenges we faced that the Harvard Business School might be able to help us with. The group included the current U.S. Secretary of Education, Arne Duncan, who at the time was the CEO of Chicago Public Schools. Instead of identifying a number of critical areas for consideration, we all agreed that our human resource operations were completely dysfunctional, and that we as a group knew very little about the private-sector Human Resource (HR) practices that were being employed to improve companies in corporate America. We shared that our school district HR operations were compliance-driven legalistic shops, completely divorced from any semblance of recruiting, developing, maintaining, and promoting talent. In addition, we felt that these offices were operating in silos, completely removed from the significant instructional improvement and accountability strategies that our districts were now developing and implementing.

Three years ago, I was asked by Allan Odden and Jim Kelly to serve on a national task force on Strategic Management of Human Capital (SMHC) in education, focused largely on urban districts. Among others, the group included the hard-charging chancellor of the D.C. Public Schools, Michelle Rhee. They were starting a conversation about what it would take to get the best teachers and principals into the schools and classrooms where they are needed the most in urban America. Little did they know at the time that their human capital agenda and their bold conversation would be embraced by the Obama Administration and memorialized in the ground-breaking Race to the Top initiative.

This new work in school reform—clearly and comprehensively addressed by this book—is the practical embodiment of what those reform-minded superintendents were hoping for on that long Harvard weekend, i.e., changing the face of HR in large urban school systems so that they become offices that are strategically aligned with curriculum and instruction, data and assessment, and professional development. In short, offices that are talent centers vital to the district's core mission and vision for improvement.

In order to test this new reform conversation in an urban leadership preparation program in a university setting, I taught a new course at Claremont Graduate University the 2010 Spring semester entitled, "Strategic Management of Human Capital in High-Performing Urban Districts," drawing heavily from the cases and materials of the SMHC project, and now embedded in this important new book. Our students come from urban districts all over Southern California; they were energized by these critical discussions of how these new human capital strategies may alter educational policy-making in fundamental ways.

They also reminded me that none of this is tinkering around the edges of reform. Altering existing bargaining contracts, finding new ways to better evaluate teachers, implementing layoffs that aren't seniority-based, and finding the right alternative talent pipelines that fit urban schools are all important parts of this emerging and important conversation. This is the long hard slog that may well rescue the kids who we all claim should be, at long last, the beneficiaries of our change efforts.

Carl A. Cohn

Professor and Co-Director, Urban Leadership Program

Claremont Graduate University

# PREFACE

For several years and perhaps even decades, the United States has been addressing the issue of teacher and principal quality. In 2010, this quest became a central element of the education initiatives of President Barack Obama and of Secretary of Education Arne Duncan, and was the reform category under the label of teacher and principal effectiveness that earned the most points for Race to the Top proposals.

This book draws from concepts, ideas, and practices from the broad management literature which has developed more strategic approaches to human resource management (Lawler, 2008a, 2008b), as well as leading edge strategic practices in school districts and states around the country. The book also draws from cases developed for, experiences of, and the deliberations by, the National Task Force of the Strategic Management of Human Capital (SMHC), a project created to reframe how the public education systems can become strategic, talent-centric organizations. It goes beyond the individualist programs that previously characterized this agenda by outlining a comprehensive framework for how to transform current human resource management practices in education into authentic, strategic talent management systems.

The book defines, identifies, and explains the operational details of the primary local and state policy and practices of what would comprise the strategic management of talent, or human capital, in public education. The book shows the linkages among the following key concepts:

- Understanding that the prime education goal for America's schools and districts, particularly in poverty-impacted urban and rural communities, is to improve student achievement and reduce, if not close, the achievement gaps linked to poverty and race.
- Knowing that attaining that goal requires a powerful and explicit education improvement strategy that is particularly effective in districts and schools with high concentrations of children from lower income and minority backgrounds.
- Specifying the district's and school's vision of effective instructional practice that devolves from this education improvement strategy.
- Understanding that people—talent and human capital—really matter. Effective teachers, teacher leaders, and principals are key to successfully executing the education improvement strategy, particularly in communities that provide the toughest education challenges—poverty-impacted urban and rural districts.
- Conducting a talent audit and designing recruitment and staffing strategies that flow from this audit so that the appropriate numbers of effective teachers, teacher leaders, and principals are recruited and placed in schools. This would insure that high need schools have effective teachers in every classroom.
- Conducting HR alignment analyses to determine the degree to which all major programs of the HR system broadly conceived (i.e., not just the HR office) —recruitment, selection/distribution, induction, mentoring, professional development, evaluation/performance management, and compensation—are

anchored in and reinforce the instructional vision and student performance goals.

- Developing and implementing residency, induction, and ongoing professional development programs that help all teachers and principals acquire the expertise to deliver the system's vision of good teaching and effectively teach all students to high and rigorous standards.
- Evaluating and performance-managing teachers and principals in ways that help them improve their practice, based on this instructional vision and providing career progression and rewards as their practice improves. *This will require developing a system to measure teaching practice/effectiveness and using it for teacher induction, licensure, development, tenure, promotion, and dismissal and, in addition, an aligned system for principals.*
- Providing new kinds of rewards and compensation both for improving instructional expertise and for improving, either individually or as a faculty, student academic achievement.
- Continuously managing all programs of the human capital system around the two anchor metrics of strategic talent management: student achievement and teaching practice.
- Changing state policy to support these new directions in districts and schools.

## *Audience of the Book*

The audience of the book is primarily school administrators, education system, and organizational leaders. This includes superintendents, human resource office managers, other central office administrators including Chief Talent Officers, school site administrators, teacher leaders in schools, and teacher union leaders. There also is an audience of legislative staff, governor's offices, and SEA officials. Since most of the key human capital management policies—licensure, tenure, dismissal, pay, and so on—are structured by state laws, changes will require new state laws, so the book has a separate chapter on the major state policy implications of all the suggested local practices and policies (Chapter 11). Further, though not designed as a “personnel administration” text, the book could be used as a major supplement to or the text for personnel administration or human resource management courses in educational administration training programs.

## *Organization of the Book*

The book has 12 chapters, beginning with a description of the overall conceptual framework for the strategic management of talent (or human capital) in education. The book focuses primarily on teachers, but makes reference to principals in several chapters. Chapter 9 by Steven Kimball addresses the principal as the key implementer of strategic management of teacher talent at the school site as well as a separate chapter on strategic talent management for principals. The book “joins the dots” for strategic HR by showing how all HR programs and actions, including recruitment, selection, placement, induction, professional development, evaluation/performance management, tenure, career progression, dismissal, and compensation can be linked to and anchored by two key metrics: measures of teaching practice (teacher performance) and measures of student performance. The book argues that “aligning” all aspects of the school system HR operation, which currently tend to operate independently and in silos, can have a powerful and positive impact on both instructional quality and student learning.

## *Chapter 1: Strategic Management of Human Capital in Education: A Framework*

This chapter draws heavily from the Odden and Kelly and Lawler papers developed for the SMHC effort. It provides the conceptual framework for what we mean by the strategic management of human capital in public education. It notes that our version of “strategic” means that a talent and human capital management strategy derives directly from the overall education improvement strategy—it addresses the teacher and leadership talent needed to implement the improvement strategy and the competencies those key staff need. It also argues that strategic HR designs all HR practices and programs around two major metrics—measures of teaching performance and measures of student performance, sometimes called measures of teaching effectiveness. The chapter underscores our view of SMHC as a systemic approach to both talent and what that talent must know and be able to do, and underscores the fundamental centrality of student achievement—measuring and improving it—as an essential element in human capital management.

## *Chapter 2: A Powerful Education Improvement Strategy*

This chapter makes the point that, to improve student learning, a district needs a powerful education improvement strategy that specifies in some detail the plan for boosting student achievement. The chapter states that, conceptually, strategic talent management is neutral with respect to the specific education improvement strategy, and recognizes the variation in education improvement strategies that have been adopted around the country. They range from decentralization in NYC where the superintendent makes the point that NYC does not “manage” instruction, to the strong instructional focus in Atlanta, as well as in most of the Broad Prize “finalist” districts.

However, the chapter articulates our bias of having the education improvement strategy be instructionally focused, such as that for the finalists for the annual Broad Foundation’s Prize for Urban Education (see the descriptions in the April 2009 issue of *Phi Delta Kappan*), drawing on the SMHC cases that produced the largest gains in student learning (Boston, Long Beach (CA)) and the findings from Odden’s studies of schools and districts that have produced large improvement in student achievement (Odden, 2009b; Odden & Archibald, 2009). In this perspective, the education improvement strategy “defines” the view of effective instructional practice, which is a core metric around which we argue strategic talent management should be structured.

The chapter summarizes the strategies that we (as well as other researchers) find in schools and districts that produce large gains in student achievement. This summary includes the need for instructional coaches, teachers working in collaborative groups using student data to help frame more effective practice, etc., and the fact that all districts studied eventually created their own view of effective instructional practice, which became the core focus of their overall improvement strategies. The book suggests this should be one anchor for all HR programs. This chapter also notes the key staffing needs for each specific strategy.

### *Chapter 3: Staffing and Recruiting Top Talent*

This chapter has two parts; first, it discusses the kinds of key staff schools need to implement the education improvement strategy. The chapter argues that the key staff in most education improvement strategies consist of teachers, teacher leaders, and principals. The chapter makes the point that other staff are also important and are needed in schools such as art, music, and physical education teachers, support staff, and so on. The chapter makes the point that high performance systems must identify their *key* staff, and then focus attention on them in order to strategically manage its key talent.

Drawing on Odden's work in school finance adequacy (Odden & Picus, 2008), the chapter then suggests formulas for specific numbers of staff in schools. This section of the chapter states that this is one detailed way to identify numbers of key staff and argues that all districts will need some specific way to identify how many of each type of key staff it needs in order to set benchmarks for its overall recruitment system.

Next, the chapter discusses how district and school leaders can conduct talent audits as a prelude to recruitment—drawing from the knowledge of “how many of what kind” of staff are needed. Talent audits would include assessing the effectiveness of current teachers, teacher leaders, and principals, and then identifying the shortages of needed talent in those key personnel areas. Conducting such audits requires data and procedures to identify effectiveness, a shortcoming for most districts at this time and a shortcoming that needs to be remedied in order to implement this strategic step in talent management.

The second part of the chapter describes how districts, particularly urban districts, can recruit top teacher and principal talent, drawing heavily from the SMHC cases. It is here that the book introduces the importance of new talent organizations, such as Teach For America (TFA), The New Teacher Project (TNTP), New Leaders for New Schools (NLNS), and other new organizations that have been critical to helping many urban districts solve the core of their teacher and principal talent issues. These districts now open school in the fall with virtually no vacancies in core teaching positions, including math and science, an accomplishment most once considered impossible. The cases provide multiple examples of new teacher and principal recruitment practices.

## *Chapter 4: Performance Management in Education*

This chapter outlines a broad and comprehensive view of performance management for school districts. The chapter argues that strategic performance management is broader than just managing toward the bottom line of student achievement results, and includes managing the element of the system that produces high levels of student achievement—better and better instructional practice.

It focuses on performance management that addresses managing the key individuals in the system—teachers and principals—in ways that help them acquire the competencies to boost the system’s bottom line—better student achievement. It suggests that this perspective on performance management in education be thought of as three concentric circles—teachers engaging in performance management, principals engaging in performance management, and the district engaging in performance management of both principals and teachers. All three circles use measures of teaching practice and measures of student performance, or multiple measures of teaching effectiveness, to guide the performance management processes.

Teachers engage in performance management by working in collaborative teams in the ongoing process of identifying teaching strategies that boost student learning, which some call the cycle of continuous instructional improvement. Principals engage in performance management by orchestrating development opportunities for teachers, reviewing school performance in light of grade level and school-wide instructional practice, and implementing performance evaluations of teachers. Districts engage in performance management of both teachers and principals by using multiple measures of both student performance and teacher performance—at the individual, grade, and school levels—for the consequential decisions on tenure, development, promotion, dismissal, and compensation. The chapter argues that the essence of good performance management in education includes a continual dialectic between instructional practice and student learning, with the goal of identifying those instructional practices that are effective in boosting student achievement and closing the achievement gaps linked to ethnicity and poverty.

## *Chapter 5: Measuring Teacher Performance for Strategic Human Capital Management*

This chapter by Anthony Milanowski discusses two major issues related to the data infrastructure for comprehensive performance management. First, it presents performance measures of teachers' instructional practice drawing on an extensive SMHC paper analyzing the various features of seven current systems that are being used to measure teaching performance. This discussion includes what is known about the reliability and criterion validity of the existing systems, the latter being the degree to which the systems identify groups of teachers who are varying effective in producing student learning gains. It shows how such systems identify four or five performance levels of teachers to a set of teaching standards (linked to the system's definition of effective instructional practice) and which can be used to guide teachers' ongoing development, as well as in career progression and performance-based compensation (the latter covered in [Chapter 8](#)).

The second part of this chapter discusses the need for districts to have a longitudinal data system linking teachers to students, in order to conduct value-added analyses as one approach to measuring teacher productivity. It reveals the challenges in creating such a data system, drawing on experiences in many districts and states. It also includes what a value-added analysis technically can do today, as it has become the prime way education systems are measuring teacher effectiveness.

In this light, this chapter discusses what is known about value-added measures of student performance, and statistically valid measures of teaching performance, both of which are embedded in the broader phrase "teacher effectiveness." It also presents how the two different types of measures can be used in combination for various human capital management decisions related to selection, tenure, evaluation, dismissal, and compensation.

## *Chapter 6: Induction and Professional Development*

This chapter discusses the key features of induction and professional development programs that work, i.e., lead to changes in instructional practice that lead to improved student learning (and new teacher retention). It draws from the chapters on professional development in both of Odden's books (Odden, 2009b; Odden & Archibald, 2009) and other research on induction programs for teachers. The chapter also identifies key resource needs for ongoing professional development. The chapter then argues that both induction and ongoing professional development should be explicitly linked to the view of effective instructional practice embedded in the district's education improvement strategy, and argues that how teacher work is organized is critical for both new teacher induction and ongoing professional development. It suggests that the most successful districts organize teachers into collaborative work teams that continually assess instructional practice in light of its impact on student performance (the two key SMHC metrics). It argues that this organization of teacher work is key to both effective induction and ongoing professional development. This approach to teacher work provides new teachers immediate access to materials, lesson plans, and analyses of student performance data in light of instruction practice. For ongoing professional development, this approach to teacher work facilitates teachers working collaboratively to develop curriculum units that are effective in having all students learn to higher levels.

## *Chapter 7: New Policies for Licensure, Tenure, Evaluation, and Dismissal*

This chapter discusses how a talent-centric education system can use the two metrics discussed in [Chapter 5](#) to redesign several policies that are central to strategically managing teacher and principal talent, including a multi-tiered licensure system, tenure, evaluation, and dismissal. It shows how multiple measures of teaching effectiveness, from measures of instructional practice per se to value-added measures of student learning, can be used to give rigor and meaning to these important decisions in managing educator talent. It argues that both measures should be used in all of these important career markers for teachers, thus reinforcing developing policy across the country as well as requirements in the federal Race to the Top program. The chapter foreshadows Chapter 8 which shows how the data discussed in [Chapter 5](#)—multiple measures of teaching effectiveness—can be used for new approaches to teacher compensation.

## *Chapter 8: The Compensation Side of Strategic Talent Management*

This chapter outlines why new approaches to teacher compensation are needed, describes the key elements of cash compensation for teachers—base pay, base pay progression, and performance bonuses—shows why average teacher pay should be hiked (but recommends that no across-the-board pay increase be provided), and argues that all pay increases be allocated through new and more strategic teacher salary structures. It proposes a new base pay structure that is operated by multiple measures of teaching effectiveness. It shows how this new schedule can be augmented with incentives for teachers to work in high-needs schools, subject areas experiencing shortages, and geographic areas short of top teacher talent. The pay structure can be “topped off” with bonuses based on improved student performance, whether targeted to teachers as a group or to individual teachers. As such, the chapter shows how the two key metrics for human capital management practice—measures of teaching practice and measures of student performance— can be included in new compensation systems.

## *Chapter 9: Strategic Talent Management for Principals*

This chapter by Steven Kimball explicitly addresses strategic human capital management for principals, covering the competencies principals need, and new strategies districts have adopted to train, recruit, place, induct in residency programs, mentor, professionally develop, performance evaluate, and compensate principals. As such, this chapter shows how the framework and ideas for the strategic management of teacher talent can be explicitly applied to principals, with multiple examples of such efforts from all across the country, both from districts, as well as from such organizations as New Leaders for New Schools, and the initiatives of the Wallace Foundation to develop stronger leadership for the country's schools, particularly in urban areas.

## *Chapter 10: Organizing to Implement Strategic Human Capital Management in Education*

This chapter by Allan Odden, Anthony Milanowski, and Steven Kimball describes how schools and districts can organize to implement a strategic approach to human capital management. It first discusses how principals can (and do) implement the core human capital management strategies for teachers at the school site, such as recruitment, interviewing, selection, placement, teacher turnover in schools that need to be turned around, development (including new teacher induction and ongoing professional development, scheduling school time for collaborative work and creating collaborative work teams), evaluation (including roles in formal performance-based teacher evaluation systems and other more informal teacher assessment practices), and retention (including roles in setting compensation, distributing instructional leadership roles, and providing other rewards and incentives). The second part of the chapter describes how districts must partner with principals in order for principals to carry out district intent in managing teacher talent at the school level. This part also describes how the central office can be organized to support the district's overall talent management strategies including the use of HR metrics, which are measures of key operational features of various human resource programs. When these metrics can be linked to student learning gains, they give central office administrators insights into the HR drivers of student achievement. This section also suggests each district have a Chief Talent Officer to ensure that all departments and programs appropriately address the talent needs for the system.

## *Chapter 11: The State Role in Strategic Management of Education Talent*

This chapter addresses the range of state policies implied by district strategic management of teacher and principal talent. It covers multiple issues related to the need for states to create a longitudinal data system. It discusses recruiting top talent from multiple pipelines into education. It addresses creating a multi-year residency program for all new teachers, a multi-tiered licensure system, and support for intensive ongoing professional development. Finally, it also describes the need to change state policies that structure local practices for tenure, promotion, dismissal, staff reductions, and compensation.

## *Chapter 12: The Policy and Political Environment for Change*

By the end of the previous chapters, many readers might be “reeling” at the enormity of the new policies and practices recommended, even though nearly all of them arise from new practices already being created and implemented by states and districts over the past several years. This chapter by James A. Kelly argues why the time is “right” for considering these major changes in education and how it manages its human capital—teachers, teacher leaders, and principals. It first shows that major change can happen in the U.S. education system, noting school desegregation, education of all handicapped children, and school finance reform that emerged in the second half of the 20th century. It argues that leading edge districts initiated these changes, responding largely to pressures outside of the education system, and that the system changed during the second decade of action on them. It notes that the Obama and Duncan Administration has raised these human capital issues in ways that already have caused multiple states and districts to enact and implement new policies with respect to teacher recruitment, evaluation, tenure, dismissal, promotion, and pay—issues many felt were unchangeable. It describes several of the “new” education reform organizations and the people within these organizations that have become the intellectual leaders behind many of the human capital management changes, many of whom are former Teach For America teachers. It discusses how many of the tensions surrounding these new directions are coming from within the Democratic Party, pitting new and younger reformers against many in the education establishment as well as unions and their leaders. In short, this chapter describes how the politics surrounding talent management in education are changing. In the process, the country is laying the foundation for the multiple, somewhat radical and needed transformative changes discussed and recommended in the book. The chapter concludes by arguing that we are ending the first decade of human capital management changes in education and that these major changes in how education manages its key resources—teachers and principals—will likely become institutionalized during the next decade.

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# 1

## STRATEGIC MANAGEMENT OF HUMAN CAPITAL IN EDUCATION A Framework

The strategic management of human capital (SMHC) in public education is about recruiting effective teachers and principals for all classrooms and schools in the country, particularly high-need schools with concentrations of students from poverty and minority backgrounds; equipping those teachers and principals with the instructional and leadership expertise needed to dramatically improve student achievement and close the achievement gaps linked to poverty and race; and rewarding and retaining those who are successful in attaining these objectives and letting go those who are not.

As such, the strategic management of human capital in public education is complex and wide-reaching. It touches nearly all operating aspects of schools, districts, as well as state education policy. Furthermore, it has not been a central focus for the education system until very recently (and only in some districts and a handful of states). But talent and human capital management are central themes of the new federal education agenda and likely will influence education policy and practice agendas for several years.

In this book, we define SMHC, explain its operational details, and identify the primary local and state policy and practice implications of the strategic management of talent, or human capital, in public education.

## *1. An Overview of Strategic Talent Management*

Two key ingredients are required for the kind of strategic management of human capital needed to dramatically improve the performance of the country's schools. The first is talented people. All school systems, particularly poverty-impacted urban and rural districts, need smart and talented people at all levels. Everyone, from teachers to top district leadership, to positions in the central office including the human resource management office, to leadership positions in schools, and to instructional leadership for every classroom and teaching context, must be capable and effective. Strategies to recruit, place, develop, and retain top talent should be the prime emphasis of district human capital management strategies. As the book chapters address these issues, they will reference specific initiatives that have been created by districts and states already moving forward on this agenda, including Atlanta (GA), Boston, Chicago, Colorado, Denver (CO), Fairfax County (VA), Long Beach (CA), Minnesota, New York City, and Ohio, including the roles played by new, national talent recruiting organizations, such as Teach For America (TFA), The New Teacher Project (TNTP), New Leaders for New Schools (NLNS), and the National Institute for School Leaders (NISL).<sup>1</sup>

The second ingredient is strategic management of that talent. It is not sufficient for districts just to find top talent and turn them loose. As other sectors have learned over the past decades, the highest performance organizations not only recruit and retain top talent, but also manage them in ways that support the strategic directions of the organization. Thus, this book also addresses what strategic management of talent, or human capital, looks like in public education. As we describe further in this book, strategic talent management requires aligning all aspects of the human resource management system (much broader than just personnel administration or the human resource office per se). This includes recruitment, screening, selection, placement, induction, professional development, evaluation, performance management, compensation, and promotion into instructional leadership. The goal is to redesign the entire human capital management system so that effective talent is acquired, strategically placed and equitably distributed in schools and districts, developed to the district's vision of instructional effectiveness and student performance, and retained over time.

Our view of strategic talent management has two results on which progress can be measured: student performance and teaching performance/effectiveness.<sup>2</sup> Although more work needs to be done, the country has the knowledge, tools, and instruments for measuring student outcomes. Furthermore, we are optimistic that with the \$350 million set-aside from the 2009 Race to the Top funds, states and districts in the near future not only will adopt more rigorous curriculum standards but also will develop and use new and more authentic measures of student learning, including formative and benchmark assessments, and make sure that they cover almost all core courses and students, in order to assess capacities of students to use content to solve problems.

On the other hand, measuring teaching performance and effectiveness, and using the measures as a management tool, are only at the beginning stages although there are important new developments in this area as well (see [Chapter 5](#) and Milanowski, Heneman, & Kimball, 2009). If one objective of strategically managing human capital in education is to produce better classroom instruction, then a related objective is to

create and use valid ways to measure teaching practice, and to redesign human capital management systems to insure that the most effective instruction is provided in all classrooms. Further, to be considered valid, the measured elements of instructional practice must be statistically linked to improvements in student performance.

The overall management challenge of the strategic management of human capital is to use data from the measurement of both teaching and student performance, at times just called measures of teaching effectiveness, to guide human capital management decisions over time, from recruitment, to development and motivation, and compensation and retention. Though conceptually straightforward, such actions require deep-seated changes in the ways most districts have operated. The changes will likely generate controversy and will require strong, aggressive educational leadership as well as broader political support to move forward successfully.

### *Being Strategic*

To be strategic, human capital management practices must devolve from a district's educational improvement strategy and align with the view of effective instructional practice embedded in that strategy and its goals for student achievement. Education systems must have a powerful and coherent educational improvement strategy in order to improve student academic achievement (Childress, Elmore, & Grossman, 2006; Childress, Elmore, Grossman, & Johnson, 2007).<sup>3</sup> But education systems cannot implement a powerful educational improvement strategy unless they have both the management and teaching talent to execute the complex actions such comprehensive improvement strategies require. Conversely, top management cannot improve student academic achievement just with talented people, high expectations, and random acts of good practice. To be effective, top talent must be systemically managed around a well-designed educational improvement strategy, including effective instructional practice, so that smart and capable educators turn their aspirations and talents in all classrooms into effective instructional practices that boost the learning of all students to high levels.

This view of *strategic* as it applies to the management of human capital in public education draws from emerging approaches to talent management in the private sector (Lawler, 2008a, 2008b); this chapter provides a conceptual framework for how these strategic human resource management practices translate to the education system. Current thinking in the private sector emphasizes the importance of (a) organizational strategy as a basis for a human capital management program design; and (b) the strategic management of human capital in carrying out organizational strategies to improve performance (Becker, Huselid, & Ulrich, 2001; Boudreau & Ramstad, 2007; Bowen & Ostroff, 2004; Lawler, Boudreau, & Mohrman, 2006; Wright & McMahan, 1992). During the past decade and a half, many organizations concluded that people, talent, and human capital per se needed to be placed on their strategic agendas (Wright, Dunford, & Snell, 2001). They further found that strategic human resource management strategies should be formally linked vertically to their organizational improvement programs as well as linked horizontally across all the specific HR elements (Gratton & Truss, 2003). Multiple analysts also have shown empirical links between these kinds of aligned human capital management practices and improved organizational performance in private sector organizations (e.g., Arthur, 1994; Huselid, 1995; MacDuffie, 1995; Ulrich, 2001; Wright, Gardner,

Moynihan, & Allen, 2005).

The relationship between these practices and the performance of educational organizations has not been given much attention. However, a 2007 study of the recruitment strategies in New York City, which showed that those strategies had indeed improved the quality of teachers *as well as* the performance of students in the schools where those teachers had been placed, is an example of the kind of research that is needed to document the efficacy of the strategic management of human capital in education (Boyd et al., 2008). As districts implement broader and deeper versions of the strategic management of human capital, beyond recruitment, studies like these should be conducted to document empirically the power of such practices to improve the performance of students and teachers.

This chapter is organized into six sections. Section 2 identifies the problems addressed by the strategic management of human capital in public education. Section 3 argues that a set of strategic human capital management systems can be developed based on state or district strategies to dramatically improve student academic achievement. Section 4 describes strategic human capital management in more detail and shows how multiple measures of teaching effectiveness inform the substance of all human resource management programs. Section 5 discusses several contextual issues impacting strategic talent management in education. Section 6 is a brief summary of the key issues.

## *2. The Need for Strategic Management of Human Capital in Education*

The United States is engaged in an ambitious and far-reaching education reform agenda. The goal is to educate all children, and especially low-income and minority children, to world-class performance standards, enabling them to know, think, problem-solve, and communicate at high levels in core subjects (i.e., mathematics, science, reading/English/language arts, history, geography). In 2010, this is known as preparing students to be “ready for college.” Most K-12 leaders accept the need for improvement and reform; many have already produced impressive performance gains.

To achieve such major improvements in the education system, schools need talented and well-prepared professionals—teachers and leaders. But the current system does not recruit, train, hire, induct, deploy, develop, retain, or strategically manage the top talent human capital needed to accomplish these goals. And these problems are most acute in the largest urban and many rural districts.

Over the past 10–15 years, however, several leaders of urban school districts across America as well as young graduates from some of the nation’s top colleges and universities<sup>4</sup> concluded that many aspects of the human capital systems in urban school districts were broken. Research, as well as these leaders’ own experiences, documented multiple problems with typical human capital management systems:

- *Lack of both a human capital management strategy and alignment of human resource management practices to that strategy.* Since research convincingly demonstrates the impact of teacher effectiveness on student achievement, district human capital management programs should be designed to focus on the teacher competencies (knowledge and skills) that contribute to improved student achievement (Heneman & Milanowski, 2004, 2007), with the goal of attaining alignment between the content of the human capital development practices and teacher competencies, including compensation policies (Odden, 2008). Unfortunately, HR practices seem to be based on convenience, imitation, contract constraints, and administrative whim, particularly in urban districts (e.g., Campbell, DeArmond, & Schumwinger, 2004).
- *Difficulty in staffing high-need (e.g., high-poverty, low-achieving) schools with quality teachers particularly in urban districts* (Ingersoll, 2003; Lankford, Loeb, & Wyckoff, 2002; Murphy & DeArmond, 2003). Most teachers prefer to work close to where they grew up, generally not urban areas (Boyd et al., 2008). Those hired tend to move from low-achieving, high-poverty schools to less challenging assignments within their districts (Guarino, Santibanez, Daley, & Brewer, 2004). Too often, district HR practices, such as collectively bargained, seniority-based transfer provisions and inefficient selection processes, channel more experienced teachers out of, and less qualified teachers into, high-needs schools (Neild, Useem, Travers, & Lesnick, 2003; Useem & Neild, 2001).
- *High teacher turnover, particularly in urban districts* (Ingersoll, 2001, 2003). High turnover, in turn, inhibits the development of faculty learning communities, wastes resources on repeated filling of the same position, and, together with seniority-based transfer and assignment provisions, often results in the

least experienced teachers teaching the highest-need students. The full costs of teacher turnover are not trivial (Milanowski & Odden, 2008).

- *Chronic shortages of qualified math, science, and technology teachers, particularly in urban and rural districts* (Blank & Langesen, 2001; Murphy & DeArmond, 2003; Schorling, 1947). These shortages are exacerbated by (a) salary systems that do not allow pay to vary by subject (Goldhaber & Player, 2005; Milanowski, 2003); (b) licensing requirements that add to the cost of career preparation and discourage initial entry for those with the needed subject knowledge; (c) unsophisticated district HR systems designed for labor surpluses rather than shortages; and (d) working conditions that are not appealing to people highly trained in technical fields (Milanowski, 2003).
- *The difficulty nationwide some districts have in attracting the “best and brightest” to teaching and using nontraditional sources of teacher supply (e.g., career changers; people wanting only a partial career in teaching, such as those in TFA; young, smart adults disillusioned with the bottom-line focus of private sector employment, like many recruited by TNTP).* Barriers include bureaucratized work environments, pay systems that reward seniority and not performance, and district HR systems that slow down the hiring process (Levin & Quinn, 2003) and appear to discount high academic ability as a criterion for teacher selection.
- *Professional development systems that spend upwards of \$6,000–8,000 per teacher per year, with little impact on instructional practice,* and very little focus on the core subjects of mathematics, science, reading, and writing (Miles, Odden, Archibald, & Fermanich, 2004).
- *Compensation systems that pay for factors not linked to student learning gains—years of experience and miscellaneous education units, no differentiation for areas experiencing teacher shortages, and few elements linked to the core goal of the system—student performance* (see Milanowski & Odden, 2008; Odden & Kelley, [1997] 2002; Odden, 2008).

Identification of these problems has called forth some promising responses. Districts like Chicago actively recruit teachers from the best colleges and universities, particularly those within a one day’s drive from the city. Simultaneously, these districts began to reduce the intake from lower quality local colleges that historically had been the major sources of teacher and principal supply, and to actively partner with stronger local and regional colleges to improve their supply of qualified applicants. Talented college graduates, committed to education reforms, created organizations such as TFA, TNTP, and NLNS, national organizations that began to recruit individuals educated in the country’s top universities and train them for teaching and leadership positions in the nation’s urban districts. In response, several urban districts (e.g., Atlanta, Baltimore, Chicago, Denver, New York City, and New Orleans) actively partnered with these organizations as part of their new strategies to recruit top talent into their systems. Many urban districts (e.g., Atlanta, Boston, Chicago, Louisville, and New York) created their own teacher and principal training programs, feeling that they could do better than the universities from which they had been obtaining most of their new teachers and principals. Other urban districts and even states (e.g., Arizona, Atlanta, Charlotte-Mecklenburg, Denver, Fairfax County, Long Beach, Miami-Dade County, Minnesota, and Ohio) began to reengineer and restructure their overall human capital management systems to align them more closely with their educational improvement strategies. The Broad Foundation began training superintendents in performance management skills for large urban districts. The Broad Residency program also trained a new

group of HR managers for urban districts, drawing from talented graduates of law schools, public policy programs, and MBA programs.

Though all these initiatives were focused on enhancing teacher and principal quality and the effectiveness of educator talent, they were not very coordinated or linked, which detracted from their potential impact. What was needed was a framework for incorporating them all into a more conscious and comprehensive strategic approach to the acquisition, development, motivation, and retention of talent in education, i.e., to transform these and other related efforts into strategic management of human capital systems in public education.

In 2008, a set of district and state leaders came together as the Strategic Management of Human Capital (SMHC) Task Force to discuss the shortcomings of human capital management in public education and to further a reform agenda. Based on several meetings of this prestigious Task Force, a set of principles for the strategic management of human capital in public education emerged as well as reform proposals to seriously address human capital in education (see [www.smhc-cpre.org](http://www.smhc-cpre.org)). This book is designed to show how those principles and reform recommendations can be put into practice in support of a quantum leap in both teaching talent and student achievement in our nation's schools.

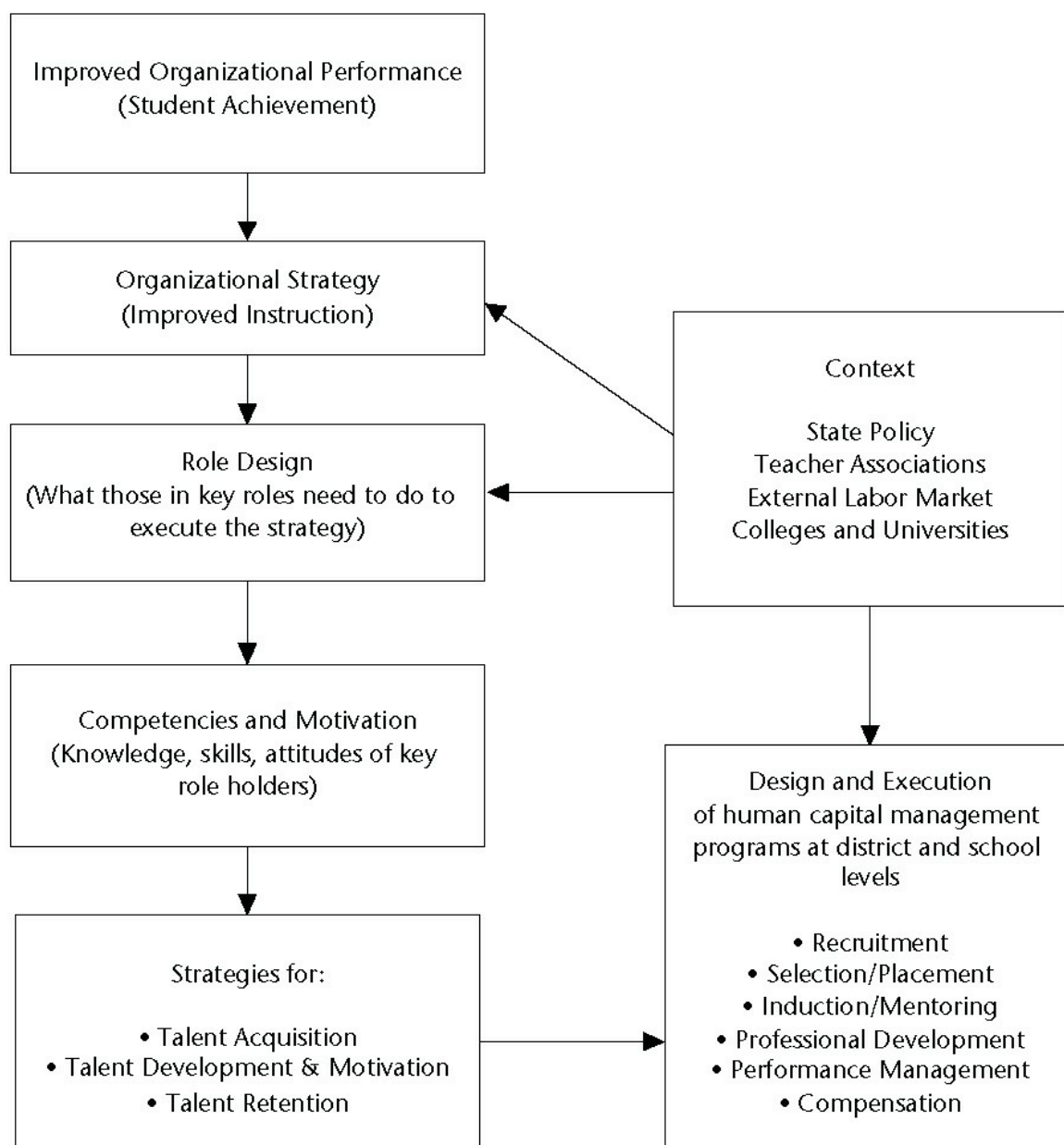
SMHC issues have been further accelerated by the teacher and principal effectiveness initiatives of the Obama Administration, with its keynote Race to the Top program making talent and human capital management in education a top concern.

### *3. The Strategic Management of Human Capital and Educational Improvement*

Figure 1.1 depicts how the strategic management of human capital is linked vertically to the district's educational improvement strategy, a connection made by other organizations engaging in strategic human resource management (Boudreau & Ramstad, 2007; Lawler, 2008a; Lawler, Boudreau, & Mohrman, 2006; Gratton & Truss, 2003).<sup>5</sup>

#### *The Need for Improved Organizational Performance*

Developing a strategic approach to managing human capital starts from understanding the need to dramatically improve organizational performance, specifically student achievement. We do not need to dwell on the point that, in general, student achievement in America is not where it needs to be (NCES, 2009a, 2010a), to say nothing about the lower levels of achievement in the nation's large, urban and isolated rural districts (e.g., NCES, 2009b, 2010b; Planty et al., 2008) and the need to reduce the achievement gap related to race and income (Vanneman, Hamilton, & Anderson, 2009). The degree of improvement needed is large and even larger in the nation's big, urban school districts and many rural schools too.



*FIGURE 1.1 How performance goals determine strategic human capital management program designs.*

Moreover, large improvements are in fact possible. Some education systems have literally doubled student performance over a 4–6-year period (Odden, 2009b; Odden & Archibald, 2009), including districts and schools with high concentrations of students of color and/or from lower-income backgrounds (see also, Chenoweth, 2007; Childress, Elmore, Grossman, & Johnson, 2007) as well as many urban districts (McFadden, 2009; Tupa & McFadden, 2009a, 2009b; Zavadsky, 2009). Examples of major improvements in student performance exist in other countries as well (Barber, 2007; McKinsey & Company, 2007). All systems concluded that human capital was critical to success.

The changes required by strategically managing human capital are difficult and complex—technically, organizationally, politically, and in most cases, financially. There needs to be strong reasons to make these

changes. And those reasons should be strategic. The starting point for these changes is the understanding that organizational performance—student achievement—needs to be increased not just marginally, but by quantum levels. A deep understanding of the need to improve school system performance can be the motivator to create a powerful education improvement strategy and an aligned human capital management strategy, as well as other ancillary and still complex changes.

### *An Educational Improvement Strategy: The Key to Improved Performance*

Once an understanding that very substantial improvements in student performance are needed, education systems then need to figure out how to do it, i.e., to create their “educational improvement strategy.” The schools and districts referenced above focused initially on improving their curriculum and instructional programs, a key element ultimately being an explicit instructional vision, i.e., a finely articulated understanding of effective instructional practice. This vision is arguably at the center of the core of the activities that comprise the educational improvement strategy. This instructional vision can be individual, or for a single school (Chenoweth, 2007); a core vision for groups of schools as was the case in New York City Community District #2 (Elmore & Burney, 1999); or district-wide such as Long Beach (CA) (Childress, Elmore, Grossman, & Johnson, 2007; Tupa & McFadden, 2009b), Jacksonville (FL) (Supovitz, 2006), and Madison (WI) (Odden & Archibald, 2009).

Our point is simply this: An effective educational improvement strategy needs to include an explicit and well-articulated vision of effective instructional practice. Effective instruction is not left to individual preference; it is not voluntary. It is systemic to the educational organization (most often a school district) and a central part of the overall improvement strategy, particularly in the strategic human capital management context. Further, as we argue below, the instructional vision can then drive the substance of the organization’s human resource programs. Indeed, one study of the use of HR metrics, including special metrics developed on instructional practice, found that centralized professional development was more effective than site-based professional development and that consistency of effective instructional practice across classrooms within schools produced higher levels of student performance (Bassi & McMurrer, 2007).

What education systems need to move away from is the current tendency toward having multiple visions of instruction embedded within their organizations. In most instances we have studied, the instructional content of the induction and mentoring, professional development and evaluation systems are rarely aligned, and thus send mixed and confusing signals to teachers about what instructional practices to acquire. As argued below, when education systems create an instructional improvement strategy that includes a view of effective teaching strategies, those strategies should be embedded in all aspects of the system that have instruction at their core—day-to-day teaching, induction, professional development, mentoring, evaluation, etc.—as well as all human resource management programs.

Finally, most scholars, practitioners, and policymakers would agree that while knowledge of effective instructional practice is quite robust (Donavan & Bransford, 2005a, 2005b, 2005c), it is strongest for the elementary grades in reading and mathematics, and somewhat less strong for middle and high schools. Therefore, more research and school experimentation are needed to find more effective instructional practices for the core secondary school subjects so that these practices can also be embedded in districts’ instructional

improvement strategies

### *Key Roles*

Once an education improvement strategy is articulated, districts next need to identify the key staff who will carry out that strategy. In almost all districts these key roles at the school level are those of teacher, teacher leader, and principal.<sup>6</sup> These are key because instruction happens inside classrooms and within schools. Teachers, however, implement multiple roles from classroom teacher to multiple teacher instructional leadership roles that can include grade level leaders, coordinator of multi-grade teacher teams, such as coordinator of the primary (K-3) teachers or the upper elementary (grades 4–6) team, school-wide instructional coach, instructional facilitator, professional development leader, curriculum team coordinator or mentor, and so on.

Principal roles can include lead principal, assistant principal for curriculum and instruction, as well as assistant principal for school management, a role that emerges when the principal personally is involved in instructional leadership roles. Principals also are the lead managers of human capital at the site. The book focuses mostly on teachers but includes separate chapters on principals as human capital managers at the school site (Chapter 9) and strategic talent management for principals (Chapter 11).

### *Key Competencies*

After the key roles have been identified, the competencies needed to carry out the strategy become the focus. For each key role, a set of needed competencies must be identified. The core competency for each teacher clearly would be instructional expertise and, over time, education organizations would want teachers' expertise to increase to higher and higher performance levels. Here is where an explicit instructional vision can be important in delineating the range of expertise that is needed, and over time a set of rubrics that could indicate the level of performance of each individual teacher aligned with that instructional vision. In addition to content-rich instructional expertise, each teacher leadership role would also have a set of required competencies specific to that role. It should be clear, moreover, that the description of teacher leadership roles overlaps instructional leadership roles of the principal or assistant principal, thus potentially providing a career ladder for teachers as well as a leadership development pathway through which schools "grow" school-wide and district leaders over time.

### *Talent Strategies and Human Capital Programs*

Once the key teacher and principal roles have been identified, together with their requisite knowledge, skills, and expertise, or competencies, the next step in strategic management of human capital system is to identify strategies for talent acquisition, talent development, and talent retention. These strategies will guide the development of the specific human resource management programs, including recruitment, selection, placement, induction/mentoring, performance management (performance evaluation plus methods to improve the performance of individuals), professional development, career progression, and compensation. The role of

these programs in acquiring, developing, motivating, and retaining talent is discussed below.

## *4. Implementing the Programs of Strategic Management of Human Capital*

To be strategic, human resource management programs and practices must be focused on finding, developing, compensating, and keeping smart and capable people with the knowledge, skills, and expertise—capacity—to execute the district’s educational improvement strategies. In a well-run system, these human resource management practices work together across these HR program areas.

### *Talent Acquisition*

Five elements of the human capital management system are strongly related to talent acquisition: (1) recruitment; (2) selection; (3) placement; (4) development; and (5) compensation.

### *Recruitment*

The first step in attaining talent is a broad and comprehensive recruitment strategy. Many urban and rural districts have not been satisfied with the quality of talent that traditional pipelines (local colleges and universities) have provided. Many districts also have had little success in working with local colleges of education to have them focus their training problems on the needs of these districts. In general, the major sources of teachers and principals for many urban districts have been low quality colleges and universities with even lower quality training programs. As a result, most of these districts experience significant overall teacher shortages, low overall teacher and principal quality, a lack of math, science, and special education teachers, and many teachers who struggle with classroom management and have poor instructional skills.

The strategic approach to tackling these issues is asking this question: How can we recruit a sufficient number of higher-level talented teachers and principals? Chapter 3 in this volume covers a series of new approaches to teacher and principal recruitment that have been tried successfully all over the country. These strategies include developing new working relationships with existing talent pipelines (colleges and universities) that had not been previously tapped, developing relationships with new talent pipelines, and in some cases, creating their own talent pipelines, such as the teacher and principal residency programs in Boston, Chicago, and New York City. The more strategic recruitment strategies also include creating partnerships with new, national talent recruiting groups such as TNTP, TFA, and NLNS, all of which recruit talent from top colleges and universities in the country. TFA recruits newly minted graduates, TNTP recruits early career changers especially from the financial management sectors, and NLNS recruits performance oriented leadership talent for the principalship.

These innovative recruitment initiatives recognize that the first step in strategic talent management is finding the country’s top talent and recruiting them into the education profession. Whatever possible criticisms one might have about these new recruitment strategies, they represent a strategic approach to

recruiting educator talent. The strategic way to recruit talent for an organization is to identify multiple sources of talent, select those producing the talent needed by the organization, and evaluate the effectiveness of each pipeline—does it produce applicants and are those hired applicants effective once working in the system (Heneman & Judge, 2009)?

### *Selection*

Getting new applicants is just the first step in acquiring top talent. Districts and schools also need to know how to screen and select the best of those who apply, i.e., those who most likely will be successful in their district and school. Some large districts use one of several teacher selection tools, such as the TeacherInsight scale from Gallup, as an indicator of possible “fit” with the challenges of teaching in urban city districts. Other schools and districts require teachers to work as a paraprofessional in the district, or have their residency time in the district, so they know their level of instructional expertise when they proffer a job. The screening process can and should be explicitly connected to the system’s instructional vision and, if possible, supported by local teacher training institutions.

Though many districts also want indicators that “predict” whether teachers will be effective in the classroom, hundreds of studies in the private sector have found this objective to be hard to attain (Heneman & Judge, 2009). To be sure, there are some predictive factors but they have varying predictive effects, most of which are modest. Measures of raw talent, such as IQ tests, are consistently linked to effectiveness on the job, but even such variables predict small portions of on-the-job effectiveness. The best approach to predicting future effectiveness is having “work samples,” which can be included in a teachers instructional portfolio (if one exists), or having teachers spend time as a paraprofessional or resident where their teaching practice can be directly observed.

### *Placement*

Placement of talent is also critical. The medium term goal for urban and rural districts is to put effective teacher and principal talent into the highest need classrooms and schools. Another goal devolving from state assurances in taking 2009 federal stimulus funding is producing an equitable distribution of effective teachers and principals, unlike the current situation in many districts where the least effective teachers and principals are concentrated in the lowest performing and highest need schools.

Placement further includes teacher assignment. As Ingersoll (2001, 2003) has shown, district management practices assign too many teachers to classes outside of their area of licensure, making district management a major culprit in producing ineffective teaching, teacher turnover, as well as teacher exit from the profession.

### *Development*

Opportunities for ongoing professional development as well as performance-based career progression also seem to be important for many young teachers. Indeed, all workers, including the young and talented individuals currently being recruited into urban schools, highly value consistent opportunities to expand and

improve their professional practice. They expect that their performance levels will be linked to their use in the system, their career progression, and their compensation (Peske, e al., 2001; Salt, 2007).

### *Compensation*

Compensation also matters when acquiring top talent; it comprises key system incentives. Economists have shown that beginning salary is the key aspect of pay that impacts initial decisions of individuals to enter a profession, such as teaching (Milanowski & Odden, 2008). Salary premiums could also be given to teachers in subject area shortages, such as mathematics and science, as well as teachers for high-poverty schools, in order for school systems to compete more effectively in the market for top teacher talent in these technical areas, though the salary premium does not have to match that of private sector jobs (Milanowski, 2003; Milanowski & Odden, 2008).

Chapter 8 discusses how to create new and performance-oriented teacher salary schedules; Odden (2009a) shows how such structures could be used to “fast track” young teachers who are particularly effective and enhance their instructional performance faster than annual experience steps would allow. An additional variable pay component, such as an annual bonus provided on the basis of valid and reliable measures of increased student learning beyond an expected annual learning gain, could also make the pay system for teachers more strategic. Combined, a revised teacher pay system could be made to reflect both teaching performance and student performance

We make these comments about the pay structure for teachers here, in the section on talent recruitment, because emerging evidence from multiple sources suggests that younger teachers, especially younger teachers from top universities, prefer this approach to compensation as compared to the current system that is basically unrelated to direct measures of knowledge, skills, and performance (Coggshall, Ott, Behrstock, & Lasagna, 2009; Johnson, 2007; Johnson & Papay, 2010).

### *Talent Development and Motivation*

Four elements of the human capital management system are most strongly related to talent motivation and development: (1) induction and mentoring; (2) professional development; (3) performance management, which entails teacher evaluation and use of results in managing teachers; and (4) compensation.

Strategically as well as practically oriented school systems realize they have a major, ongoing responsibility to induct, mentor, and continually train teachers and principals. It is unrealistic for schools, districts, or states to expect colleges and universities to produce newly minted professionals, who from day one are accomplished masters of their practice. The best professional training programs simply produce capable novices. So once newly minted teachers and principals are hired and placed, schools and districts then have the ongoing responsibility to provide continuous training that helps those professionals learn the knowledge, skills, and expertise needed to be effective in the classroom, and new teachers want these developmental opportunities (Behrstock, 2010).

## *Induction and Mentoring*

Induction and mentoring refer to the processes and strategies school systems use to provide individuals new to the system with the knowledge, skills, and awareness to work successfully. Though most U.S. school districts, particularly large, urban districts, typically do not have well-developed and implemented induction and mentoring systems, they are needed, desired by the Generation Y talent now moving into the workforce, and provide schools and districts with an initial opportunity to develop the competencies new teachers need to be effective in the classroom—produce large gains in student learning.

Induction and mentoring programs also need to focus on helping teachers develop effective classroom management strategies (Lemov, 2010). This aspect of effective teaching often is challenging for middle-class talent that has had little experience in the classrooms and schools of urban districts, where assertive and direct, rather than passive and indirect, approaches to classroom management are needed in order to create safe and orderly classrooms and schools, the precondition for ambitious teaching and learning.

Several districts and states are moving beyond having just induction programs for new teachers and developing more full-blown “residency” programs, akin to residencies in the medical profession. Such programs would allow the teacher to be the teacher of record, but simultaneously engaged in a rigorous and intensive set of activities over a one- to two-year period to develop effective instructional and classroom management skills.

## *Professional Development*

After induction and mentoring, professional development programs should be systemic, and structured around the same instructional vision and have the goal of improving teacher performance from the novice to higher levels of performance (Hirsh & Killion, 2007, 2009). A strategic professional development program is one that incorporates both the school and district’s instructional vision and focuses on the aspects of that vision that are needed for the multiple curriculum units that should be taught to expose all children to the state’s and district’s curriculum standards (Cohen & Hill, 2001; Hirsh & Killion, 2007, 2009).

In many urban districts, studies have found large sums being spent on professional development (for example, \$4,000–8,000 per teacher per year) with little impact on instructional practice and little focus on the core subjects of reading, writing, mathematics, and science (Miles, Odden, Archibald, & Fermanich, 2004). In these cases, districts need to revamp their prior professional development programs and deploy their significant professional development resources toward strategies that are linked to their instruction visions. Indeed, significant progress on these dimensions has been made in Boston, Chicago, and New York City. Similar “excess” professional development resources were *not* found in one similar study in a rural district (Thayer, 2004).

## *Teacher Evaluation*

Teacher evaluation in education generally is of low quality, can consume a great deal of time for both teachers and evaluators, and is rarely used for anything other than terminating the worst performers and

compliance with state regulations, and thus is not strategic (e.g., Weisberg, Sexton, Mulhern, & Keeling, 2009). To make it part of a strategic human capital management system, teacher evaluation would first need to be explicitly linked to the system's instructional vision and provide multiple measures of teaching effectiveness that would be used for rigorous performance management decisions such as tenure, promotion, pay increases, targeted professional development, and termination.

Fortunately, the state of the art of assessing teaching practice has moved forward to the point that there are promising tools and practices that provide these valid measures of teaching effectiveness (Heneman, Milanowski, Kimball, & Odden, 2006; Milanowski, Heneman, & Kimball, 2009; Toch & Rothman, 2008). Further, the Bill and Melinda Gates Foundation is supporting the development of several new tools that could be used to more efficiently and rigorously measure effective teaching. More detail on these tools is provided in [Chapter 5](#); use of such data for tenure and teacher dismissal is discussed in [Chapter 7](#).

Performance management is not just about assessment, however. It is also concerned with directing and improving performance. Thus a strategic system needs to provide specific, actionable performance feedback, coaching, and a clear link to effective professional development opportunities, as well as for tenure, career progression, compensation, and dismissal. Private sector research finds that such use both improves worker performance as well as organizational results (Lawler & Boudreau, 2009; Lawler & McDermott, 2003). Chapter 4, moreover, develops an even broader view of performance management for education, including teachers using student data to continuously improve instructional practice.

In concluding this section, it needs to be noted that in many cases, teacher evaluation systems are part of collectively bargained contracts, which can make changing them complex. On the other hand, Cincinnati's current and ongoing use of a performance-based teacher evaluation system, based largely on the Danielson Framework for Teaching, was part of a new contract, and teachers and union leaders were part of the design team that created the new system. Further, their system also has been validated, i.e., teachers with higher evaluation scores produce more student learning gains (Holtzapple, 2003; Kane, Taylor, Tyler, & Wooten, 2010; Milanowski, 2004).

## *Compensation*

We have stated above how compensation can be linked to a vision of effective instruction, to the evaluation system and to the performance management of teachers. Based on the past two decades of work creating new and workable ideas about new ways to pay teachers and principals (Mohrman, Mohrman, & Odden, 1996; Odden & Conley, 1995; Odden & Kelley, [1997] 2002; Odden & Wallace, 2007a, 2007b; *Phi Delta Kappan*, 2010), the country has launched many, sustained new approaches to teacher salary structures at both district and state levels, and now also through the federal Teacher Incentive Fund (TIF). Unlike the failed efforts at "merit pay" in the decades prior to 1990, the more recent experiments with performance pay for teachers have broadened and deepened all over the country, in both unionized and non-unionized jurisdictions.

New forms of teacher compensation relate directly to the prime factors that motivate teachers: (1) seeing their students improve their academic achievement; and (2) knowing that their professional practice is getting better. When periodic base pay increases are triggered by measures of teaching practice that show that a teacher's instructional practice meets the standards for a higher level of performance, then the compensation

system, which is an extrinsic motivator, aligns with intrinsic teacher motivation. Further, if the pay system also provides a bonus for improved student performance, that pay element also aligns the intrinsic motivator of seeing students achieve more with the extrinsic motivator of higher pay. In this way, the compensation system, by providing external salary rewards, reinforces what intrinsically motivates teachers anyway. Contrary to some criticism, this approach to pay neither erodes the intrinsic motivators nor overemphasizes the extrinsic motivators, but aligns intrinsic with extrinsic motivators making them both more powerful (Odden & Kelley, [1997] 2002).

### *Talent Retention*

Four elements of the human resource management system are strongly linked to talent retention: induction and mentoring, performance management, professional development, and compensation.

We mention only a few aspects of why these four elements impact teacher retention. First, there is significant research that documents how good induction and mentoring programs can retain teachers in the important first five years. This is when large numbers of new recruits leave teaching for many reasons, a critical one being that the teacher feels he/she was not systematically helped to become an effective teacher. Teacher assignment is also important; teachers assigned to teach subjects for which they are not licensed to teach leave teaching more often than those assigned to appropriate classes. Performance management combined with professional development also affects the retention of needed talent by helping to eliminate those whose performance is not sufficient, helping those in the middle become better and recognizing those whose performance is outstanding. Compensation systems contribute by recognizing and rewarding competence, which in turn differentially retains the better performers and discourages the retention of poor performers, who are not rewarded just for staying around, the implicit practice of the traditional salary schedule. Compensation systems can also encourage retention by providing incentives for exceptional individuals to follow career paths toward leadership roles or National Board Certification. Compensation is discussed more in depth in [Chapter 8](#).

### *The Strategic Management of Human Capital and School Leaders*

The strategic management of human capital is a distributed responsibility, extending beyond the district human resource department and its formal programs of recruitment, evaluation, and compensation. The key leader of the district, of course, is the superintendent of schools. This person must place high value on organizational improvement and all that flows from it—commitment to a vision of how to improve instructional practice, and as we have argued, insisting that all elements of the human capital management system be aligned with that vision. Many organizations that are talent-centric also have a Chief Talent Officer, whose prime role is to orchestrate the system's effort to recruit, develop, motivate, compensate, and retain its effective talent.

But the “street-level” human capital managers in education are mostly principals at the school level. School leaders are responsible for interviewing, selecting, evaluating, providing feedback, and coaching other staff, or overseeing these functions. In the broadest sense, school leaders are “human capital managers” at the school

site. Chapter 9 discusses in detail the role of principals as human capital managers at the school site.

## *5. Contextual Issues*

There are many contextual issues that impact both the specifics of any district's human capital management system, as well as how it can be designed and implemented.

The first is that designing and implementing all the actions required to put strategic talent management into place in most districts is tough, complex, politically charged work. It will take talented leaders, courageous decision-making, and political support beyond that of even the school board. Many argue that mayoral control is needed to provide the broad political support that is needed, but mayoral control will only work if the mayor is really committed as a priority matter to improve the city's school system and will take firm political actions and spend political capital to help the superintendent get the job done. But whether controlling the school system or not, mayors, city councils, governors, legislators, and the business community will need to support the tough decisions required to implement a strategic approach to talent management in education, which punches so many "hot buttons" in education management. Educators cannot accomplish these tasks without broader political support

A second important contextual factor is the nature of school district and teacher union relationships, and the substance and structure of the collectively bargained contract. Most contracts address at least some of the issues discussed in this framework. In collective bargaining states, changes in teacher evaluation, compensation, and performance management cannot be made outside of the collective bargaining process. In other words, changes in human capital management programs would need to be developed in collaboration with the teacher union and reflected in a revised contract. The nature of school district/teacher union relationships obviously impacts how smoothly such changes can be made. In some cases the district and union can work together to make changes; in other contexts, the situation is more contentious. All districts and states moving on the strategic management of human capital agenda will need a strategy for working with teacher and principal unions, associations, and leaders. Through the Obama Administration's strong emphasis on teaching effectiveness as a major criterion that states must address to obtain federal Race to the Top funding, coupled with requirements that teacher unions "sign off" on state proposals, states and teacher organizations have begun to talk seriously about implementing new and more strategic ways to evaluate teaching performance but movement forward on this agenda will require relentless leadership and broad political support for these needed changes, including the nature of school district governance (whether the mayor or some type of Board controls governance), the fiscal condition and health of the district, the local teacher labor market, and state education policy issues such as licensing, tenure, salary incentives, professional development, teacher mentor programs, etc. As the Obama Administration was designing and implementing its initiatives, state and local financing of schools was facing large, unprecedented fiscal reductions and program cutbacks. All these factors can and will impact both how strategic human capital management systems can be created as well as their specific character, and should be considered by any district moving forward to restructure their human resource management programs into ones that reflect the strategic approach described here.



## 6. Summary

It should be clear by now that one underlying concept of SMHC is that for each key strategic job in the system, primarily those of teacher, teacher leader, and principal, the strategic human capital management system should be structured around the knowledge, skills, and desired impacts those jobs require, and thus be aligned horizontally across each program of the HR system. This includes recruitment, screening, induction/mentoring, placement, professional development, performance management/evaluation, career progression, and compensation. Heneman and Milanowski (2007) have developed a process and a tool that districts can use to determine the degree to which each of the human resource management program elements are aligned around the key competencies for teachers. Chapter 5, moreover, discusses the data on teaching effectiveness needed to manage the HR systems in these strategic ways.

The definition of strategic management of human capital developed in this chapter includes the following core ideas:

- The strategic needs to acquire, develop, and retain talent should flow from the education system's educational improvement strategy, which usually includes an explicit vision of effective instructional practice and identifies the key people needed to implement the improvement strategy.
- The strategic management of human capital begins with aggressive and comprehensive strategies to recruit top teaching and leadership talent into schools and districts, especially poverty-impacted urban and rural districts, under the assumption that the education challenges in these districts are the toughest in the country and deserve the best talent to address them successfully.
- That talent needs to be professionally managed to produce in classrooms and schools the content-rich, effective instructional practices that boost student learning to high levels.
- To produce these effective instructional practices, improvements in them over time, and desired gains in student learning, the system then needs to horizontally align all the key pieces of the HR system—recruitment, selection, staffing, induction/mentoring, professional development, performance management/evaluation, and compensation—to multiple measures of teaching effectiveness. Similarly, for other key staff, the HR pieces need to be designed around the knowledge, skills, and expertise that teacher leaders, principals, and other key district leaders need, and related measures of effectiveness, to successfully execute their roles in the educational improvement strategy •
- In the process of designing and implementing both the educational improvement strategy and the human capital management program, the education system should produce an additional result, namely a professional school culture which is characterized by high expectations for student achievement, a common vision of effective instruction and accountability for the student performance results.

If all of the elements of the SMHC system discussed in this chapter work as intended, the district and each school should have sufficient quantities and quality of talent, and instructional practice should continuously improve, students should be able to achieve to ever higher levels of academic achievement, and districts should be able to significantly reduce the large achievement gaps linked to poverty and race that exist today across

America's schools.<sup>7</sup>

## 2

# A POWERFUL EDUCATION IMPROVEMENT STRATEGY

As stated in [Chapter 1](#), we do not need to dwell on the point that student achievement in America, generally, is not where it needs to be (NCES, 2009a, 2010a). Gains in student performance have been moderate and the achievement of American students in mathematics and science falls behind almost all other democratic countries in the world ([www.pisa.oecd.org](http://www.pisa.oecd.org)). These generally unimpressive student performance levels make the even lower levels of achievement in the nation's large, urban—as well as many isolated rural districts— even more problematic (NCES, 2009a; <http://nationsreportcard.gov/tuda.asp>). Further, the United States is plagued with consistent and high “achievement gaps,” i.e., differences in achievement between its majority, Caucasian students and its many minority groups, particularly children from African American and Hispanic backgrounds (Planty et al., 2008; Vanneman, Hamilton, & Anderson, 2009). Indeed, many advocates for education reform from all levels and segments of our society continue to press for higher levels of student performance, and reducing the achievement gap between majority students and students of color and from lower-income backgrounds. The degree of improvement needed is substantial.

Low levels of student achievement not only violate any sense of social justice, but also hinder the country's economy. Indeed, a recent international study showed that significant improvements in achievement of students in U.S. schools would be associated with large and impressive gains in the country's GDP over the next generation, providing both an economic and moral imperative to boosting student achievement, particularly students from poverty and minority backgrounds (OECD, 2009).

It is possible to produce substantial improvements in student performance in all types of districts and schools. Odden and Archibald (2009) profile multiple examples of education systems all across the country—urban, rural, and suburban—that have literally doubled student performance on state tests over a four- to six-year period. These large improvements, moreover, were not just doubling performance from very low levels to begin with, but from the mid-range to much higher levels. They represent authentic and impressive student performance gains. Moreover, there are numerous examples of dramatic improvement in student academic learning in districts and schools with high concentrations of students of color and/or from lower-income backgrounds (e.g., Chenoweth, 2007; Childress, Elmore, Grossman, & Johnson, 2007; Odden, 2009b). In addition, each year the Broad Foundation recognizes urban districts across the country that have produced the largest improvements in student learning and reduction of the achievement gaps (McFadden, 2009; Tupa & McFadden, 2009a, 2009b). There are also examples of large improvement in student performance in other countries—e.g., England (Barber, 2007), as well as examples of high levels of student performance in countries politically like the United States but with different education system organizations—e.g., Finland (McKinsey & Company, 2007).

In short, we have examples of hundreds of schools, scores of districts—including several large urban and several small rural districts—and dozens of countries that have produced significant, large, unassailable gains in student performance over a relatively short time period (five to ten years). Thus, we take the position that districts can dramatically boost student learning and produce a more equitable distribution of achievement by reducing achievement gaps in the process.

At the same time, we recognize that turning around America's school systems will not be easy and that while there are hundreds of examples of success, there are as many examples of failure. We are encouraged that the Obama and Duncan Administration have targeted urban districts and the 1000 lowest performing schools in the country as the beginning focus for lifting the performance in places that have performed at low levels for too long. And we know that there are pessimists about the viability of turning around such low performing education systems (Hess & Gift, 2009). We also know that while some tout the effectiveness of "turnaround" strategies in the private sector, the evidence indicates that there are just as many failed turnaround initiatives for private companies, even though they have more freedom than public schools (Champy, 1995; Kotter, 1995).

We further appreciate that improvements in public policies and social contexts outside of education could positively impact the performance of the education sector. Reducing poverty, providing health care to everyone, enhancing family cohesiveness, eliminating hunger, ensuring everyone lives in a safe home, etc. would certainly improve the safety and stability of many students and very likely would enhance their school performance.

Finally, we are fully aware of the wide range of proposals for turning around low performing schools and districts that include:

- changes in governance such as mayoral control of urban districts;
- changes in management such as decentralized school management with sites having control over budget and personnel;
- changes in school control such as charter and contract schools;
- changes in leadership giving teachers leadership control of schools;
- changes in faculty and staff such as school reconstitution;
- greater use of technology, the internet, and virtual schools.

Moreover, we readily admit that many of these changes might work—and indeed have worked—in different contexts.

However, all of these "entry points" into school reform or education turnaround at some point need to address what we could call the actual educational core of the issue: the rigor of the curriculum, instructional practice, providing extra help to struggling students, finding effective teachers and principals, and so on. These aspects of effective instruction might be called the bread and butter of schooling. Schools need good teachers and leaders coupled with a rigorous curriculum and effective instructional program. In addition, in many districts policies and practices that are not particularly helpful have to be remedied by any of the above broader strategies if their schools are to improve, especially in urban districts. Expectations must be raised particularly for children from poverty and minority backgrounds, high-poverty schools cannot be staffed by the least experienced and lowest quality teachers and leaders, attention must be given to improved

instructional practice, and accountability for results and persistence in accomplishing stiff goals must begin to characterize the system.

Further, as we have studied schools and districts across the country we have found, contrary to implications of some change research in education, that there are strong similarities in the core practices they deploy. It does not seem to matter if they are traditional public schools within districts, charter schools independently run or operated as part of broader charter organizations (e.g., KIPP, ASPIRE) or even private schools. Not everything is context-specific. Others have also found similarities in the strategies of schools and districts that have produced impressive and authentic gains in student learning. For example, the Institute for Education Sciences (Herman et al., 2008) culled several recommendations for how to turn around schools by reviewing research evidence. The Mass Insight Education and Research Group studied the school turnaround process and provide a “tool book” for turning around low performing schools ([www.massinsight.org](http://www.massinsight.org)). For over 20 years, the Education Trust has documented urban school failure and ways to improve such schools. Their findings suggest strategies very similar to those we outline below ([www.edtrust.org](http://www.edtrust.org)).

The major purpose of addressing this issue in this book is to identify the key strategies states and districts have deployed to improve student learning as a backdrop to identify a talent and human capital management agenda that would support these strategies. Because states and districts are constantly refining their improvement strategies, we are not presenting the final word on how to improve student achievement. Rather, the objective of this chapter is to identify the core strategies that have been used by hundreds of schools that have produced dramatic improvements in student learning. These serve as an example of how to identify the staffing needs that are the foundation for implementing the education improvement programs of these education organizations. These issues are discussed at more length in [Chapter 3](#). We provide the overview of the key strategies schools and districts use to double performance in the next section.

## *1. Key Strategies for Dramatically Improving Student Performance*

This chapter draws heavily from Odden (2009b) and Odden and Archibald (2009), two books that summarize the key strategies many schools and districts across the country, including multiple urban and multiple rural schools and districts, have used to dramatically improve student performance and reduce the achievement gap, which those authors more dramatically labeled a “doubling of performance” as measured on state tests. As mentioned above, doubling performance does not mean improving from a low base, such as raising the percentage of students scoring at or above proficient on a state test from 10 to 20 percent, though that is a doubling. The schools and districts profiled had much more robust accomplishments, such as doubling that percentage from 40 to 80 percent. The books also included in the “doubling definition” districts that increased the percentage of students at or above proficient from 65 to 90 or 95 percent, i.e, from a midrange to nearly 100 percent. The books include schools and districts that doubled performance at the advanced levels as well, a much bolder and more complex objective to attain.

Both books also drew on related research by several other policy analysts and researchers (Blankstein, 2004; Chenoweth, 2007; Childress, Elmore, Grossman, & Johnson, 2007; Fielding, Kerr, & Rosier, 2004; Fullan, Hill, & Crevola, 2006; Herman et al., 2008; Hightower, Knapp, Marsh, & McLaughlin, 2002; Odden et al., 2007; Supovitz, 2006). In addition, the strategies profiled are highly aligned with the strategies deployed by urban districts who were Broad Prize finalists and winners in 2009 (McFadden, 2009). Finally, both the longitudinal study of school improvement in Chicago (Bryk et al., 2010) and an early 2010 evaluation of an effort in Chicago led by Strategic Learning Initiatives that found that a similar set of strategies, emphasizing a “focused instruction process,” produced remarkable gains in student achievement results in a three-year period (Aarons, 2010).

Though different authors have listed the key factors in somewhat different ways, most have also concluded that there are remarkable similarities among the districts and schools making significant progress in boosting overall student achievement and reducing the achievement gaps in the process. Thus the list of ten factors described below should not be considered definitive but as one summary of how schools and districts have improved performance. It is a summary that is sufficient to identify key staff needed as part of a strategic talent management process.

In brief, the ten strategies are:

1. Creating a sense of urgency.
2. Setting ambitious goals.
3. Adopting a new curriculum and instructional vision.
4. Using multiple forms of student data.
5. Investing in ongoing professional development.
6. Using time more effectively and efficiently.
7. Providing extra time and help to struggling students.
8. Creating collaborative cultures.

9. Becoming professional communities and performance-oriented cultures.
10. Addressing talent and human capital issues.

The rest of this section explores these strategies in more detail.

### *Creating a Sense of Urgency*

In order to implement bold new education improvement strategies which entail substantial restructuring of school and district operations, district and school staff need to feel a sense of urgency to do so, an internal force that propels them into the hard work that will be involved. A key method or technique to dramatize this bold psychological orientation is to have everyone in the system analyze the current performance status of their students. Most places start this process using state student performance data. The results are more powerful if all teachers are involved at each school, so they learn the precise performance condition of the students in their school. During this process, many discover that performance is lower—much lower—than expected, that achievement gaps are larger than expected, that student mobility doesn’t “explain” much of the performance shortcomings, and that the school needs huge gains to move to an acceptable level of performance. In most cases, this analysis focuses on student performance, as it can be impacted by school actions, and not demographics which basically are beyond the schools’ control. The findings then lead to actions that are fully in the power of teachers, principals, and central office leaders to take.

Note that to engage in these kinds of analyses, data need to be available and the individuals need the skills for the analytic work to understand what the data say about the performance of their students.

### *Setting Ambitious Goals*

When faced with the unacceptably low levels of achievement and large achievement gaps, schools and districts that produce large improvements respond by setting bold and ambitious goals, goals that are more than “stretch” goals, and goals that might seem by some to be unattainable. Examples of such goals include: to be the best urban district in the country, to be the best rural district in the state, to get 95 percent of students at or above proficiency, even to have all students achieving to advanced levels! These “eye-popping” goals are set even by low performing urban districts and schools with very large concentrations of students from poverty, immigrant, or minority backgrounds. These schools and districts do not see demographics as constraining; once they understand their true performance situation, they decide they can and must do better, they believe they can produce the results and they set very high goals, which, even if they are not fully attained, help “pull” the system toward much higher performance levels.

In order to set high goals, the teachers, principals, and district leaders must *believe* that change can happen, that all students really can learn, and that hard work can produce the results. These educators become performance-oriented, have a sense of efficacy and are resilient. They also must have the leadership skills to articulate a credible but ambitious vision and instructional expertise to produce the student learning results.

### *Adopting a New Curriculum and Instructional Vision*

Nearly all districts and schools producing these impressive gains in learning and reductions in achievement gaps adopt new and more rigorous curriculum programs. Over time, they develop a very specific view of effective instructional practice. Though there are quite wide differences among specific curriculum programs adopted, each district or school generally concludes that the existing curriculum got them to their current performance situation and was not powerful enough to help them attain their bold goals, so new programs were required.

Importantly, the view of effective instructional practice that is developed is quite explicit and every teacher is expected to learn and deploy the instructional approach over time. The district's view of effective instruction infuses the teacher induction programs, ongoing professional development programs, and evaluation programs. The goal is to get this view of instruction systemically embedded into all classrooms in the school and district. Though there are some commonalities across the districts in these perspectives of effective instructional practice, there are significant differences as well:

- Long Beach (CA) adopted a modernized version of the Madeline Hunter Essential Elements of Instruction.
- Madison (WI) developed its own version of a “balanced” approach to literacy.
- Kennewick (WA) created an approach to reading which emphasized that every lesson needed to have a Purpose, Engage students, be Rigorous, and be Relevant (PERR).
- Aldine (TX) a 2009 Broad Prize winner, developed its approach to “managed instruction” along with a web site, TRIAND (<http://my.triand.com>), that gave examples of how to deploy this instructional approach at all levels and in all subjects.
- Rural Abbotsford (WI) and Rosalia (WA) both focused on stronger reading and math programs for their increasing Hispanic populations.
- Rural Monroe (WI) focused on problem solving in mathematics.
- In Maryland, Montgomery County's instructional point of view devolved from teacher-developed formative assessments, linked to state and district curriculum standards, to embedded in and collaboratively developed school-based Professional Learning Communities (PLCs) curriculum units with common lesson plans and common end-of-unit assessments, that all teachers were expected to use—and to compare the impacts on student in their PLCs.

The point here is not to sanction one specific approach to instructional practice, but to note that in nearly all districts and schools that have produced dramatically large improvements in student learning, there is a specific view of effective instructional practice that every teacher is expected to learn and use in their classroom. This approach is known and sanctioned by principals, and supported through professional development programs, evaluations, and all other district actions. These districts believe that it is adherence to this instructional practice that produces student learning gains; when gains are not what are desired, they revisit and modify their instructional approach. This was most especially true for the 2009 Broad Prize finalists (McFadden, 2009).

This finding is important because it is at the heart of strategic management of educator talent around effective instructional practices. This is not only a conceptual element of our definition of “strategic

management” in [Chapter 1](#), but it is also a core strategic element of districts and schools that have produced large gains in student academic learning, making effective instructional practice important not only conceptually but also practically. And while no district or school studied sufficiently infused all their HR strategies with an explicit view of effective instructional practice—and thus could not be said to be practicing “strategic talent management”—their point of view about instruction was both clear, and at the core of their improvement strategies, and all staff needed to learn it or move on.

Note then how important it is for all teachers, as well as school and district leaders, to know of and focus on getting these views of effective instructional practice systemically implemented in all schools and classrooms. This instructional expertise then becomes a core competency for all teachers. School leaders need the expertise to have faculty meetings focus on these instructional issues, insure sufficient professional development on this needed expertise, have all teachers involved, and be able to show over time that their approach to teaching is the way to boost student achievement in their schools.

### *Using Multiple Forms of Student Data*

Districts and schools that are making rapid progress in boosting student learning are using more than just state tests to help frame their strategies. Successful schools and districts create, buy, and use a wide battery of aligned diagnostic tests, formative assessments for each curriculum unit, common end-of-curriculum unit tests (though this is a more recent phenomenon), and benchmark tests (that are given periodically such as after every nine weeks of instruction). These tests and assessments are used by teachers to continuously improve their instructional practices. The diagnostic and formative data are used primarily to frame instructional approaches before a curriculum unit is taught, while the benchmark assessment data are used to assess effectiveness after instruction is provided.

Teachers, teacher leaders, and school administrators need multiple competencies to engage in these processes successfully. This includes knowing how to translate diagnostic and formative assessment data for all students into lesson plans and instructional strategies for classes of students, how to provide appropriate differentiated instruction, how to make instructional adjustments if student results are not those desired, how to use benchmark data to place students into extra help programs, etc. Some of this expertise is encompassed in Schulman’s (1986, 1987) conception of pedagogical content knowledge, and at the heart of the teaching and learning components of National Board Certification assessments. We might also note that few teacher or principal training programs provide instruction in how to use this array of student testing and assessment data, which sets an additional challenge for the talent and human capital development strategies of districts.

Finally, we note that many of the activities using these data occurred in grade-level and content-focused collaborative teacher work teams, sometimes called Professional Learning Communities, each having a team leader, who not only needs the capacity to understand the implications of the student data but also the expertise to facilitate a PLC’s working together effectively.

### *Investing in Ongoing Professional Development*

Not surprisingly, all of the districts and schools studied invested heavily in ongoing professional

development. Moreover, the professional development was systemic in that it was provided for all teachers and principals, all of whom were expected and in most instances required to participate. Many pupil-free days were set aside for initial training, which often occurred in summer institutes. Another resource was the provision of “professional development” teachers, “instructional coaches,” and “instructional facilitators” in all elementary, middle, and high schools. These school-based “coaches” provided on-site coaching to individual teachers, which the broader professional development literature has shown is key to having teachers actually change their instructional practice as a result of training (Hirsh & Killion, 2007, 2009). Sometimes districts hired outside consultants to provide the training, both for teachers and for instructional coaches, and other times training staff were hired by the central office professional development office.

These strategies require a variety of types of staff that do not exist in all districts: PLC team leaders, instructional coaches, central office trainers, etc. In addition, these strategies require principals to have the expertise to design and implement a coherent and aligned professional development strategy that reflects the above features and to be held accountable by the district for doing so.

### *Using Time More Effectively and Efficiently*

The schools and districts boosting student learning gains far above normal trend lines also used a fixed resource—the school day of about six hours—in more effective and efficient ways. First, they extended core time in both reading and mathematics, often stretching instruction in language arts (reading, writing, comprehension, communication) to 90 and sometimes 120 minutes a day, although some of this time was often used for reading in the content areas and writing across the curriculum. These districts and schools also “protected” this core instructional time from outside interference such as public address announcements. Second, in secondary schools, struggling students often were provided double periods of instruction in mathematics and reading, the assumption being that learning to proficiency in core subjects was more important than an elective. Third, several high schools moved to “block schedules” of 90 minutes so teachers had more time to develop lessons and curriculum units to thinking, problem solving, and application. Fourth, as discussed next, time was extended for struggling students as well as for a series of extra help interventions.<sup>1</sup>

Teachers need additional expertise to take full advantage of these time change strategies. They need training on how to most effectively use 90–120 minutes of instructional time for elementary language arts, how to provide effective extra instruction in a second period of reading and mathematics in middle and high schools, and how to actually teach effectively for 90 minutes in those block-scheduled high schools. The main point here is that expanding and intensifying the use of time requires teachers to have instructional expertise to do so, thus expanding the range of instructional competencies needs to be effective. Principals also need expertise in redesigning school schedules to provide this extra time and to ensure that high school students have adequate time for the number of courses required for graduation.

### *Providing Extra Time and Help to Struggling Students*

The main element of these ten strategies that dramatically boost student learning is to have effective teachers provide high quality instruction to all students. But, it also is a fact that not all students learn

everything required with the first “dose” of instruction. Many need extra time, extra help, and a variety of additional supports in order to get their achievement up to a set performance standard. Just as McKinsey & Company (2007) found for the top performing countries, these top improving schools and districts provided a variety of extra help strategies to students struggling to learn to proficiency or above. Although the exact combination of extra help programs varied by school and district, nearly all provided some combination of one-on-one or very small group tutoring as the first intervention, complemented by academic help in after-school tutoring programs as well as academically focused summer school programs. These strategies also provide more instructional time for students, thus exemplifying the principle that most kids can learn to high standards. Some students just need more instructional time than others. These schools kept performance standards high for students but provided extra help through additional instruction in tutoring, after school or summer contexts.

Staffing needs for such initiatives require teacher tutors, extended day teacher staff, summer school teaching staff, and sometimes paraprofessional tutors. All staff must be expert in providing additional and focused assistance to students needing extra effort to perform in core subjects, such as reading, writing, mathematics, science, and history. In many cases, schools also can fund these staff by reallocating school resources (Odden & Archibald, 2009), suggesting the need for expertise in resource reallocation as well.

### *Creating Collaborative Cultures*

It should be no surprise that these schools created “collaborative” or “professional” school cultures, characterized by effectively functioning PLCs. Such cultures are characterized by having high expectations for student learning, making instructional practice “public” and something that is worked on collaboratively, and taking responsibility for the impacts of curriculum and instruction on student learning. In other words, taking credit when student performance rises and going back to the curriculum and instruction development board when performance is not what is expected.

As noted earlier, PLC leaders need expertise in organizing and running such collaborative groups, in addition to being good instructors themselves. Further, principals need the expertise to organize school schedules in ways that provide PLC team members with common time during the regular school day so they can engage in collaborative work on the instructional program, as well as capacity to select effective team leaders and insure they get the leadership training needed to do their team leadership job effectively.

### *Becoming Professional Communities and Performance-Oriented Cultures*

Another element of the common strategies schools and districts use to boost student academic learning is to be performance- and professionally oriented in how they approach their work. Teachers and administrators in these schools read education research, usually published in practitioner journals such as *Phi Delta Kappan*, *Educational Leadership*, the practitioner journals of the many national content organizations (e.g., National Council of Teachers of Mathematics), and *Education Week*. These publication outlets, as well as the What Works Clearinghouse (<http://ies.ed.gov/ncee/wwc>), the Best Evidence Encyclopedia (BEE) ([www.bestevidence.org](http://www.bestevidence.org)), and many others, provide teachers and administrators in school districts with access

to the most up-to-date research on what works in education. Most staff in schools moving the student achievement need to access these knowledge outlets. The educators in these schools believe they must know the most up-to-date research knowledge in order to productively impact student learning.

In addition, these schools “benchmarked” other schools, districts, and whole school models to keep abreast of and appropriately use “best practices” in education.

Finally, these education organizations brought a variety of regional, state, and national experts on a range of issues into their system. They tapped the best education minds in their communities and state and asked them how to improve their practice so students would learn more, the achievement gaps would diminish, and schools would become more productive.

Note that this “performance” orientation reflects a disposition to continually scan the environment for knowledge, best practice, materials, and help on the assumption that improving school performance is not done alone but with the broader education community so that local practice can be informed by and reflect the best that is known about how to improve curriculum, instruction, and student learning. Because not all efforts to improve school performance work, another element of a performance-oriented culture is to provide space for efforts that do not work, quickly recognize failure, and learn from the effort. Then move quickly to replace it with a program or practice that does work.

### *Addressing Talent and Human Capital Issues*

Finally, in many but not all cases, districts and schools were proactive in identifying and filling their talent and human capital needs. In some cases, such as the Benwood Initiative in Hamilton County (TN) schools were reconstituted. In this district, about 20 schools with the highest poverty concentrations appointed new principals. The principals then selected a brand new faculty (some of who had previously worked in the school) committed to the new schools’ education improvement initiatives (Chenoweth, 2007). As we discuss in more detail in [Chapters 3 and 4](#), several urban districts have begun to cast a much wider and more comprehensive recruitment net in order to acquire the smart and capable individuals (teachers and principals) they need to address the complex education challenges the students in their systems present (Koppich & Showalter, 2008). Indeed, the strong emphasis on teacher and principal effectiveness that has been part of the Obama and Duncan Administration education initiatives speak to the importance of top talent in public education in order for its schools to deliver the instructional quality needed to boost the performance of all students, particularly those in poverty-impacted urban and rural districts (Duncan, 2010). In short, the schools and districts that are “doubling student performance” are rapidly coming to understand that the level of their teacher and principal talent is as important to the success of the education system as their overall education improvement strategies themselves. They have concluded that a human capital strategy is inextricably linked to their education improvement strategies and are giving the former specific and focused attention.

Talent and human capital issues have not been explicitly addressed by many education policies and strategies until recently. The emergence of these issues in districts and schools that have boosted student learning exposes the reality that *talent matters*. The rapidly rising focus on talent and human capital management underscores the importance for the topics covered by this book that comprehensively address these “people” issues.



## *2. Staff and Capacities Needed to Improve Student Performance*

Before turning to the next chapter that explicitly addresses the staffing needs and recruitment strategies needed by schools, we briefly summarize the staffing implications for the strategies described in this chapter. Schools need at least the following:

- *Principals* engaging in instructional leadership and management practices that:
  - articulate a credible vision for dramatically improving student learning; – organize school schedules to facilitate the collaborative work of PLCs; – focus teachers on using student data to continuously improve instructional practice;
  - reallocate resources to fund extra help strategies;
  - relentlessly lead the school toward accomplishing its student performance goals—high levels of learning and a more equitable distribution of knowledge and comprehension, with a reduction of achievement gaps linked to socio-demographic factors.
- *Talented and expert teachers* able to do the following:
  - deliver high quality instruction in core subjects;
  - work effectively in collaborative teams;
  - use student data to continuously improve instructional practice;
  - make instructional practice public and work together to implement a systemic approach to effective instruction;
  - be relentless in getting students to learn;
  - take responsibility for the results of their efforts—credit when student achievement rises and going back to revising instructional practice when achievement does not meet expected standards.
- *Teacher tutors, after-school academic tutors, and summer school teachers* who:
  - provide students with a wide range of extra help strategies, and
  - have the broad range of instructional expertise that can complement the core classroom instruction that all students initially receive.
- *Instructional coaches* who:
  - work in schools helping teachers analyze student data in PLCs;
  - implement new instructional practices;
  - identify and use the most effective intervention programs for students struggling to learn to standards.
- *PLC and other teacher team leaders* who:
  - coordinate collaborative teacher groups;
  - perhaps work on revising a school's and district's specific core curriculum program;

- deploy teacher leadership roles in schools short of being in formal administrative roles.

These are the core staffing needs of schools. In [Chapter 3](#) we address proposals for how to determine core staffing needs in schools, as well as other staffing and resources that schools need to deploy strategies to dramatically improve performance, and how this talent and human capital can be acquired through restructured and more sophisticated recruitment strategies.

### 3

## STAFFING AND RECRUITING TOP TALENT

Organizations that depend on top talent to be effective pay strong attention to staffing and recruitment (Lawler, 2008a, 2008b; Lawler & Boudreau, 2009). Talent executes organizational strategy. Without good execution, organizational strategy is not realized. In other words, people matter. But until recently, education has given insufficient attention to the “people” side of education reform. Too often policymakers and education leaders assumed that just high standards, rigorous curriculum, performance-based tests, professional development, and accountability, often combined with good school-based management, produce higher student achievement. Talent and human capital were rarely mentioned.

Yes, attention was given to teacher quality, foundations began to focus on school leaders, and proposals were made to enhance professional development. But until recently, few education leaders have raised questions such as: Who are the key staff in schools? Are the people occupying those positions up to the task? Can schools actually entice more graduates of the top universities into public education, particularly in urban schools? Are schools of education within nearby colleges and universities the only pipelines funneling teacher and principal talent into the public schools in our area? Do we need 1,300 teacher training programs, especially those feeding teachers and principals into many urban school districts, which decade after decade have not been high quality?

Answering these questions, and then devising a staffing strategy and recruitment plan to address the answers, are the core tasks for school district’s Human Resource (HR) department. When HR sits at the superintendent’s “round table,” its role is to identify all the talent implications of that school system’s improvement strategy, as well as implement the recruitment strategy to acquire the talent that will enable the system to effectively execute its education improvement strategy.

This chapter is divided into two sections that address these issues. Section 1 discusses the key staff that schools need to implement the education improvement strategy described in [Chapter 2](#). This section both identifies the key staff in the education system, a controversial perspective itself, and how many are needed. Section 2 describes ways districts are recruiting key staff, focusing largely on urban districts, where shortages of teacher and principal talent have been the most acute.

## *1. Key School Staff*

This part of the chapter identifies the key staff in schools and the staffing implications of key strategic decisions that at first blush do not have a staffing implication, makes specific suggestions for the numbers of key staff needed, and describes what a “talent audit” can be.

### *Key Staff*

School systems need a wide array of people to function. Core content (e.g., math, science, reading/writing/language arts, history, world language) and elective (e.g., art, music, physical education, health, career-technical) teachers are needed. School principals and administrators are needed. Pupil support staff including guidance counselors, nurses, and psychologists are required in order for the district to run smoothly. Administrative assistants, custodians, grounds keepers, food service workers, bus drivers, and mechanics are needed in most districts. Superintendents, assistant and associate superintendents, HR directors, curriculum leaders, and professional development staff populate most central offices. All are important. Few districts could operate without individuals functioning in each of these roles.

But a close reading of the education improvement strategy in [Chapter 2](#), and a comparison of the staff mentioned in that chapter to the above list, would find some staff roles mentioned and others not. We postulate that those mentioned are the “key” staff for schools, without whom the education improvement strategy simply cannot be effectively executed.

Our position is that key staff include core content teachers, teacher leaders such as instructional coaches and collaborative teacher team coordinators, principals, tutors, and a few positions in the central office. Core teachers provide instruction in the subjects most important for student achievement, especially for the knowledge and skills needed today for college and workforce success. Teacher leaders who coordinate the work of collaborative teams are critical to enhancing instructional practice, and often serve as the instructional coaches who help organize teacher teams into functioning units as well as work with individual teachers to improve their instructional practice. Every effective school has a strong, performance-oriented principal. And the central office needs a performance-focused superintendent, a performance management leader, a modern HR director who knows and can engage in strategic approaches to talent management, a curriculum, instruction, and professional development leader, and a data and accountability head who can organize a data base that all staff can use to continuously improve their instructional practice.

Other staff are also needed in schools such as art, music, and physical education teachers, paraprofessionals, and so on. But a high performance system must identify its *key* staff, and then focus specific attention on them in order to strategically manage that talent so the organizational strategy is effectively executed (Lawler, 2008a, 2008b).

This is a hard notion for school systems, which have a strong “equality” ethic that makes them reluctant to consider some staff more “key” than others. But talent-dependent organizations that are the most effective do

identify key staff, and make sure that recruitment, development, compensation, and retention activities are focused on them (Lawler, 2008a, 2008b).

Consider the National Football League, one of the most effectively run organizations in the country. Each of the 32 franchises needs a roster of 54 members. But it also needs a practice squad of additional players, a head coach and coaching staff, trainers, grounds keepers, a general manager, office staff, marketing, scouting and recruiting staff, transportation and equipment managers, and so on. So each franchise needs a wide array of people to run the organization. All are important; all need to be recruited, developed, motivated, and paid well. But the team of 54 members on the playing roster is the most important group of staff, just like a school staff. Further, everyone talks about the “skill” players on that roster— the quarterback, running backs, receivers, and perhaps cornerbacks. The skill players have more complex roles, are harder to find and develop (they have special skills), are paid more, and when missing (or less skilled) detract from the ability of the team to win. No team wins without a strong quarterback; and there are not 32 highly effective quarterbacks in the entire United States. It is rare for a team to win without a strong running back. Given the importance of today’s passing game, a winning team needs strong wide receivers as well as a top tight end. The top teams have at least one or two top cornerbacks who can “shut down” the opponent’s best receiver. That is the way it is. And no one complains about it because everyone knows the “skill” players are hard to find and keep.

The fact of the matter, the same is true for schools, especially schools in urban and rural communities. For years, these education organizations have had a shortage of the “skill” educators needed to boost student achievement and close the achievement gaps linked to race and poverty—core content teachers, teacher leaders and instructional coaches, teacher tutors, and principals. Most urban districts have drawn talent from the bottom half of the nation’s talent pool, and most educators assume that is the fate of urban districts. As the rest of this chapter shows, when districts pay more focused attention to these “skill” positions in the schools, they can do a better job of recruiting not only from the top half but also from the top 10 percent.

### *How Many Skilled Educators Are Needed?*

After identifying the “key” staff needed to implement the education improvement strategy, the next question is to determine how many are needed in each category. Though there is no single answer to this question, we draw upon work conducted in the school finance adequacy context for guidelines to answer this question.

Both Odden and Picus (2008) and Odden and Archibald (2009, Chapter 7) have studied the staffing needs of the strategies school systems use to improve student performance. They have devised formulas for specifying the numbers of staff in schools. In fact, they have formulas for all school and central office staff, key staff and everyone else, plus dollar figures for non-staff resource needs.

They suggest that every school needs a principal, generally recommending that schools with 400–500 students need one full-time principal, and recommend retaining a full principal position for school enrollments down to approximately 100 students, below which the principal job would be part-time. Above the 400–500 pupil size, they recommend adding assistant principal positions, phasing in portions of assistant principal positions as enrollments rise but providing no assistant principal positions below the 400–500 pupil figure.

Based on research and best practices, they recommend core teachers at the ratio of one position for every 15 students in Kindergarten through Grade 3, and 25 students for core classes for Grade 4–12. For a typical K-5 elementary school, this equates to an average core class size of 18 students for all grades. If funds are not available to support this core class size ratio, they suggest increasing elementary class sizes to 25 as the first cost savings.

Again based on research and best practices, they recommend instructional coaches at the rate of one full-time coach position for every 200 students, which produces two and a half instructional coach positions for a 500-student school. Not all coaches would need to be full-time. Some could tutor for half-time and be an instructional coach half-time; others could teach half-time and function as a coach half-time. But such a staffing would allow for a 500-student elementary school to have a full-time reading coach, and half-time coaches for mathematics, science, and any other targeted area, such as technology or other elective. School systems could also provide modest stipends for lead teachers, who would continue to teach full-time.

Finally, teacher tutors are recommended at the ratio of one position for every 100 students at risk. This is usually indicated by the number of students eligible for free and reduced price lunch. A minimum of one tutor position for each school is suggested.

In short, total *key staff for schools* would be:

- One principal for each school (of 400–500 students), including high schools.
- One core content teacher (grade level in elementary schools and math, science, reading/language arts/writing, history, and world language in secondary schools) for every 25 students, and only if funding allows, increasing that number to a ratio of one teacher for every 18 students in elementary schools.
- One instructional coach position for every 200 students, with a minimum of one for each school site with at least 250 students.
- One teacher tutor position for every 100 at risk students, with a minimum of one for each school site with at least 250 students.<sup>1</sup>

Once these numbers are calculated for each school, simply add each school's numbers to get the total for the district.

### *Staffing Implications of Other Strategies*

In determining staffing needs, the HR department must also identify the staffing implications of the overall set of strategies that districts seek to implement. If a district decides to “reconstitute” some schools, there obviously will be a need for a new principal and several new teachers. If a district is financially able to add art and music teachers to school staff, both to provide elective classes and time for teacher teams to meet during the school day, those individuals will need to be recruited. If a district decides to place instructional coaches in schools, especially at the level indicated previously, there needs to be a strategy to find and train those individuals, and then to fill the teaching positions they may have vacated.

### *Conducting Talent Audits*

After determining the total number of key staff needed for each school, individual schools and school districts then need to “take stock” of their current talent pool. In order to conduct a serious talent “audit,” they need to ask the tough question: Do the people in the current skilled positions have the talent to do the job?

Answering this question is not easy. Most education systems do not have data to answer the question empirically. Many others with data tend not to address the question. For principals, the issue would be whether the principals in place are running schools that are producing solid gains in student achievement and beating value-added predictions of school-wide student performance if value-added systems are in place. Though there are other responsibilities for principals, each with a specific set of required skills and competencies (see [Chapter 9](#)), the prime question here is whether principals in each school are operating the school so it produces appropriate gains in student performance and maintaining high performance when it exists.

A related aspect of the principal talent audit is to identify the pipelines that produce principals who are effective as well as those that have produced principals who are not effective in the district. The implication would be to reduce principal intake from the less effective and increase principal intake from the more effective pipelines.

The same hard question needs to be asked about teachers. To answer the question, the system would need to determine how to assess whether teachers are effective. Most districts do not have performance measures to make this determination. A recent study of typical teacher evaluation systems (Weisberg, Sexton, Mulhern, & Keeling, 2009) found that most urban districts rate 99+ percent of teachers as satisfactory; further, districts with a broader array of performance categories rate 99+ percent of teachers satisfactory, accomplished, or outstanding— even when the vast bulk of students are not achieving to a proficiency standard. This result is not only due to the absence of adequate performance metrics, but also the lack of will on the part of school and district leaders.

Given the pervasive leniency in teacher evaluations, engaging in a teacher talent audit can be a challenge for most school districts. But urban districts, which have had shortages of quality teachers for years, need to take this issue very seriously. Districts that do not have comprehensive recruiting strategies do not start selecting new teachers until late summer, and have a history of opening school each fall with multiple teacher openings and data showing that teacher quality is low, are stuck with the reality of having many teachers who are not effective. Additionally, studies show that the newest and lowest qualified teachers tend to be placed in schools with the greatest needs (Lankford, Loeb, & Wyckoff, 2002). This should be viewed as an emergency condition, because students will not learn sufficiently if classrooms are staffed with ineffective teachers. So either through some value-added methodology (which can identify the least effective 10–20 percent of teachers) or performance-based teacher evaluation system (see [Chapter 5](#)), or a combination of these approaches, districts must determine how many ineffective teachers they have in order to mount strategies to help those individuals become effective or, if that does not work, to exit the system.

For example, New York City eliminated all “emergency certified” teachers. All urban districts could take this same action IF they had comprehensive recruitment plans in place to fill the openings created with talented and effective individuals.

A teacher talent audit could have at least three elements. The first would be to determine whether teachers had basic qualifications, such as a teaching license in the subject they are teaching. The second would be to

review the results of upgraded, performance evaluations that indicated the level and distribution of teacher performance. The third would be a more formal value-added analysis to determine more empirically teacher impact on student performance. The results would be used not only to determine the number of effective teachers in the system, and thus the number needed, but also the distribution of effective teachers as the background for assuring over time a more “equitable distribution of effective teachers.” This is one of the assurances governors gave to the President when accepting 2009 federal stimulus dollars. Districts would need to identify the main sources of individuals who are ineffective teachers. As part of this process, districts would also need to identify the sources of individuals who are effective and

successful on the job, and then target future recruitment toward the best sources of talent.

Districts should also take a hard look at the range of sources that could be tapped for teacher and principal talent. Some districts, like Little Rock (AR) which has recruited nearly all teachers and principals from local teacher training institutions, have decided to launch more national recruitment strategies in order to acquire a greater portion of the top teacher and principal talent that is available outside of the local community. This latter idea is akin to universities seeking football recruits from across the country; yes, they must first acquire the top home-grown talent but then those that also seek top talent from around the country tend to be the teams that are most successful. The same applies to school districts; recruiting only home-grown talent restricts their ability to have some of the country’s “best” in all teacher and principal positions. Recruiting then focuses on finding the talent, both locally and across the country, to fill the “open slots” in the key positions in the school system, a task to which this chapter now turns.

## *2. Recruiting Top Teacher and Principal Talent*

Drawing heavily from the SMHC case studies (Archibald, 2008; Goertz and Levin, 2008; Kimball, 2008; Koppich, 2008; Milanowski, 2008a) and cross-case analysis (Koppich & Showalter, 2008), this section discusses how districts, particularly urban districts, can recruit top teacher and principal talent. It also draws from cases of The New Teacher Project (TNTP) (Aportela & Goetz, 2008b), Teach For America (TFA) (Goetz & Aportela, 2008) and New Leaders for New Schools (NLNS) (Aportela & Goetz, 2008a), national talent recruitment and development organizations with which several of the districts featured in the SMHC case studies partnered. Through innovative changes, these districts made major significant progress in addressing the core of their teacher and principal talent issues and now open school each fall with very few vacancies in core teaching positions, including math and science, an accomplishment once most considered impossible for urban districts.

### *Actively Recruit*

The first and most important action is to actively recruit. Before the recruitment efforts described below, four of these urban districts had what might be called a passive recruitment strategy: the district did little active recruitment, did not review applications until late in the summer, and essentially hired the “left-over” applicants who had not been offered jobs elsewhere (see Levin & Quinn, 2003). This practice produced too few teachers, large numbers of both barely qualified and ineffective teachers and principals, and the perception that urban districts simply could not acquire top teacher and principal talent. Active recruitment consisted of several new efforts and remedied these talent problems.

### *Recruit from only the Best Universities*

Since the 1,300+ teacher training organizations in the country produce teachers with widely varying capabilities, several case districts became more selective of the universities from which they recruited. Chicago began recruiting from top universities they had previously ignored—the University of Illinois at Champaign-Urbana, the University of Michigan, Northwestern University, the University of Chicago, the University of Illinois at Chicago, and the University of Wisconsin-Madison. This produced significant new numbers of smart and well-trained teachers. Simultaneously, the district began to reduce the number of hires from some local universities that did not have outstanding reputations, and with teacher training programs that most acknowledged were inadequate.

Chicago also read the research that most individuals teach within 50 miles of where they grew up or attended college. Interpreting this finding as being “within a day’s drive home,” Chicago expanded its search radius to outstanding colleges and universities within 500 miles of the city. This produced an additional array of well-prepared teachers.

### *Partner with Local Universities when They Are Willing*

Chicago and Long Beach (CA) developed partnerships with local universities which were willing to do so. Chicago developed new programs with the University of Illinois at Chicago, the University of Chicago, and National-Louis University. These universities sat down with district leaders, heard from them about the skills and competencies the district's teachers and principals needed to be effective, and changed their teacher and principal training programs to fit district needs.

Long Beach developed one of the closest relationships with its local university: California State University (CSU)-Long Beach. As the partnership matured, it became a vehicle to attract Long Beach residents to teach in the city's schools. Over the course of several years, the district assumed leadership of the university's teacher and administrator preparation programs. Long Beach staff function as "supervising instructors" for most student teachers who earn their teaching license through CSU-Long Beach. The vast majority of teachers and principals in Long Beach are graduates of these programs, which now are geared specifically to preparing teachers and administrators to serve that urban district's schools.

New York City also works with local universities to promote teaching among undergraduate and graduate students. The district provides tuition reimbursement at the City University of New York rate for teachers certified in non-shortage areas who are willing to become certified in shortage areas. Another good example of this cooperation is the University of Cincinnati, which aligned the teaching standards it used for new teacher training to the standards adopted by the Cincinnati Public Schools, which were a modification of the Charlotte Danielson teaching framework (1996, 2007).

We also must note that several urban superintendents around the country, including some SMHC case superintendents, tried to forge close relationships with local universities and were rebuffed. We urge all colleges and universities located in city districts to work closely with district leaders to align their teacher and principal training programs to district needs.

### *Partner with National Talent Recruitment Organizations*

Many urban districts including two case districts—New York City and Chicago—partnered with new, non-university-based organizations whose missions are to recruit nationally for teacher and principal talent wishing to work in urban districts. New York City, for example, hires 7,500 teachers a year, or nearly 10 percent of its total teaching staff. Today, about 30 percent of those new teachers come through the partnerships with TFA and the Teaching Fellows Program of TNTP. In 2005, nearly 40 percent of the new teachers in New York City's poorest schools were TNTP Fellows or TFA Corps members. Working with these new teacher pipeline organizations is intended, in part, to narrow the gap in teacher qualifications between high-poverty and low-poverty schools and research shows the strategy has worked (Boyd et al., 2008).

TFA and TNTP are now working all over the country, having forged partnerships with dozens of urban districts. TFA now has over 10 percent of the graduating classes of all Ivy League colleges, as well as other top

colleges around the country (e.g., Duke and Northwestern), applying for a teaching position. The organization picks only about 1 of 20 applicants. This is as selective as those universities themselves. TNTP has thousands of early career changers applying for teaching jobs in their various urban projects. They were recently swamped with applications following huge layoffs in the financial services, consulting, and law arenas.

These national talent recruiting organizations have discovered a new secret about when to recruit the nation's best and brightest into education—*after* they have earned their bachelors degree or soured on high-demand/high-paying jobs in the private sector. These new talent pipelines now provide thousands of highly talented individuals for dozens of urban districts across America. TFA also provides thousands of teachers for rural districts. But this approach to finding top talent for the schools require different pre-service and new teacher induction and coaching programs, as these talented individuals are recruited over the summer and placed in schools that fall.

When Arne Duncan was superintendent in Chicago, he set a goal of obtaining 20 percent of all new teachers from these and other new talent pipeline organizations. He felt it would have been unprofessional to base new recruitment efforts solely on decisions individuals make when they are 17 years old (i.e., a decision to enter an undergraduate teacher education program). Duncan was unwilling to ignore the huge talent pool of individuals who had already earned their bachelors degree and could be enticed to take a job in an urban school, and thus forged strong partnerships with TFA, TNTP, and other local organizations recruiting such top talent. Research shows that the strategy was successful in increasing teacher quality in his district (White, Presley, & DeAngelis, 2008). Moreover, through these and other recruitment programs, the district has reduced its teaching vacancy rates from 40 percent to a little more than 3 percent, with many of those in niche areas such as advanced language and bilingual special education.

For site leadership positions, New York City, Chicago, Milwaukee (WI), and dozens of other urban districts have forged partnerships with NLNS to recruit and train a new breed of performance-oriented principals (Aportela & Goetz, 2008a). This, new, non-university-based talent pipeline has challenged university-based programs to make their programs more relevant to urban district needs.

Further, many urban districts partner with the Broad Foundation to recruit superintendents from the Broad Academy. Such districts also hire mid-level managers (who often become HR directors) from the Broad Resident program, which recruits young graduates of MBA, public policy, and law school programs. Broad is also now training individuals to become Chief Academic Officers in urban districts.

In sum, many urban districts are partnering with a range of new organizations that are non-university based. At the same time they are becoming experts at recruiting and developing the country's top talent for key positions in schools (core teachers and principals) as well as the central office.

### *Grow Your Own Teachers and Principals*

Boston has chosen the route of offering its own pre-service preparation program. The Boston Teacher Residency program finds individuals who have their BA degree and trains them in the specific skills needed to be effective teachers in the Boston Public Schools (Berry et al., 2008). It all started because the district was unsuccessful in persuading local colleges and universities to cooperate with it. The residency program provides the opportunity for pre-service teachers to work with mentors as they take courses designed to prepare them

to teach in Boston schools. The program has had the salutary effect of not only recruiting more high quality teachers, but also improving the pool of minority candidates. In addition, Boston also supports Emerging Teachers, a program for mid-career professionals who are seeking to make the transition to teaching.

Chicago created a teacher residency program that includes university partners Dominican, National-Louis, and Northwestern Universities. In addition, Chicago partnered with the Academy for Urban School Leadership, a local program that trains mid-career professionals interested in becoming teachers in a professional development school setting. Teachers trained in this program also receive certification from National-Louis University. Chicago's Pathways to School Leadership prepares district teachers as potential school administrators. Finally, the district works with TFA/Harvard, a program that pairs Teach For America with the Harvard Graduate School of Education, and the University of Illinois at Chicago, to create principal pipelines with training tailored for the challenges of urban leadership.

Long Beach, which recruits nearly all of its principals from inside the district, runs specialized workshops for individuals who are interested in becoming school administrators. The district offers a multi-day workshop for assistant principals seeking to move to principal positions. This includes five days of "shadowing" a working principal. The district also offers a three-day workshop for teachers interested in becoming assistant principals as well as a fast track program for teacher leaders who want to earn their administrative credentials. Much of this work is offered in cooperation with CSU-Long Beach. As is the case with the teacher credential program, the district plays a significant role in operating the program leading to administrative certification.

Many New York City principals are prepared through the New York City Leadership Academy, a nonprofit organization with three tracks to recruit, train, and support principals in New York City public schools. The Council of School Supervisors and Administrators, New York City's administrators' union, offers an advanced leadership program for assistant principals who want to become principals. And to make the job more appealing, New York City has raised principals' salaries substantially, up 33 percent from 2000 to 2008.

Boston, as part of its effort to recruit and prepare well-qualified principals, operates the Boston Principal Fellows Program, based on the New York City Leadership academy model. In addition, Boston's version of "grow your own" for principals offers a year-long residency for principals-in-training in the Boston Public Schools.

Fairfax County (VA) selects most of its principals from inside the district. It participates enthusiastically in LEAD, the Wallace Foundation-funded Leadership for Educational Achievement in Districts, which helps prepare teachers to become assistant principals and assistant principals to become principals. It has also developed a range of internal developmental experiences for teachers thinking about becoming assistant principals or principals, and principals thinking about moving into the central office.

Several urban districts, including Boston, Chicago, Long Beach, and New York City target for hiring only principals who participate in district-provided training programs or a program provided by another organization that is partnering with the district to select and train principal candidates. This is true even in Chicago, where local school councils actually hire principals. Virtually no principal is hired in this district with just preparation in a university-based principal training program. They must also pass a rigorous, district-specified eligibility process.

### *Enhance Potential Applicant Numbers*

In an effort to entice potential teacher candidates to consider a teaching career in Chicago, the district sponsors the Chicago Public Schools Summer Fellows Program. This program invites undergraduate and graduate students from top tier universities who are within a year of earning their teaching certification to spend the summer in Chicago and get to know the city. Boston, Chicago, and New York City also have programs that give good teachers who are thinking of becoming principals a window into that job role through summer internships, school year seminars, and within-district training programs. Further, Chicago partners with the Fellowship in Urban School Leadership, a program that allows experienced leaders from top universities to explore urban issues as a way of helping them to consider big city school district leadership opportunities.

### *Provide Incentives*

New York City initiated the Housing Support Program which offers up to \$15,000 to experienced math, science, and special education teachers who are employed outside New York City and agree to teach for at least three years in New York City's high-needs schools. Teachers of Tomorrow, a state initiative, offers newly hired teachers the chance to earn a tax-free grant of \$3,400 for each year of satisfactory service up to four years for teaching in a high-needs school. Fairfax County, another high cost community, offers a variety of incentives, including interest-free loans to defray moving expenses, discounts on health club memberships, and discounts on rent.

Several states and districts provide incentives for subject areas shortages (math and science) and for high-needs schools; but such incentives work only when they are accompanied with active recruiting strategies, such as those discussed here.

### *Hiking Salary Levels Also Helps*

As part of a general effort to attract a larger pool of qualified teacher candidates, New York City and its local teachers' union negotiated a 43 percent salary increase from 2002 to 2008, the time period during which research has shown teacher quality to improve significantly. Boston, Chicago, Cincinnati, and Fairfax County also offer market-competitive salaries for its teachers, a fiscal capability not available to all urban districts.

### *Recruit Year-Round*

Fairfax County conducts year-round recruiting at 85 regional colleges. The online application system in other districts also functions year-round, and a new practice is to immediately offer a position at least in the district to "high-in-need" candidates, such as minority teachers, individuals with math and science licenses, and so on.

### *Job Fairs Sound Corny but They Work*

All five of the SMHC case study districts have local and regional job fairs. Chicago put an interesting “twist” into its job fairs. It invites mothers of potential teacher applicants (mainly those within a day’s drive of the city) to accompany their child, usually a daughter, to the fair. Once the prospective teacher identifies a possible school, usually in low-income communities, the mother accompanies the candidate (often from Kansas or Iowa) on a bus visit to the school. This gives the candidate and the candidate’s mother a firsthand look into the community in which the school is located, which often looks much better than a television portrayal of an inner city neighborhood. The result is a higher level of parent sanction for their child to move to the “big city” and take a job in a poverty-impacted school.

### *Early Hiring and Changing the Budget Calendar*

One of the challenges districts often face is being able to make job offers to well-qualified candidates in a timely manner. A combination of budget delays and contract requirements often results in initial hiring being postponed until late summer, by which time many prime candidates already have been snapped up by other districts. Most SMHC case districts found ways around these constraints.

Long Beach, Chicago, Fairfax County, Boston, and New York offer early employment contracts for the following September to individuals who can fill positions in high-needs areas (male elementary teachers, qualified minority candidates, math and science teachers, and so on). These teachers are not given specific assignments at the time of hiring, but are provided with the promise of a job, with school selection occurring later in the Spring.

Long Beach also brings applicants in high-needs areas on board as substitutes the year before they will be hired, giving them an advance opportunity to get the feel of the district and prepare for their jobs. In an effort to know more precisely how many openings will exist and where they will be, Chicago offers financial incentives as well as pension credit for unused sick leave to teachers who make it known early that they plan to retire or resign.

In order to facilitate timely hiring, school budgets in New York City are determined in early Spring and voluntary transfers take place in April through early August, giving schools ample opportunity to make their staffing plans. Boston also modified its budget calendar, moved the process of having senior teachers apply for new vacancies in schools forward, and moved up the calendar for schools selecting teaching staff to fill vacancies.

The point: districts moved up the budget calendar, had schools start recruitment in late winter (and not the summer), provided job guarantees to “high-need” candidates (e.g., those with degrees in math and science, qualified minority candidates, male elementary teachers), and sought to have all positions filled *before* summer began. This allowed the district and its schools to pick the top candidates from an expanded recruitment pool. As testament to their efforts, New York City, Chicago, and Boston opened recent school years with dramatically lower teacher vacancies. The reason: creating, committing to, and implementing a comprehensive and strategic recruitment plan to bring top teacher and principal talent to even the most challenging district

environments.

### *Eliminate Bumping*

Staffing schools with qualified teachers who are appropriate and “fit” with the school’s needs is a complicated process. In addition to new hires being selected and placed, teachers currently in the district are usually offered the opportunity to transfer to available teaching openings in other schools. In jurisdictions with collective bargaining, this process is governed by the transfer and assignment provisions of the contract between the school district and the local teachers’ union. In many of the studied case districts, the district and the association have agreed to remove the requirement that senior teachers be given preference, though the district typically allows the senior teachers to apply for school vacancies early in the process. When schools make the final selection, seniority does not automatically trump the school’s judgment of fit or a teacher’s instructional effectiveness.

A related dilemma is the practice of “bumping,” which allows a teacher, based on seniority, to “bump” another less senior teacher from his or her position. Bumping can result in considerable uncertainty for schools and programs, and often removes school-selected and more effective teachers.

Four of the SMHC case study districts that previously allowed bumping eliminated it. Boston, Chicago, and New York City abolished bumping entirely. Even bumping teachers without tenure is no longer allowed. Long Beach allows bumping only in cases in which the position in question is held by a temporary teacher. Milwaukee eliminated seniority bumping at teacher request because it was interfering with school-based management.

Chicago has one of the most progressive hiring, transfer, and assignment policies, and it does not have seniority bumping. Principals have discretion over new teacher hires and can hire once they have their budgets. Teachers who are re-assigned (and the numbers are small, about 1 percent), must look for new positions along with other candidates, but schools make all final selection decisions. And individuals who cannot find jobs within a year are let go from the district’s roster of teachers.

However, few districts can cut teacher numbers back, the situation in 2010 caused by the struggling economy, on the basis of performance rather than seniority. Washington, D.C., however, negotiated this capability into its new teacher contract, and other districts will set this same ability as a goal for the future.

### *Use More Technology*

The five SMHC case districts also made significant use of technology to improve the efficiency and accuracy of their recruitment and screening procedures. All of these districts use an online system for applications; these software systems also do considerable initial screening. Boston, Fairfax County, and New York City use TeacherInsight, an online assessment developed by the Gallup organization. This tool measures teachers’ values and behaviors as a way of gauging individuals’ suitability for teaching.

In Fairfax County, recruitment is done via the district’s website and prescreening is conducted electronically. The district reduced the time it takes from application to contact interviews from 61 days to 2 days. Teachers find out about job openings in Long Beach through the district’s website as well as through

teacher-specific websites such as [Teachers-Teachers.com](http://Teachers-Teachers.com) and [EDJOIN.org](http://EDJOIN.org). These latter two resources, in particular, assist the district to advertise for positions in high-needs schools and subjects. Potential Long Beach teachers apply for positions online.

Chicago has undertaken a wholesale reorganization of its human resources functions by employing the STARS (Start-up, Turn Around, Realign, Sustain Success) model of business evolution. New York City, too, offers online applications for teachers and principals.

In New York City, the New Teacher Finder Tool, an online search system, further facilitates matching teachers with available school openings. The New Teacher Finder Tool also enables principals to review applications and Insight interview results electronically. New York City has also taken specific steps to ensure that new teachers, once hired, do not miss a paycheck. Through Teach NYC.net, applications in the recruitment data base are linked electronically to the school district's payroll system, so when selected, they get paid correctly and on time. In three years, New York City increased the percentage of new teachers paid on time from just 50 percent to nearly 100 percent.

### *Work to Be Done on Selection*

All districts admit that there is much work to be done on schools selecting individuals who will actually become effective teachers or principals. Though many use the TeacherInsight tool or the Haberman interview process (see below), they all wish they were more able to successfully identify teacher characteristics that predicted success in the classroom. TFA ([www.teachforamerica.org](http://www.teachforamerica.org)) has identified some characteristics such as: having previous experience in setting and attaining big goals, previous experience in a leadership position, and evidence of being relentless in attaining a personal goal. Other districts and schools, such as Long Beach, seek to have potential teachers work as long-term substitutes or paraprofessionals before being offered a job, thus giving the school or district firsthand knowledge of their work as teachers.

For leadership positions, districts that are most successful in elevating the right individuals into formal positions of leadership have created leadership pipelines of teacher team leaders, school-based content coordinators, school-based instructional coaches, and assistant principal positions. This allows the district to have several individuals from which to select for the next higher level instructional leadership role.

Finally, and consistent with the overall efforts to dramatically increase the talent level of teachers and principals, research in the private sector finds that the single variable predicting work success is raw talent (Heneman & Judge, 2009). Thus, all the efforts to recruit more teachers and principals from the top talent pools in the entire country (including those who do not enroll in an undergraduate teacher training program) are appropriate in order to recruit individuals into education with the best chances of being successful. Comparatively, today most teachers come from the bottom half of the talent pool. Indeed, Washington, D.C. is hiring new teachers mainly from TFA and TNTP, giving preference to individuals recruited by those organizations because of their ability to recruit teacher talent nationally from the country's top overall talent pools.

### *Interviewing Skills*

Research shows that more work also needs to be done helping principals and teachers acquire good interview skills. TNTP has discovered this is a real issue, the topic emerged in most SMHC cases, and studies of decentralized school management, which included school selection of teachers, find that site interview committees have difficulty asking questions that provide substantive and specific information on whether the candidate will fit into and be effective in the school (e.g., DeArmond, Gross, & Goldhaber, 2008). Questions about the candidates' understanding of good instruction, and even having them do a model lesson and explain what they did and why, would provide one important avenue into the potential expertise of the candidate.

Some districts have trained principals in how to use the Haberman STAR teacher interview tool. This is a combination of an online screener and follow-up face-to-face interview. Using a scenario-based interview protocol, the Haberman system assesses attributes and skills of individual applicants, including persistence, ability to translate theory to practice, and building relationships with students. This approach was specifically designed to predict a teacher's potential to succeed in urban schools.

### *Modernizing HR Departments*

Urban districts are replete with “war stories” about dysfunctional human resources management systems: systems that cannot keep accurate track of where their employees work, or how many employees the district has, or the employees do not get paid on time, or health and retirement benefits are not correctly calculated, etc. All the SMHC case districts made enormous leaps forward to improve HR transactional processes, including putting most HR information on technology platforms.

However, HR departments in urban districts often are impersonal and bureaucratic, and new teachers and principals can easily become lost in a bureaucracy they neither understand nor control. This causes many to question their willingness to make the kind of professional commitment the district needs. SMHC case districts made concerted efforts to reshape human resources to be service-oriented. Boston, Chicago, Fairfax County, Long Beach, and New York City have transformed their HR operations to be customer-focused, dedicated to smoothing the way for those who are new to the system. These HR departments make it their business to assure that new teachers and principals are well taken care of—that they are paid on time, paid the right amount, and are signed up for benefits. Some of these districts have taken the service orientation a step further:

- Boston established three business service centers to provide localized support services and appointed a new teacher support team, composed of three people from the HR department, whose sole job is to tend to the HR needs of new teachers.
- Fairfax County has a welcome center established at district headquarters, remains in contact with early hires to answer questions and ease their movement into the area, and provides all new hires with an orientation to pay, benefits, and the HR services it provides.
- New York City established a Talent Office that works with the HR division specifically to smooth the recruitment and retention of teachers and principals and help principals to support talent management in their schools. The system also offers a one-stop call center where district employees are able to secure timely and accurate answers to their questions regarding matters such as certification, payroll, and

benefits.

- Chicago and Long Beach seek to end the typical district job “siloing” that often characterizes bureaucracies, by replacing it with cross-functional teams that are able to comprehensively tackle and resolve HR-related problems.

In short, urban districts have boosted the effectiveness of their HR systems by shifting to a service-orientation and employing technology to make the screening and hiring process faster and more efficient. TNTP and TFA also make extensive use of computer technologies and online application tools in their recruitment strategies. Further, TNTP has worked with many districts, including both New York City and Chicago, to create and use online application and screening tools.

### *3. Summary*

Talent-dependent organizations must identify the “key staff” needed to be effective. In education systems, these key staff are core content teachers, teacher instructional leaders, teacher tutors and principals, and top leaders in the central office. To insure that the district has sufficient top talent in each position in the system, districts need to identify the total number required, conduct an audit of how many of those are effective and should be retained, and then mount a recruitment strategy to acquire the top talent needed to fill positions that are now open or will soon become open. Districts must also review the distribution of teacher talent to insure that there is a fair distribution of teacher effectiveness, including new as well as experienced teachers.

In terms of recruiting top teacher, principal, and central office talent, there are several strategies urban districts can adopt to obtain the smart and capable individuals they need to be successful:

- Actively recruit across the country, including recruiting from the best local universities (while simultaneously reducing intake from lower quality local colleges and universities).
- Partner with national talent recruitment organizations such as TFA, TNTP, NLNS, National Institute for School Leadership, as well as similar local organizations such as Chicago’s Academy for Urban School Leadership.
- Grow your own talent such as Boston’s and Chicago’s teacher residency programs and New York City’s and Boston’s Principal Academy.
- Entice individuals into teaching by having summer programs to learn about the district and teaching in it, as well as seminars for aspiring administrators, particularly principals.
- Provide incentives for teachers in subject area shortages (e.g., mathematics and science), for high-needs schools, and, when possible, also provide housing subsidies.
- Provide market-competitive salary levels to the degree fiscally possible.
- Recruit year-round, and immediately offer qualified “special” candidates (e.g., male elementary teachers, minority, math, and science teachers) a job in the district with the school to be identified later.
- Let schools make final decisions on all teaching staff.
- Organize job fairs for candidates to learn about various schools and for schools to “showcase” their uniqueness.
- Move up the budget calendar so schools know how many teachers they can hire by early winter and can begin the interview and selection process by early March.
- Eliminate seniority bumping, but give senior teachers the first chance to apply for school openings, still leaving selection to schools.
- Gain the ability to reduce teacher numbers by performance and not just seniority.
- Use online technology for the application and initial screening process, and link the recruitment system to the salary system, so that when new teachers are selected, they are paid correctly and on time.

There is more work to be done in interviewing and selecting teachers (as well as principals); principals and teachers need skills in asking questions that provide answers for whether the teacher has the skills and

attitudes to be effective in the school. A related issue is to continually search for factors that can predict teacher effectiveness after hiring.

Finally, districts must turn HR departments into “service units” working for schools and particularly newly hired individuals. They must develop several programs to smooth the process of getting new teachers (and principals) “on board,” such as an orientation day describing district policies and practices, signing-up all new hires for benefits, and insuring everyone gets paid on time and the correct amount.

## 4

# PERFORMANCE MANAGEMENT IN EDUCATION

Performance management is a relatively new concept for administering public education systems. To many it simply connotes “managing to results,” i.e., student academic achievement. This perspective emerges in part from the urgent need to improve student performance and close the achievement gaps related to poverty and race, both as a moral goal and for the job skill needs of the knowledge-based, global economy. It also emerges from decades of school systems who focus largely on process and equity: is there due process, do struggling students receive extra help, does the system treat everyone—faculty, staff, and students—fairly?

The equity focus for children grew from initiatives in the 1960s to insure that children with special needs—whether due to poverty, the need to learn the English language, an actual disability, or overt discrimination—received extra services and extra help in order to achieve to proficiency. The equity focus for teachers and adults grew from initiatives in the same decade to unionize teachers, to insure that teachers were treated fairly and as professionals rather than capriciously and unfairly as many had been up to that time. It took several decades to institutionalize both these equity orientations. Equity, fairness, and the importance of process characterize the culture in most schools and districts. The shift toward accountability, performance management, and holding the adults in the system accountable for producing student achievement results seems, at first blush, to rub against the equity culture.

Everyone seems to agree that student performance should be higher and achievement gaps linked with race and poverty should be lower, if not eliminated. But shifting management and accountability toward these bottom line results has been difficult. Today, some push hard for accountability for results in part because many in the education system push back and seem to want accountability just for appropriate processes. They argue that systems to measure student achievement are rudimentary and not “good enough” for accountability. Although education policymakers are comfortable pushing a results focus for education, the conflicts of shifting from a culture of equity, fairness, and process to one of accountability for results as measured by student achievement have not all been resolved.

It is this contentious context into which “performance management” has emerged. “Performance management” actually has two different, appropriate, and related uses. Some use “performance management” for the things top managers (e.g., school boards, superintendents) do to keep operational units (district central office departments, schools) on track to produce specific results. Others use it for a process in which managers work with individual employees to guide and assess their performance. The common theme is managing for results. The common methods are goal setting, measuring performance, providing feedback on performance, developing capacity to improve key drivers of measured results, and holding the appropriate people accountable. In this chapter, we will primarily be concerned with performance management as it applies to

individuals, but ultimately the two concepts have to merge because school districts' ultimate goal, improving student achievement, requires staff to carry out the activities that lead to schools accomplishing their main goal of greater student learning.

Unfortunately, many individuals who are pushing performance management view it as managing teachers just to reach the bottom line student achievement results. These people even claim that there is only one goal for managing the education system—student achievement. Although most in education know that improved instruction is key to improved student learning, the “simplistic” performance management adherents view this perspective as one that opposes management to results. Many also argue that little is known about effective instruction, or that it is idiosyncratic to individual teachers, so a management focus on getting good instruction into all classrooms cannot be part of a crisp performance management system. Some who hold these latter views of performance management even want teacher salary schedules to be based “just on student achievement results,” though even private sector compensation experts would argue that such an approach is unworkable (Lawler, 2000).

Further, many of the new “performance management” advocates in education who admit that better instruction is the route to higher levels of student achievement, often initially design performance management systems with just student achievement results. They say the “instructional part” will be added later, after the system measures student achievement and becomes comfortable with the orientation—the bottom line of student achievement results. Many advocate for including student test scores in teacher evaluations, even making student test score gains the primary if not the sole element in teacher evaluations.<sup>1</sup> In response, many teachers as well as administrators resist such a narrow performance management approach, setting up a tussle that looks like educators oppose a results orientation and managers disrespect teachers and their view that good instruction matters. Unfortunately, the simplistic version of “performance management” that we see beginning to enter education systems is at odds with how it is conceived in the private sector, how we conceive it, and how high performance organizations implement it.

This chapter provides a comprehensive view of performance management. This view sees both teachers and administrators as implementers of performance management, always guided by the *two* prime metrics of the strategic management of education talent: instructional practice and student achievement.<sup>2</sup> We view performance management for staff as involving three levels or circles.

In the first circle, teacher teams are the agents of their own performance management. Section 1 of this chapter argues that teachers engage in performance management through their work in collaborative work teams, often called Professional Learning Communities (PLCs), and that performance management by teachers is the cycle of continuously improving instructional practice so that it boosts student learning and reduces the achievement gap.

In the second circle, school leaders, most importantly principals, support and complement teacher team-based performance management. Section 2 of this chapter argues that school leaders engage in performance management of teachers in multiple ways and that such performance management includes *both teacher development* and *teacher accountability*, holding teachers accountable for improving both instructional practice and student academic learning. In order for this to work, both teacher and administrator performance management must be aligned and interconnected.

In the third circle, district systems support performance management by assessing instructional practice,

providing professional development opportunities, and paying staff in ways that reinforce and support team and school-level efforts. Section 3 shows how various district systems and policies can support performance management at the school and team levels. Chapters 7 and 8 expand further on the points raised in this section.

## *1. Teachers Engaged in Performance Management*

We argue that the beginning of performance management in education starts with teachers using student data to continuously improve instructional practice until it boosts student learning and closes the achievement gaps linked to race and poverty. So how do teachers engage in this performance management, guided by the two prime SMHC metrics: measures of instructional practice and measures of student performance?

### *Teacher Performance Management Using Formative Assessment Data*

We provided hints of this dynamic in [Chapter 2](#). The work life of teachers in schools that are boosting student performance is characterized by collaborative teacher work teams (PLCs) using student diagnostic and formative assessment data to design lesson plans for use in teaching common curriculum units, which are long units of instruction focused on having students learn a key concept in a subject area.

In elementary schools, collaborative teacher work teams are usually grade level teachers. In secondary schools, collaborative teacher work teams are typically comprised of content teachers (e.g., math, science) or course teachers (e.g., algebra, biology). Formative assessment data are more diagnostic in nature, and give teacher teams information about student knowledge that is used to help them tailor lesson plans and instructional strategies *before* instruction is provided for the curriculum unit. Teachers use these student performance data, the first SMHC metric, to hone lesson plans and instructional strategies (the second key element of SMHC) to the specific situation of students. The goal is to make instruction more effective and function to improve student learning.

At the end of the unit, the most effective PLCs then administer common end-of- curriculum-unit or “anchor” assessments to get a common measure across all classrooms of the degree to which students learned the goals and objects of that set of lessons. This provides yet another set of student performance data. Then the team of teachers assesses the results together to ask questions like: did students perform to standards?; and, were there differences in student performance across classrooms/teachers? If so, the team would quiz the teachers who had outstanding success, asking them what they did beyond what was in the common lesson plans; they would then work those strategies into the lesson plans for teaching the unit the next time.

The team would also work with any teacher or teachers whose class did not perform well. If each class is internally heterogeneous (and so has the same mix of student abilities and needs), the primary reason for lower student performance would be less effective instructional practice. The team would then provide assistance to the less effective teacher or teachers. Some might observe that teacher(s), others might model good teaching, and an instructional coach might work with the teacher(s) in more intensive ways. The goal would be to enhance that teacher’s effectiveness. If that were not possible over time, then the next goal would be to encourage the teacher to seek remediation or exit the system. Further, if student performance across all classrooms was not at the desired level, then the collaborative teacher team would review the entire set of lesson plans and instructional strategies. They would work to modify them to (hopefully) have better impact

the next time they were used.

Note that in teaching just one curriculum unit, there are at least two cycles of using student performance data to improve instructional practices. The first is to use formative assessment data to design the curriculum unit and lesson strategies *before* the unit is taught. The second is in reviewing the impact of the unit with the common end-of-unit assessments *after* it is taught to see if it worked. Some call this the “cycle of continuous instructional improvement.” It clearly is a continuous process of assessing instructional practice in terms of impact on student learning and directly incorporates the two core metrics of strategic talent management: student learning and instructional practice.

We call this cycle of continuous instruction improvement “teacher-led performance management,” i.e., teachers managing their work in ways that link instructional practice to student performance. This is both *before* instruction is provided in order to make it more effective and *after* it is provided in order to assess impacts, and make changes either overall or for particular teachers. We argue that this is the beginning arena for comprehensive performance management in schools, without which any other kind of performance management is less effective.<sup>3</sup> We also understand that this approach to performance management entails that of working with individuals to improve the key instructional drivers of student performance.

### *Teacher Performance Management Using Benchmark Assessment Data*

The next stage of teacher-led performance management involves an additional set of student performance data. Schools in many districts often also administer quarterly, or “benchmark” student performance data. Such student performance data are generally given every nine weeks or after every quarter of instruction. A popular system is MAP provided by the Northwest Evaluation Associates. It is administered in an on-line format and provides immediate feedback to individual teachers, schools, and the district. The aim of these student performance data is to provide teachers and schools with a measure of how the instructional program is working and the degree to which students are learning over a longer time period (after three or four curriculum units have been taught). Benchmark assessment data also give teachers periodic measures that indicate the degree to which students are “on track” to being successful when taking the end-of-year state summative tests. Teacher work teams also use these benchmark assessments as an additional input on how their curriculum units and instructional strategies are impacting student performance. In addition, benchmark student performance data are also used to determine what kinds of extra interventions are needed for students who are struggling, after each quarter of the school year.

### *Performance Management that Does Not Link Instruction and Student Performance*

We have seen misapplications of teacher performance management that ignore the direct link between instruction and student performance. In several districts we have studied or worked with, PLCs have not used formative assessment data to craft instructional strategies beforehand. They primarily use what they have called formative data but which actually are benchmark assessment data. And rather than using these data to improve instructional strategies, they simply use them to slot students into a variety of interventions. When pressed, such teacher collaborative teams rarely talk about administering formative assessments and using

them as a key input for modifying instructional practices. They rarely talk about using common end-of-curriculum-unit assessments to compare impacts on student performance over a shorter time period than the benchmark assessment data. These teams rarely speak of differential impact across classrooms and teachers. They assume instruction is fine, and they use the benchmark data simply to determine whether students are performing. If the student(s) is not performing, they schedule them into interventions (extra help programs).

Some students need extra help programs at some point, but the above use of benchmark data just to identify low performing students and program them into interventions does not reflect a true dialectic between core instructional practice and student performance. It ignores the continuous cycle of using student performance data both *a priori* to craft more tailored instruction and *ex post facto* to make modifications to enhance effectiveness in the future, which we and professional development experts (Killion & Roy, 2009) argue is the core task of PLCs.

## *Summary*

In sum, we argue that performance management in education begins with teachers. The tasks are teachers working in collaborative groups using student performance data (formative, end-of-curriculum unit, and benchmark) to continuously improve instructional practice. Using the two core metrics of strategic talent management in education will improve instructional practice and boost student learning over time. We note that there is both a developmental aspect of these actions as well as an accountability element, with teachers in charge of enhancing professional practice and taking responsibility for student performance whether it rises or not, what Elmore (2004) terms “internal accountability.”

Moreover, as we wrote in [Chapter 2](#), over time, this kind of teacher work produces systemic views of effective instructional practice that districts and schools want all teachers to learn and use. The next section of this chapter shows how this systemic view of effective instruction infuses professional development, as well as teacher evaluation and compensation.

## *2. School Managers Engaged in Performance Management*

If we think of performance management as a set of concentric circles, beginning with teacher-led PLCs linking effective instructional practice to student performance data, the next circle would be the performance management activities of school leaders. These would revolve around goal setting and professional development. They would be followed by evaluation, feedback, recognition, continued growth, or remediation as needed.

### *Goal Setting*

The first step in principal-led performance management is to set school goals. Schools, grades within schools, and individual teachers need goals linked to the two SMHC metrics: student performance and instructional practice. Too often districts have goals for student learning but do not disaggregate them into more specific school goals. But to help drive performance toward student performance goals, each school needs its own specific student achievement goals, which if attained, would add up to accomplishing the overall district goals. Similarly, school goals then need to cascade down within the school and transform into grade level and even individual classroom student performance goals.

Over time, schools would also need school-wide goals for the level of instructional practice, which are the main drivers of student performance. These would also be translated down to grade level and individual classroom instructional practice goals.

### *Professional Development and Performance Management*

Professional development is the major source of skill improvement around the key driver of student performance—instructional practice—and so is an essential part of performance management. We discuss professional development in more depth in [Chapter 6](#), but given our definition of teachers who engage in performance management, it is logical that school and district professional development would include at least four elements:

1. Training in collaborative skills so teachers can work together, with the focus of the training on how to use student formative assessment data to improve instructional practice.
2. Training teacher team coordinators so they are effective in managing the work of collaborative teacher teams, including PLCs.
3. Training instructional coaches with the expertise both to help teacher teams figure out how to move from formative data for classes of 20–35 students and groups of 100–125 students to instructional strategies that can work for classes of students, with special attention given to students within those classes who need some modification or extra help.
4. Having the core “act” of professional development consist of teacher teams working on curriculum units

or modules (including their lesson plans and instructional strategies) linked to the district's and school's curriculum. Indeed, research has shown this form of professional development has excellent impacts—it changes teachers' instructional practice in ways that help students learn to higher levels (Cohen & Hill, 2001).

At some point, as described in [Chapter 2](#), effective systems aggregate the instructional strategies inside the various curriculum units to a more systemic view of effective instruction that works for each content area, from reading and writing, to mathematics, science, art, music, and so on. This more systemic view of effective instructional practice then needs to permeate all ongoing professional development as well as the work of teacher work groups.

In this context, most professional development (PD) then becomes quite systemic and involves all teachers. *Individual* teacher PD plans, which are signed off by a colleague, an administrator, and someone else, could become superfluous and would need to be replaced by *school* PD plans. Team or individual PD plans may be needed, however, to address specific team or individual needs. Such plans need to be aligned with PD needs identified by assessments of instructional practice and student achievement results. The plans need to be monitored by school leaders to ensure that teachers' PD efforts are contributing to developing the skills needed to meet team and classroom goals.

If the kind of teacher collaborative work described above operates in each school, then that work situation essentially serves as the prime “professional development” context for brand new teachers. Novice teachers, rather than working on their own and having to create all their own lesson plans, immediately become part of a team, which already has developed curriculum units with appropriate lesson plans and formative and end-of-unit assessments, all available to the new teacher. The “rookie” teacher immediately has an array of materials at his or her disposal, as well as a team to help them deliver that instruction in their classrooms. In short, new teachers are not left on their own but immediately become part of a work community which, apart from any formal PD, is continuously helping them become better teachers.

In [Chapter 10](#), we argue that key roles for principals include organizing and designing the school in ways that allow the above PD activities to operate. These include both the formal ones and the informal ones that occur within the PLCs. The next step in this expanding but aligned approach to performance management is to link teacher evaluation to the effective instructional practices that emerge from the teacher collaborative work. While working with this, we must also link evaluation to ongoing PD.

### *Teacher Evaluation and Performance Management*

In the private sector, many have replaced the word “evaluation” with the words “performance management.” The concept is that performance management consists not only of formally evaluating the performance of an individual, both their knowledge and skills and the results of their work, but also using the evaluation information to guide the ongoing training and development of the individual. As such, performance management implies that the evaluation system reflects or embodies the behaviors and strategies that the organization believes will drive improvements in organizational performance. Such evaluation systems can then provide a profile of each employee's level of the competencies needed to succeed. This profile can then be

used to guide the training required to enhance the employees' expertise, so they can be more effective—produce more results. A formal evaluation is not used just as an end in itself, but also as part of the continuous process of having workers enhance their knowledge, skills, and workforce expertise so they can be more effective and help the organization produce more outcomes.

We proffer this definition of performance management for education as well, particularly as it relates to both teacher and principal evaluation. We have noted that most teacher evaluation programs in education are pretty much worthless. They rate 99+ percent of teachers as satisfactory or above, even when large percentages of students are not learning to standards (Weisberg, Sexton, Mulhern, & Keeling, 2009). Principal evaluation is not much better, and often principals are not formally evaluated at all.

We recommend that every district have a “performance evaluation” system for teachers that is linked to a set of teaching standards reflecting the view of effective instructional practice the district has articulated (see [Chapter 5](#)). It also should include skills for working effectively in collaborative teacher teams. Such systems include multiple pieces of data for the variety of activities that go into good teaching: descriptions of students and pedagogical content knowledge, lesson plans, assessments, videos or observations of actual classroom practice, and reflections on effectiveness. The results from such evaluation systems provide a profile of an individual teacher's performance over these multiple aspects of instruction, thus identifying areas of strength and weakness, which can be used to guide ongoing PD. This use shows how sophisticated evaluation results can be used for ongoing teacher development. In addition, when such systems provide summative “measures” of a teacher's instructional practices that identify multiple performance levels, they can be used for accountability and compensation purposes as well.

Chapter 5 delves more deeply into the issues of measuring teaching performance. The point here is that such systems incorporate the district's view of effective instructional practice into the evaluation system, then actually measure an individual teacher's instructional practice to four or five different performance levels. School districts using such systems must also “validate” the systems by statistically analyzing whether teachers in each higher performance category produce more student learning gains than teachers in the previous performance category (Milanowski, Kimball, & Odden, 2005). In this way, the evaluation system itself is part of the ongoing dialectic between instructional practice and student performance, with the instructional elements in the evaluation system reflecting the practices that boost student learning and contours of an individual teacher's evaluation, indicating which instructional practices need additional development.

Some in education argue that direct measures of student performance should be included in teacher evaluations, many of those arguing that at least 50 percent of the weight in teachers' evaluations should be measures of student achievement. Indeed, the IMPACT teacher evaluation system rolled out in the Washington, D.C. public schools during the 2009–2010 school year specifies that 50 percent of the individual teacher's score will be based on student performance data, with the other 50 percent determined by a sophisticated measurement of their actual instructional practice.

We agree that measures of student performance should function as a significant factor in teacher evaluation. We also argue that measures of student performance, or gains in student performance, indicate the “effect” or “impact” of a teacher's instructional practice rather than a measure of instructional practice per se. And if education systems believe that good instructional practice is what produces improvements in student learning, then we argue that education systems need reliable and valid measures of instructional practice, but only those

that can be linked statistically to student learning gains. They can then use the detailed data outcomes of such evaluation systems to inform teachers both of what they are doing well instructionally and what they need to improve.

Some take the extreme position that student performance should not just be a dominant part of teacher evaluation, but the only part. They argue that in an era of “outcomes,” instruction is an input or process and that only the outcomes matter. Again, we see measures of student performance, and gains in performance, as a metric indicating the result of teachers’ instructional practices, but as Chapter 5 argues, not a measure of instructional practices themselves. If that were the only metric for each teacher, there would be little if any information for the teacher to self-correct or to help the teacher improve; principals would be only able to say, “Do better.”

Since most experts have concluded that the way to drive student performance is to improve instructional practice, we argue that sound, comprehensive, and valid measures of teachers’ instructional practice are needed as well as measures of impact on student learning. Performance to the former helps principals, instructional coaches, and fellow teachers advise the teacher on how to improve the latter. Kane and others (2010) make a similar point in their recent analysis of Cincinnati’s performance-based teacher evaluation system, finding that specific instructional practices are linked to student learning gains and thus provide supervisors with data on how to help individual teachers become more effective. But performance to the latter—student learning gains—is also important as it indicates the direct impact the teacher has on student achievement.

Again, we conclude that two metrics—or multiple measures of teaching effectiveness—are needed to guide individual teachers in a strategic talent management sense. And the measure of an individual teacher’s instructional practice can be used both to guide further and ongoing development and to provide summative measures on the level of instructional performance at any one point in time.

### *3. District Systems Contribute to Performance Management*

The third level of performance management involves district (and perhaps state) systems for measuring performance, paying staff for performance, and providing other consequences for good and poor performance. In [Chapter 11](#), we recommend that states create multi-tier licensure systems that undergird a core perspective on effective instructional practice, including perhaps a performance-based evaluation system that could be used to measure an individual's practice to various performance levels. We also suggest that after initial licensure, the next performance level could be used as a condition for conferring the professional license. The next higher performance level would be necessary but not a sufficient condition for a local district to confer tenure, continuing contract, or due process status. We further recommend here that more informal evaluation practices, such as instructional walk-throughs, be linked to the district and/or state vision of instructional practice embedded in local evaluation or state performance assessment instruments. In this way, both informal and formal "reviews" of instructional practice would be conducted within the same frame of effective instructional practice.

Indeed, as we discuss in more detail in [Chapter 7](#), all the key career markers for teachers—licensure, promotion, tenure, dismissal, staff reductions as well as compensation—should revolve around multiple metrics of teaching effectiveness, i.e., measures of instructional practice and measures of student growth, with the former strongly linked to the system's view of effective instructional strategies that are part of the overall education improvement strategy.

Likewise, principal evaluations also need to change. We suggest that principal evaluations include school-wide measures of teachers' instructional practice, in addition to school-wide measures of student learning gains. Because the principal is responsible for student performance for the entire school, and because local research across the country is finding the school-level measures of instructional practice differ dramatically between high and low performing schools, we suggest that school-wide measures of instructional practice should become part of principal evaluation. This is in addition to school measures of student performance and gains in student performance. Such a school-wide measure of instruction would provide the principal and the system with the information to determine what needs to be changed instructionally in a school with below-par student performance, or what can be learned instructionally from schools with above-average student performance. Such measures of school-wide instructional performance are best collected via some external assessment, rather than just by the site's principal, in order to insure a sound measure of that factor. Such a linkage, moreover, continues to show why the two metrics of student performance and instructional practice are important: they are key to assessing the functioning of individual teachers, teacher teams, principals, and schools, as well as the district as a whole.

#### *Compensation and Performance Management*

Performance management involves consequences for good and poor performance. Chapter 7 describes a

new set of policies and practices related to tenure, advanced licensure, and dismissal, important system policies that are critical elements of strategic talent management, all of which can use the full set of measures of teaching effectiveness, ranging from direct measures of teaching practice to direct measures of value-added student learning gains.

Another important set of consequences would be to link performance with compensation, rewards, and career progression. We first note that research in the private sector finds that linking performance appraisal to development, as well as consequences that include compensation, more tightly aligns the system and produces more organizational results (Lawler, 2003, 2008b; Lawler & Boudreau, 2009; Lawler & McDermott, 2003). Thus, we conclude that evaluation results should be used directly in both rewards and incentives. This is the “accountability” side of evaluation, whereas the previous section suggested how to use evaluation results for teacher and school development.

Chapter 8 discusses new approaches to teacher compensation in more detail. That chapter shows how new salary schedules can be created that provide the largest pay increases to teachers when the teacher’s validated instructional practices improve to the next performance level, as measured by the performance evaluation. In such systems, moving up this salary schedule depends on enhancing instructional performance—not just years of experience, which is only very modestly associated with greater teacher effectiveness. This means the base salary schedule for teachers can also be linked to a direct measure of a teacher’s instructional practice, the first talent management metric. Chapter 8 also shows how such salary schedules can be augmented with bonuses based on improvements in student performance, the second talent management metric, either on an individual or most often on a group, or school-wide basis.

Compensation for principals also could be triggered by school-wide measures of instructional practice as well as student performance, in addition to other elements of principal evaluation. Similar to teachers, school-wide measures of the two key talent management metrics—instructional practice and student performance—can be used for principal compensation as well. Other aspects of principal compensation, linked to other needed principal knowledge and skills, and management objectives, are discussed more in [Chapters 9 and 10](#).

To the degree schools and districts have instructional leadership roles for teachers—PLCs or other teacher team coordinators, school-based instructional coaches, school curriculum leaders, and so on—we would recommend that any individual promoted to such a role would need to meet some minimum but high standard for their own instructional performance and ability to move student achievement. Granted that skills for being a solid individual teacher are different from those for various teacher leadership roles, the point is mainly that individuals in teacher leadership roles should be good teachers themselves to have credibility in a role of working with other teachers to improve their instructional effectiveness. Moreover, individuals in such teacher leadership roles could also earn salary supplements or move more formally into a leadership track. These positions would carry higher compensation along with, of course, more responsibilities.

## *4. Summary*

This chapter argues that performance management in education is more than just managing the system toward the bottom line of student achievement results. Performance management in education is about a continuous cycle of instructional and student performance improvement. Each cycle engages in the dialectic between instructional practice and student results, with the goal being to continuously improve instructional practices in ways that continually increase student achievement and close the achievement gaps linked to poverty and ethnicity.

The chapter argues that teachers engage in performance management when they function in collaborative work groups using formative and end-of-curriculum unit student performance data to enhance instructional practice. This becomes a more complete performance management process when an ongoing cycle of professional development is added. This cycle focuses on helping teachers and teacher leaders engage in the process of using formative data to improve instructional practice, assess student performance results, modify practice, and continue this process for all subjects all school-year long.

The second level of performance management includes the work of school leaders in setting goals, providing feedback, and evaluating teacher performance. These leaders use a performance evaluation system for teachers that are linked to the district's view of effective instruction and with performance levels "validated," (showing through statistical analysis that teachers in each higher performance group produce more value-added student performance).

Finally, the chapter suggests that a third level would include district and state systems to assess practice for multiple consequential decisions including licensure, professional development, tenure, promotion, compensation, and dismissal. This would link these critical decisions for both teacher and principals to measures of instructional performance and student performance, in order to provide incentives for performance improvement.

In short, the chapter argues that performance management in education is not just about student achievement but about the linkages between student achievement and instructional practice. The chapter also shows how performance management is a tool for both development and accountability, that by starting with teacher work in PLCs and aligned PD, performance management is largely about the continuous cycle of instructional and student performance improvement. Even when moving to formal evaluations linked to compensation, performance evaluation still entails linking instructional strategies to student performance. Finally, the entire chapter shows how the two prime metrics of talent management in education—measures of instructional practice and student performance—are essential to both development and accountability. They are both key to performance management at all levels of the system, beginning first and foremost with teacher work in collaborative teams.



## 5

# MEASURING TEACHER PERFORMANCE FOR STRATEGIC HUMAN CAPITAL MANAGEMENT

*Anthony Milanowski*

It is often said that what gets measured gets managed. This adage applies to the strategic management of human capital, since it is hard to see how a district could develop and execute a plan for human capital management of teachers without reliable and valid measures. As we have argued earlier, there are two key metrics for the strategic management of human capital: measures of instructional practice and measures of teaching productivity.<sup>1</sup> We argue that both measures are needed to manage the system. While it is tempting to solely rely on productivity measures, such as value-added, these measures do not cover the entire spectrum of human capital management uses. For example, while value-added can be used to evaluate, retain, and pay teachers, it is much less clear how value-added estimates could be used to recruit and select new teachers, to identify specific professional development needs, or to structure induction and mentoring programs.

It is also not clear how useful value-added measures might be in improving teacher performance. Providing teachers with feedback about their productivity relative to other teachers does not tell them what they need to do to improve. If improving student achievement requires improving instruction, teachers and administrators need to know what specific instructional practices need to be changed.

This is not to argue that measures of instructional practice are by themselves sufficient. As discussed below, these measures can be subject to a number of biases, and they are further removed than productivity measures from the ultimate goal of the system—improved student achievement. Instructional practice measures alone do not send as strong a signal that results do matter.

Lastly, despite legitimate concerns about the use of test-based measures to assess teacher performance, there is no doubt that key stakeholders want to see such measures used in teacher human capital management. Recent federal funding initiatives such as the Race to the Top and the Teacher Incentive Fund (TIF) have required outcome measures related to student learning growth. Thus, for the foreseeable future, measures of instructional practice and measures of teaching productivity will have to work together.

This chapter begins by discussing the characteristics of reliable and valid instructional practice measures. It then discusses teaching productivity measures, primarily those based on value-added. Section 3 provides examples of how these two measures can work together in a strategic human capital management system. The chapter concludes with a summary.

## *1. Measuring Teaching Practice*

We recommend that a state or district begin by translating its vision of effective instruction into an explicit teaching performance competency model. This model would summarize the teaching behaviors and related skills that constitute effective teaching as the state or district sees it. The competency model would include behaviors and skills in broad domains such as instructional planning, classroom management, and delivering instruction. But it should also represent what teachers need to know and be able to do to implement the instructional vision, including any particular instructional strategies a state or district is promoting to improve student achievement. The competency model then becomes the basis for making actual assessments of teachers' instructional practice.

The reason we recommend starting with a performance competency model is that we believe all of a jurisdiction's human capital management practices need to be aligned around the competency model. If this is done, all HR programs can work together to acquire, develop, motivate, and retain a faculty with the requisite competencies. As discussed below, and in the rest of the book, instructional practice measures should be important inputs into a range of human capital management practices and decisions beyond simply teacher evaluation.

### *Developing a Performance Competency Model*

Developing a teacher competency model need not involve reinventing the wheel. To develop such a model, most jurisdictions already have resources that can be used, such as state teaching standards, standards promulgated by national organizations such as the Interstate New Teacher Assessment and Support Consortium (INTASC) and the National Board for Professional Teaching Standards (NBPTS). Other useful sources are Danielson's Framework for Teaching (Danielson, 1996, 2007) and the New Teacher Center's Continuum of Teacher Development (New Teacher Center, 2004). Both of these provide a comprehensive set of performance competencies and include rubrics that define multiple levels of the competencies. Even the current teacher performance evaluation system may contain useful statements of important competencies. States and districts should add to this mix any specific instructional strategies or programs they are emphasizing.

In general, we advocate starting with an existing model like the Framework for Teaching. This is because while states and districts have their own values and strategies, much of the teaching job is similar across jurisdictions, and models such as the Framework seem to do a good job of capturing this common content. In a recent review of seven instructional practice measurement systems, Milanowski, Heneman, and Kimball (2009) found that most of the systems aimed to assess similar competencies, including:

- Attention to student standards.
- Use of formative assessment to guide instruction.
- Differentiation of instruction.

- Engaging students.
- Use of instructional strategies that develop higher-order thinking skills.
- Content knowledge and pedagogical content knowledge.
- Development of positive relationships with students.
- High expectations for students.
- Setting instructional goals.
- Planning instruction.
- Plan/lesson adjustment.
- Managing classroom procedures and use of instructional time.
- Managing student behavior.

To an existing model, the jurisdiction then needs to add competencies that are required to attain its own vision, and any specific instructional initiatives and strategies it has chosen. For example, a district may be emphasizing the use of technology, or the use of diagnostic assessment data by teacher teams, or a particular reading approach. If the district is able to specify in behavioral terms what teachers need to know and be able to do to implement these initiatives, it is relatively easy to add district-specific competencies to an existing competency model.

However, the understandable urge to include all potential competencies in the model needs to be resisted. Competencies that are hard to state in terms of behaviors or results, that can only be stated in general terms, or that end up sounding like platitudes, should be avoided. The larger and more general the model becomes, the less likely it will be a useful foundation of a practical assessment system, and the less likely teachers will see it as relevant.

Several districts and even two states (Delaware and Idaho) have modified the Framework for Teaching for use in their teacher evaluation systems. For example, Cincinnati (OH) reduced the Framework's 22 major performance dimensions (called "components") to 15 standards, and modified the rubrics to reflect what the district saw as important parts of its instructional vision, including teaching the state student content standards, engaging students, and teaching for conceptual understanding. Chicago kept all of the 22 Framework components, but simplified many by dropping or combining some of their subparts and adding more language about student intellectual engagement, technology use, cultural diversity, and data use to the rubrics. Odden and Wallace (2007a) presented yet another Framework modification, with 15 standards addressing planning, classroom management, delivering instruction, reflection on teaching, collaboration with colleagues, and communication with families.

Another approach might be to use the Classroom Assessment Scoring System (CLASS) (Pianta, LaParo, & Hamre, 2008) as the source for competencies related to classroom management, student engagement, and teacher–student interactions, and then add specific competencies related to instructional planning, student assessment, and district instructional strategies. The Bill and Melinda Gates Foundation's Measuring Effective Teaching (MET) project is testing the use of content-neutral systems, such as the Framework for Teaching and CLASS, as well as more subject-specific assessments, such as PLATO for language arts (Grossman et al., 2010).

All these approaches to augmentation raise the issue of how much any competency model needs to be

customized for various content areas. We believe that the customization should come after an overall model has been agreed upon. This will prevent getting bogged down in details early in the process. In other words, after there is general agreement on the basic model, or at the point of developing the measurement tools, groups of subject experts can work to modify the language of the overall model to fit specific subjects or specialties.

### *Measurement Systems*

The teacher competency model specifies the overall performance domain for teachers, predominantly instructional practice, and specifies the competencies for which specific performance measures will be developed. It is important to remember that not all competencies can or should be measured for each human capital management use. For example, while record keeping and parent communication may be important parts of a performance evaluation system, it may not be necessary to assess them when making career ladder decisions. Nor can all competencies be measured in the same way. For example, as we argue below, content knowledge and the application of content-specific pedagogy are hard to measure using live classroom observations, and the ability to develop rapport with students is not best assessed by reviewing artifacts. In this section, we discuss three measurement approaches geared to three different uses: (1) observations of classroom practice for use in periodic formal teacher evaluation; (2) teaching “work samples” or performance assessments for decisions such as granting tenure or movement on a career ladder; and (3) classroom walk-throughs that provide information for everyday performance management. We then discuss extending these systems for other human capital management uses.

### *Classroom Observation for Teacher Evaluation*

Developing a worthwhile teacher evaluation system requires moving beyond the way most districts still evaluate teacher performance: an administrator, with minimal training on how to assess, makes a rating of satisfactory or unsatisfactory performance based on a single observation in a teacher’s classroom. This type of teacher evaluation has been criticized for years as invalid, unhelpful, and largely a waste of teacher and administrator time (see Peterson, 2000). A recent study by The New Teacher Project (TNTP), entitled “The Widget Effect” (Weisberg, Sexton, Mulhern, & Keeling, 2009), points out one key problem with much current evaluation practice: minimal variation in evaluation ratings. If almost all teachers are rated “satisfactory,” it is hard to see how that rating could be useful in most SMHC decisions. The reasons for this limited variability are well known: (1) too few levels of performance defined by the system itself; (2) principals’ or other evaluators’ reluctance to jeopardize relationships with teachers by making performance distinctions, especially when the ratings lead to no consequences; (3) lack of credible rating scales or rubrics that define levels of performance in specific terms; and (4) limited training and accountability for evaluators to do a good job. Clearly, there is a need to do better in order to create useful practice measures.

Based on our review of the literature on teacher evaluation and specifically our review of several approaches to assessing teaching practice (Milanowski, Heneman, & Kimball, 2009, 2010), we suggest seven recommendations for designers of teacher evaluation systems.

First, include multiple competency levels defined by rating scales or rubrics that provide behavioral examples of the practice levels. The Framework for Teaching, CLASS, Continuum of Teacher Development, PRAXS III, and Odden and Wallace models discussed above provide examples of rubrics that define competency levels in terms of observable teaching behaviors. Rubrics both guide evaluators in making more reliable decisions and provide teachers with concrete descriptions of what good performance looks like. Rubrics also serve an important communication function by further defining the vision of instruction, especially in the top levels for each performance dimension.

Second, create evidence gathering and evaluation procedures that are clearly spelled out so that they can be implemented uniformly.

Third, specify observations to assess those aspects of instructional practice that can be observed in a typical instructional period. This includes competencies such as student behavior management, use of instructional time, rapport with students, student engagement, and lesson adjustment. The observations should focus on the key drivers of student learning. Thus they should not ignore teacher content knowledge and application of content-specific pedagogy, but it must be recognized that these are hard to see in a limited set of classroom observations, especially by an administrator who has no background in a content area. What is most likely to be detected in an observation is whether content errors are made in the lesson being observed, and this is often the focus of the rubrics in observation-based systems. We have concluded that a different assessment method is needed to get an in-depth look at content and pedagogical content knowledge, one of which we address below.

Fourth, use observations or videos supplemented by the collection of artifacts such as lesson and curriculum-unit plans, assessments, and student work. This provides a basis for assessing competencies such as planning or alignment of curriculum to state standards. However, artifact collection needs to be carefully specified and limited so that teachers do not feel they need to develop a full-blown portfolio. Not only do teachers seem to resent this as “busywork”, but it may be the most conscientious teachers that put the most time into this.

Fifth, use multiple observations. Because teaching activities vary substantially over the day, week, and year (Rogosa, Floden, & Willett, 1984; Rowan, Camburn, & Correnti, 2004; Rowan, Harrison, & Hayes, 2004), there is little reason to believe that one observation will provide a fair or representative sample of teaching practice. Although there is no magic number of observations that can guarantee a good representation, two to three observations would seem a bare minimum. Having at least two observations allows a check on just how representative one observation actually is. In our own research, we found that four to five observations can give an acceptable level of reliability (Milanowski & White, 2001). We recommend that if three or more observations are used, they should be a mixture of pre-arranged and unannounced visits. The former observations could include a pre-conference during which the teacher can explain what the lesson is designed to accomplish and cue the observer to context features that influence practice.

Sixth, consider using multiple observers, including observers from outside the school. Based on the teacher evaluation literature including the recent Widget Effect study, it is hard to have faith that evaluation by school administrators can ever be free of leniency. It may be just too much to expect most people to be uninfluenced by the need to maintain harmonious relationships and not give teachers, who do seem to be trying, the benefit of the doubt.<sup>2</sup> Further, many administrators may never have seen outstanding teaching. Another problem is

lack of administrator content knowledge. It is difficult for most administrators at the high and even middle school level to have in-depth knowledge of all content areas. Lacking this knowledge, the administrators may not have the confidence to assess rigorously. Bringing in an observer from outside the school has the potential benefit of providing a more objective perspective, as well as the possibility of having a more content-knowledgeable observer. If the outside evaluator and administrator share their observations, this could temper lenient tendencies.

There are alternatives to outside observers. Even multiple observers from within the school can be useful, if trained to rate consistently. They can share the workload and the “blame” for providing an evaluation that was not as high as the teacher expected. We do not recommend using some sort of quota system, in which an evaluator must assign so many low, medium, and high ratings. While this does combat leniency, it also might increase rivalry, lower perceptions of fairness, and lower teachers’ motivation to improve. It may be more productive to try to guide evaluators toward more accurate evaluations using a mixture of training and accountability. In the next section, we discuss how value-added measures of classroom productivity might be used to help administrators “calibrate” their evaluations. If districts make quality evaluation of teacher performance a part of administrators’ performance evaluations, and follow through with rewards and remediation, administrators may respond by perceiving more accurate evaluation as in their own interest. This remains to be seen, however, since only recently have districts emphasized teacher evaluation in principal evaluation systems.

Seventh, train observers in observing and recording evidence, interpreting the rubrics, and on understanding and managing any biases they may have based on their own views of good teaching. Training should involve the use of videos or live practice observations to help observers understand how to recognize the levels of competency and apply the rubrics. It might even be appropriate to assess observers’ ability to apply the rubrics at the end of the training by having them rate a fresh set of taped observations. Both the National Institute for Excellence in Teaching’s (NIET) Teacher Advancement Program (TAP) evaluation model, and the evaluation system in Cincinnati have taken this approach.

Many of these recommendations represent standard “best practice” as it has been developing in the teacher performance assessment field. There is now increasing evidence that ratings from carefully designed and implemented observation systems can be sufficiently reliable and valid for consequential uses. Such evidence includes our own research on teacher evaluation systems based on Charlotte Danielson’s Framework for Teaching (Gallagher, 2004; Heneman, Milanowski, Kimball, & Odden, 2006; Milanowski, Kimball, & Odden, 2005). Recently Kane, Taylor, Tyler, and Wooten (2010) examined even more evaluation results at one of our original research sites (Cincinnati, OH) and also found a substantial relationship between performance ratings and value-added. A recent study by the Consortium on Chicago School Research on the implementation of the Chicago Public Schools’ version of the Framework also found good reliability and substantial differentiation of ratings (Milanowski, Heneman, & Kimball, 2010). Evidence is also available for systems not based on the Framework for Teaching. Schacter and Thum (2004, 2005) presented reliability and validity evidence for the NIET’s TAP teacher evaluation process, which draws from Danielson as well as several other assessment approaches. Though originally designed for research rather than consequential decision-making, CLASS also provides reliable ratings that are correlated with student outcomes (Pianta et al., 2008; Pianta, LaParo, & Hamre, 2008).

### *Link to Professional Development*

While the above recommendations address the need for reliability and validity, it is also important that teacher evaluation systems include features that help teachers learn from the results. If a good part of the rationale for instructional performance measures is to provide teachers with guidance on how to improve instruction, system designers then should not stint on including features that promote teacher learning. Further, teachers are more likely to accept an evaluation process that provides specific actionable feedback rather than one that provides just a rating and a few general comments. Feedback should enable teachers to understand why they received the scores they did. It should be specific and reference the rubric or rating scale. There should also be someone trained and responsible for providing coaching and assistance to teachers who want to improve their performance. In the kind of professional learning communities described in [Chapter 6](#), this could be an instructional coach or master teacher. Where the assessment is used for new teacher induction, the mentor is the logical person to provide coaching.

### *Spreading the Evaluation Load*

At this point, you might well be thinking “How are we going to get all these observations, artifact reviews, and feedback sessions done? Our school administrators just don’t have the time.” We agree that this is a major concern in developing the evaluation system, but there are some things districts can do to lighten the load. First, as will be argued in [Chapter 9](#), teacher evaluation and human capital management in general are important parts of the administrator’s job, and districts need to take a close look at how principals actually use their time. They need to consider how the priority of human capital management stacks up against all the other responsibilities given to principals. The principal or assistant principal job may need to be redesigned to free up time for human capital management activities.

Second, some observations and some of the coaching can be done by instructional coaches or evaluators from outside the school. While this may require some modifications of the collective bargaining agreement in some places, it puts the peer review idea into substantive practice.

Third, districts should consider differentiating their evaluation process. In a differentiated process, not all teachers would be evaluated with the same intensity every year. New teachers and teachers who are struggling would receive a full dose of observation, feedback, and coaching every year, but experienced, tenured teachers might experience the full process perhaps every third year. Danielson and McGreal (2000) provide an example of this sort of differentiation.

States and districts also should seriously consider using the video-based observation tools being developed by the MET study supported by the Bill and Melinda Gates Foundation. This project is investigating the use of video recordings of teaching to replace the live observer. The video instrument consists of a 4-ft platform in front of the classroom, with one camera capturing a 360 degree panoramic of the class and the other focused on the white board to capture work assignments. The system is designed to allow video scorers to “pan” across the classroom to observe the wide array of student behaviors. The system also can upload the video to an

online system, where the teaching episode can be scored by trained assessors, which could include peer observers or master teachers.

### *Performance Assessments or “Work Samples” for Tenure and Career Ladder Movement*

The second assessment approach we recommend is intended to complement teacher evaluation by providing a more in-depth assessment of content knowledge, pedagogical content knowledge, planning, use of formative assessment data, and differentiation of instruction than a set of observations allows. Because this approach is more intensive, we see it being used only for major decisions like tenure, movement on a career ladder, or knowledge- and skill-based pay structure (discussed in [Chapter 8](#)). This approach requires that teachers demonstrate a set of specific competencies in response to a set of prompts or questions. Instead of waiting for teachers to show particular competencies in the course of normal teaching, this approach presents them with instructions to construct an artifact or perform a specific task that has been designed to elicit the competency level. Much like a test, this type of assessment is aimed at measuring peak performance or potential, rather than typical or everyday performance.

The prototypes for this approach are the NBPTS assessments (for experienced teachers), and those developed by the Performance Assessment for California Teachers (PACT) Consortium (building on the Connecticut BEST teacher licensure system) for new teachers. Both ask teachers to demonstrate skills by producing a product in response to a specific prompt. These prompts focus the teacher on attempting to demonstrate specific competencies rather than waiting to observe them. In the NBPTS and PACT assessments, teachers are required to explain their thinking as they design lessons, carry out and assess the effectiveness of instruction, reflect on success, and modify their practice. They include artifacts such as curriculum unit and lesson plans, assignments, completed student work, and assessments, then provide written commentary describing how the artifacts are used and interpreted. They may be asked to identify successful and struggling students and describe how instruction was differentiated.

Because assessors have actual content-related artifacts and discussions about pedagogical choices related to the content and diagnosing content misunderstandings, they are more able to assess pedagogical content knowledge than the observer of two or three 50-minute lessons. The NBPTS assessments go farther yet. For example, the certification assessment in early adolescent math actually asks teachers to solve math problems and describe how they thought about them.

These types of assessments can be very reliable and have also been shown to have a positive relationship between scores and measures of student learning such as value-added (for PACT, see Wilson & Hallam, 2006; for the NBPTS, see National Research Council, 2008). They can also be administered quite efficiently because the portfolios can be collected (preferably over the internet) and reviewed any time by a smaller group of content experts trained in scoring the items, rather than requiring administrators or a cadre of evaluators to make multiple observations during the school year.

We suggest basing assessments used for a multi-level licensure system, tenure, or career ladder decisions on an electronic portfolio developed around one or more standards-based instructional units. Teachers would be asked to describe the unit’s goals, relate them to state or district standards, include a unit plan and a few sample lesson plans, provide sample materials, assignments, and assessments, and describe how instruction

would be differentiated for a high-performing, average-performing, and struggling student. A video (for example, made using a video tool similar to that in the MET study) could be included showing how the teacher introduced the unit, and one showing how s/he taught a key concept. Teachers would also be asked to explain their decisions and reflect on the success of the unit. This approach would allow evidence to be collected about many of the key teaching competencies including planning, assessment, use of data, ability to design and carry out lessons involving higher order thinking, and differentiation of instruction, and as well as content knowledge and pedagogical content knowledge. For tenure, a teacher might have to submit a portfolio based on two units, so that the sample of teaching practice is more representative.

There are several advantages to this approach. First, the portfolios can be scored outside of the school year, by content-knowledgeable assessors. School administrators are not further burdened, and unreasonable demands on their subject expertise are not made. Second, the assessors would typically be from outside the school, could have a wider range of performance to look at, and have more content knowledge, so that much of the pressure to score leniently would be reduced. Third, unlike the case with classroom observations, the assessor does not have to wait for the teacher to make a content mistake or use a particular subject-specific pedagogical technique in order to assess important content-related competencies, because the teacher has been asked to demonstrate them.

To obtain tenure or move up on a career ladder, teachers would be required to demonstrate a set level of proficiency on the performance assessment, plus have appropriate evaluation ratings. For example, for tenure, a teacher might have to demonstrate proficient performance on the performance assessment and also be rated proficient on all domains of the performance evaluation system. This combination would help ensure that the evidence base for the tenure decision included both assessments of those competencies that are best seen in the classroom and those which are more easily demonstrated on a focused performance assessment. Including performance evaluation ratings in the evidence base also allays concerns that a focused performance assessment only proves that a teacher can enact a skill, but not that they typically do. While three to five classroom observations are too few to be assured of what a teacher typically does, a rating based on multiple observations does provide evidence of what teachers do in more typical situations, and provides a good base to judge proficiency in competencies such as classroom management, engaging students, and using instructional time. Combining performance assessment scores with evaluation scores also gives school administrators a say in the tenure or career ladder decision. The use of instructional performance measures for compensation decision-making is discussed further in [Chapter 8](#).

In order to maximize efficiency, the state should probably take the lead in the developing and administering of performance assessments. Most school districts will not have the resources to develop and implement a sound system of both classroom observation and performance assessment. Not only would the state be more likely to have the resources, but also the student content standards from which the knowledge of content required by teachers should be derived are established at the state level. Although districts may vary in their approach to general pedagogy or the use of specific instructional strategies, content and pedagogical content knowledge are not likely to differ. The state can also more easily develop the infrastructure for collecting and evaluating portfolios. This approach could be congenial to states which already have state-wide teacher evaluation systems.

As an alternative, districts may want to consider using the NBPTS's Take One option as a way to begin

assessing content knowledge in conjunction with their own observational system. The Take One process allows a teacher to participate in parts of the NBPTS assessment process, and allows any passing scores to be banked for later use in an attempt to achieve full certification. A district could work with the Board to allow its teachers to take those parts of the assessment that would best complement its observational system.

States also could incorporate an assessment of a teacher's "pedagogical content knowledge," which also is being developed by the MET study sponsored by the Bill and Melinda Gates Foundation.

### *Classroom "Walk-Throughs" for Performance Management*

There is another source of information on instructional practice that can be useful in human capital management: information on typical instructional practice, especially with respect to the implementation of key district instructional strategies in the classroom. One promising method of collecting this evidence is the classroom walk-through: a brief, focused visit to the classroom during which school leaders, instructional coaches, and even peer teachers observe student activities and teacher instruction, examine classroom artifacts, and even talk to students about what they are learning. The observers then formally or informally note what they saw in the classroom. In some districts reflecting best practice for this approach, observers make a rating using a structured instrument that is based on a specific model of effective instructional practice. Walk-throughs allow a better understanding of typical practice because they can be done much more frequently than performance evaluation observations.

In a strategic human capital management system, walk-throughs have several uses. First, they get school leaders, instructional coaches, and new teacher mentors into the classroom frequently enough to see if key instructional strategies are actually being implemented. If implementation is weak, school leaders can determine whether the problem is lack of skill (suggesting a professional development solution), lack of motivation (suggesting attention to goal setting and performance management) or context (do teachers have the time or resources to implement the desired practices?). If data are collected systematically, it can be used in this diagnosis and to evaluate the actions taken in response.

Walk-throughs can also be used to provide frequent formative feedback and encouragement to teachers. One of the most common complaints heard about formal teacher evaluation is that it does not provide enough feedback. Walk-throughs provide a way to increase the amount of performance feedback teachers get, and provide an opportunity to recognize and thus reinforce good performance.

Walk-throughs also convey information to teachers. Having school leaders, instructional coaches, and/or new teacher mentors frequently in classrooms looking for major elements of instructional strategy sends the message that these things are important and that teachers are expected to implement them.

One area of controversy in the use of walk-throughs is using results as evidence in making performance evaluation decisions. Most of the advocates of walk-throughs (e.g., Downey, Steffy, English, & Frase, 2004; Valentine, 2007) emphasize that walk-throughs should not be used as part of performance evaluation, because it makes teachers defensive, less willing to welcome a visit, and may reduce the use of formative feedback. Most districts that use walk-throughs appear to follow this prescription.

Yet walk-throughs also have strong potential to improve summative teacher evaluation by providing a more representative sample of practice. How walk-throughs are actually used would need to be resolved based on

district conditions. It may be useful to designate some walk-throughs as non-evaluative (perhaps those done by instructional coaches and peers) and some as feeding into evaluations (perhaps those done by administrators). In any case, it is important that the walk-through itself needs to be aligned with the teacher competency model. That is, the aspects of instruction to be assessed need to be drawn from the same vision of instruction, or model of instructional competencies. The teacher evaluation system would be a logical place to start in developing a walk-through protocol.

### *Instructional Practice Measurement for Other SMHC Uses*

Once the competency model is established and systems for teacher evaluation, performance assessment, and walk-through observations are developed, a state or district could then adapt these tools to other human capital management uses. Here again we argue for the utility of starting with a performance competency model. Beginning with such a model helps ensure that instructional practice measures used for different purposes all reflect the jurisdiction's vision of effective instruction and its strategies for improving student achievement. This alignment avoids sending multiple messages about what is important, avoids having to completely reinvent an assessment for each purpose, and helps human capital programs work together to support state or district instructional strategies. [Table 5.1](#) shows how a suite of related practice assessment systems all based on the competency model could be used in recruitment, selection, induction and mentoring, professional development, and day-to-day performance management.

## 2. *Measuring Teaching Productivity*

Twenty years ago, the idea of measuring teacher productivity was more a dream than a practical proposition. The idea has been made credible by the use of broad testing of student achievement together with the development, over the past 20 years or so, of statistical methods that generally go by the name of “value-added.” The basic idea behind value-added is simple: the contribution of a teacher to student learning can be estimated by comparing the average achievement of a teacher’s students to the level of achievement that would be expected for an average group of students with similar characteristics, including prior levels of achievement. This is consistent with the intuitive idea that a good teacher helps a student move from the level of knowledge with which she or he began the school year to a higher level by the end of the year. The difference between the expected and actual level of achievement is an estimate of the “value-added” by a teacher, compared to other teachers, and represents that teacher’s relative productivity. Of course, it is recognized that learning is not solely due to teacher efforts, and in many cases what is really being estimated is classroom productivity. Nevertheless, the teacher is considered to be the main influence of classroom productivity and on average there should be a high correlation between value-added and the true productivity due to the teacher’s efforts.

In practice, teacher value-added is estimated using statistical models that predict the expected level of student achievement from prior achievement (e.g., last year’s test scores) and student characteristics such as socio-economic status, disability, and whether the student’s native language is not English. The teacher value-added estimate is essentially the difference between the average predicted or expected achievement of the teacher’s students and the average actual achievement. Most teacher value-added estimates are relative measures of productivity: teachers with value-added estimates near zero have students who, on average, achieve the test scores that the average group of students with similar characteristics do. Teachers with positive value-added have students whose average achievement is greater than the model predicts, given prior achievement and other characteristics.

### TABLE 5.1 Practice Assessments for Additional Human Capital Management Uses

Value-added is thus quite different than the level of attainment that teacher’s students achieve. A teacher could have high value-added—high productivity, but if the students enter the class with low levels of prior achievement, they might still leave at lower than desired levels of proficiency, as measured by the relevant tests. Conversely, a teacher’s class could have high average attainment but low value-added, the high attainment due to the students beginning the year with a large stock of knowledge and skill imparted by prior teachers and the home environment. The promise of value-added is great: an efficient way to measure productivity, and one that is much fairer than measuring teachers by student attainment.

However, there are some major barriers to using value-added estimates that states and districts must

surmount. The first is simply deciding on the correct way to estimate value-added. As mentioned above, there are a variety of ways to estimate value-added, and the field has not yet come to a consensus on the most appropriate method (Braun, Chudowsky, & Koenig, 2010). This requires states and districts desiring to use value-added to make a decision without the guidance of an expert consensus.

A second barrier is that many state or district data systems do not provide a way to accurately link students with the teachers who provide the actual instruction in the tested subjects. In order to make classroom value-added as accurate and fair as possible, it is necessary to include in the calculations leading to the estimate of a teacher's productivity all and only those students who receive instruction in that subject from that teacher.

A third barrier is that classroom value-added estimates have a considerable degree of measurement error. They are less reliable as the number of students in the class gets smaller, and when there are relatively few teachers teaching the same subject or grade. These are particular problems for smaller districts, but even large districts need to be aware that value-added estimates for individual teachers are much less stable or consistent from year to year than one might expect under the assumption that teaching productivity is due to a stable set of teacher characteristics. Recent studies have shown that even teachers in the highest and lowest value-added quintiles have a substantial probability of moving to a different quintile in the next year (e.g., Goldhaber & Hansen, 2008a; McCaffrey, Sass, & Lockwood, 2008). This variability diminishes the credibility of value-added as a factor in making consequential decisions as well as raising the chance of making a wrong decision such as tenuring a teacher who later turns out to have below average productivity.

It should also be recognized that value-added is a relative measure of teacher effectiveness, relative to the group of teachers used to make the estimate. In smaller jurisdictions this can be a problem because any one teacher's relative ranking is heavily influenced by the results of other teachers. It may be perceived as unfair to base a decision on a comparison with a relatively small sample of teachers, especially when the efforts of a few could substantially change relative rankings.

The fourth barrier is that value-added—or any other outcome measure based on test scores—cannot be used as a teacher-level human capital metric for those teachers who do not teach subjects for which students are regularly tested using standardized tests. It has been estimated that this situation pertains to nearly 69 percent of U.S. teachers (Prince et al., 2008). As a result, value-added metrics will not be available for the majority of teachers until standardized tests cover far more subjects and grade levels.

Though these barriers are substantial, we do not think they rule out the use of teaching productivity metrics in human capital decision-making. Admitting that current value-added approaches have shortcomings in estimating teacher productivity, they still are the best productivity measures we have. They contain useful information about teachers' performance.<sup>3</sup> Also, as districts and schools are increasingly held accountable for student achievement, some kind of outcome measure needs to be used to communicate the importance of getting results. And at the individual teacher level, value-added is a much fairer way to measure a teacher's contribution than the average level of student attainment.

While these barriers are significant, there are ways to overcome each of them. While states and districts cannot rely on an expert consensus on the right value-added model, they can distinguish between models that are more or less likely to give more reliable and valid results. Robert Meyer, the director of the Value-Added Research Center (VARC) at the University of Wisconsin-Madison, has suggested some guidelines for choosing a value-added model (Meyer, 2008; Meyer & Dokumaci, 2010). These include:

1. The model should include measures of student characteristics outside the school's control. While it is recognized that some believe that including ethnic background, poverty, or whether the student is an English language learner, sets a different standard for those students, in value-added systems that do not include repeated student achievement measures, the result of not including these factors is likely to be bias in teacher value-added estimates because teachers have different proportions of these students in their classes. Meyer argues that it is better to know that a school or teacher does better or worse with different types of students than to pretend that they are all just as easy to teach by any teacher.
2. Ensure the model takes into account mid-year testing. Several states test in February and March. This means that a student's test score is influenced by two teachers: the one who taught the student from March to June of the prior year and the one who taught from September to March of the test year. Meyer has found that in some situations treating mid-year testing as if it was end-of-year testing results in substantial errors in teacher value-added estimates.
3. The modeling process should control for measurement error in the prior test scores. This will improve the precision of the estimate of student value-added and the average for a particular teacher. This is done using the measurement error of the test provided by the test vendor as part of the modeling process.
4. If possible, use a model that incorporates multiple years of data on each student. The repeated observations of the students help to lower error due to non-random assignment of students to teachers.

Potential partners should also be asked how their methods deal with test floors and ceilings, changes in test scaling over time, student mobility, and other common issues in value-added modeling. Capable partners will have thought about and experienced these problems and should be able to discuss plausible potential solutions.

We have concluded that most districts and many states would be better served by working with experienced external partners rather than designing their own value-added models. Most should partner with external contractors who specialize in this work and have documented expertise. Even large districts might want to do this, since at least two that we know of have made potentially embarrassing errors in the development of their initial value-added systems. At this point in the development of this technology, just as with test development, it takes considerable expert capacity to develop a credible model.

The fact that state or district data systems do not accurately link students with the teachers, is being addressed by many states in a response to federal initiatives such as the Longitudinal Data Systems grant program and Race to the Top. However, it is important to recognize that at either the state or district level there are many potential ways for links to be broken, and that often the cause is human error as well as data systems not "talking" to each other. Thus when value-added estimates are used for consequential human capital decisions like a pay bonus, consideration should be given to implementing a verification system. For example, in the Houston (TX) Independent School District, teachers are presented with rosters in the spring, and are asked to indicate students who were not actually taught by them, and add students that the data system might have missed, before their value-added is calculated. A similar system has been used by the Guilford County (NC), district. Watson, Kraemer, and Thorn (2009) provide an overview of data quality and teacher-student linkage issues that can help states and districts identify possible problem areas.

The barrier of possible measurement error in value-added estimates can be addressed by using more than

one year of value-added estimates as teacher performance metrics. As shown by Goldhaber and Hansen (2008b), the use of two or three years substantially improves stability. Small jurisdictions can reduce the dependence of estimates on a small set of teachers by joining regional consortia that would bring more teachers into the estimation. Or, the value-added system might be developed by the state, in order to make the average more stable because it is based on a larger number of teachers and classrooms. Tennessee, Ohio, and Pennsylvania have developed state value-added systems, North Carolina and Florida are working on them, and the federal Race to the Top competition has stimulated more states to begin developing them. If state systems are competently developed and run, districts will not have to bear the burden of deciding on a model, and individual teacher estimates will be relative to a much larger sample of teachers/classrooms.

While there is no easy solution for the problem of teachers of untested subjects, there are alternative ways in which teacher productivity can be measured for specific human capital management purposes. The first is to move to team value-added for uses such as performance incentives. For example, in some districts the classroom teacher might get substantial assistance from special education, ELL, and other specialist teachers who work as a team for a particular group of students. In this case, team value-added would be a fair way to measure and reward team productivity. A variation on this theme is found in several Teacher Incentive Fund (TIF) jurisdictions that allow teachers of non-tested subjects to link with teachers of tested subjects if they believe they can contribute to the learning being assessed.

Another approach is to have teachers of non-tested subjects work with school administrators to set specific, measurable goals for their students in learning the curriculum being taught. This part of the process often requires teachers to analyze data to set classroom goals and communicate the goals to the students. Goals can be related to state standards in the content area for the grade level. For special education teachers, individual educational programs (IEPs) provide a ready framework for setting goals. For some subjects, teachers could use existing tests to give a pre- and post-test, or could compare post-test results with last year's results on a closely related test. This alternative will work best where teachers in schools have developed common unit or end-of-course tests, but in some situations it may be necessary to rely on tests developed by individual teachers. This goal-setting approach has been used in TIF sites of Denver (CO), Orange County (FL), Austin (TX), and Amphitheater (AZ). While this approach lacks the comparability between teachers provided by standardized testing across many classes, it is a way to introduce results as a measure of performance and helps emphasize the importance of results. Over time, this approach is likely to be needed less as states expand the number of tested subjects with end-of-grade and end-of-course tests, especially at the high school level.

### *3. Using Value-Added and Instructional Practice Measures Together*

Combining value-added estimates of classroom productivity together with assessments of teaching practice for use in teacher human capital management decisions is an attractive possibility. Although they are different types of metrics, they can be used together for consequential decisions for teachers.

#### *Value-Added and Teaching Assessment Measures are Correlated but Not the Same*

Assessment experts often recommend the use of multiple measures for high stakes decisions. However, we do not recommend combining the value-added measure and the teaching assessment measure into one overall measure of performance. This approach seems logical, given the way we usually think about the advantages of multiple measures; they are typically advocated on the basis that both measures contain error, and combining them “averages out” the error to produce a more reliable combined measure. However, there are both conceptual and technical reasons why this rationale does not apply well in the case of combining value-added and teaching practice measures.

Fundamentally, the problem is that value-added and teaching assessment scores are not alternative measures of the same thing. Classroom value-added estimates represent the average difference in students’ achievement from an expected level, or from the average growth in achievement, depending on the specific model used. Teaching practice assessment scores measure how well teachers can or do exhibit desired instructional behaviors or skills. Classroom value-added is intended to be a measure of average student learning, while teaching assessments are measures of an individual teacher’s practice, which is only one of several causes of student learning. Thus, at the construct level, they are not equivalent. Although they should be correlated, this correlation is not likely to be as high as one would expect between reliable measures of the same thing (e.g., 0.7–0.9).

Further, the predominant sources of measurement error in teaching assessment scores (assessor effects and occasion of observation effects) are not the same as those for value-added measures (student sampling error, misalignment of test content with enacted curriculum) so will not average or cancel out when the two are combined. In this case, the reliability of a composite is close to the average reliability of the two components (Chester, 2003; Ryan, 2002) rather than being a substantial improvement over the reliability of either.

The two measures also have different reference points. Instructional practice scores are intended to be, and are usually treated as, measures of how well practice reflects a criterion standard of performance independent of any particular teacher. This standard of performance is intended to be defined by the rubric or rating scale. Value-added estimates are almost always norm referenced: how well is teacher X doing compared to other similar teachers? While one could standardize the practice scores, making them into measures of performance relative to the average, this obscures the teacher’s position with respect to practice standards (e.g., proficient or above or below proficient levels). This changes the interpretation of the practice scores and lowers their formative utility.

It is not clear that stakeholders would be comfortable viewing value-added and teaching practice measures as compensatory. That is, they may not be willing to say that a teacher could make up for a low level of teaching practice with a high level of value-added, or a low level of value-added with a high level of teaching practice. Adding or averaging the two scores implies an acceptance of a compensatory model, even if the component scores are weighted differently.

### *Use Both Measures for Important Human Capital Management Decisions*

Although it is not wise to combine the value-added measure and the teaching assessment measures into one overall indicator, they can be used in combination for multiple human capital management decisions.

One alternative is what measurement experts call a conjoint model: a minimum score on both measures is needed to trigger some decision (Chester, 2003; Ryan, 2002). This is a natural model to use for a tenure decision. For example, a district might require a teacher to have a practice score at the “proficient” level on the practice assessment by her third or fourth year, as well as an average value-added (based on three years of estimates) above some level. This would go a long way toward assuring that the teacher can both practice according to the standards and is effective in facilitating student learning.

Setting the minimum value-added cut-off point for tenure, however, requires considerable thought. Since value-added estimates are relative to the other teachers in the state or district, there is no natural cut-off point that represents acceptable performance for tenure. Requiring “average” value-added sounds attractive because a teacher with average value-added could be interpreted as producing the expected amount of growth in student achievement. However, this could result in more teachers failing to achieve tenure than might be effectively replaced. If the value-added comparison was made to an average based on the whole teaching force (actually, all others teaching the tested subjects), one would likely find more than half of the teachers being considered for tenure were below average, simply because in the early years of teaching, less experienced teachers generally have lower value-added than those with five or more years of experience (King, 2010; Sartain, Stoelinga, & Brown, 2009). If the value-added comparison was made within the group of new teachers coming up for tenure, using the average as a cut-off would eliminate about half these teachers. This might lead to a more manageable number of teachers to replace while also being a fairer “apples to apples” comparison.

Another option might be to set the minimum based on a confidence interval below the average value-added of the teachers coming up for tenure in any year. For example, the minimum could be the lower limit of the conventional 95 percent confidence interval. Narrower confidence intervals could be used if the decision-makers were more inclined to avoid tenuring teachers who later prove to be less effective (false positives) than losing teachers who turn out to be better than predicted based on their initial performance (false negatives). For teachers responsible for multiple tested subjects, this minimum would be required for each subject. Yet another option would be to calibrate value-added in terms of the gains needed to move students to state proficiency standards. A state or district could use value-added estimates to develop expected trajectories for students, and then require value-added levels sufficient to maintain the trajectory. In any case, districts would want to estimate how many teachers would be terminated and consider whether the additional terminations could be replaced without lowering the hiring bar too far, given the supply of new teachers.

Staiger, Gordon, and Kane (2006) discussed how a policy of terminating teachers being considered for tenure in the bottom quartile of the new teacher value-added distribution would increase the average value-added of the tenured group, despite being partially offset by the lower value-added of the greater number of novice teachers hired as replacements. A district following this policy would likely have a higher proportion of novice teachers who have on average lower value-added than those they replace because first year teachers tend to have lower value-added than second year teachers. Using data from Los Angeles, Gordon and his colleagues found that this policy would yield a net increase in average value-added. Their paper illustrates the benefit/cost thinking districts may want to do when deciding on a value-added cut-off, though it is also necessary to consider the additional costs of recruiting and inducting more novice teachers, and whether the pool of potential new teachers is big enough to meet the increased demand.<sup>4</sup>

For use in a termination decision about a tenured teacher, it would likely be more acceptable to require both low value-added and low teaching performance assessment scores. This requires setting both a value-added minimum and a practice score minimum. The latter is provided by the design of the assessment rubric. Districts are likely to require experienced and tenured teachers to be rated “proficient” on all practice dimensions. It is harder to set a value-added minimum, because value-added estimates reflect performance relative to the group of classrooms being measured. Unless the group is quite large, any teacher’s classroom value-added will also be sensitive to how well others do. This, coupled with the arbitrariness inherent in setting a threshold such as being above the bottom decile or quintile of the distribution, would make it easy to argue that poor value-added is not completely the teacher’s responsibility.

A more promising approach might be to use consistently low value-added as an initial signal that a teacher needs to be reviewed, no matter how high her or his practice assessment scores. Teachers with very low value-added—say, in the bottom 10 percent of a three-year average or in the bottom 20 percent three years in a row—would have their practice reviewed by an evaluator from outside the school.<sup>5</sup> If this evaluator found that practice was below the “proficient” level, the teacher would be given a year to improve practice. An improvement in practice to the “proficient” level would suffice to keep the teacher employed. Failing to improve the practice rating would lead to termination. This teacher might also be expected to have classroom value-added results above the bottom 20 percent for the next two years in order to avoid another outside evaluation. This fits a three-year cycle for a teacher evaluation process that would combine value-added and practice assessment: a tenured teacher’s practice and value-added would be reviewed every three years and consequential decisions made based on the results of that three-year review.

For one-time pay bonuses, there is little need to directly combine value-added and teaching assessment results. The stakes are lower and so is the concern for false positives and negatives because the reward is a one-time event, and is generally not so large as to seriously affect someone’s financial situation. In this case, a natural model is a performance scorecard that simply reports the results of separate measures of performance (like a student’s report card) and associates a bonus amount with achieving performance goals on each measure. This simple approach is also easy to understand and allows teachers to be recognized for either practice or results, or both.<sup>6</sup> This is the general approach taken to determine performance bonuses in the NIET’s TAP model.

### *Other Uses of Value-Added to Support Human Capital Management Programs*

Though many policymakers would like to see teacher-level value-added used as a direct input into human capital decisions such as pay, tenure, and performance evaluation, it is also important to recognize that value-added also has a role to play in improving human capital management systems, even if it is never directly used as an input to decisions made about individual teachers. For example, value-added estimates can be used to improve the quality of measures of instructional practice. As mentioned in the previous section, the correlation between instructional practice scores and value-added is an important piece of evidence for the validity of the practice measures and their usefulness. Small or negligible correlations might be signals that the assessment of instructional practice is not focused on the most important drivers of student achievement, or that the measurement procedures actually being used are not reliable or being implemented as intended. For example, it may be found that the classrooms of teachers with low evaluation scores have low value-added, but that among teachers with high scores, value-added varies substantially. This could be evidence of evaluator leniency or that the evaluation system does not adequately represent the teaching practices that contribute to large differences in teacher productivity. In this situation, evaluators could be interviewed about how they make decisions and high-rated teachers could be interviewed or observed to look for practices that differentiate high versus low value-added classrooms but might not be reflected in the assessment system.

Comparing value-added and performance evaluation ratings for particular schools or evaluators could also help to reduce the tendency toward leniency in the latter. The relationship between value-added and evaluation ratings could be graphed for each evaluator or group of evaluators at a school and shared with them. Seeing that value-added varies a lot while most teachers receive similar evaluation ratings might help raise awareness of leniency and motivate reflection on how assessment decisions are made. This analysis might also be used to identify evaluators who need more training or need to be held accountable for doing more accurate evaluations. (Of course, this assumes that the evaluation instrument itself does a good job of representing teaching practices that are strongly associated with student achievement, an important reason to examine the overall evaluation score/value-added relationship.)

Value-added teacher productivity estimates are also important criterion variables for measuring the effectiveness of other human capital management systems. For example, states and districts may invest in turnover reduction programs such as new teacher mentoring or hiring bonuses. Teacher turnover is generally costly both in terms of the resources expended to replace those who leave and the lower student achievement typical of replacement of experienced by inexperienced teachers. Yet some turnover is both inevitable and necessary. Some newly hired teachers are simply not a good match for their schools, and ineffective teachers need to be moved out. Teacher-level value-added provides the information needed to assess the positive and negative effects of turnover and assess the value of turnover reduction efforts. For example, programs that reduce turnover are likely to be most cost-effective if they encourage only the higher value-added teachers to stay.

Teacher-level value-added can also be used to assess the effectiveness of teacher selection systems. Questions such as how effective current selection practices such as web-based screeners and interviews are in predicting future teacher performance, whether some schools hire more effective teachers than others, and whether new selection procedures are better at predicting future teaching productivity can be answered by

tracking new hires and then correlating selection ratings or decisions with the value-added productivity shown by the new hires two to three years into their teaching career. These examples show that human capital management systems can be improved by using value-added teaching productivity estimates for program evaluation rather than just individual teacher evaluation purposes.

## 4. Summary

This chapter has argued that both measures of instructional practice and teaching productivity are needed for strategic management of teacher human capital. While productivity measures such as value-added can be used to evaluate, retain, and pay teachers, instructional practice measures are needed to select new teachers, to identify specific professional development needs, to structure induction and mentoring programs, and to help teachers improve practice, because they can provide specific guidance on which instructional practices need to change and what better practices look like. Yet productivity measures are also needed to keep the focus on results and as a check on the validity of practice measures.

We recommend that a state or district begin developing practice measures by translating its vision of effective instruction into an explicit teaching performance competency model which summarizes the teaching behaviors and related skills that constitute effective teaching. This model should also include what teachers need to know and do to carry out district priority instructional strategies. The model can then become the foundation for a set of practice measures including observational rubrics used for performance evaluation and management, performance assessments that would be part of tenure and career ladder or knowledge and skill-based pay systems, and walk-through tools used for day-to-day performance management and evaluation of instructional strategy implementation. The chapter discussed some of the features of practice measurement systems that contribute to reliable and valid measurement. It also argued that the development of a *state-wide* performance assessment might be more effective and efficient than having each district develop its own system.

Though there are several barriers to using teaching productivity measures in strategic human capital management, these can be addressed by choosing a value-added model, using multiple years of data for consequential decisions, and developing alternative indicators for teachers of non-tested subjects. Many districts and states would be better off working with an experienced external partner to develop a value-added system than designing their own.

The chapter concluded with a discussion of how value-added productivity measures and instructional practice measures can be used together for tenure, dismissal, career ladder progression, base pay progression, and bonus pay decisions. Our recommended approach for high consequence decisions is to require evidence from both, and we discuss factors that would need to be considered in setting value-added thresholds or cut points for decision-making. Value-added can be used to help improve the quality and implementation of practice measurement and of other human capital management tools and processes such as selection and professional development.

## 6

# INDUCTION AND PROFESSIONAL DEVELOPMENT

Teacher development is critical to strategic management of human capital in public education. Though teacher development has received considerable attention, it has often not been given the substantive priority it deserves, given its pivotal role in talent management. No organization that is as talent dependent as education can be successful unless it takes developing its teacher talent very seriously. We believe talent development has not been given the substantive attention and funding it deserves.

This chapter discusses two aspects of teacher development. Section 1 addresses new teacher development: induction and mentoring. We recommend states and districts move beyond simple new teacher induction into full residency programs for all new teachers. The new teacher would be the teacher of record and earn a regular teacher's salary during this residency time. Section 2 discusses the need for ongoing professional development, including structures that make professional development work and resources needed to support those structures. The chapter ends with a summary.

## *1. New Teacher Development*

For over two decades, state and local policymakers as well as local education leaders have paid attention to supporting and developing new teachers. States have required, and in some cases funded, mentoring activities for new teachers. Districts periodically introduce new induction and mentoring programs. And many schools carry out basic induction activities to socialize teachers to their schools. More formal new teacher induction programs have also been adopted by both states and districts. For example, The New Teacher Center, created at the University of California, Santa Cruz, has partnered with many districts, particularly urban districts, across the country to provide support and guidance for new teachers. And in the 1990s, many universities developed partnerships with local school districts to jointly run “professional development schools” where both new teachers and experienced teachers could spend time in a school where they could learn from the best about effective instructional and teaching practice.

Unfortunately, there are few lasting effects from all these efforts, even though some individual programs have had good results. One good example of a mentor program that could work is that in Connecticut, which was part of that state’s two-tier licensure system. Mentors were supposed to help new teachers create curriculum units that were effective in boosting student achievement. The program worked in districts that augmented modest state funds with local revenues to provide more intensive mentoring services to novice teachers (Youngs, 2003), but the state never adequately funded sufficient mentoring services and the programs have withered.

Indeed, most mentor teacher programs, usually funded by small state grants, have been among the first to be cut when funding is tight. As a result, substantive mentor teacher programs are almost non-existent across the country. The bulk of those that remain are what might be termed “mentor teacher light,” as they provide very modest mentor stipends (a few hundred dollars). Mentor interactions with new teachers are limited to once or twice per month. In addition, they are not based on a coherent instructional strategy, and lack effective mentor training, support, and accountability. In short, SMHC for teacher mentors has also been missing.

We want to be clear that we are not opposed to mentor teacher programs, and if they had been resourced adequately and implemented well, they could have had strong impacts. But the point is, for whatever reasons, states and districts rarely give mentor programs the support, design structure, and funding they need to make them effective.

New teacher induction programs have pretty much met the same fate. Though much has been written about them, and most agree that such programs are needed, the country’s experience with them has been that they generally fade away, although the programs in Toledo (Koppich, 2009) and Cincinnati (Showalter, 2010) remain. Further, without clear definition, many programs have been given the label of “new teacher induction,” with few commonalities across them. As a result, it is not surprising that in reviews of these programs, Ingersoll and Smith (2004) and Smith and Ingersoll (2004) found small and sporadic effects.

Those authors also stated that the label of “new teacher induction” had no common programmatic meaning

and included programs that provided new teachers with very different supports. They also wrote that most studies of new teacher induction programs finding positive effects often had neither teacher control groups nor controls for other factors, such as school context, making the positive findings suspect.

In one large study that did have such control variables, as well as indicators of the programmatic elements of new teacher induction programs, Ingersoll and Smith (2004) found that the programs with strong positive impacts (reduced teacher turnover) were those that provided new teachers with the following:

- common planning time with other teachers;
- collaboration with other teachers on instructional issues;
- a mentor with a license in the same field;
- some connections to an external network of teachers working on curriculum and instructional issues.

They also found that few induction programs included these elements. It is these elements that we suggest in this book that should be the foundational organization for the work of all, not just new, teachers. We also recommend that new teacher induction programs be guided by a clear instructional vision and aligned through this vision with other HR programs, such as evaluation, tenure, and so on.

One version of a new teacher induction program has been called the Peer Assistance and Review (PAR) program. PAR is formally part of California's new teacher induction system, but the funding for it is modest. One of the longest-operating PAR programs in the country is that in Toledo (Koppich, 2009). It has been operating for almost three decades. It is focused on first year teachers who are assisted by "consulting teachers" released from classroom duties for three years and given a stipend of \$6,500 above and beyond their regular salary. The system is guided by a set of teaching standards similar to the Danielson Framework (2007). After a year of providing assistance, a report is sent to a nine-member panel (five union members and four district-appointed personnel with six votes needed for any action). This panel makes the final decision on whether to pass the teacher through to a second year of teaching or dismiss the individual. The cost is primarily that of the consulting teachers and ranges between \$4,000 and \$7,000 per teacher, which is equal to or less than many urban districts spend on ongoing professional development (Miles, Odden, Archibald, & Fermanich, 2004). This amount is about equal to the cost of comprehensive professional development (Odden & Picus, 2008), discussed in the next section of this chapter.

The system has been praised for providing new teachers with intensive help to acquire effective classroom management and instructional skills, and for counseling individuals out of teaching who do not measure up. However, this intensive approach to new teacher assistance stops after the first year. It is not followed by as intensive help in years two and three, nor by an aligned, rigorous, and intensive ongoing professional development program, which we also recommend. Finally, this approach does not formally organize all (especially new) teachers into collaborative teacher groups in the first place, which we discuss next.

### *Linking New Teacher Induction to the Work Life of Teachers*

One important contextual factor for structuring new teacher assistance programs is the work life of teachers. A teacher working relatively independently is the assumption made by most new teacher induction programs. The bulk of help is provided by a mentor, consulting teacher, or some expert "freed from other duties" to work

with new teachers largely on an individual basis. It is hard for such efforts to have systemic effects both because there is little coordination across mentors and because each teacher goes back to his or her own classroom and works on his or her own.

A different approach could be used, however, when teachers work in collaborative work groups. Assume all (or most) teachers are part of collaborative work teams, generally grade level teams (e.g., first grade teachers) in elementary schools, content teams (e.g., math, science) in middle schools, and course teams (e.g., algebra 1, biology) in high schools. Further assume that these work groups, often called Professional Learning Communities (PLCs), work with formative assessment data, hone or create lesson plans that are part of two- to three-week curriculum units, have common end-of-unit assessments, teach the curriculum units simultaneously, and then debrief on the unit identifying whether it worked overall, whether and how some teachers produced outstanding student impacts, and whether some teachers had below-par results. When new teachers enter a school system and become part of a team working in this way, they immediately become part of a support group, have access to materials, lesson plans, and informal guidance every week of the year. They do not work in isolation, and they have colleagues immediately and periodically reviewing the impacts of their work on their students and providing extra help when needed.

This is a very different context for any kind of specific and additional new teacher assistance program. It makes induction a natural part of a new teacher's work experience, and thus a true "apprenticeship." The bulk of assistance that is provided devolves from the ongoing, everyday work life of teachers, which as Chapter 2 indicated, is the work life of teachers in the most effective schools and districts. It could include support on classroom management (which most new teacher mentoring emphasizes) and social support, as well as pedagogical and academic content support focused on the school's instructional strategy. We also would estimate that the assistance provided this way is probably more than that provided by lightly (and even substantially) funded new teacher induction and mentoring programs around the country. Put differently, a team-based organization of teacher work can provide the context for much more consistent and immediate assistance to new teachers than a once or twice per month visit from a mentor teacher found in many separate new teacher assistance programs. The above organization of teacher work in collaborative teams can be further enhanced with full-time, school-based instructional coaches, who would be part of an ongoing, comprehensive professional development program (discussed in Section 2 of this chapter). These coaches would provide assistance to the teacher work groups in all of their tasks *and* be available to provide additional expert advice to each collaborative work team.

Outside of the prime collaborative work team, districts could also organize additional seminars and workshops for new teachers on, for example, classroom management, skills to work in collaborative work teams, content knowledge in their area of licensure, especially mathematics and science, how to teach reading, more basic information on how to interpret formative assessment data and translate into lesson plans and instructional strategies for a class of 25 students, and so on. The point we are making is that the collaborative work team approach to organizing the work life of teachers itself can be the single largest determinant insuring that new teachers receive the kind of extensive assistance most need to become effective, and reflects the program characteristics that Ingersoll and Smith (2004) found positively impacted new teachers.

As we also indicated in [Chapter 2](#), over time, the effective instructional practices identified by the various collaborative teacher teams would be aggregated into a district-wide view of effective instruction, and perhaps

a set of more formal teaching standards. These teaching standards would then function as the broader framework guiding the work of each collaborative team. And the standards would also describe the type of practice every individual new teacher would strive to acquire and deploy.

### *Moving toward Teacher Residency for All New Teachers*

We also recommend that districts and states consider having a multi-year period where all teachers new to education would be considered “teachers in residence.” Each new teacher *would* be the teacher of record, and earn a new teacher’s salary, so additional funding would not be required (outside of the professional development budget). During this time, they would exert effort to enhance the level of their professional practice to a performance level that would be measured (see [Chapter 5](#)), above that for initial licensure, and required as a condition for the full, professional license. We also recommend in [Chapter 7](#) that the tenure/duel process/continuing contract clock start *after* a teacher earns his or her professional license.

In 2009, Ohio created such a system, with a three-year residency program, followed by five years before a teacher could earn tenure. Such systems (including Ohio’s) would be “framed” by a set of teaching standards articulating the system’s view of teaching effectiveness and various levels of performance to that view.

We suggest formalizing a “teacher residency” period for two primary reasons. The first is that the knowledge, skills, and practical expertise needed to be a solid professional—in any profession—cannot be fully learned in a pre-service training program and are learned on the job, with those clinical skills developing most quickly in the individual’s first job in the profession. This reality is too often overlooked in education where many believe college or university training programs should turn out solid professionals. The fact is that the best undergraduate training programs can only produce good “rookies” who are prepared to learn on the job the clinical skills that will make them a solid professional.

The second reason for recommending a formal “teacher residency” period is twofold. Most superintendents, particularly in urban districts, claim that few new teachers have the clinical skills to be effective teachers and thus need intensive assistance (regardless of the pipeline from which they came). In addition, now that non-university-based talent recruiting organizations such as Teach For America (TFA) and The New Teacher Project (TNT) are strategic partners providing teacher talent to many districts, the fact is those organizations recruit individuals and turn them into teachers over the summer, and simply do not have enough time to provide an extensive period of clinical skills development before the recruits take a teaching job. Both situations imply that focused assistance is required by *all* new teachers, regardless of how they come into education and a classroom.

The “problem” is that most districts tackle this imperative by assuming teachers work in isolation, so they seek to hire “expert teachers” to coach the novices. Indeed, Chicago has outsourced this effort, by partnering with (and spending considerable funds on) The New Teacher Center to provide this assistance to new teachers. All new teachers in the district receive this assistance except for teachers prepared in alternative pipeline programs, like TFA and the Chicago Teaching Fellows program. They receive this focused coaching from mentors affiliated with these programs.

If, however, all new teachers were part of collaborative work teams within their school which provided them access to materials, lesson plans, assessments, and ongoing expert advice, the shape of a teacher residency

program could be quite different. We leave it to districts to determine the details of such programs, but we recommend very strongly that all teachers (especially new teachers) be organized into collaborative work groups. This will allow them to immediately gain access to effective expert advice rather than be left to their own devices to figure out how to become a good teacher. And we further recommend that all districts augment this training from this foundational work group with other programs, seminars, and experiences to help individuals new to teaching acquire the clinical skills to be capable and effective instructors.

Putting all new teachers into collaborative work groups, coupled with additional programs to enhance their professional practice, ensures that brand new teachers do not have to figure out how to be effective on their own. Many new teachers, especially in urban districts, do not succeed, a reality that only hurts the students. In this context, moreover, it is appropriate to make the novice the teacher of record. They can use curriculum units and lesson plans that have already been developed (or will be developed anew by the team), their work and impact on students will be immediately reviewed, and assistance will be provided on an ongoing basis if their performance is below par. Further, the resources for “running” these efforts can be part of the set of resources provided to all schools and teachers as part of the ongoing professional development program.

Further still, we recommend that all teachers, regardless of their pathway into teaching, be held to the same professional and practice standards for earning the professional license, which should be earned between the second and fourth year of teaching. No person should be allowed to stay in the profession, irrespective of college and university attended or teacher training program experienced, unless they meet rigorous standards for acquiring the professional license.

## *2. Ongoing Professional Development*

Support for new teachers should be part of an intensive and ongoing system of professional development for all teachers. It should be clear that we do not see professional development as a once and done act. It is something that needs to continue, as students, standards, knowledge, and best practices change and new curriculum materials become available. Unfortunately, our legacy for professional development is that most teachers do not like it and most programs have little impact. Research also shows that urban districts spend up to \$8,000 a teacher per year on professional development. Little of this is focused on core subjects such as reading and math, and there is even less impact on instructional practice and student performance (Miles, Odden, Archibald, & Fermanich, 2004). So the problem in most urban districts is not insufficient funding, but ineffective program structures. This section first addresses program structures that make professional development work, then discusses the costs of comprehensive professional development programs, and finally makes recommendations for the structure and focus of a comprehensive ongoing professional development program in a district.

### *Structures that Make a Professional Development Program<sup>1</sup>*

Effective professional development is defined as professional development that produces change in teachers' classroom-based instructional practice, which can be linked to improvements in student learning. The emerging consensus on what characterizes "high-quality" or "effective" professional development draws upon a series of empirical research studies that link program strategies to changes in teachers' instructional practice and subsequent increases in student achievement. These studies include, among others, the long-term efforts of Bruce Joyce (Joyce & Calhoun, 1996; Joyce & Showers, 2002), research on the change process (Fullan, 2001), a longitudinal analysis of efforts to improve mathematics in California (Cohen & Hill, 2001), Elmore's study of District #2 in New York City (Elmore & Burney, 1999), the Consortium for Policy Research in Education's longitudinal study of sustained professional development provided by the Merck Institute for Science Education (Supovitz & Turner, 2000), studies of comprehensive professional development to improve science teaching and learning (Loucks-Horsley et al., 2003), an evaluation of the federal Eisenhower mathematics and science professional development program (Garet et al., 1999), and recent studies of effective professional development by the National Staff Development Council (Darling-Hammond & Richardson, 2009; Hirsh & Killion, 2007; Killion & Roy, 2009).

In summarizing the key features of effective professional development, we and others (e.g., Elmore, 2002; Garet et al., 1999; Joyce & Showers, 2002; Odden, Archibald, Fermanich, & Gallagher, 2002) have identified six structural features of such programs:

1. The *form* of the activity, that is, whether the activity is organized as a study group, teacher network, workshop, mentoring collaborative, committee, or curriculum development group. The above research suggests that effective professional development should be school-based, job-embedded, ongoing, and

focused on the curriculum taught rather than just a one-day workshop. Teacher collaborative groups working on curriculum units linked to the curriculum to be taught are a particularly effective form for ongoing professional development (Cohen & Hill, 2001).

2. The *duration* of the activity, including the total number of contact hours that participants are expected to spend in the activity, as well as the span of time over which the activity takes place. The above research has shown the importance of continuous, ongoing, long-term professional development that evolves over the entire school year and totals many hours annually (at least 100 hours and closer to 200 hours). Such long time periods can best be attained by providing time for teacher teams to work together during the school day, then adding whatever formal training time might be provided outside the confines of the regular student day and year.
3. The degree to which the activity emphasizes the *collective participation* of teachers from the same school, department, or grade level. The above research suggests that effective professional development should be organized around groups of teachers from a school that over time includes the *entire faculty*. This suggests that “individual” professional development plans and activities are less efficacious than group, team, and whole faculty-based programs. If teachers are organized into collaborative teams, the basis for this participation will have already been laid.
4. The degree to which the activity has a *content focus*, that is, the degree to which the activity is focused on improving and deepening teachers’ content knowledge as well as how students learn that content. The above research concludes that effective professional development focuses on the content of the curriculum teachers will teach. This includes the common student miscues or problems students typically have learning that content, and effective instructional strategies for that content. Having teams of teachers develop and hone curriculum units for teaching the curriculum of the school and district reflects this direct link to content of the curriculum taught.
5. The extent to which the activity offers teachers opportunities for *active learning*, such as engaging in the meaningful analysis of teaching and learning. An example of this would be scoring student work or developing and refining standards-based curriculum units. The above research has shown that professional development is most effective when it includes opportunities for teachers to work directly on incorporating the new techniques into their instructional practice with the help of instructional coaches. When teachers teach the same curriculum unit that has been collaboratively developed, active learning is built directly into the professional development process—especially when the teachers reflect on the effectiveness of the unit, ask questions of instructional coaches in the process, and receive special assistance if they are struggling in teaching the unit.
6. The degree to which the activity promotes *coherence* in teachers’ professional development, by aligning professional development to other key parts of the education. These key parts include student content and performance standards, teacher evaluation, school and district goals, and the development of a professional community. Our descriptions of performance management in [Chapter 4](#) reflect this factor, arguing that effective instructional practices (linked to the curriculum to be taught) should be the anchor for all HR programs, particularly professional development.

Form, duration, and active learning together imply that effective professional development includes some

initial learning in training sessions (e.g., a 2-week or 10-day summer training institute) as well as considerable longer-term work in which teachers incorporate the new methodologies into their actual classroom practice.

Active learning implies some degree of coaching during regular school hours to help the teacher incorporate new strategies into his/her normal instructional practices. This can be provided both by expert teachers in a collaborative work group as well as by school-based instructional coaches. It should be clear that the longer the duration of professional development (whether training or collaborative work), and the more coaching, the more time is required of teachers as well as professional development trainers and coaches.

Content focus means that effective professional development focuses largely on subject matter knowledge. It also looks at what is known about how students learn that subject, and the content needed to teach the actual curriculum used in the school.

Collective participation implies that the best professional development includes groups of teachers, and at some point, *all teachers in a school* or district. This group then works together to implement the instructional strategies that are a part of the various curriculum units. In the process, they build a professional school community.

Coherence suggests that the professional development is more effective when the signals from the policy environment (federal, state, district, and school) reinforce rather than contradict one another or send multiple, confusing messages. It helps when the signals from all sources imply that the bulk of professional development is on how to teach the state, district, and school content standards as embedded in a specific curriculum program. Coherence implies that professional development opportunities should be given as part of implementation of new curriculum and instructional approaches. Note that there is little support in this research for the development of individually oriented professional development plans. The research implies a much more systemic approach that involves all teachers in the school.<sup>2</sup>

### *Resources Required for Comprehensive Professional Development*

Each of these six structural features has resource requirements. Form, duration, collective participation, and active learning require various amounts of both teacher and trainer/coach time during the regular school day, outside of the regular school day, as well as outside of the regular school year. This time and the time of instructional coaches cost money. Further, all professional development strategies require some amount of administration, materials and supplies, and miscellaneous financial support for travel and fees.

Drawing on previous research (Odden & Archibald, 2009; Odden & Picus, 2008), we suggest that the resources needed to mount a long-term professional development program that is effective in changing teachers' instructional practice are:

- Time during the summer for intensive training. This upfront training can most easily be accomplished by ensuring that approximately ten days of the teacher's normal work year are pupil-free and dedicated to training/professional development. These days are in addition to days for the student instructional year, usually 180, days for opening and closing school, and for parental open houses. Further, because professional development that works is systemic for all teachers, districts and schools (and not individual teachers acting on their own) should control the use of most, if not all, of these days.

- On-site coaching to work with collaborate work groups on incorporating formative data into instructional plans before they are delivered and to provide in-classroom guidance for all teachers working to incorporate new instructional practices into their classroom repertoire. The bare minimum recommendation is one coach position for a school of 400–500 students, with a more adequate formula (from school finance adequacy analysis, see Odden & Picus, 2008) being one instructional coach position for every 200 students, or two and a half full-time positions in a school of 500 students, to support all teachers and all content areas.
- Collaborative work with teachers in their schools during planning and preparation periods to improve the curriculum and instructional program, thus reinforcing the strategic and instrumental need for planning and preparation time during the regular school day. This will require smart scheduling of teachers during the regular school day and week. We recommend schools adopt six period days, providing every teacher (including elementary teachers) one period every day for both work with collaborative teams and their individual non-teaching activities.<sup>3</sup>
- Funds for training during the summer and for ongoing training during the school year. This cost is estimated at about \$100/pupil.

Using national data, Odden and Picus (2008) estimated that the cost of such comprehensive professional development would be approximately \$450 per student, close to \$500 in today's dollars. This might seem like a high amount, but most states and districts already provide some number of pupil-free days, elective teachers (art, music, physical education, etc.) which are needed for the daily pupil-free period, and funds for some trainers. The figure is not an amount over and above what is now spent. Indeed, as Miles, Odden, Archibald, and Fermanich (2004) found, many urban districts already spend more than this level for ineffective professional development programs and so need to restructure professional development programs and reallocate professional development dollars to more effective uses. However, finding these dollars could be harder for smaller and more rural districts. Thayer (2004) found a much smaller level of professional development resources in the rural district she studied.

### *Focus of Professional Development*

We see the foundation of district and school ongoing professional development as teacher collaborative work groups in schools. The prime work of these groups is creating and honing curriculum units directly linked to the curriculum taught in each content area. Curriculum units are “integrated instructional episodes” that entail two to three weeks of teaching, lesson plans, instructional strategies, materials, assessments, and so on. Most professional development, then, should be focused on helping those work groups create curriculum units.

In getting such collaborative groups up and running smoothly, which may take several years, districts will need to provide training for everyone in:

- collaborative work skills;
- content for the subject taught, as well as pedagogical content knowledge;
- how to translate the results from formative assessments of 25 students into effective classroom

instructional practices;

- how to create all elements of two- to three-week curriculum units;
- how to integrate extra help for struggling students (often called differentiating instruction);
- how to review curriculum unit impact to improve instructional strategies in the future.

The system also will need to do the following:

- Train collaborative team leaders in the skills to run meetings in ways that they get their work done.
- Find and train instructional coaches who work both with collaborative work teams, often on translating formative assessment data into instructional strategies, as well as work with individual teachers who need focused help.

And there could be other professional development emphases. Our main point here is that effective professional development should connect to and build upon the ongoing work of collaborative teacher work teams whose prime task is creating and modifying curriculum units that all teachers in the group actually teach. This professional development will be augmented with school-based instructional coaches who can work both with the collaborative teams as well as individual teachers. These recommendations align with the most recent suggestions of the National Staff Development Council (Hirsh & Killion, 2007; Killion & Roy, 2009). Further, districts such as Montgomery County (MD), Brevard County (FL), Allen School District (TX), George Marshall High School in Fairfax County (VA), Blue Valley (KS), and Rockwood School District (MO) organize teacher work and professional development this way.

Finally, the “test” of whether professional development is working is if teaching practice is changing and improving toward higher levels of performance in the district view of effective instructional practice *and* if student learning is rising and the achievement gaps are falling. These are the two metrics of strategic talent management in education.

### *3. Summary*

Ongoing teacher development is a critical aspect of strategic talent management in education; unfortunately, it is often given inadequate or ineffective attention. We have made four primary recommendations.

First, the organization of the work of teachers is critical to both new teacher and experienced teacher development. We strongly recommend that districts and schools organize all teachers into collaborative work groups, each of which uses a range of student performance data (one of the key sets of SMHC metrics) to engage in the cycle of continuous instructional improvement (the other key sets of SMHC metrics). These groups will focus on lesson plans and instructional strategies that are part of two- to three-week curriculum units. This not only is the organization of teacher work found in the most successful schools and districts, but also facilitates the basic foundation of ongoing teacher development. Each team, itself, engages on an ongoing basis in reviewing instructional strategies in light of their impact on student learning.

Second, we recommend that all new teachers experience a multi-year period of “teacher residency,” while being the teacher of record during this time period. New teachers will receive additional assistance apart from the collaborative work team of which they will be a part. As part of the collaborative work team, such new teachers will have access to lesson plans, instructional strategies, and common assessments for each curriculum unit taught over the year, and have access to expert teacher help from both the more experienced teachers in their team and school-based instructional coaches. This approach can be funded by regular and ongoing professional development resources.

Third, we argue that the structure of professional development needs to engage teacher collaborative teams (on an ongoing basis) in developing curriculum units linked to the school’s actual curriculum program. Each member of the team will teach the units simultaneously, and review impacts together. We also argue that effective professional development is systemic, engages all teachers, and generally is not that compatible with teachers creating individual professional development plans on their own. We recommended that comprehensive professional development requires at least ten pupil-free days for training, school-based instructional coaches to work with both the collaborative teams and individual teachers, and funds equaling about \$100 per pupil for trainers.<sup>4</sup>

Fourth, new teacher induction activities, ongoing professional development activities, and the work of collaborative teacher work teams should be guided by district-wide teaching standards that articulate the district’s view of effective instructional practice. They must be continuously assessed vis-à-vis their ability to boost student achievement and reduce the achievement gaps linked to race and poverty.

## 7

# NEW POLICIES FOR LICENSURE, TENURE, EVALUATION, AND DISMISSAL

Given the elements of performance management described in [Chapter 4](#), the data discussed in [Chapter 5](#) needed to implement performance management decisions that have real consequences, and the type of comprehensive teacher development system described in [Chapter 6](#), this chapter addresses the issues of using the data for specific consequences—new approaches to teacher licensure, evaluation, tenure, and dismissal. We use the word “tenure” in the chapter to cover a variety of post-probationary job security provisions that provide teachers (and perhaps others) with a property right to a job. These may be called tenure, due process, continuing contract, permanent status, or other labels that connote similar job rights.

In this chapter, we assume that a school district has a set of the two core SMHC metrics:

1. *Measures of teaching effectiveness* such as value-added measures and other indicators (at least for teachers teaching courses for which there are student tests) providing evidence of the effectiveness of teachers in producing student learning gains.
2. *Measures of a teacher’s instructional practice* to four or five different performance levels that would be derived from a performance-based measurement system for individual teachers.

And we further assume that:

3. The measures of what we term instructional practice are statistically correlated to the measures of teacher effectiveness, so that the measures of instructional practice are “valid,” with higher scores associated with greater student learning gains.<sup>1</sup>

Assuming such measures exist, and are “good enough” for use in making consequential decisions, this chapter suggests how they can be used to change policies related to teacher licensure, tenure, evaluation, and dismissal.

## *1. The Link between State Policy and Local Decisions*

Although teacher tenure, evaluation, and dismissal are all local decisions, they are framed and constrained by state rules and regulations, most of which need significant change. In their *2009 State Teacher Policy Yearbook*, the National Council on Teacher Quality (NCTQ), which has been tracking state teacher policies for years, gives states an overall grade of “D” for their teacher policies on these issues. This is obviously not a resounding grade of support.

In terms of evaluating teachers, only 24 states require that new teachers be evaluated (observed) more than once in their first year; nine states do not require any evaluations. Only 17 states require that new teachers be evaluated early enough in the year so they can receive feedback on how to improve.

NCTQ found that states have even more lax evaluation requirements for veteran teachers. Only 15 states require annual evaluations (observations) of veteran teachers, with some states letting veteran teachers go five years or more without an evaluation. Moreover, 21 states do not even require observation of instructional practice to be part of a teacher’s evaluation. Finally, only four states require evidence of student learning to be a dominant factor in teacher evaluations, with just 16 states requiring some evidence of impact on student learning as part of a teacher’s evaluation. In part, as a result, both teachers and principals consider the typical teacher evaluation worthless, which has been noted in previous chapters. The most recent study of teacher evaluations found that the districts studied rated 99+ percent of teachers as satisfactory, advanced, or accomplished in most districts studied, even when student performance was low (Weisberg, Sexton, Mulhern, & Keeling, 2009).

State regulations for tenure are even more problematic. Forty-three states require local districts to tenure teachers within their first three years of teaching, with some granting tenure after just two years (and a couple of states after just one year). This rush to tenure persists despite increasing awareness that sufficient, stable information about teacher effectiveness cannot be gathered in such a short time frame, and that most teachers require two to four years to develop a credible, beginning set of effective classroom instructional practices. Even states that have moved to a two-tiered licensure system, in which the teacher must earn the “professional” licensure after earning the initial license, often require that tenure and professional licensure occur at the same time even though licensure requires just a “do no harm” standard. One would hope that tenure would connote evidence of solid teaching effectiveness rather than simply that the teacher doesn’t harm children. Another shortcoming of state tenure policies is that most do not require any evidence of teacher performance—whether instructional practice or teaching effectiveness—as part of the tenure decision. Only four states require such evidence, while the remaining 47 states permit districts to provide tenure almost automatically.

Finally, although NCTQ found that all but three states have laws addressing teacher dismissal, the laws generally address criminal and moral issues for dismissal much more than issues of teacher performance or effectiveness. Just one state has a separate policy for dismissing teachers on the basis of poor performance. Only 13 states specify that teachers who have been rated unsatisfactory on multiple evaluations are eligible for

dismissal, and just half of the states require districts to place a teacher with an unsatisfactory evaluation on an improvement plan. And almost all states allow appeals in the dismissal process, sometimes multiple appeals, making decisions about who stays and who leaves very difficult for local decision-makers.

In short, state policies operate in ways that require: (a) tenure to be provided too early in a teacher's career and without substantial evidence; (b) little rigor in teacher evaluations; and (c) complicated processes for dismissal, the result being that neither measures of instructional practice nor measures of teaching effectiveness are critical factors in teacher evaluation, tenure, or dismissal, a condition that must be changed.<sup>2</sup>

## 2. *A Multi-Tier Licensing System for Teachers*

We address the issue of state licensure in this chapter as well as in [Chapter 12](#). Chapter 12 addresses other state policies. Because the issue of state licensure and the other topics addressed in this chapter can be so intertwined, we also discuss it here.

States play lead roles in licensing teachers (see NCTQ, 2010). Each state has its individual requirements. We are recommending that states adopt a multi-tier licensure system with:

- Tier 1 for the Initial License.
- Tier 2 for the Professional License.
- Tier 3 as a necessary but not sufficient condition for local tenure decisions.

Our rationale for this recommendation is elaborated in the rest of this section. Most state requirements for a teacher's Initial License are linked to taking a set of college or university courses coupled with a period of "student teaching" where clinical classroom instructional and management skills begin to be developed. Some states also require content tests as one condition for obtaining the Initial License, although, to date, the pass scores for such tests vary widely across the states, with most states having relatively low cut scores. Finally, a few states also require a formal assessment of a teacher's instructional practice to a level adequate for a brand new teacher.

A more rigorous approach to the initial assessment of instructional practice is that being developed in California called PACT (Performance Assessment for California Teachers). PACT is an online system designed to measure a teacher's instructional practice to a set of standards using a variety of data such as lesson plans, examples of actual classroom practice, student tests, and individual reflections. PACT creators are working with about a dozen states across the country to create a PACT-like system for initial teacher licensing in those states.

Although we advocate a higher standard for teacher licensure, it may be misguided to require teachers to pass a highly rigorous assessment to receive an Initial License. First, it takes several years for individuals to develop the clinical instructional skills needed to be effective. In the SMHC case studies (e.g., Archibald, 2008; Goertz & Levin, 2008; Kimball, 2008), superintendents and principals claimed that few colleges and universities prepared undergraduates with sufficient clinical skills, suggesting that more rigorous new teacher induction programs were needed for *all* new teachers, regardless of their pathway into the education system. Second, the more difficult the initial assessment of clinical skills, the less likely teachers recruited through any of the new pipelines (some discussed in [Chapter 3](#)) would meet a rigorous performance standard. A "stiff" assessment of clinical skills for *initial* entry into the profession likely would fail many new teachers, from whatever source, thus creating pressure to lower the performance bar which negates the rationale for such an assessment in the first place. Thus, we recommend that the rigorous assessment of instructional practice should occur *after* new teachers have been in teaching for a few years and involved in the intensive "residency" program recommended in [Chapter 6](#).

Our resolution of these dilemmas includes recommendations for the organization of teacher work, the

multiple-year new teacher residency, and a rigorous assessment of clinical skills for the Professional License sometime between the second and fourth year of teaching. Chapter 6 showed how organizing teachers into collaborative work groups can be the most powerful induction system for all new teachers, regardless of their pathway into schools and classrooms. This insures that all new teachers (regardless of their exposure to classrooms before receiving the Initial License) have access not only to the most effective materials and instructional strategies but also to the ongoing assistance provided by the more experienced members of their team. After the residency, we recommend that states require all teachers to meet professional standards of practice, and that this requirement would need to be met by the end of the fifth year of teaching.

This requirement necessitates at least a two-tiered state licensure system, similar to the efforts over the last two decades of the Interstate New Teacher Assessment and Support Consortium (INTASC). Moreover, the few states that moved to a two-tiered licensing system, such as Connecticut and Indiana, were pioneers in developing performance-based systems to measure individual teachers' instructional practice (as discussed in [Chapter 5](#)). These states require performance to a specified level in order for an individual teacher to earn the second tier or Professional License (Youngs, Odden, & Porter, 2003).

Most recently, there have been movements to push this process several steps forward by having a multi-tier teacher licensure system. To operate such a licensure structure, the state would need a system to measure teaching practice to four or five different levels of performance, each one geared to a specific licensure tier. The licensure structure would be aligned with and linked to new teacher induction, earning the Professional License, ongoing evaluation, a condition for local tenure, promotion, dismissal, and teacher compensation. Indeed, these connections are central to federal Race to the Top competitive grants.

In 2009, Ohio became the first state in the country to enact a policy framework with these elements. Ohio created a four-tier teacher licensure program, which will be operated with a system to measure each individual teacher's instructional practice and effectiveness to four different levels of performance. A performance level of 2 would be required for the Tier 2 Professional License, a performance level of 3 would be required for a Tier 3 license (a necessary but not sufficient condition for the local conferring of tenure), and a performance level of 4 for the Tier 4 advanced license. Local teacher evaluation systems would be required to use the elements of the state licensure system, and its view of effective teaching, as a framework for more detailed local teacher evaluation systems.

We recommend that all states adopt a similar multi-tier licensure framework for three primary reasons. First, the state is in the best position to create the teacher performance-assessment system that is needed to operate a multi-tiered licensure system, as indicated in [Chapter 5](#). Creating a reliable and valid system to measure teaching practice is technically complex, expensive and cannot reasonably be deferred to local districts. This is especially true for smaller districts with limited resources.

Second, a state multi-tiered licensure system combined with a state teacher performance assessment system would provide core, common metrics for consequential decisions concerning teachers. This would give rigor to the Professional License (allowing novices to remain in teaching), evaluation, tenure (allowing teachers to remain in school districts), promotion, and even compensation.

Third, by operating such systems, states would sanction a view of the *core elements* of effective instructional practice, thus providing needed guidance to local education systems, most of which do not have clear understandings of these practices. This state role would strengthen the education system and raise awareness

and knowledge about effective instructional practices to a level we believe is missing today. We hasten to note that such a state role would still allow for significant latitude for local districts and schools to tailor the core elements of effective instructional practice to the specifics of their contexts and their students. The result would hopefully be more of a systemic, state-wide understanding of the basic elements of effective instructional practice. This would be part of the basis for aligning state and district efforts to put those practices into all schools.

To summarize, we recommend that each state adopt a multi-tier licensure system. We further recommend that each state create or adopt a system to measure each individual teacher's instructional performance to operate such a system, requiring higher performance standards for a teacher to earn each new higher licensure tier. We further recommend that the holding of different licensure tiers be conditions for consequential decisions, such as Tier 2 for the Professional License, and Tier 3 as a necessary but not sufficient condition for the conferring of local tenure.

### 3. *Tenure*

Tenure is a hot button issue in education. It emerged in higher education in part to “protect” a professor’s right to free speech, so a professor could determine the content taught and could not be “fired” for holding unpopular political or other views. It emerged in the K-12 system in part to protect teachers from arbitrary and capricious actions of administrators, requiring “due process” for attempts to dismiss teachers for cause. It also allows teachers to voice unpopular political views, including criticisms of district or school operations, but does not give teachers authority to select the content to teach, as that is now set by state standards. Many school systems do not use the word tenure, but employ such phrases as due process, which requires districts to go through a set process if they want to terminate a teacher for cause, including unsatisfactory performance. However, as stated above, we view the terms tenure, due process, non-probationary status, continuing contract, and other such terms as virtually synonymous.

To many, including the lay public and many policymakers, tenure provides an individual with job security; that is generally an undisputed perspective of tenure as it applies to professors in higher education. Many teacher union leaders, however, take issue with this view of tenure for K-12 teachers, arguing that tenure simply gives teachers “due process” rights when faced with a possible termination, rights that are more than reasonable in the 21st century. Without parsing words, we believe that in practice, tenure provides a strong measure of job security, considerable due process rights, and is a significant “marker” in a teacher’s career. It is an important decision that school districts make. The decision signals that the teacher is “good enough” to remain in the district.

Although we view tenure as an important district decision, one problem with tenure is that, except for a few states and districts, it is not taken very seriously. It is rarely something professionally earned and is too often provided *de facto*, unless there is extraordinary evidence of misbehavior. A second problem with tenure is that it is most often provided within the first few years of a teacher’s career. Many argue this is before sound measures of either a teacher’s effectiveness or instructional practice can be determined.

State-imposed time constraints also interfere with new efforts to have teachers earn their Professional License within their third to fourth year of teaching, or some similar time period. Even then, an individual with a Professional License is still a novice professional. However, some states require that local districts provide tenure even before a teacher earns the Professional License. That makes no sense. It also makes no sense to have tenure and the Professional License earned in the same year, which happens in other states.

The rational approach would be to have a set number of years within which the Professional License can be earned, and then to start the tenure clock and require tenure to be earned within a set time period *after* the Professional License. Ohio’s framework now has tenure coming five years *after* the conferring of the Professional License. Some might view that as too long a period, but the concept is that the tenure period occurs after earning the Professional License and requires more than one more year to be earned. Further, states and districts should require evidence of instructional performance and effectiveness in impacting student achievement as conditions for tenure.

One reason we recommend a state multi-tier licensure system is that such a system could provide a minimum but high bar as one condition for tenure. If a Tier 3 license were required as part of the evidence for tenure, then any teacher getting tenure would have shown their instructional practice meets a higher performance standard than that required for the Professional License. Districts then could not have a less rigorous performance requirement for tenure. If the state system also required evidence of impact on student achievement, then the minimum tenure bar would have even more rigor.

Moreover, we have come to the conclusion that the tenure system should give a predominant role to the measures of a teacher's direct impact on student achievement, while also requiring the measures of instructional practice to be statistically correlated with greater student learning gains (in which case the Measuring Effective Teaching (MET) project supported by the Bill and Melinda Gates Foundation will actually call what we term a measure of instructional practice, a measure of teaching effectiveness). In conferring tenure, therefore, district systems should require both a high score for a measure of instructional performance and direct evidence of impact on student learning, or some measure of teaching effectiveness. Districts might weight the evidence of impact on student learning differently.

We would let districts add whatever additional elements they would want in addition to a Tier 3 license as a condition for a teacher to earn local tenure. But again assuming there is a broader system for producing measures of teaching practice and measures of teaching effectiveness, the major recommendation for tenure is that the standards or "scores" for these measures should be significantly higher for tenure than they are for the Professional License. These requirements alone would transform tenure as we know it today from something virtually given away to something that is professionally earned, making tenure an achievement of which every teacher would be proud.

As indicated in [Chapter 8](#) on compensation, we also recommend that a significant salary increase be granted when tenure is provided, something that no state currently requires, and something that exists in few, if any, of the 14,000 teacher salary schedules across the country.

Although the Toledo Peer Assistance and Review program (Koppich, 2009) is often identified as a more rigorous tenure program (Baratz-Snowden, 2009), it falls short of that mark. It is a more rigorous effort to give individuals in their *first* year of teaching ongoing assistance. Teachers must pass the review process in order to continue teaching for an additional year, after which Toledo then provides tenure. But neither the first year review nor the final tenure decision uses a measure of instructional practice or evidence of impact on student achievement. Therefore it falls short of the tenure system we recommend. Finally, although the new Minneapolis tenure system is a significant change from the automatic giving of tenure (Koppich, 2009) and requires several teacher improvement initiatives and a review of evidence, it also requires neither a formal measure of instructional practice nor a measure of teaching effectiveness.

Moreover, both the Toledo and Minneapolis systems require the administrative machinery of panels of several individuals reviewing portfolios of evidence for every teacher in the program. This represents considerable administrative expenditures. We believe that the core expenditures for more rigorous tenure systems should be for getting solid measures of instructional practice and teaching effectiveness, and expenditures for ongoing professional development for new as well as veteran teachers.



## *4. Teacher Evaluation*

We also recommend that the core elements of effective instructional practice embedded in the state performance assessment system and used for tenure, should also be used by local districts to create teacher evaluation systems that are aligned with these elements. Local evaluation systems should go beyond them to articulate any particular teacher competencies that are needed to implement instructional strategies tailored to the specific needs of each district and the students they educate. Where state systems do not exist, each district will need to create or adopt a set of teaching standards on its own, that would guide the evaluation process. But in identifying ways to strengthen teacher evaluation, we are assuming that districts are able to measure both teaching performance (instructional practice) and teaching effectiveness (impact on student learning), and that the evaluation system will continue the dialectic between these two core talent management metrics.

In the general discussion of teacher evaluations today, there is considerable confusion about key issues. Some argue that there should be multiple teacher evaluations every year; we interpret these comments to equate “evaluation” with an “observation” of a teacher’s classroom practice. Others argue that teacher effectiveness, that is, impact of a teacher’s instructional practice, should be the “predominant” factor in teacher evaluations. Most current discussions of teacher evaluations altogether ignore the need to “define” effective instructional practices, and how they are “measured.”

We argue that teacher evaluations should incorporate both measures of an individual teacher’s instructional practice as well as measures of an individual teacher’s instructional effectiveness, as discussed in [Chapter 5](#). Both sets of measures are complex and entail considerable effort to create. For example, most systems that measure teaching practice collect a range of data, often structured around a curriculum unit: knowledge of students, including analysis of data from formative assessments, lesson plans, informal ongoing assessments used during the teaching of the curriculum unit, the formal end-of-unit assessment, observations or videos of actual classroom instructional practice, and reflections on the effectiveness of the overall unit. Putting such portfolios together requires considerable effort on the part of a teacher, and a school system would not want to require the submission of several such portfolios for an annual evaluation process.

Similarly, getting measures of teacher effectiveness is not easy. Further, most value-added approaches use end-of-year, summative tests for such measures. This means that such measures can be obtained only once a year and not several times during the year.

Thus, the notion of getting “several” teacher evaluations annually is incompatible with the notion of having multiple measures of instructional practice and multiple measures of teaching effectiveness be part of a formal teacher evaluation. We leave to each district the design challenge of how to combine such measures but recommend that both be used. Since we assume the measures of instructional practice that we recommend are valid, i.e., with higher scores linked to greater student learning gains, we leave to each local district decisions about how to “weight” these two prime measures. Washington, D.C.’s new system weights the measures of teaching effectiveness at 50 percent. Others may want to give more weight to the instructional practice

measures as better instructional practice is the prime route to higher student learning, so teachers need detailed feedback on how to improve instructional practice. This could evolve from the system to measure their teaching practice.

We also suggest two other critical elements for new local teacher evaluation systems. The first is that the local system be aligned with and give more detail to the view of effective instructional practice that is embedded in the system that measures teaching practice, particularly when that is a state-run system. The second is that districts and schools have more “informal” ways to observe teaching practice, such as informal walk-throughs, instructional rounds, or other shorter term, but important and potentially impactful, ways to monitor teaching practice. An additional possibility would be to use the “video tool” developed as part of the MET project, or one like it, for additional observations. Using this tool obviates the need to have a person in the classroom actually doing the observation and thus makes collecting observation data more efficient.

Local teacher evaluation systems then would do the following:

1. Have a clearly articulated view of effective instructional practice, tailored to the students in each district (and aligned with the state standards if they exist).
2. Produce multiple measures of an individual teacher’s instructional performance.
3. Produce multiple measures of teaching effectiveness,<sup>3</sup> or impacts on student learning.
4. Be complemented with less rigorous monitoring systems to observe teachers and give feedback on their instructional performance.

Such a system would produce some kind of “summative” teacher evaluation score, only one score of which could be produced in any one year. The system could also provide profiles of various elements of a teacher’s instructional practice which, when combined with the information gained from more informal walk-throughs, could be used to tailor professional development for teachers. The system would also reinforce the district’s view of effective instructional practice and retain the dialectic between instructional practice and student learning in the formal evaluation and instructional supervision processes.

We believe that districts could combine the above four elements for the teacher evaluation program in many different ways. Each will have the anchor measures of teaching practice and teaching effectiveness. Each will have mechanisms to engage teachers through the evaluation system by continually assessing their instructional strategies in terms of their impacts on student learning.

## 5. *Teacher Dismissal*

A rigorous and fair process for dismissing chronically ineffective teachers is something the education system needs but does not have, except for a few districts. Poor performing teachers harm student learning and detract from teaching and school effectiveness. Further, as Randi Weingarten (2010), President of the American Federation of Teachers said, “No one—myself included—wants ineffective teachers in the classroom.”

Although most teachers in the system work hard and have positive impacts, principals and teachers agree that there are teachers in the bottom 10–15 percent who are chronically underperforming and should be targets for dismissal. But nearly everyone argues that actually dismissing ineffective teachers is complex, costly, and rare. Research shows that very small percentages of ineffective teachers are dismissed, from less than 2 percent of tenured teachers to less than 1 percent of probationary (untentured so new) teachers (Chait, 2010).

Leaving such teachers in the system harms individual students, the education system, and the economy. Hanushek (2009) argues that removing the bottom 6–10 percent of teachers across the country, i.e., the lowest performing teachers, most of whom are in urban districts, would hike student test scores on international assessments by large amounts and produce significant gains in the country’s GDP, in addition to providing considerable social justice for the children affected.

Dismissing the lowest performing teachers is challenging first because school districts do not have the systems in place (measures of instructional practice and measures of teaching effectiveness) to provide credible evidence of poor performance and because the procedures are cumbersome and drawn out with multiple appeals in most states. To make matters worse, many principals do not follow appropriate procedures (e.g., documenting assistance and timelines for improvement) and lose on dismissal challenges. Principals may end up trying to encourage a poor performing teacher to change schools rather than go through the intervention process. Even when principals are meticulous in dismissal procedures, the process can drag out for years. Successful dismissal efforts cost tens of thousands of dollars and many teachers who should be dismissed are simply left alone.

If the performance management process discussed in [Chapter 4](#) is in place, if there are measures of instructional practice and measures of teaching effectiveness discussed in [Chapter 5](#), and if those measures are used for new teacher induction and ongoing professional development as outlined in [Chapter 6](#), as well as for Professional License, teacher tenure, and evaluation, then the appropriate context is in place for teacher dismissal. Before a dismissal process is initiated, the various measures of instructional practice and teaching effectiveness would provide empirical evidence of inadequate performance and ongoing support.

Districts will still need to identify the parameters that would lead to initiating a teacher dismissal. The system in Cincinnati (OH) (Showalter, 2010) provides some thoughts. In that system, teachers first earn their Professional License, which requires scoring a 2 or more on the district’s performance evaluation system. Tenure is then earned when the teacher meets the standards for performance Level 3. Teachers are formally evaluated every three years. When the formal evaluation process begins, which requires multiple pieces of data

gathered over several months, if there is evidence of inadequate performance—indicated by performance below the Level 3 in the Cincinnati performance assessment system—then intervention is triggered. If, after several months of intervention, performance does not improve to at least the Level 3 bar, then the district has solid evidence with which to start a dismissal proceeding.<sup>4</sup> Chapter 5 discusses a similar approach to teacher dismissal.

A fair dismissal procedure would first define “inadequate performance.” Because Cincinnati has a measure of teaching practice, it was able to define inadequate performance as performance below that required for tenure, which seems to be a reasonable definition. In a recent paper on teacher dismissal, Chait (2010) has recommended the definition of consistent poor performance as identified through several below par observations. Another definition could include being in the bottom 10–15 percent of teachers in a value-added analysis. But each district will first need to define what constitutes poor performance, and have solid evidence to show those facts.

A fair dismissal process then would need to have a hearing, where the teacher could be represented either by a lawyer or the local teacher union, where the evidence of inadequate performance would be presented, as well as evidence of assistance provided to help the teacher improve performance. If the district had rigorous measures of the teacher’s instructional practice and teaching effectiveness, the hearing then would adjudicate the case in light of the evidence submitted. Cincinnati has been successful in virtually every dismissal case both because it had solid evidence of inadequate performance and because it had provided extra help to the teacher. Chait recommends that dismissal hearings be limited to at most 60 days so they do not drag on for months.

Lastly, a fair dismissal process should allow for an appeal, but the process should allow for only one appeal. Assuming that credible evidence on instructional performance and teaching effectiveness is available, the appeal should concentrate on whether the first hearing followed appropriate procedures and gave proper weight to the evidence and its collection through proscribed district procedures, but should not go into the substance of the evidence.

We would argue that teacher dismissals, when required, would be significantly facilitated by all of the recommendations we have made in [Chapters 4, 5, 6](#), and this chapter, which set dismissal in the context of performance management around consistently linking instructional practice to impact on student learning, with periodic measures of instructional performance and teaching effectiveness for each individual teacher, with the measures used for a series of ongoing consequential decisions including Professional License, guiding professional development, teacher evaluation, tenure, and if warranted, dismissal. We discuss in [Chapter 8](#) how the same systems can be used for promotion, career progression, and compensation.

## 6. Summary

This chapter has provided several recommendations for strengthening local policies and practices around teacher licensure, tenure, evaluation, and dismissal. The major recommendation is that each of these important functions needs to be significantly upgraded in their rigor, by using the two core sets of SMHC metrics: measures of teaching performance (instructional practice) and measures of teaching effectiveness (impact on student learning). This requires that districts either create their own systems or administer state systems that provide such measures. We generally recommend that states play the lead role in developing and operating these measurement systems because they are technically complex, require significant resources to design and operate, and put the state behind a view of core effective instructional practices which can serve as a needed guideline for best instructional practices in districts and schools.

We also recommend that each state use the metrics from these measurement systems in a multi-tiered licensure system. After completing a multi-year new teacher residency program, we suggest that all teachers be required to earn the Professional License (probably the Tier 2 license) to remain in teaching; earning that Professional License would require evidence of teaching practice to a rigorous performance level as well as evidence of teaching effectiveness.

We recommend that a district's ongoing teacher evaluation system then be linked to the vision of instruction embedded within the system that produces the measures of teaching practice and effectiveness. This system will include additional but less formal ways to gain information on teaching practice such as walk-throughs, instructional rounds, or even results from a video of teaching practice. It will provide useful feedback to teachers on how to improve their practice and effectiveness.

We recommend that the tenure clock start after teachers have earned their Professional License, and run for several years before the teacher can earn tenure. This would require that nearly all states extend the time frame within which tenure must be provided. We also recommend that to earn tenure, a teacher must have earned the Tier 3 state license, which would require evidence of teaching performance and effectiveness to higher levels than that required for the Tier 2, Professional License. Absent such a state license, we recommend that teachers provide evidence that their instructional practice and teaching effectiveness meet a performance standard above that required to exit a new teacher residency program, in addition to other more local requirements. The general recommendation is that tenure is provided locally only when teachers meet a high standard for their instructional performance as well as teaching effectiveness.

We recommend that teacher dismissal also use the same two metrics of instructional practice and teaching effectiveness. Dismissal could begin when these measures show that performance has dropped below the standard required for tenure, even after the provision of focused professional development assistance. In such a system, districts would have solid evidence of inadequate performance as the basis for dismissing even a tenured teacher.

Last, we revisit the ongoing use of the metrics of instructional practice and teaching effectiveness in [Chapter 8](#) on teacher compensation and career progression, where we recommend significant pay increases

when novice teachers exit the residency period and earn the Professional License, and an additional significant pay increase when they become tenured by earning the Tier 3 license, after showing that their instructional performance and teaching effectiveness have met a performance standard above that required for the Professional License.

## 8

# THE COMPENSATION SIDE OF STRATEGIC TALENT MANAGEMENT

This chapter argues for changing teacher compensation in ways that align it with the two core sets of SMHC metrics discussed in previous chapters: measures of teacher performance and measures of teaching effectiveness (impact on student performance). The ideas in this chapter reinforce the teacher pay changes sweeping the country, from the breakthrough pay program agreed to in mid-2010 in Washington, D.C. to the multiple value-added pay bonus programs in several districts including Dallas (TX) and Houston (TX), the “extreme makeover” salary structure in Denver (CO), and additional changes that will emerge from Race to the Top initiatives and the second round of the federal Teacher Incentive Fund (TIF) program.

Teachers today, particularly the most effective teachers, are both underpaid (Milanowski, 2008b) and ineffectively paid; teacher effectiveness is rarely recognized in salary schedules. In most districts, teachers receive annual pay increases for factors that have little or no relationship to increases in teacher or student performance. Even states and districts that experience obvious shortages of mathematics, science, and special education teachers rarely pay them more to recognize labor market realities. Too often the toughest schools have the lowest paid and least effective teachers, rather than the highest paid and most effective teachers. Though rising in use, few states and districts provide any pay for improved student performance, although this is the most important goal of the education system. Finally, districts taking the lead in implementing teacher pay innovations rarely align or reinforce them with the other elements of their overall human capital management system. As a result, the pay change remains an isolated initiative with blunted impact.

If the country’s education system is to make headway on education reform, it must revamp how and how much teachers are paid. The pay system for teachers will need to send signals about what teachers need to know and be able to do, and link pay to those teacher assets—effective instructional practice—that are linked to student learning gains. The pay system must also send the message that student achievement to rigorous performance standards is the primary goal; therefore, some aspect of pay should be linked to gains in student achievement.

Other aspects of the education system also will require change, as argued in previous chapters of this book. Teachers are quite clear that working conditions matter. Teachers, particularly the best teachers, want strong principals who create a safe and orderly environment and manage the school with a focus on improving instructional practice and increasing student achievement (Bill and Melinda Gates Foundation, 2010; Milanowski et al., 2007). A plethora of anecdotal evidence suggests that teachers also want to do the following:

1. Break the egg-carton tradition of teaching in isolation.
2. Work collaboratively with other teachers on the instructional program.

3. Receive feedback on how to improve their performance.
4. Experience career ladders that move them into teacher leadership roles that provide them more responsibility, accountability, and pay for improving instructional practice and student learning.

They also want decent class sizes and sufficient resources for instructional materials. And they want better salaries, but salaries that are more linked with their contribution to the success of the organization.

This chapter provides an overview of multiple issues related to redesigning teacher compensation systems.<sup>1</sup> Section 1 addresses issues related to changing the basic teacher salary schedule, which represents bold and comprehensive change. Section 2 addresses ways to pay teachers for improvements in student achievement. Section 3 provides a summary.

## *1. Changing the Basic Teacher Salary Schedule*

This section discusses the various components of teacher compensation, and the issue of how much teachers should be paid. It also covers strategies for getting effective teachers into low-performing and high-poverty schools as well as into subject areas experiencing shortage, and how to link the teacher salary structure to measures of teacher performance, i.e., instructional practice and effectiveness. The next section discusses how some aspects of pay can be linked to student achievement outcomes.

### *Components of Teacher Compensation*

Teacher compensation consists of five key elements: base pay, base pay progression, variable pay, benefits, and working conditions.

*Base pay* is the monthly check. It is the most important element of pay with regard to recruiting and retaining individuals in teaching. Teachers, like all workers, use base pay for their rent or home mortgage, to buy food, maintain a car, purchase clothes, and so on. It is the pay element that is viewed as predictable so that the person—teachers, in this case—can securely budget for their ongoing living expenses. In nearly all professions, base pay comprises the vast bulk of an individual's cash compensation.

*Base pay progression* is the means by which a person earns a pay increase over time. In nearly all districts in the United States today, teacher salary increases are structured by the “single salary schedule” and triggered by years of experience, education degrees, and units. Unfortunately, none of these factors is strongly linked to student learning gains, except for the first three to five years of experience. Thus, teachers now earn pay increases for factors not linked to their effectiveness. As we show below, one goal of a new pay system for teachers is to replace or augment these elements with factors that are linked to improved teacher effectiveness.

*Variable pay* is a pay element that is earned depending on performance. Variable pay is usually provided as a bonus for improving organizational performance— student achievement in education. Teachers cannot depend on variable pay to fund ongoing living expenses; it generally is used for something “extra” because it might not be received in subsequent years.

In redesigning a teacher pay system, attention must be paid to average teacher pay levels, the factors that trigger base pay progression, and variable pay. Each is a different element of a teacher's cash compensation.

One error that too many critiques of teacher pay systems make is to confuse variable pay with base pay. The most common critique of teacher pay is that the factors of base pay progression—years of experience and education units—are not linked to organizational goals, specifically, increased student achievement. The solution, according to most critics, is to provide bonuses for improved student achievement. The problem with this logic is that although the critique is of base pay progression and is valid, the solution ignores base pay progression and proffers a variable pay element. If the problem is with base pay progression, the remedy lies in developing new factors for base pay progression that do contribute to improved student learning. Bonuses on top of the current salary schedule remedy the current problem of not having any pay element linked to student

achievement, but that pay element should be strengthened by redesigning the base schedule to reinforce it.

Some do argue that increases in base pay should be triggered by measures of increased student performance. However, if base pay increases for the future are provided on the basis of student achievement gains in the past, i.e., to roll what normally would be a bonus into a permanent increase in base pay, then every year in the future a teacher would be rewarded for student learning gains produced in some past year. Most compensation experts suggest that this strategy is not wise. In order for a performance bonus to incentivize teachers to continuously improve student achievement, the bonus needs to be re-earned each year, and not rolled into base pay. In short, other factors need to trigger base pay increases.

Nearly all of the pay issues discussed below relate to ideas about how to change base pay, base pay progression, and variable pay for teachers. Teacher *benefits* are generally greater than most similar private sector jobs. Everyone knows benefits and *working conditions* are important and cost money. This chapter will mention trade-offs between teacher pay and working conditions, but the chapter does not directly discuss teacher benefits or working conditions.<sup>2</sup>

### *Teacher Wage Levels*

Teacher pay levels matter (Milanowski, 2008b). Actually, wage levels matter for the numbers and quality of individuals who decide to enter and remain in every profession. Generally, the higher the wage level, the higher the quality of individuals entering and remaining in the profession, and the greater the number of individuals wishing to do so. The same generally is true for teachers. Research and recent experience show that wage levels matter.

Milanowski's overview (2008b) shows that as teacher wages increase to levels relative to other professions, more and higher quality individuals decide to enter and remain in teaching. Further, at the margin, teachers migrate from lower paying to higher paying districts, and often from large city to suburban districts, although movement from lower to higher paying suburban districts exists as well. Inadequate pay is mentioned as one of many factors for the movement of teachers out of the teaching profession. Inadequate pay levels are also mentioned as one culprit in the low level of teacher quality in the nation's urban districts as well as in high poverty and high minority schools.

The impact of teacher pay levels is illustrated by recent experience in both New York City and Baltimore (MD). When New York City raised average teacher salaries by about 43 percent over a five-year period, it reduced the percentage of teachers without a full teaching credential from 17 to almost zero, and had less trouble filling all teaching positions. Similar results occurred in Baltimore when it hiked beginning teacher pay levels early in the 2000s.

It is important for the education system to have the resources to recruit and retain its share of high quality talent because, as noted in previous chapters, it will take smart, capable, and well-trained teachers to accomplish the nation's ambitious student achievement goals, particularly for our largest urban districts. Adequate and competitive teacher wage levels will need to be part of the strategy to attract and keep this high level of talent.

But what are the benchmarks for making teacher salaries competitive? There could be many. We suggest that a competitive wage level for teachers would be the same as wage levels for jobs with similar knowledge,

skills, and responsibilities of all college graduates. Fortunately, the Bureau of Labor Statistics has developed a detailed database that allows one to compare jobs across knowledge, skills, and responsibilities.<sup>3</sup> We and others (Allegretto, Corcoran, & Mishel, 2008) have conducted analyses of such jobs and find that on average teachers nationally earn about \$10,000 *below* individuals in comparable jobs, particularly when appropriate incentives for teachers in mathematics and science as well as performance bonuses are considered. This suggests that to make teaching competitive on a national average basis, overall teacher wages should be hiked by \$10,000.<sup>4</sup>

Since teacher benefits generally are more generous than benefits on average in private sector jobs outside of education, it could be argued that a full \$10,000 wage hike is not necessary.<sup>5</sup> Nevertheless, the wage comparisons suggest that some overall wage hike is needed to make teaching more market competitive; the range is probably from \$5,000–10,000. The disparity in teacher wage levels versus wage levels in comparable jobs varies substantially by state, so any overall wage adjustment needs to be considered on a state-by-state basis, and within states on a regional basis.

As the remainder of this chapter argues, however, we do not recommend an across-the-board teacher wage hike. That has been tried in the past without success (Ballou & Podgursky, 1997). Such an approach simply increases the cost of the current system and does not produce, except over the very long term, either a flow of more individuals into education, a higher quality of individuals entering education, or a higher quality of individuals remaining in education. It keeps the current teacher workforce in place but at a higher cost level. Thus, although we would argue that average teacher wages should be hiked by between \$5,000 and \$10,000 per teacher, we strongly recommend that it be done through newly designed teacher wage structures, and not the current single salary schedule.

### *Getting Teachers into Low-Performing Schools and Subjects Experiencing Shortages*

One of the most acute problems in America is the shortage of high quality teachers in many of the nation's large, urban districts that enroll high numbers and concentrations of students from low-income and minority backgrounds. Research has shown that too many classrooms in these districts are staffed by teachers with limited expertise and in part, as a result, student achievement is low (Lankford, Loeb, & Wyckoff, 2002). This is one major cause of the achievement gap among groups of students in the country.

Labor market economists argue quite eloquently that if an organization experiences shortages of certain employees, one problem is that pay levels are too low (Goldhaber & Hannaway, 2009; Lawler, 2000). They also argue that such individuals in the shortage areas are in a different labor market or, more precisely, that the labor market is segmented. One important factor in remedying this problem is to provide higher pay levels for those in the shortage areas.

To be sure, pay equity across jobs with similar responsibilities is an important value in all organizations, not just public schools. Yet, when private sector organizations began to experience shortages of individuals in technical and computer areas, they realized they had two choices: keep pay levels similar and have a shortage of and/or lower quality technology and computer employees, or recognize that such high-demand employees were in a different labor market and increase their pay levels in order to recruit and retain the quality technical

employees they needed to succeed (Lawler, 2000).

Public schools, through the single salary schedule, have long valued pay equity for teachers. The goal has been to pay teachers with similar qualities—years of experience, education units, and degrees—the same wage (Odden & Kelley, [1997] 2002). But as districts, again particularly large urban districts and the high poverty and minority schools within them, experience shortages of capable individuals willing to teach in those districts and schools, many realize they face a segmented teacher labor market and must pay some teachers more.

Initial pay differentials for high need schools were in the \$1,000–2,000 range; however, most districts now realize that that is not a sufficient differential and are beginning to provide incentives in the range of 10–15 percent, or at least \$5,000. Fairfax County (VA), Miami-Dade County (FL), and Chattanooga (TN) offer salary differentials of this magnitude for teachers willing to teach in high-poverty and low-performing schools. These salary differentials, together with several other linked initiatives, have resulted in the schools being able to staff all classrooms with good teachers and in most cases student achievement has risen significantly.

A similar argument can be made for specific subjects experiencing teacher shortages, again largely in many of the nation's big city school districts. The most common subjects are mathematics, science, special education, and expertise in working with English Language Learners (ELL). Again, many districts around the country are providing incentives for individuals teaching in these subjects. Research has shown that incentives at the level of \$1,000–2,000 have small, marginal impacts, but incentives at \$5,000 and above get more attention and have much more impact (Clotfelter, Ladd, Vigdor, & Wheeler, 2007).

The new Denver ProComp program has incentives for both mathematics and science, and for hard-to-staff schools, which is their label for schools with higher concentration of low-income and minority students and/or low student performance. Initial results suggest that the program has had some modest success in recruiting more individuals into these subject areas and schools. The Denver plan provides \$1,000+ for the math and science incentives, and a similar amount for the hard-to-staff schools. The federal TIF program also provides funds to states and districts to design incentives for teachers and principals who teach in high-poverty, high-minority schools, though the plans must also condition most of the pay incentives on improved student test scores (discussed below). The TIF grantees are providing much of the incentive in the form of bonuses, rather than base pay add-ons, though at much higher levels.

Having made the argument for incentives for hard-to-staff schools and for certain subjects, it should be noted that economic incentives are not the only factor needed to encourage teachers into these schools and subjects. In one large city, Milanowski et al. (2007) found that new teachers were more interested in the quality of the principal and the success of the inner-city school than a salary incentive. These factors—principal leadership and school working conditions—also emerged in other research (Goldhaber, DeArmond, & DeBurgomaster, 2007).

Further, recent successful experiences in recruiting graduates of some of the country's top colleges into large urban districts, poverty-impacted schools, and mathematics, science, special education, and ELL classrooms suggest that initial salary differentials might not always be needed. Teach For America (TFA) recruits thousands of graduates of top colleges and universities each year into inner-city schools, and The New Teacher Project (TNTP) recruits thousand of additional candidates largely into mathematics, science, and special education. Few school districts, and probably no university teacher training program, recruit actively

for these individuals. In New York City, 20,000+ such individuals apply to TNTP each year, and the organization believes there is an endless supply of such individuals, particularly with today's economy. TNTP's recruitment strategy is to encourage a shift to a meaningful teaching job, in which the individual can be a role model to children that need a better chance, do work that has a moral purpose, and have a private life as well. Few of these individuals demand a salary differential as they enter the system.

Anecdotal evidence from several sources, however, suggests that once in the system, these individuals want to be successful in the classroom. They want to be in schools led by instructionally oriented principals. They want to be in an organization with high expectations for the achievement of all students and that relentlessly pursues that goal. The individuals also want career ladder structures that put them in positions of responsibility and leadership around the instructional program. They also want a pay system that is based on their performance, taking into account both their level of instructional expertise and the gains they produce in student achievement. They do not want to have to wait 20 years to get to the top of the salary schedule. They want a performance-based career ladder and salary structure that let them move up to higher pay either based on new and increased responsibility or their own performance and/or the performance growth of their students (see also Johnson & Papay, 2010).

### *Linking Teacher Salaries to Instructional Improvement*<sup>6</sup>

Since research is clear that teacher effectiveness is the prime driver of student achievement, factors directly linked to effectiveness, such as instructional practice (see Kane, Taylor, Tyler, & Wooten, 2010), should be the prime factors producing base pay increases or annual raises in new teacher salary schedules. The prime factors are teacher knowledge and skills—these are the “instructional assets” the education system is buying with teachers' base pay. The overall goal is to redesign teacher salary structures so that, unlike years of experience and education units, base pay progression is linked to factors linked to student learning gains.

All organizations need to provide employees with an adequate base pay plan. Seniority-based pay plans, still the most prevalent structure of pay in both private and public sectors including education, assume that more years of experience produce a more valuable employee that is worth more pay. This assumption, in organizations that are restructuring and focusing on dramatically improved performance, might not be valid in today's world. This is undoubtedly true in education, as research is clear that after the first three years of experience, subsequent years of experience are not linked strongly if at all to greater teacher effectiveness in producing student learning (Goldhaber, 2009). The same is true for miscellaneous education units that often are not even directly related to the subject or grade a teacher teaches.

Thus, the objective for redesigned teacher salary structures is to trigger teacher base pay increases on factors that are linked to student learning gains, such as direct measures of teacher performance, i.e., instructional practice. Chapter 5 reviewed the systems that have been developed to provide these metrics, including the statistical linkage of these direct measures of instruction practice to student learning gains. We assume the existence of various statistically valid measures of teacher performance, or instruction practice, for the subsequent discussion.

All these measurement systems collect various combinations of data, including lesson plans, formal and

informal student assessments, videos, video clips or direct observations of actual instructional practice, and reflections by the teacher on their practice. The data are scored by trained scorers according to a system of teaching standards and rubrics.

The pay schedule in [Table 8.1](#) is an example of a dramatically redesigned teacher pay structure. All the specific numbers are for illustrative purposes only. The schedule assumes a rigorous and statically valid measure of teaching performance that groups teachers into four performance categories. The largest pay increases are provided by movements up teacher performance levels. The highest paid teachers would be those in the highest performance category, labeled Master in the schedule. These would be the teachers who produced the largest amount of student learning gains, so the general pay level of teachers would be linked to teacher effectiveness. This would be a radically different way to pay teachers and a way to link pay levels to effectiveness levels, but by directly measuring instruction performance, i.e., the instructional assets teachers bring to the table.

The schedule does include some “step” increases, but the highest step within any performance category is always lower than the first step in the next performance level, so this salary schedule sends the signal that improved teaching performance is the prime way to earn the highest pay level. The structure also includes pay increases for a Master’s Degree and a Doctorate Degree, but not for miscellaneous units that do not add up to a degree. We strongly recommend that any pay increase for a degree should be only for a degree in an area directly related to the teaching license (e.g., math or math education for a math teacher) and only for earning a degree, and not just miscellaneous units. A new pay schedule could also include a significant incentive for National Board Certification.

#### **TABLE 8.1 A Knowledge- and Skills-based Pay Plan**

Though having the “look” of the single salary structure, this schedule is much more performance oriented, as the major base pay increases are determined by a measure of instructional expertise that is linked statistically to value-added learning gains, and only degrees and certifications in the teacher’s licensure area earn additional pay differentials.

There are several other strategic aspects of this proposed schedule. First, assuming teachers are formally evaluated every three years, the structure provides a faster track to the top for very able individuals, as teachers could jump from Step 3 of the Emerging Professional level to the Professional level if the measurement showed that performance had enhanced to that standard, and could jump again from Step 3 of the Professional level to Master if the measure of teaching performance continued to improve. Second, a teacher’s salary would be “capped,” except for periodic cost-of-living adjustments, at their actual performance category until their teaching performance met the standards for the higher category. Third, if the system required a teacher to maintain performance at the tenured level, a recommendation we made in [Chapter 7](#), then high pay would never be associated with low teacher performance (because if performance dropped below the tenure level, the teacher would be dismissed). Fourth, this basic schedule could remain and be augmented with incentives for other factors, such as working in a high-needs school, teaching in a subject-shortage area, or earning National Board Certification. Finally, this kind of schedule uses one of the sets of strategic talent

management metrics—measures of teaching performance—to determine pay increases, thus aligning the base pay schedule with the other elements of the human resource management system.

Transitioning to this type of new salary schedule could take several years (e.g., the performance evaluation system for teachers would need to be created) and require many transition rules. The most important transition principle would be to “do no harm” and transfer all teachers onto the new salary schedule at their current pay rate. Future salary increases would be contingent on improved performance, but no teacher would lose pay in shifting from the old to the new salary schedule.

We suggest at some point, within about three years of initial implementation, that all teachers be placed on the new schedule. This sends the message that there are new rules about how to earn salary increases. Further, it is difficult to maintain two pay schedules over time, as Denver discovered in 2008. Although there could be a short period during which teachers could choose either the old or new schedule, at some point all teachers should be placed onto the new schedule, and receive pay increases under the new rules.

Other districts have decided to engage less in the performance measurement process and provide salary increases on the basis of a teacher simply engaging in specified professional development programs. For example, the Denver ProComp system provides a 2 percent salary increase (about \$680) if a teacher creates and implements a professional development program, with a principal’s approval. The assumption, which we think is optimistic, is that engagement in such professional development will improve a teacher’s instructional practice.

Most districts continue to use education degrees as the basis for some salary increases. The trend for the latter is twofold: first to require the earning of a Master’s Degree, Doctorate, or Specialist Degree, rather than just earning a number of miscellaneous units, and, second, to stipulate that the degree must be in the area of a teacher’s license. So, for example, a math teacher would need to earn an MA or Doctorate in mathematics or mathematics education in order to get a pay increase; a degree in educational administration would not count because it is not directly related to the teacher’s area of licensure. We endorse both of these practices as there is some research to support them particularly in math and science (Monk, 1994).

In certain circumstances, some pay based on years of experience is also warranted. For a variety of reasons, at times, districts want to condition some advanced pay options on an individual staying with the district a certain number of years, or to provide modest pay increases with a performance category.

## *2. Paying Teachers for Improving Student Achievement Outcomes*

There also has been considerable experimentation in providing teacher pay elements that are directly based on improvements in student achievement. Though controversial wherever they have been developed and implemented, these new pay elements are strategic as they include the other major set of SMHC metrics: measures of student performance and changes over time.

Since improved student achievement is the prime outcome of the education system, and attaining the level of achievement desired will require school systems to become continuous improvement systems for several years, these pay elements are most effectively provided as a bonus in the year they are earned. Thus, each year the improvement bar can be hiked, and the performance bonus is earned the subsequent year only if the new and higher levels of student performance are produced. This type of pay element would undergird the education system's efforts to boost student performance year after year, and would provide an economic incentive—a pay bonus—for school systems to become continuous improvement organizations.

Kentucky began this movement in the early 1990s by providing bonuses to schools that met pre-set improvement targets for student achievement gains. The Kentucky program compared the achievement of student cohorts (e.g., this year's fourth graders versus last year's fourth graders) over time to determine school eligibility. Teachers and principals could earn up to \$2,500 in annual bonuses. Charlotte-Mecklenburg was one of the first districts to design such a program, which continued into 2010, and provided bonuses up to about \$1,800 a teacher. Charlotte's system had several measures of student achievement and aggregated each student's gain score to determine school eligibility. North Carolina designed a system in the mid-1990s using individual student test scores and an early version of value-added. Bonuses in the range of \$1,500 were provided to all teachers in schools that met the improvement target. When the initial appropriation would have underfunded the program in the first years, the legislature went back in session and added funds so that all teachers in eligible schools received the full bonus. Cincinnati also created a school-based incentive program in the mid-1990s that provides a \$700 or \$1,400 bonus. The lower bonus was provided to schools that "almost" met the improvement target, i.e., schools that boosted student performance in a significant way but not quite as much as desired.

Several studies found that these pay for student performance programs had multiple, positive impacts on schools (Heneman & Milanowski, 1999; Kelley, Heneman, & Milanowski, 2002; Milanowski, 2000). Most importantly, they helped teachers understand the most important goals of the education systems— student performance in the areas included in the performance bonus systems. They also helped teachers channel their time, effort, and energy toward producing improvements in student performance in these areas *as a priority over* working on other aspects of schools. Indeed, teachers reported that such programs helped clarify how they should allocate fixed time and energy in systems that before the programs were unclear about what outcomes mattered most and where effort should be directed. These programs also helped retain teachers in the schools earning the bonuses. Not only did teachers experience the intrinsic rewards of seeing their students' performance rise and of working in a school that was successful in improving student achievement,

but also they experienced the aligned extrinsic reward of a monetary bonus for helping to produce the outcomes. Finally, these programs were part of the system's accountability that was outcome-oriented and reinforced the notion that the prime outcome of the education system was higher student performance in the most critical subjects.

Currently, almost all of the 34 programs funded in the first round of the federal TIF grant are providing annual bonuses to teachers based on improving student achievement. A substantial number are providing bonuses to individual teachers based on classroom-level value-added student achievement, while others are providing bonuses based on school-wide improvements in attainment. A new wrinkle is that some are providing bonuses to grade level or departmental teams, based on either value-added or attainment improvements. As the TIF program plays out, we should learn a lot more about how teachers react to the various types of bonuses, and which incentive program designs are more likely to lead to improvements in student learning.

### *Forms of Incentives Based on Student Learning Outcomes*

There are two major design issues for programs that provide some pay element based on student learning outcomes. The first is determining how to calculate change in student performance, which was discussed in [Chapter 5](#) and discussed further in Milanowski (2008b). There are simpler and complex ways to accomplish this task. The Consortium for Policy Research in Education (CPRE) handbook on teacher compensation (Odden & Wallace, 2007b) suggests using a simple balanced scorecard approach, but there are many in education who argue for a value-added approach. We have concluded that both can work.

The other major issue is whether to provide the bonus to all teachers in a school based on school-wide performance gains, or to allocate the bonus to each individual teacher based on the gains of that teacher's students, or to use some combination of these two approaches. We recommend that districts and states consider both approaches. The most popular and least contentious approach is to provide the bonuses to teachers on the basis of school-wide eligibility, i.e., all teachers or staff in the school would receive a bonus if the school as a whole met some preset target for improved student performance. The above-noted balanced scorecard in the handbook shows how this approach could work.

The above research on the operation and impact of student performance-based bonus programs all analyzed school-based programs. Although a major criticism of such a program is that there could be teachers who do not contribute to school-wide learning gains—the “free rider” problem—our research found this to be more of a possibility than an actual problem. In schools successfully working collaboratively to boost student learning, everyone got involved, including secretaries and lunchroom staff. And as noted above, such programs have been very successful in making teachers aware of the school's most important goals.

Kentucky operated a school-based bonus program for about ten years in the 1990s. North Carolina's program is nearly 12 years old. Charlotte-Mecklenburg's program is over 15 years old. And the Los Angeles-based Vaughn Charter School's program now is a decade old.

Providing bonuses to individual teachers based on the scores of their own students seems an obvious strategy to most casual observers outside of education, but it has been quite controversial within education. There are internal and external political dynamics and substantial technical issues to consider. The primary

internal political issue concerns teacher opposition, and technical issues feed political opposition. Much of the opposition for individual bonuses based on student achievement stem from teacher skepticism about standardized student test scores being valid and reliable indicators of their performance. Other political opposition is also fueled by major, but avoidable, technical glitches.

In most places where such programs have been proposed and implemented, teachers have strongly opposed them. This reality should be considered seriously. If the goal of a bonus program based on improvements in student performance is to enhance the effectiveness of a school system to produce even more student learning, controversy and battles over the design of the program are unlikely to help. Several years ago, for example, Colonial (PA) implemented a bonus program directed to individual teachers; the intense controversy over the program led the district to drop it after one year.

Launched amid significant teacher opposition in 2006–2007, the STAR program in Florida also met a quick demise. However, one of the first initiatives of the newly elected Governor Crist was to have the legislature modify the program so districts could design bonus strategies that were not targeted to individual teachers, though the overall program was delayed and finally dropped because of funding shortfalls. The controversy surrounding the Houston bonus program targeted to individual teachers was intensified when the calculations for which teachers earned the award in the first year were in error. After sending out the checks, the district asked teachers to return the amounts over-paid. District efforts to explain the calculations used to determine the awards were unclear and led to further teacher consternation.

The Houston experience points out other caveats in designing and implementing performance bonus programs. First, make sure the data and all calculations are accurate before sending out the checks. Second, be sure that the measurement system is clearly explained to teachers so that they understand how their efforts lead to a bonus. Making operational mistakes on these matters can kill a program.

On the other hand, Denver has shown how including such a program in a broader pay system provides external political support for the much broader pay program, and even considerable more money for teacher salaries. Indeed, the Denver program has been labeled the first and only teacher pay program in the country that—finally—links some of teacher pay to the performance of the students in their classroom. This characterization of the Denver ProComp program has been made even though this element of the program was not operating as of summer 2007 and now triggers a very small portion of the dollars in the overall new salary structure.

In addition to the technical issues that have affected individual teacher bonus programs referenced above, there are at least two other major issues to consider in developing a pay element based on the improvements in student performance in individual teacher's classrooms. The first is that current test scores exist only for about one-third of all teachers in a district. Assuming the district or state tests all students in reading and mathematics in grades 3–8, there are change scores or value-added scores only for teachers in those subjects in grades 4–8. There are no test score changes for teachers in grades K–3, nothing for high school teachers unless additional testing is conducted, and nothing for social studies, art, music, physical education, career/technical teachers, or guidance counselors, social workers, nurses, librarians, etc. Thus, two-thirds of teachers in most districts and states would automatically be excluded from a pay element linked to test score changes for a teacher's own students. The second technical point is that because of measurement error in any student testing system, at least two and probably three years of change data are needed to produce reliable and stable change

scores for individual teachers.

Despite these issues, we suggest that districts and states consider having both school-based and individual teacher-based student performance bonus programs. More money should be provided for the former than the latter, but the latter will provide external political support for all possible changes in the teacher pay system. And it could be *the* element that eases the ability of states and districts to add significant money to the teacher salary pot.

The Teacher Advancement Program (TAP) is one of the most successful programs in the country that includes student performance-based bonuses for both school-wide improved performance and improved performance for each individual teacher's students. When possible, the TAP sub-contracts the value-added calculations for both the school and individual bonuses to Bill Sanders, who has become widely known for his value-added model and who developed the Tennessee system that tracks value-added data for all classrooms in that state. The Value-Added Research Center (VARC) in the Wisconsin Center for Education Research at the University of Wisconsin-Madison also has become known for its work on value-added data, and is providing technical advice on value-added technical issues to many districts with TIF grants.

### *Size of Bonuses*

There is no hard and fast rule about the size of bonus programs. The initial programs around the country provided about \$1,000 a teacher. After taxes, that left a check in the \$600–700 range, but teachers in the above-cited research on these programs felt the actual check should be higher. That is why the initial school-based Cincinnati program provided \$1,400 a teacher; after taxes, the actual size of the bonus check was closer to \$1,000. The variable pay programs supported by federal TIF programs appear to be providing somewhat larger bonuses, with many in the \$2,000–3,000 range.

CPRE's book and handbook suggest bonuses in the range of 4–8 percent of base salary, which would be \$2,000–4,000 at an average base salary of \$50,000. The book and handbook, and programs like those in Charlotte-Mecklenburg, also suggest a range of bonus levels depending on whether the school or teacher comes close to but does not hit the target level of improvement, as well as significantly exceed the target improvement level. So if the target improvement produced a bonus of \$4,000, the program could provide a \$2,000 bonus to teachers if they came close to (which would need a specific definition), or \$6,000 if they significantly exceeded (which also would need a specific definition), the target improvement expectation.

Districts and states should also consider providing bonuses to everyone in a school if they take the school-based approach and have the funds to do so. The size of the bonus could be lower for classified staff, reflecting lower wage levels for those individuals. A standard practice is to make those bonuses about half the size of the teacher bonus. Many districts also include principals and other school-based administrators at the same bonus level as teachers. However, some districts are providing bonuses for improved student achievement only to principals, and the amounts can be large. In New York City, for example, principals can earn up to \$25,000 a year if the school meets the target for improved student achievement.



### 3. Summary

Teacher salaries constitute the largest portion of every school district's budget. Teacher salary levels and the way pay is provided impact teacher recruitment, turnover, and retention, and send signals about what the system expects teachers to do and produce. Most importantly, it impacts student performance. But today the salary schedule is out of synch with the strategic directions of the school system and should be redesigned.

We have concluded that at the national average, teachers are paid less than individuals in jobs that require a similar level of knowledge, skills, and job responsibilities. On average, the difference is between \$5,000 and \$10,000. Although these pay level differentials vary widely both across states and across districts within states, we have concluded that there is a national need to increase teacher salaries. The education system needs to recruit and retain capable individuals to teaching, and one aspect of this imperative is to raise overall teacher salary levels.

However, *we do not recommend that salaries be increased through the current single salary schedule* that most districts and states use. This salary structure provides pay increases on the basis of two factors—years of experience and education units—neither of which is strongly linked either to teaching performance, the factor that primarily produces better student achievement, or to student performance, the prime outcome of the education system.

Increased dollars for teacher salaries should be provided through a redesigned base pay teacher salary schedule that provides base pay increases for increases in instructional effectiveness, as well as Board Certification from the National Board for Professional Teaching Standards. In addition, states need to provide funds to allow, where appropriate, districts to provide salary differentials in the range of \$5,000 a teacher both for teaching in a high-poverty, low-performing, or otherwise defined hard-to-staff school, as well as to teach in areas experiencing shortages of quality teachers, such as mathematics, science, special education, and ELL.

We also recommend that on top of enhanced and redesigned base pay programs for teachers, districts and states add bonus programs for improved student performance, based both on school-wide student performance gains as well as achievement gains for students in each individual teacher's classroom.

In terms of allocating an overall \$5,000–10,000 pay increase, the suggestion is to put \$4,000 of the increase into bonus programs based on improved student learning, and \$6,000 into enhanced or completely redesigned base pay structures for teachers, including structures that include differentials for hard-to-staff schools and subject area shortages. In this way, *all new money*, and over time a considerable portion of extant money, for teacher salaries will be provided on the basis of the two prime talent management metrics: measures of teaching performance and measures of student performance. We note that various measures of both teacher and student performance, and gains in each, are part of the Bill and Melinda Gates Foundation project on Measuring Effective Teaching, which in a few years could provide even better measures of these two important factors.



## 9

# STRATEGIC TALENT MANAGEMENT FOR PRINCIPALS

*Steven Kimball*

Many of the issues covered in the preceding chapters depend on effective site leadership. Indeed, principals are instrumental in implementing district human resource strategies. They play critical roles in teacher recruiting, staffing, inducting, developing, and performance managing, functions explicitly discussed in [Chapter 10](#) on the principal as human capital manager. Principals are also considered the primary instructional leader in schools and must work with teachers to translate state and district academic standards into school and classroom curriculum and instructional strategies. These actions are expected while principals also foster a positive learning climate, build parent and community support, manage budgets and facilities, comply with federal, state, and district policies and reporting structures, and engage in their own professional development. With the complexity and requirements of the principal's work, it makes sense for school districts to carefully recruit, select, and develop school leaders—to strategically manage principal talent.

Few demands on principals' time have been dropped while the pressure on the principal has increased in recent years. The No Child Left Behind Act, educator quality provisions in *Race to the Top*, and other programs within the American Recovery and Reinvestment Act, including new turnaround initiatives, require changes to principal practice and place high expectations on school leaders to dramatically transform struggling schools or to maintain performance improvement, even if they are not currently struggling.

Research on school leadership has provided fuel for leadership accountability and improvement efforts. Considering school-related factors, the principals' influence on student achievement is second only to that of teachers (Leithwood, Seashore-Louis, Anderson, & Wahlstrom, 2004). Principals' impact on student achievement, though, is largely indirect; it is mediated by conditions principals establish or influence—setting clear goals linked to student achievement, focusing on instruction, providing professional development, allocating resources, and creating school structures and cultures—that in turn affect the teaching context, and it is the teachers whose efforts are directly related to student learning (Glasman & Heck, 1992; Hallinger, Bickman, & Davis, 1996; Hallinger & Heck, 1998). More recent research has confirmed principal influence on working conditions as well as the quality of teachers recruited and retained, teacher decisions to stay or leave a school, and school achievement (Beteille, Kalogrides, & Loeb, 2009; Ladd, 2009; Rice, 2010).

Leadership within school organizations is not the sole domain of formal school leaders (Leithwood & Riehl, 2003; Ogawa & Bossert, 1995) and research on distributed leadership has been more prominent in recent years (e.g., Camburn, Rowan, & Taylor, 2003; Elmore, 2000; Spillane, Halverson, & Diamond, 2001). Although different individuals within schools are likely to engage in various leadership functions, principals can facilitate these person-leadership role matches. In most districts, principals are responsible for ensuring

that important leadership functions are carried out within schools. In effect, principals' recognition and development of distributed leadership are yet another aspect of principal performance.

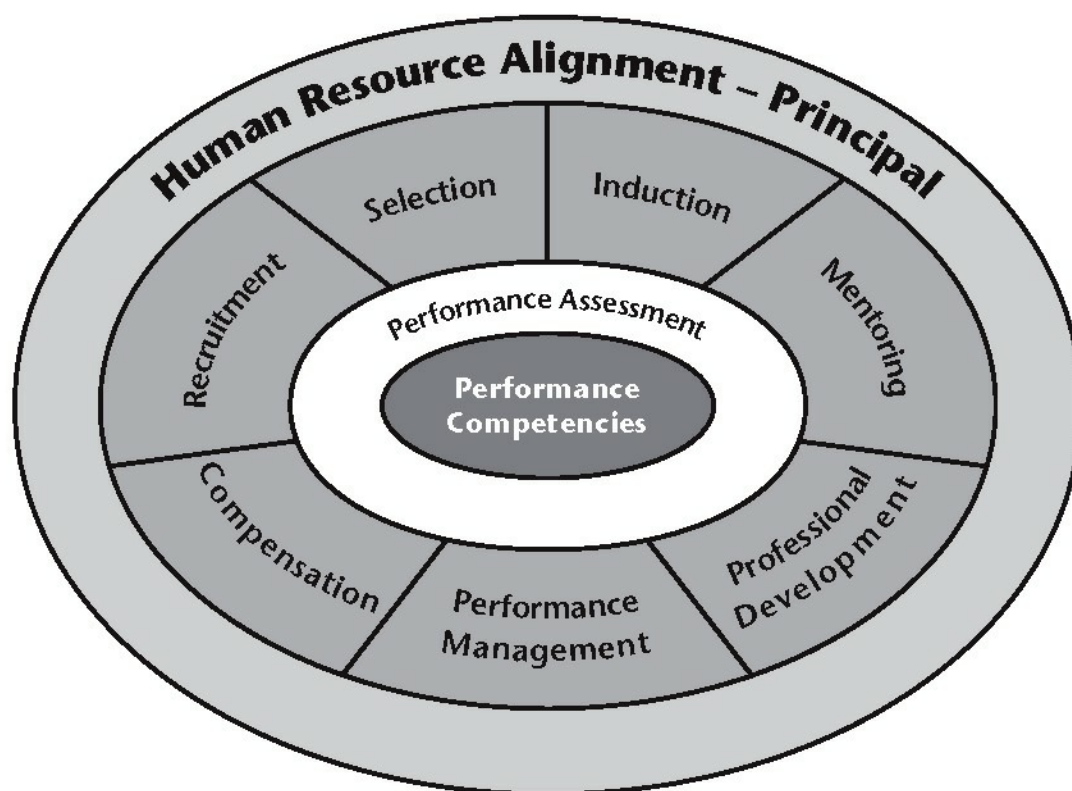
Given that principals have a huge influence on teacher quality, teacher retention, and school performance, school districts must make sure they are recruiting, developing, and compensating the school leaders needed to execute their district improvement strategies—in other words, strategically managing principal human capital.

This chapter explores what strategic human capital management for principals means primarily from a district perspective,<sup>1</sup> and provides examples from districts that are beginning to align their human resource and performance management systems around key principal competencies. Section 1 presents an SMHC model for principals to frame the discussion. Section 2 gives examples of innovative human resource practices that leading-edge districts have launched for principals. Although the examples derive from large urban school districts, which arguably have the farthest ground to cover in improving the quality and distribution of school leaders, the actions needed for a more strategic focus on principal talent apply to all districts. Section 3 provides an overview of one leading-edge district that has put together most of the pieces of the principal SMHC puzzle. The chapter ends with a summary.

## *1. SMHC for Principals*

Strategic human capital management is needed to recruit, develop, compensate, and retain effective principals. Like teachers, the idea is to find, develop, motivate, reward, and retain principals based on the competencies needed for school leadership excellence. Assuming a district wanted to pursue the instructional improvement strategies summarized in [Chapter 2](#), principals need to be able to create a sense of urgency by establishing a vision; analyze data and motivate staff toward the vision; set ambitious goals; adopt new curriculum and instructional strategies; use multiple forms of student data; invest in ongoing professional development; use time more effectively and efficiently; provide extra time to help struggling students; create collaborative school cultures, including professional, performance-oriented learning communities; and address the talent and human capital issues needed to realize all of the aforementioned elements.

Similar knowledge, skills, and attributes, which we call competencies, are identified in national leadership standards, including the Interstate School Leaders Licensure Consortium and the National Association of Elementary School Principals, and are also present in the National Institute for School Leadership (NISL) training program. Elements of school leader competencies typically cover the broad categories of vision, goal setting and strategic planning, instructional leadership, building or operations management, community relations, fostering school culture or climate, and human resource management. Drawing from these and other sources (e.g., Marzano, Waters, & McNulty, 2005; Reeves, 2009), as districts engage in strategic management of principals, they must identify the key competencies they want their principals to possess or develop, then structure principal recruitment, selection, induction, professional development, performance management, and compensation policies around the competency model. Figure 9.1 displays a model of how competencies can center these human resource functions for school leadership.



*FIGURE 9.1 Model of human resource alignment for principals.*

The model in [Figure 9.1](#) places principal performance competencies at the center of a strategic human capital management system for principals. From the competencies, a set of assessments can be developed to identify the knowledge, skills, and other attributes principals need to possess, demonstrate, or develop at different stages on the human resource spectrum. This spectrum includes recruitment, selection, induction, mentoring, professional development, performance management, and compensation. The competencies should be transparent to other district leaders, current principals, and aspiring school leaders, and leadership training programs.

Several districts have begun developing new competency models for school leaders, including New York City, Chicago Public Schools, Pittsburgh Public Schools (PA), and Washoe County School District (Reno-Sparks (NV)). Although these districts are large and mostly urban, every school district should determine which competencies it wants school leaders to possess, develop, and demonstrate in order to meet learning objectives within their school communities. Each of these district systems includes a set of leadership dimensions, with components and elements describing performance using a four-level rubric.

Chicago's system includes five performance dimensions, each of which has four to seven indicators. Each of the 24 indicators has a four-level rubric used to identify a range of performance levels. Table 9.1 presents the four-level rubric for one indicator. In this district, the standards were developed as part of an attempt to tighten the principal eligibility process and improve the pool of applicants from which local school councils, which have hiring authority, can select principals. The standards are also used as part of the district's new principal performance evaluation system, thus demonstrating one example of partial human resource

alignment. Using the standards, screeners for the application process look for evidence the candidates have provided through multiple tasks to judge past experience and to predict future performance relative to the competencies. The selection pool process is further described in the next section. Similarly, evidence is sought through the evaluation process on which district leaders assess principal performance to the standard.

In our review of leadership standards, the competency models these districts have developed and the national standards tend to overlook or lightly touch on competencies principals need for effective human capital management of school staff. The types of practices outlined in [Chapter 10](#) are often missing and, if added, would strengthen district principal competency models. Examples of human capital competencies districts could add to their principal competency models are included in [Table 9.2](#).

## 2. District Examples of Principal SMHC

Pittsburgh Public Schools, New York City School District, and Chicago Public Schools have made substantial progress in weaving together a SMHC approach for school principals. Other districts have also taken innovative steps in selected areas, such as recruiting, developing and placing, evaluating, and compensating principals. They may extend their new efforts into a comprehensive SMHC approach for principals. Some of the actions they have taken are notable for their rigor and effectiveness and so are also described in this section.

TABLE 9.1 Example of Standard from Chicago Public Schools Principal Competency Model

### *Recruitment and Selection*

As with teachers and other key staff, districts should develop and execute a staffing strategy for school leaders. Such a strategy was discussed at length in [Chapter 3](#). Recruitment of principals should focus both internally and externally, which does occur in many districts, but needs to be carefully managed to insure the best candidates lead schools. The placement of the most effective principals in the highest

TABLE 9.2 Example of Competencies for Human Capital Leadership

need schools is also an important consideration, given studies that have shown low-achieving, high-poverty schools tend to have lower performing principals and that these schools have the most to gain from effective principals (Leithwood, Seashore-Louis, Anderson, & Wahlstrom, 2004; Rice, 2010). Most districts would benefit from having multiple pipelines of principals from which to select and place in schools. Regardless of the source, a strategic approach to building a better candidate pool would lead the district to work with the training programs around leadership competencies needed for the district, or create its own training program.

Many, if not most, principal candidates work their way through an informal pipeline that begins in teaching (Gates et al., 2003), with coursework taken over time leading to an administrative credential, then work as an assistant principal. Principals are often chosen from this internal pool of assistant principals. Though teachers may be encouraged to pursue principal certification by their peers, principals, or school leaders (Myung, Loeb, & Horng, 2010), it is largely a self-selection process. In essence, districts leave it to individuals and their chosen higher education institutions to screen and select likely future principals. Since the rigor of many training programs is highly variable and mostly weak (Levine, 2005), this process limits the pool of quality candidates. This is not to discount individual motivation to pursue school leadership. The point here is that

districts and leadership training partners need to do more to identify motivated individuals with high potential for training and screen out those with less potential before they enter a training program. Innovative districts are working with higher education programs or developing their own pipeline of quality candidates and providing them with experiences that will help them become successful in leadership roles in their particular districts.

New York City, Atlanta Public Schools (GA), and Pittsburgh Public Schools (PA) have developed leadership academies to recruit, screen, and train new cadres of school leaders to meet the demands of their lowest-performing schools. Each district developed standards (competencies) for the programs on which to base training. The programs tend to have vigorous recruiting and are highly selective. They seek promising candidates who have demonstrated teacher leadership skills or who may be acting assistant principals or district leaders. The candidates engage in simulated school projects, focus on transformational leadership, and develop data-based decision-making skills, usually in learning cohorts. Candidates are also placed with practicing principals during their training in order to quickly engage in leadership activities to build on their developing knowledge base with real-world experiences. Following successful completion of the programs, candidates placed in schools are provided ongoing support as they transition to their new leadership positions.

Chicago Public Schools worked with the University of Illinois at Chicago to develop an urban leadership doctoral training program specifically focused on transforming schools in the nation's third largest district. Jefferson County (KY) is another district that has developed multiple pipelines for new leaders, including a nationally recognized partnership with the University of Louisville (Spiro, Mattis, & Mitgang, 2007). Both programs have characteristics in common with the leadership academies mentioned above, including a rigorous selection process, internship or fellowships with district principals, and networking opportunities.

In addition to the Chicago and New York City examples, Long Beach (CA), Fairfax County (VA), and Boston are SMHC case study districts that have developed new principal pipeline programs to identify and develop leadership talent. These programs reach out to promising teacher leaders, introduce them to the expectations of the principal role, provide workshops, and provide the candidates with job shadow or internship experiences with current principals. Some of the programs also partner with area universities to provide accelerated administrator certification, in some cases tuition-subsidized, to quickly get the candidates licensed. The programs identify talent within the district, develop them for leadership needs within their schools, then seek to place graduates in district schools.

Chicago, New York, Memphis (TN), New Orleans (LA), and several other districts also partner with New Leaders for New Schools (NLNS) as an alternative source of individuals to provide "break the mold" leadership for their schools. The NLNS training program includes its own rigorous selection process based on a model used to predict turn-around leadership potential. Their candidates receive intensive training during the summer, then are provided a working stipend and intern with an experienced principal who provides multiple and varied leadership opportunities with guidance, while the fellow attends evening classes leading toward a Master's degree. New Leaders graduates have access to a local and national network of like-minded New Leader colleagues, with support from the local NLNS office, ongoing training opportunities, and access to web-based materials.

The district academies and other alternative training programs have contributed many new principal candidates for these districts. In 2008, in New York City, for example, about 13 percent of acting principals

came from the district's leadership academy program, with 91 additional graduates of the NLNS program serving in New York City public and charter schools (Goertz & Levin, 2008). However, the majority of school leaders in this and other districts still come from traditional training programs and from the assistant principal ranks. To ratchet up the quality of all potential principals, Chicago and New York have developed new screening requirements for all potential principals.

As noted above, the Chicago screening process is now centered on a new school leader competency model. The process was designed to address concerns about the widely varying quality of school principals, who primarily advanced to leadership positions through a self-selection process. In a decentralized district, principals in Chicago only had to meet basic state licensure requirements and pass the search process of a local school council, which includes members of the community who may have very little background to identify, assess, and select effective school leaders. Since the district could not over-rule local councils on their hiring process, a new screening process was developed to improve the overall pool of candidates (Kimball, 2008). Aspiring or current principals who want to compete for a position in another school must now first complete a rigorous application that includes an accomplishment review of experiences on the competencies, a scenario exam (written test on leadership challenges), an interview assessment that includes a case study component, a simulated instructional observation to gauge their ability to assess teaching and provide instructional feedback, and a behavioral interview to assess past leadership practice. All of the elements are based on the competency model and responses to each component are scored by trained district assessors. Those who pass this screening process are then placed in the pool of candidates from which local school councils can select to interview for their school principal.

### *Leadership Succession*

Regardless of the source, more attention must be paid to leadership succession. Too often, there is a domino effect for school leadership positions, with one sudden vacancy triggering a shift in several principal and assistant principals, thereby disrupting multiple school communities. Rather than grooming a leader to fill a principal position, the imperative to quickly fill a slot may not produce the candidate with the best fit for the school context. Some districts also regularly rotate principals, with little regard to leadership context and school improvement progress of current leadership (Fink & Brayman, 2006). A rigorous selection process can help get the right person in the right school, but leadership succession planning should take a long view to principal placement and become a part of any district process for principal recruitment and selection.

As part of a comprehensive approach to improving principal leadership, the State of Delaware, in collaboration with the University of Delaware, has designed a Wallace Foundation-funded effort to encourage its school districts and charter schools to plan for principal succession. Using an approach modeled after succession planning in the corporate sector, the state provided grants to districts that proposed plans to address the following model elements: (a) profile of the competencies and motivations for successful principal performance in the district; (b) a process for identifying potential talent in the district; (c) guidelines for selection and assessment of talent that districts or schools could customize; (d) guidance on professional development of potential principals; and (e) the succession management process (Wilson, 2009). The process was intended to create a pool of potential talent that districts can then develop and prepare for inevitable

turnover in the principal ranks. Other examples of succession planning are beginning to emerge, but the practice is still relatively rare nationally and internationally (Fink & Brayman, 2006; Hargreaves, 2009; Olson, 2008).

### *Induction and Mentoring*

Even if a principal goes through a state-of-the-art training program, induction is still necessary. Yet many districts ignore, gloss over, or under-invest in principal induction and mentoring (Spiro, Mattis, & Mitgang, 2007). In the past, formal mentoring may have been attempted, but dropped due to budget constraints. Others continue some form of induction and mentoring activities, but leave it loosely organized, with ad-hoc workshops or simple encouragement that principals connect with an acting principal who may not have time to regularly interact with the new hire and with little follow-up to see that the connection was made or the support helpful.

Induction and mentoring are critical for new leaders to manage their new workload, face competing demands, and develop competencies to meet the challenges of the role. It is also important for principals transferring into a new school or being hired from another district, even if they have experience as a principal. Too often, new and experienced principals are just dropped into a school, where they have to quickly build trust with staff, students, and families. Support is even more imperative in schools that have had high leadership turnover.

Key aspects of principal induction include core elements similar to teachers: on-boarding, socialization, introduction to work site and colleagues, resources, and establishing formal mentoring relationships. These elements can help principals develop leadership competencies, learn about district expectations for school leadership, communicate performance evaluation processes, and initiate goal setting for the school's improvement plan as well as the principals' own professional growth.

The new pipeline programs mentioned above do include ongoing support for their candidates, including formal mentoring. These programs extend their training into the field, creating experiences to help principals manage their new responsibilities. In New York City, for example, the Leadership Academy provides new principals with one-on-one support from trained mentors who use a common support protocol, with activities designed to meet individual needs. In addition, the program offers leadership workshops, opportunities for principals to collaborate with their peers, and targeted technical assistance (Goertz & Levin, 2008). The district also provides extensive support for up to three years for principals trained to open new schools, including weekly sessions to develop school proposals and learn about starting up new schools. These principals also receive support from a mentor and engage in monthly development sessions with their peers.

All graduates of the NLNS program undergo a one-year residency program with mentoring provided by an experienced principal, and earn a salary close to that for an assistant principal. This salary is mostly paid by NLNS but sometimes by the partnering district.

A growing number of states and districts have established mentoring programs, but they may not have designed the programs to focus on mentor training and accountability (Spiro, Mattis, & Mitgang, 2007). Both are needed to maintain an effective program. Research is also needed in this area of principal support on the effectiveness and cost-benefit of different mentoring approaches.

## *Professional Development*

Although induction includes important initial professional development, ongoing professional development is a must for principals to keep up with changes to data systems, curricula and assessments, instructional strategies, and to build technical skills to keep up with a new breed of tech-savvy teachers. Typically, principal professional development is a mix of individual growth activities, school-based professional development around instructional priorities, or a hodge-podge of mandated professional development from various departments within the central office. There may be little coherence across professional development activities.

Professional development should be linked to the competencies principals need for instructional leadership as well as teacher human capital management. For example, principals need expertise in interviewing and selecting teachers, insuring an equitable distribution of effective teacher and other staff talent within the school, structuring learning opportunities for teachers, and evaluating teacher effectiveness. In addition, principals need expertise in allocating resources, designing school schedules to facilitate collaborate teacher work groups, and leading school staff toward higher levels of student achievement, including equitable outcomes. Professional development for principals can also occur in the context of teacher development—which should focus on instruction and assessment in the core content areas. A formal coaching program may also be part of the district professional development strategy for principals (e.g., Blended Coaching approach of New Teacher Center), as has been adopted by New York City and Chicago Public Schools.

Some districts and states have turned to the NISL for its principal professional development program. The NISL program involves 15–18-month training that is both in-class (about 29 days) and online. The coursework involves case studies, simulations, and reading in the topics of visioning, strategic leadership, building standards-based instructional systems, leadership in the core content areas (literacy, math, and science), team building, change management, and use of data to drive decisions (NISL, 2010). The approach trains both acting principals and future NISL trainers, so districts or states can build the capacity to continue the training for future leaders. NISL has trained over 4,500 leaders in 14 states. Recent research suggests that the program has contributed to improved student outcomes in participants' schools compared to non-participants (Nunnery, Ross, & Yen, 2010).

## *Performance Management*

Merely developing and submitting a school improvement plan or personal growth plan to the district office is not performance management. District goals from the instructional strategy should cascade down to school-specific goals, and principals should be held accountable for meeting those goals. In an aligned system, the professional development would also center on the principal competency model elements needed to be successful with district and school goals. Performance goals can then be set with principals and between principals and staff. One approach starts with the School Improvement Plan (SIP) that has specific targets for improving student achievement, sets out strategies for meeting them, and includes timelines for

implementation. These school goals should be directly linked to important district improvement strategies. Then, principals would set goals with teachers or teams of teachers to implement the strategies of the SIP. Other goals for principals could be based on a review of past evaluations and identified competencies that need to be developed or refined. Principals should then be supported and held accountable for meeting these goals. As with teachers, the performance evaluation process is a key element in performance management of principals and should include leadership behavior as well as student outcome measures.

Typically, performance evaluation for principals is weak and perfunctory like teacher evaluation. Standards-based evaluation approaches can be part of the performance evaluation process. Some districts have implemented evaluation approaches with updated standards for school leadership, performance rubrics with four levels (from unsatisfactory to advanced), and trained evaluators to make judgments based on the rubrics and relevant performance evidence (Kimball, Milanowski, & McKinney, 2009). Use of standards-based approaches does not appear widespread, but may increase as states and districts attempt to meet the educator quality and equity provisions within the American Recovery and Reinvestment Act (ARRA) programs. Further, the use of principal evaluation to inform other human resource functions, such as assignment, promotion, or compensation decisions also appears limited (Kimball, Heneman, & Milanowski, 2007). Insuring evaluator accountability and evaluation reliability also tends to be overlooked. Nonetheless, such standards-based approaches are improvements over prior checklist systems and can be used to align other aspects of principal human capital management.

Within the ARRA programs, there is a strong push for tying principal evaluation to student achievement outcomes from the federal level, which has speeded up a trend among districts and some states to start linking principal evaluation to school outcomes. In response, many states have initiated changes to laws regarding teacher evaluation and tenure, including student outcomes for both. Districts have also increasingly begun to link principal performance evaluation and compensation outcomes to student learning gains. Using student assessment data for decisions on teacher and leader outcomes requires sound metrics and processes, as considered in [Chapter 5](#).

Just as with measures of teacher productivity, there are measurement errors in estimates of school productivity. In addition, principals frequently move between schools, even within the same district, which necessitates allowing principals time to impact organizational conditions that lead to improved student achievement. The same rationale applies to newly hired principals. Considering both measurement error and the indirect effect of principals on achievement, two or three years of outcome data, combined with other performance measures, would provide a more valid basis for an evaluation rating. These cautions are not intended to discourage the use of student outcomes for principal performance decisions. Indeed, as the bottom line in improving education systems, we strongly believe student achievement measures should be a substantial element in principal performance evaluation, representing at least 25 percent and up to 50 percent of evaluation ratings.

Atlanta Public Schools have developed a multi-dimensional approach to evaluating principal performance. The system is designed to reinforce the district's strategic plan and balanced scorecard by emphasizing the actions and results that school leadership should pursue to achieve the district and school objectives. The process includes measures that are objective (student outcome) and subjective (behavioral observations and artifacts) for leadership performance.

Table 9.3 presents the main parts of the Atlanta performance appraisal approach. In the Atlanta system, principals are evaluated by their supervisors on student achievement, demonstrated leadership competencies, and personal growth. The dimensions are scored differently, with student achievement given the highest weight. The student achievement dimension is a combination of test score and attendance outcomes that are compiled by the district research and assessment office. Using the reports on the student outcomes, the other leadership dimensions, and evidence reflecting performance on the dimensions, the principal supervisor provides a summative rating ranging from Unacceptable to Outstanding. For any dimension that is scored below threshold (e.g., ten or fewer points on the student achievement dimension), an intervention plan is required to be developed by the principal and supervisor and implemented the following school year.

Balanced scorecard models, popular in the private sector, provide another tool for principal performance management. They often include multiple measures of performance, including important school, district, and personal growth outcomes. This approach has been applied at the district level, as noted above in Atlanta, and for principal performance, as in Memphis. In addition to including school achievement goals, such as student achievement, attendance, and graduation, other elements can cover individual performance goals, compliance with district and state requirements, and an evaluation of the principal's performance on the district's principal competencies. The scorecard approach can be used as a performance management tool and can include decisions that affect principal compensation (i.e., performance bonus or base pay increase). Table 9.4 depicts one example of a generic scorecard approach.

**TABLE 9.3 Example of Atlanta Principal Performance Evaluation for Elementary Schools**

The scorecard represents a mix of qualitative and quantitative measures, and individual and organizational variables. It is aligned with district objectives through the development of school improvement plans linked to district improvement strategies. It includes behavioral measures on the leadership competencies that are important in their own right, but that are also expected to lead to the other outcomes. In other words, a principal with a high rating on the behavioral assessment of competencies should also have school outcomes that are also high or at least improving. This relationship can (and should) be assessed in a validation process of the performance management system. Additionally, the competencies can be used as principals and their supervisors reflect on leadership performance and select goals. The last score area, management and compliance, draws on reports from central office departments on aspects such as financial management and compliance with basic laws, regulations, and policies (i.e., special education, collective bargaining agreements). While important, assessing compliance should not present a burden to the principal or supervisor in pulling together and sorting through documents. Thus, other district departments play a primary role (and often have a stake in the outcome) for this dimension. Finally, this scorecard approach represents a process that is not done *to* principals, but *with* them through their interactions with district supervisors. Different dimensions can be weighted to emphasize priorities (e.g., student outcomes and leadership behaviors), depending on district priorities. It is also a tool that can be applied to individual growth and reflection and performance management, with potential outcomes for professional development, advancement, and compensation.

**TABLE 9.4** Generic School Leadership Scorecard

If performance evaluation is to be a meaningful component of performance management strategy, then a comprehensive system, with multiple data sources, and trained evaluators is necessary. If the performance evaluation system is used as part of a compensation system, then validity and reliability are even more critical.

### *Compensation*

Principal compensation systems tend to resemble teacher salary structures. Many include a different range of starting salary depending on school level (elementary, middle, and high), experience, and education. Salary increases (steps) are often provided through a standard schedule, through periodic cost-of-living increases, or to maintain parity with teacher pay increases (Educational Research Service, 1987; Kimball, Heneman, & Milanowski, 2007).<sup>2</sup> Geography and size of the district can also influence starting salary levels (Goldhaber, 2007). Historically, there has not been much innovation or research on promising principal compensation practices and there is not even recent research on basic forms of principal pay.

There is emerging evidence, however, from descriptions of Teacher Incentive Fund (TIF) sites, which have encouraged experimentation with principal pay, particularly with performance pay elements. All TIF districts include some form of performance pay for principals in addition to teacher pay for performance. Most are simply small to moderately-sized bonuses based on the fact that the school meets student achievement goals. However, at least one TIF grantee, Pittsburgh, has changed both base and variable pay components (Pittsburgh Public Schools, 2008).

The Pittsburgh program eliminated experienced-based increases and substituted a standards-based evaluation to determine annual raises of up to \$2,000. The amount is determined by how well the principal's superior rates the principal on 27 components of the evaluation system using a performance rubric applied to evidence provided by the principal or observed by the supervisor. Principals must receive a proficient rating on all performance standards. Novice principals are evaluated on the complete set of rubrics while experienced principals are evaluated on the full set every three years. Experienced principals may receive the base increase in the "off-years" for meeting objectives set in a professional growth plan designed to impact student achievement.

The variable pay component includes an award of up to \$10,000 based on school student achievement growth. The award is determined using a school performance index developed by the RAND Corporation. For elementary and middle schools, the index includes average student growth in reading and math tests for the applicable grades 4–8. There is an additional measure for elementary schools based on third grade reading, which compares scores for each third grade student to the average score of students with similar background characteristics.

For high schools, the index uses results on state and district tests in math and reading for grades 9–11, and measures for increases in the number of African American students taking Advanced Placement or International Baccalaureate classes, numbers taking related exams and their scores, percentage of graduates who took the SAT exam, and percentage of students with 6.5 credits or more (Pittsburgh Public Schools,

2008).

New York City has also taken innovative steps to revamp principal compensation. While base pay reflects experience, school size, and level, the district ramped up salaries across the board to be more competitive with neighboring districts (Goertz & Levin, 2008). In addition, performance pay elements have been added. Principals can earn an annual bonus of up to \$25,000 based on results from a school progress report. The progress reports include student achievement and school climate measures (attendance and perceptions on academic expectations, communications, engagement, and safety) which are compared to schools with similar characteristics and the citywide average for schools at the same grade level. Principals selected to serve in high-needs schools (based on prior performance), agree to serve for three years, and who meet performance expectations, are eligible for an additional \$25,000 stipend.

### 3. *Bringing It All Together*

Pittsburgh Public Schools has gone further than most in developing a coherent SMHC approach for principals. Funded by the district, foundation support from the Broad Foundation, and a grant from the TIF, the Pittsburgh Urban Leadership System for Excellence (PULSE) is a central part of the district's larger reform effort. PULSE includes an emerging leaders' academy, induction program, professional development academy, mentoring and training of principal supervisors, performance-based evaluation, and performance-based compensation. A competency model centers these initiatives. As described in a district document, "The foundation of PULSE is a performance standards evaluation rubric, or roadmap" (Pittsburgh Public Schools, 2008). A summary of the PULSE program follows:

- *Emerging leadership academy.* Funded by the Broad Foundation, the academy is a pipeline program designed to better recruit, train, support, and place principals in the district who can promote transformational change, instructional leadership, and civic commitment. Program participants complete a year-long residency with mentor principals and also are paired with civic mentors to learn about broader community interactions and impact. Learning opportunities also include practical problem-solving scenarios and an action research project.
- *Induction program.* The district has developed a two-year induction program. Principals are trained on district policies, procedures, and instructional philosophy, including curricula and data use. Importantly, new principals are also trained on the district's performance evaluation standards (i.e., competency model) and receive coaching from principal supervisors on school management. Additionally, the induction activities are linked to the Pennsylvania Inspired Leadership program, which is based on the NISL principal training model.
- *Leadership Academy.* All principals and other district administrators also receive on-going training through the Leadership Academy. The development academy trains leaders on the evaluation standards. Further, all professional development activities within the academy are aligned to the evaluation standards and also help leaders develop school improvement plans.
- *Executive director mentoring and training.* In addition to their coaching and support roles, executive directors also evaluate principal performance. They receive extensive training in the evaluation process, including the standards, rubrics, and evidence needed to make ratings. The training is designed to establish inter-rater reliability for evaluation decisions. Executive directors also receive coaching from an external organization to improve their ability to engage in performance-related dialog with principals. New executive directors are supported to transition from being a peer of principals to being principal supervisors.
- *Performance-based evaluation.* The evaluation system is based on the Interstate School Leaders Licensure Consortium (ISLLC) standards, and has been adapted to include a set of rubrics to assess performance on four levels, from rudimentary to accomplished practice. The rubrics were developed using the ISLLC standards, based on Marzano and colleagues' research on school leadership (Marzano, Waters, &

McNulty, 2005), and rubrics based on the Institute for Learning model of school improvement developed by Professor Richard Halverson of the University of Wisconsin-Madison. Principal supervisors are trained on the standards and rubrics, and evidence upon which to judge principal performance. As described above, the evaluation process is differentiated based on principal experience. Novice principals are formally evaluated during their first two years. Experienced principals are formally evaluated once every three years and engage in professional growth projects during the other two years. Results are used for performance improvement, formal intervention plans, and as part of the district's new compensation plan.

- *Performance-based compensation.* Also described above, Pittsburgh has been an innovator in principal compensation. Funded by the TIF program, the pay for performance plan is based on evidence of student outcomes and ratings of principal performance from the evaluation system. The district no longer provides annual across-the-board salary increases. Instead, principals can earn salary increases of \$2,000 based on their ratings on the evaluation rubric or for satisfactory completion of professional growth projects. A variable pay component of up to \$10,000 can be earned annually, based on school student achievement growth, using student test results and other outcome indicators at the high school level, such as student enrollment and achievement in Advanced Placement courses.

With the new competency model, Pittsburgh Public Schools has hit on all areas of human capital management for principals. Although it would be good to know more about some of the assessment structures and processes for each of the human resource functions, the model is one to follow for the impact it will have on school leadership quality. Clearly, Pittsburgh Public Schools is not shying away from major human resource innovations. It is also one of four Gates Foundation Empowering Effective Teachers Initiative sites and will be receiving \$400 million to pursue dramatic changes to teacher performance evaluation, professional development, and compensation with support from that foundation.

## 4. Summary

This chapter has identified a number of innovative human capital management practices in leading edge districts. Several of these districts have placed a priority on improving the quality of their school leaders and have begun to align their human capital management systems around new leadership competency models. The following elements summarize these changes and should be included in SMHC for principals:

- Create a set of competencies that comprehensively address human capital management, in addition to other common leadership dimensions for instruction, school culture, and organizational management.
- Strategically recruit from new talent pools and develop new organizations (i.e., district academies) or partnerships (e.g., NLNS) that develop a pool of principal candidates.
- Select more consciously using the newly specified competencies, and institutionalize succession planning to identify, develop, select, and ultimately place principal talent where it is needed most.
- Provide induction, mentoring, and ongoing professional development around the competencies—particularly for such human capital management competencies needed for selecting, developing, evaluating, and retaining effective teachers.
- Develop new performance management using standards-based evaluations (centered on the competencies) and performance scorecards, with school-level student performance constituting a high percentage of the evaluation score.
- Institute new forms of compensation, based on the results of the performance evaluation and providing bonuses based on improved school performance.

Pittsburgh Public Schools was highlighted as moving on these multiple fronts to create a cohesive system around their competency model, including new pipelines for recruitment and pre-service training, a comprehensive induction program, a leadership academy for ongoing training, performance-based evaluation, and compensation. The other districts cited also have many of these elements in place or are pursuing these types of changes. Each now sends the strong signal that the status quo, self-selection process of advancing to the principalship is no longer an option. Ramping up selectivity, support, and retention of effective school leaders are the new imperatives. Other districts nationally could learn from these initiatives, and start filling in the gaps between expectations for principal practice, competency models that can be used to identify and guide effective practice, and linked human resource systems that are aligned to the competency model and across functions.

Principals are responsible for creating an effective learning environment that matches high quality staff with curricula and materials needed to support the achievement of all students in their schools. It is up to school districts to structure their systems to support principals and hold them accountable for their critical roles. In their very busy and complex roles, principals do not benefit from a cacophony of different priorities and expectations raining down from the central office. Centering district expectations on a comprehensive school leadership competency model can help district leaders and principals communicate on a common wavelength. When the competency model is used to align district human capital management practices for principals, the

synergy can help identify, develop, and reinforce effective school leadership practices.

## 10

# ORGANIZING TO IMPLEMENT STRATEGIC HUMAN CAPITAL MANAGEMENT IN EDUCATION

*Allan R. Odden, Anthony Milanowski, and Steven Kimball*

This chapter describes how schools and districts can organize to implement a strategic approach to human capital management. Section 1 discusses how principals implement the core school-level human capital management activities of acquiring, developing, motivating, and retaining effective teachers. Section 2 describes various central offices' functions in talent management: (1) how to partner with principals to support their execution of district strategies for managing teacher talent at the school level; (2) developing HR analytics, including HR alignment analyses and strategic HR metrics; and (3) how to organize to insure talent management receives proper attention across the district and in all central office divisions, departments, and offices.

## *1. The Principal's Role in Strategic Human Capital Management*

Chapter 4 argued that principals have important roles in performance management, complementing the efforts of teacher teams and district-level systems of measurement and accountability. This section discusses the principal's role in the acquisition, development, motivation, and retention of talent. The principal (and in some schools, other school leaders) are the "face" of human capital management for most school staff. The principal is not only responsible for many day-in, day-out interactions with staff that influence their decisions to stay or leave and their choices about how they will direct their efforts, but s/he is also responsible for translating district management initiatives into actions that become what teachers experience as human capital management. Thus, the principal is a key link in district strategic talent management efforts.

### *Acquisition*

Principals have important roles in attracting strong staff to their schools and making hiring decisions to put the best person in the right role (Stronge, Richard, & Catano, 2008). There are a number of steps the principal must take to make these critical staffing decisions. They should plan for turnover, develop a recruitment message, network with talent sources and recruit from those pools, enact a rigorous selection process, and obtain commitment from the best candidates. These procedures have been highlighted on effective staffing practices in the private sector (Heneman & Judge, 2009), but may not be typical of principal practice (Kimball, Milanowski, & Heneman, 2010). Rather than take chances on whoever walks through the door to apply to their school, effective human capital managers deliberately plan for and enact these steps consistently. This section will touch on each, providing examples from districts we have worked in or learned about in our research on school and district human capital management practices.

### *Plan for Turnover*

Principals must plan for teacher turnover so that the school is able to interview the best candidates early in the process and minimize last minute hiring. There are certainly instances where teachers hold off on resignation or retirement decisions depending on their own retirement security or broader economic conditions. They may wait until the last minute (e.g., August) to announce their intentions to leave. Other teachers may leave with little warning for other reasons, such as moving to a different region. There may be little a principal can do to anticipate certain departures. But rather than waiting to see what vacancies occur in August or later in the fall, proactive principals plan for these events and try to gauge teacher intent to the best extent possible.

Some proactive principals use informal, anonymous surveys to estimate turnover intentions. Principals can also survey staff to learn about preferences of teachers for filling positions within the school that may be opening. These positions may include serving on the school leadership team, other committees, or other

positions (e.g., mentor teacher), in addition to interest in teaching at a different grade level or content area if they have appropriate certification. Formalizing this process can help to identify internal talent or those motivated to take on other roles as part of planning for future staff changes. In some cases, the best candidate for an open position may be someone on staff. Knowing who within the school may be interested in assuming a different role is an important part of staff planning and can help make staffing a process rather than an event (Heneman & Judge, 2009). Of course, moving internal staff to another position may then require that person's position to be filled. Additionally, internal staff changes should be a part of the school's formal selection process. This requires staff planning that is dynamic and ongoing to address person-job matches, and how open positions will be advertised, selected, and supported.

### *Develop the Recruitment Message*

Developing a recruitment message is another key part of the talent acquisition process. The recruitment message is about marketing the school to prospective talent, both within and outside the district. An effective message conveys the school vision, its strategies for improving achievement, the competencies teachers and other staff need to have or develop to implement the strategies, and support and career growth opportunities. The message can then be used in formal advertisements, on the school web site, during job fairs, or distilled into catch phrases that principals and teachers can use to describe their school to peers and future prospects. In essence, principals and school staff need to have a "brand" for the school that resonates to prospective teachers who possess or have the potential to develop the skills needed in the school.

In our research (Kimball, Milanowski, & Heneman, 2010), we talked with a number of principals who actively sold their schools to prospective talent. They did this by talking up instructional strategies, by professional development provided to teachers, by the working environment (parent involvement, student behavior, staff engagement, leadership opportunities), and by recent academic gains of students. Marketing schools on these features builds on research, demonstrating that teachers are attracted to schools with strong school leadership and positive working conditions, including supportive staff, safety and discipline, and academic reputation (e.g., Brown & Wynn, 2009; Greenlee & Brown, 2009). School reputations on these features are apparent within and occasionally beyond districts. The extent to which principals and "key ambassador" teachers can harness these features as selling points within the recruitment message will enhance the prospects of drawing in high quality applicants, to fit the school's vision for instruction and staff involvement.

### *Network with Peers*

As part of a recruiting strategy, proactive principals also develop and use personal networks and the networks of outstanding staff to augment district recruitment efforts. These networks can be an important source of new talent because the networked individuals will know the type of teacher being sought for the school. It can be even more important for critical or hard-to-fill positions.

Kimball, Milanowski, and Heneman (2010) found that principals often used their networks when a position was opening. Before formally announcing the position, many first called their colleagues to see if

there were promising candidates whose positions were being “excessed” due to enrollment changes or who taught in schools that were closing. Staff were also encouraged to keep their eyes open for possible teachers during district professional development sessions.

In one school, a principal from the New Leaders for New Schools (NLNS) program contacted fellow alumni for recommendations. The person trusted peers from the program and believed they had a common vision for effective teachers. In addition, her colleagues knew her leadership style and the reputation of the school, so provided help with the teacher/school match. Another principal new to a school worked to foster a collaborative staff environment, which included counseling out or formally terminating some who were not collaborative, then encouraged teachers who remained and were committed to the school vision to recommend candidates when positions opened. The principal trusted their judgment, but still had the candidates go through a rigorous selection process (one that included teachers on the selection team) and let the recommending teacher know that their reference was valued, but no hire was guaranteed.

### *Enact a Rigorous Selection Process*

Perhaps the most critical aspect of talent acquisition is the selection process. Making the right hiring decision can mean the difference between obtaining a productive member of the team or a person who does not fit the school and may not have the skills needed for the position. The result can lead to high costs of remediation and possibly termination, with the selection process having to be repeated. Principals must make use of sound selection techniques to assess the competencies of job candidates. Unfortunately, the limited studies available on teacher selection have shown that principals tend to have little training on job selection, rely primarily on interviews, and use weak criteria that do not predict teaching effectiveness (Kimball, Milanowski, & Heneman, 2010; Stronge, Richard, & Catano, 2008). Some may do little more than have a conversation with the teacher applicant. Principals can no longer rely only on gut reactions developed in simple “tell me about yourself” job interviews. Instead, they should employ techniques that have shown promise in job selection, including situational and experienced-based interviews, work samples, portfolios, references, and rating systems.

One innovative principal stood out in our study of principal human capital management practices (Kimball, Milanowski, & Heneman, 2010). To help focus and guide the selection process, the principal at this high school first worked with teachers to develop six attributes they expected from teachers. The selection process includes a standard résumé screening that eliminates about 50 percent of the applicants. This is followed by a phone interview that focuses on the six attributes, typically yielding 5–10 candidates for serious consideration. Each candidate is then interviewed by the principal and the relevant department chair. Those who get over these hurdles are invited back for “finalist day.” On finalists day, the candidates participate in a group exercise on student data with other final applicants. They are asked to collaborate to analyze the data and generate solutions, including developing an action plan. During the process they are observed by the members of the selection team. This activity is followed by other exercises in which the candidates work together to solve a school issue, have a one-on-one conversation with a parent, and complete a writing prompt. The selection team members use a common format to assess the candidates, including a scoring rubric along a four-point rating scale in four areas. Finalists with a total score of less than 11 are automatically eliminated. If there are

finalists with scores above 11, the highest scoring candidate receives the job offer. In close cases, members of the selection team will observe the finalists in a classroom teaching situation in order to make the final selection decision.

Rigorous selection practices like the above example are certainly possible, and are similar to the Teach For America (TFA) and The New Teacher Project's (TNTP) recruitment practices. Most principals would benefit from a better understanding of research- and best practices-based strategies and experiment with tools to strengthen their school's staffing process. A number of resources, selection instruments, and issues to consider are available to help in the selection process (see Heneman & Judge, 2009; Pulakos, 2005; Stronge, Richard, & Catano, 2008).

As part of the selection process, principals should also provide prospective staff with a realistic job preview so that candidates know the job requirements and culture of the school. Principals should be upfront about the demands of working in their particular school settings, including resource constraints or social challenges facing families and students, and expectations for teachers to go above and beyond to meet the challenges. Providing a realistic overview was one of the most common aspects principals discussed on the teacher selection process from our study of principals as human capital managers. Those who are eager to meet the demands will be reassured through the realistic preview and those uncertain or unwilling can self-select out of the process before they make a poor job choice.

Finally, once principals go through all of the above steps and have identified a candidate with the best fit for the position, they still have to close the deal to complete the selection process. Principals must secure the commitment of the new hire so that s/he comes to school with a determination to succeed. This requires the ability to discern what a particular candidate's needs and values are and to be flexible in crafting the job offer. This might include potential leadership opportunities and access to technology and other resources. Training and induction support opportunities are a key selling point for new teachers, both of which should be part of a school's talent development strategy.

### *Talent Development*

Districts have a large role in designing and requiring professional development, including induction and ongoing support. Unfortunately, most districts do not have a strong track record of providing effective professional development. As highlighted in [Chapter 6](#), districts frequently squander resources on disjointed or short-lived professional development initiatives.

School districts have a major role to play in emphasizing the importance of professional development, providing resources, and designing and delivering professional development opportunities. It is up to principals and other school leaders to formulate a professional development strategy that can align with district objectives while meeting school-specific instructional needs. The principal's role in this process includes working with teachers to create professional learning communities and scheduling time for induction and professional development to occur within them, establishing and monitoring a school-specific induction for new teachers, and evaluating professional development, both across the school and as part of teacher performance management. We end the section with an example of the talent development strategy from one school in our sample for the principal human capital management study that illustrates some of these key

concepts.

### *Generating and Scheduling Job-Embedded Development*

As we argued in [Chapter 4](#), a promising induction and professional development strategy is built on a school professional learning community model. Principals first need to creatively schedule opportunities for teachers to meet in collaborative grade level or content area teams during the work day and beyond normal working hours (i.e., before or after school, on weekends, and during summer). These teams can include teachers with a range of experience levels, and can pair new teachers with more experienced teachers to work on developing and assessing instructional units, revising the curriculum, data analysis, and other instructional activities. They can also include an instructional coach to help the entire team, especially the new teachers, to focus on instruction and assessment techniques. The overall school professional development carried out within the collaborative teams must also align with the district's curriculum, standards, and instruction priorities.

Working with teachers, principals, coaches, and collaborative team leaders can develop individual professional development plans that are consistent with the school and team-based professional development plans. These plans are responsive to any practice improvement needs identified in individual performance evaluations. Combined, these activities can also be included in the school's performance management approach, which is discussed more in this chapter's section on motivation and in [Chapter 4](#).

Increasingly, principals have been working their school schedules to allow teachers to meet in these teams during regularly scheduled planning periods. Doing so often requires new resources, but also can be done creatively by reallocating existing resources. A number of examples are summarized in [Chapter 6](#) and discussed in detail in Odden and Archibald (2009) and Odden and Picus (2008).

### *School-Specific Induction*

Even if a district has a standard induction program, it may not be enough to adequately support and begin the development of new teachers. Schools should supplement district-provided induction programs with induction and mentoring activities focused on school-specific strategies (through the collaborative teams) and on socializing new teachers into the school's culture. Given the shortcomings and variability of district- and school-provided mentoring, a number of districts have partnered with external providers, such as the New Teacher Center (NTC), to deliver trained, fully released external mentors.

We are currently evaluating the new teacher mentoring support provided in a large urban district that uses the NTC approach. This district also provides school mentors who offer school-specific supports to new teachers and coordinate support activities with the principal and external mentor. Although the external mentors trained by the NTC provide consistent and valued support to new teachers, the school mentors are highly variable in the time they are able to commit and the quality of support they provide.

A major reason for this variability is lack of principal support and attention to the mentoring program. In some schools, principals take an active role in new teacher support, stay on top of support provided by the school and external mentors, create multiple opportunities for new teachers to receive help from the school

mentor and other colleagues, and allow teachers to be released for the support activities (i.e., meeting with the mentor or observing teachers in other schools). In other schools, principals were not aware of supports new teachers were receiving or needed. Other problems in these schools, including discipline problems and weak collegial interactions, left new teachers isolated and frustrated. Principals need to realize the importance of active management of induction to socialize teachers to school performance expectations and ensure induction activities take place.

### *Evaluating Professional Development*

Monitoring the implementation and impact of induction and professional development (PD) is another step in the school talent development process that principals often overlook. Principals who are engaged talent managers, in contrast, regularly monitor PD with other school and teacher leaders. They do so by participating in PD activities, using focused classroom walk-throughs, periodic surveys, and just getting out and talking to staff. Additionally, principals can evaluate the effectiveness of PD through the teacher performance evaluation process. If PD opportunities are directly aligned with the evaluation system, principals can use “pre- and post-” evaluation observations and ratings, along with discussions with teachers about whether the PD met their needs, to assess PD impact.

### *Example of Talent Development Strategy*

In one of the schools included in our study on the principal as human capital manager, the PD approach focused on analyzing student achievement data individually and in groups of teacher teams. Teachers work within and across grade levels to share ideas and practices and to leverage training they have all received on the Focused Instruction Process (FIP). The FIP approach is staged to identify student needs and increase student achievement throughout the year. Teachers and teams use data to identify skill areas that students lack, based on their analysis of prior year state test results. They then schedule instructional tasks and conduct mini-assessments over a seven-day span in each classroom. If students do not master the tasks, teachers provide more intensive individual or small group support and then assess the skills again. The process is ongoing, starting in September and culminating with the spring state test.

The principal uses grant support and budget flexibility to allow teachers to meet during the school day and after school in their teams. The school’s leadership team attends grade-level meetings to monitor the process and other instructional strategies used in the school. The leadership team also conducts monthly walk-throughs to look at instructional practices across classrooms, providing feedback to teachers based on their observations. Additionally, the principal conducts individual “data talk” meetings with each teacher. During these discussions, teachers bring in their data binders and the principal will ask them about progress of their “intensive” (lowest-performing) students, how they are working with them, and what growth they are showing. These activities both reinforce the training through the FIP approach, and also monitor how they are used by individual teachers and teacher teams.

Education Resource Strategies, a Boston-based education consulting group, has developed a human capital management tool to track teachers by experience, training, and performance, called the Teacher Effectiveness

Management System (TEaMS). This is a data dashboard developed for Atlanta Public Schools (GA) and is currently being piloted, with roll-out expected in 2010–2011. The TEaMS includes information on teacher certification area, experience, evaluation of classroom performance, student achievement measures, PD pursued, teacher team assignments, among other factors (Hall, Travers, & Ireland, 2010). The data are intended to be readily accessible, timely, and used for district and school decisions relating to teacher selection, assignments, development, promotion, and retention.

## ***Motivation***

Work motivation has been a controversial topic for years; there is a vast literature about it. To make sense of the various perspectives and results on motivation— even just teacher motivation—we limit our discussion to motivation toward specific behaviors and goals: instructional and related activities that contribute to meeting the school’s student achievement goals. We identify five concrete activities for principals: (1) communicating school goals, strategies for meeting them, and a personal commitment to them; (2) breaking school goals down into specific, measurable goals for individual teachers or teacher teams; (3) identifying and removing barriers teachers face in implementing strategies and meeting their goals; (4) increasing teachers’ self-efficacy for improving instruction and achieving goals; and (5) using the available incentives to reinforce instructional improvement and goal achievement.

In many districts, school goals are set by state or local school accountability systems or in school improvement plans. An obvious first step in motivating teachers to contribute to meeting goals is to communicate to them the specifics of the school’s strategies to meet them. If these are not known, teachers cannot deliberately contribute.

In our early research on school bonus systems, we found significant variation across schools in how well the principal communicated school goals to staff and her or his own commitment to those goals. Where goals were not communicated or principals did not express a commitment, teachers had lower awareness of them or did not see them as something to be very concerned about. In other schools, principals made the goals a central part of the school’s work, and teachers were more likely to mention the goals as something they were working toward (Kelley, Heneman, & Milanowski, 2002).

Principals can communicate goals and strategies to attain them by involving teachers in developing the school improvement plan; by discussing them in whole staff, team, and individual meetings; by posting them in common areas; and by including them in staff newsletters or similar communications. It is also useful to share data on how well the school is doing over time in moving toward the goals. As many districts move toward developing dashboards, data retreats, and similar ways to track and communicate results, it will become easier for principals to share progress toward goals with staff.

Breaking down the goals and school strategies into specific goals and expectations for teachers and/or teacher teams is the next step. The idea is to make clear to teachers how they can contribute to implementing the school’s strategies for meeting its goals, thereby providing them with a “line of sight” (Boswell, Bingham, & Colvin, 2006) from their efforts to school performance. This can be done as part of a formal performance evaluation process, or as a separate planning meeting if the performance evaluation system is not focused on specific instructional practices and outcomes. Specific goals should be set in terms of both instructional

practice (e.g., curriculum alignment to standards, ability to use common formative assessments) and student achievement. Even when goal setting is part of the performance evaluation process, principals or other instructional leaders need to meet regularly with teachers or teams to jointly assess progress toward goal attainment, provide recognition for goals achieved, and arrange for any coaching or developmental activities needed. Not only does setting such goals connect teacher effort to school goals, but also goal setting is one of the most powerful motivational techniques, supported by substantial research (Locke, 1996; Locke & Latham, 2002).

We believe that most teachers want to do a good job, to use effective instructional practices, and to help students learn. If the principal and teacher, or teacher team, work together to develop specific goals, teachers are likely to expend effort to reach them.

But principals cannot stop after setting goals. They need to take action to remove barriers to channeling teacher motivation into the instructional activities that improve achievement. The first step toward removing these barriers is to talk with teachers, individually and in team settings, to find out what teachers perceive them to be. Typical barriers include lack of time, curriculum materials, student assignment procedures, and lack of professional development. Lack of principal support on student discipline issues may also be on teachers' minds. To promote the conversion of motivation into effective action, these kinds of barriers need to be promptly and visibly addressed. Removing barriers lowers the effort cost of success, making it more likely that teachers will decide meeting the goals is worthwhile.

It is also worthwhile to find out about and address working conditions that frustrate and de-motivate teachers, like excessive paperwork, interruption of instruction by announcements, poor facility maintenance, and lack of prep time. Related to this is carving out time in the school's schedule for collaborative teacher work; many times, teachers want to work collaboratively on the instructional program, but the school's schedule does not provide *common* free time for teachers to meet in collaborative groups.

In many schools, an underlying issue is likely to be feelings of low self-efficacy to meet goals and enact the new behaviors needed to do so. Self-efficacy has been found to be positively related to several aspects of work performance (Stajkovic & Luthans, 1998), so raising self-efficacy is likely to help teachers achieve goals. Bandura (1997) identified three basic strategies leaders might use for influencing others' self-efficacy: (1) promoting enactive mastery experiences; (2) providing vicarious learning; and (3) verbal persuasion. Principals can provide enactive mastery experiences by having teachers work individually and in collaborative teams with coaches to break down complex activities into smaller or simpler parts, and then, after providing appropriate training, having teachers enact these parts with support followed by positive feedback. Principals can provide effective vicarious learning by having coaches or other experts model new instructional strategies. Principals can provide useful verbal persuasion by recognizing positive changes in behavior, framing feedback in terms of the gains made rather than deficits to be overcome, and expressing faith in the teachers' underlying capacity. The principal's own credibility as an instructional leader contributes to effective persuasion, which illustrates how principal human capital management overlaps with other leadership competencies.

Although principals are unlikely to have extensive extrinsic or financial rewards to use as motivators, they can have a substantial effect on motivation by using the reward and recognition opportunities they are afforded. (Note that even where performance incentives for teachers are being used by states or districts, whether a teacher receives an incentive or not is typically based on objective measures rather than principals'

judgments.) Informal recognition techniques, including verbal praise or thanks or notes in the teacher's mailbox, can reinforce good performance and communicate the principal's personal interest in teacher performance. Classroom visits or walk-throughs can provide a good opportunity to communicate positive feedback and appreciation. Acknowledgment of efforts and successes can also be done in staff meetings, newsletters, and other communication forums. This kind of social reinforcement has been shown to have positive performance impacts in other sectors (Stajkovic & Luthans, 1997) and, combined with feedback, can be almost as effective as financial incentives in motivating performance (Peterson & Luthans, 2006).

Peer recognition awards, small gifts, and celebrations provide more formal opportunities to recognize performance. In our research (Kimball, Milanowski, & Heneman, 2010), we found many instances of principals in our two study districts using these forms of recognition and reward. Interestingly, not all the teachers we interviewed felt they were especially meaningful. This underscores the importance of understanding each staff member's values and needs, and tailoring recognition to them. Some teachers are quite happy to receive a note or a "teacher of the year" award, while others may prefer "perks" like a better office chair, the opportunity to attend a professional meeting or workshop, or an effort to accommodate their scheduling preferences. The point of this sort of recognition is not to provide a big incentive that a teacher will be consciously striving for, but to express gratitude for efforts and accomplishments that add up, over time, to a culture that recognizes and values good performance.

### *Talent Retention*

Considerable research suggests that principals are a key factor in teachers retention (Brown & Wynn, 2009; Greenlee & Brown, 2009; Guarino, Santibañez, Daley, & Brewer, 2004; Johnson, Berg, & Donaldson, 2005; Milanowski, Heneman, & Kimball, 2009). This finding is complemented by research from other types of organizations (e.g., Coomber & Barriball, 2007; Gerstner & Day, 1997; Hasty & Weber, 2005; Mayfield & Mayfield, 2007) that shows the importance of positive interpersonal relationships with supervisors, perceptions of support from them, and efforts they make to address employee concerns in retaining employees. This subsection discusses four concrete human capital management strategies principals can deploy to retain their top talent.

First, principals and other school leaders need to work to identify and address work environment problems that impede or frustrate staff. It is important to recognize that highly talented teachers have multiple alternative opportunities, at other schools, in other districts, and in other professions. Poor working conditions may provide just the reason they decide to try somewhere else.

There are various ways to begin identifying problematic working conditions. Surveys of staff are one way. A number of state-wide surveys of teacher working conditions have been developed and administered (e.g., Berry & Fuller, 2008; Choy & MPR Associates, 1996; Hirsch & Emerick, 2007) that can provide models and comparison data to allow school leaders to better understand responses from their own staff. Although surveys can identify major issues that are common to all staff, they are limited in identifying the concerns of top talent.

Wise principals supplement surveys with personal conversations with teachers, whose retention is important. These conversations need not be limited to or focus on the negative. But during the course of the

school year, periodic check-in conversations with the most effective teachers can include asking about what they see as difficulties and impediments to their practice. An added benefit of such inquiries is that these teachers are likely to perceive leaders' interest in and concern for their well-being, which itself can promote retention.

Of course, principals need to take action based on what surveys show and what they hear. Surveys and conversations could be counterproductive if nothing changes as a result. Efforts must be made to improve both conditions that are of concern to all teachers (e.g., availability of resources, communication, student assignment, and support for discipline) and those that concern the most effective teachers, who are priorities for retention.

Teachers are likely to have some very specific needs that vary by career stage, subject, and personal circumstances. In our research on principal human capital management (Kimball, Milanowski, & Heneman, 2010), we found that principals worked to retain priority teachers by modifying teaching assignments, finding money for specialized professional development, allowing the teachers more autonomy, and providing them personalized assistance or support when problems arise. It is especially important to address those concerns that are in the principal's power to influence quickly, even if they are smaller than others which may require more time and effort. The principle of "small wins" (GermAnnReay, Golden-Biddle, & GermAnn, 2006; Weick, 1984) applies here: a quick success builds the perception of momentum that encourages hope for other changes which may be harder and take longer to do.

A second strategy is to provide top teacher talent with opportunities to work on challenging projects that develop skills. High performers—those schools most want to retain—are likely to be especially responsive to challenging work, and react negatively to work assignments that do not fully use their talents. School leaders can start this strategy by reviewing school procedures that teachers view as "busywork," including paperwork or unnecessary bureaucratic requirements and shift or re-engineer this work out of teaching jobs. This can be followed up by giving top teachers the first crack at assignments both within and outside the school that would build their skills and reinforce their enthusiasm for teaching. Another approach principals use to encourage top performers is to encourage and support their pursuit of National Board Certification. However, it is important to find out first which skills they want to build and the kind of projects they find truly attractive. It is not likely to be helpful to burden them with committee work or assignments they perceive as reducing their focus on teaching. Assignments that allow them to deepen their content knowledge or expose themselves to new teaching practices—e.g., creating formative assessments, common end-of-curriculum assessments, model curriculum units—are likely to be perceived as more rewarding.

A third strategy is to develop a culture of engagement. In the private sector, the positive effects of engagement on retention have been shown by research (e.g., Harter, Schmidt, & Hayes, 2002; Harter, Schmidt, & Keyes, 2003; Jones, Ni, & Wilson, 2009) and there are numerous books and articles providing prescriptions for increasing engagement (e.g., Macey, Schneider, Barbera, & Young, 2009; Seijts & Crim, 2006; Vance, 2006). Common to these prescriptions are keeping staff "in the loop" by sharing information on the organization's direction and strategies, providing clear expectations and constructive feedback, showing how the work contributes to organizational goals, and involving staff in decisions that directly affect them. Indeed, Lawler (2008a) argues that the "high involvement" approach to management is often the most appropriate for talent-centric organizations. In particular, leaders need to make the time to connect with

employees, understand their needs, and provide feedback and recognition in order to help create a culture of engagement.

Building trust is also considered important, beginning with fair and ethical treatment of subordinates and continuing with setting a personal example of trustworthy behavior. The role of trust building in education has received increased attention since Bryk and Schneider (2002) showed trust between principals and teachers was related to academic productivity in a sample of Chicago schools (e.g., Kochanek, 2005; Tschannen-Moran, 2004). The emerging work in this area suggests that the principal sets the tone for a trust-oriented culture which can be the foundation for teacher engagement. Principals can help facilitate trust among teachers (which facilitates the development of the professional learning communities discussed in [Chapter 4](#) and above), and encourage their engagement by organizing time for professional interactions and developing formal and informal problem-solving and professional development groups (Cosner, 2009).

The fourth strategy is recognizing positive individual, team, and school contributions. These recognitions can be both informal, such as giving verbal thanks and praise or writing notes, and formal, by providing individual and team awards, announcements, and staff celebrations. Deeprouse (2007) presents a catalog of recognition and reward ideas drawn from the private sector and Hodges (2005) provides a set of recognition activities specifically geared to teachers. Though formal recognition can be valued by high performers, it is important to understand what each high performing teacher actually values, and craft recognition efforts to address these values. It is likely that informal recognition—thanks, acknowledgment, praise—are also important to many high performers, and connote to them that the school recognizes their value. Recognition can also include giving high performers greater control over their jobs, keeping them informed on topics of interest, consulting them about decisions that affect them (such as identifying requisite teacher competencies and creating the systems to measure teaching practice to them), and similar actions that show that the principal truly sees their value. The most effective recognition is likely to be a personalized, immediate, specific response to high performers' dedication, effort, and engagement as well as performance (Brun & Dugas, 2008). We do not necessarily advocate recognition programs that involve extra work, such as developing exemplary lessons for review. Though some teachers may find these rewarding, they are not a substitute for principals acknowledging the good work top talent is now doing and providing the constructive, specific feedback on their performance to high standards.

Many of the talent retention activities discussed above are also related to motivation, and as discussed in the next section, addressing working condition issues removes barriers to intrinsic motivation as well as reasons for talented staff to leave.

### *Low-Performing Teachers*

Dealing with poor performers is also an important part of a principal's human capital management role. The first priority should be taking the time to thoroughly evaluate the performance of probationary teachers. Terminating those who show little promise of becoming effective prevents a longer, harder struggle to remediate or dismiss them after they receive tenure, and could save the teacher from a career of marginal performance.

For tenured teachers, the conventional wisdom is that the process is longer, harder, and requires the

principal to have considerable determination. Lawrence (2005) covers the basics of a remediation and termination process that can withstand a legal challenge, and Tucker (2001) provides an overview of assistance plans. Chapter 7 suggests that dismissal procedures should be simplified, but only as an extension of a comprehensive development system and rigorous performance evaluations producing data on teaching effectiveness.

We recognize that dealing with chronic low performance is one of the most difficult parts of the principal's job. It can be made easier by the use of teacher teams and professional learning communities in performance management, as discussed in [Chapter 4](#), and a more effective evaluation process that includes student achievement, as discussed in [Chapters 5](#) and [7](#). Providing consistent performance feedback on instructional practice and gains in student achievement should send a clear signal to low performers about the need to improve, potentially motivating those who are consistently at the bottom of the distribution to leave if they cannot or do not want to improve.

Having others (such as an instructional coach or assistant principal) observe and verify the teacher's performance problems and provide direct, constructive, but honest feedback to the teacher also spreads the responsibility for confronting poor performance. It is not just the principal who sees a problem, and it is not based on personal opinion or malice.

A culture of engagement may also encourage low-performing teachers to improve or leave by raising teachers' expectations for each other's performance and encouraging peer monitoring. Of course, principals retain the responsibility for confronting low performance.

Before leaving this section, we want to recognize that principals will have to delegate some aspects of school human capital management to other school leaders, especially in large high schools. Assistant principals and department chairs may be charged with responsibility for recruiting, hiring, professional development, and some aspects of performance management. When this is so, it is important to ensure that these leaders receive training in these human capital management programs, and understand the human capital management approach the principal is using. For example, in our research on school human capital management, we encountered teachers in high schools who told us about de-motivating actions taken by department heads that were inconsistent with what principals told us they were trying to promote. If one of these leaders is not following the same approach, much of the principal's work can be negated.

## *2. The Central Office and Strategic Talent Management*

As argued in previous work, human capital management needs to be seen as a partnership among top leaders, the central office and specifically the human resource department, and principals (Milanowski & Kimball, 2010). Top management needs to craft the vision for human capital management, communicate its importance, provide resources, and hold the other units and principals accountable. The HR department, sometimes with a Chief Talent Officer over all major units in the district, is then responsible for developing the basic structure of human capital management systems and supporting principals in carrying out their roles.

This section discusses three issues: (1) how central offices can partner with principals to help them implement human capital management initiatives; (2) producing HR analytics; and (3) organizing the central office to enhance strategic talent management across the district.

### *Partnering with Principals*

Programs and resources provided by the district central office, including the human resources department, provide a foundation for effective school human capital management. For example, the principal's primary role in talent acquisition is to hire teachers with the competencies needed to meet the school's student achievement goals and who fit into the site's professional learning communities. To do so, they need to have a sufficient number of qualified job applicants from which to choose, receive the names of screened candidates early in the hiring season, ask strategic questions during interviews, and select the best person for the job, constrained as little as possible by seniority rules and demands to accept surplus teachers from other schools.

These actions may require the HR department to streamline its recruitment and screening processes, move to electronic application and screening systems, develop new pipelines for hard-to-staff teaching areas, re-negotiate provisions of the union contract, and cultivate a sense of urgency, all initiatives launched in several leading-edge districts profiled in [Chapter 3](#). HR departments should also track the timeliness of their recruitment and referral process and monitor the compensation levels of labor market competitors to ensure the district pays enough to attract enough qualified applicants. SMHC case studies, including Boston (Archibald, 2008), Chicago (Kimball, 2008), Fairfax County (VA) (Milanowski, 2008a), and New York City (Goertz & Levin, 2008), provide examples of how districts have revised staffing systems to provide principals with hiring flexibility and a timely supply of job candidates.

Principals and the HR department should also be partners in new teacher induction. Because many of the competencies new teachers need to develop are common across schools, the HR (or professional development) department should be responsible for developing a basic induction program that provides for structured support for developing the competencies in the district competency model (see [Chapter 5](#)). This would include training school-based mentors, providing focused professional development programs for new teachers, and perhaps even a mentor from outside the school. This frees the school to concentrate its mentoring and induction efforts on providing social/emotional support, integrating the new teacher into the

school's professional learning community (see [Chapter 6](#) and the discussion above), and supporting the competencies needed to carry out any school-specific strategies or programs. Chicago, Cincinnati, Montgomery County (MD), and Milwaukee are districts with centrally-designed induction programs that provide mentors from outside the school but also leave scope for school-based efforts. We note also that [Chapter 6](#) argued that the most effective context for new teacher induction is for them to work in collaborative teacher teams, which gives them access to curriculum materials, seasoned lesson plans, and the process of analyzing how student performance data can help inform instructional strategies.

A similar professional development partnership is also desirable. Districts can provide professional development courses and resources that focus on the district competency model, and link them explicitly to teaching performance measurement systems (see [Chapter 5](#)) so that if the principal, coach, or other school leader identifies a performance deficit during collaborative team work, observations, or walk-throughs, the appropriate professional development is immediately apparent. The central office HR or professional development office should also be responsible for providing training to school-based coaches, instructional facilitators, and team leaders who provide the job-embedded, school- or team-based professional development to the teacher teams described in [Chapter 4](#).

The other key partnership area is performance management. The district's teaching performance measurement systems provide the basic tools principals need to use, but principals also need ongoing support from the HR department in order to make effective use of these tools. Such support needs to go far beyond simply providing initial training in the process. Principals and other school leaders are likely to need training on recognizing good instruction, providing feedback and coaching, and targeting professional development resources to skill deficits. Indeed, substituting the Gates Foundation's Video Tool, after it is completed (it is currently being piloted), for direct observations could free principals to do many of these other tasks.

Principals often find dealing with poorly performing teachers difficult. Many principals not only need training on the process, but also technical and even emotional support. The HR department should consider ways of providing personalized support. A recent report on performance-based dismissals from the Center for Innovation and Improvement (Kowal, Rosch, Hassel, & Hassel, 2009) suggests that districts deploy teams of specialists familiar with dismissal procedures to staff help lines and even come into schools to orchestrate the remediation or removal process. Some districts have developed peer review systems that make the task of remediating and, if necessary, recommending termination of a teacher the job of a consulting teacher from outside the school (Project on the Next Generation of Teachers, undated). This lightens the principal's load but also reduces school leaders' influence on who is a member of the professional learning community. Even with peer review, principals and others are often reluctant to move to terminate ineffective teachers, and while peer review districts may terminate more tenured teachers than those without these programs, the number of terminated teachers is small (Johnson et al., 2010).

Given the negative relationship that has existed between principals and the HR department in some districts, the HR department may need to demonstrate its commitment to partnership. One possibility is to have the HR department establish an advisory committee of principals to identify potential human capital management problems, get input on policy and system changes, and provide early warning of potential relationship problems. The HR department should also consider periodic customer satisfaction surveys about the services they provide, and the service orientation of the HR office. Heneman, Huett, Lavigna, and Ogsten

(1995) provide an example in the staffing area.

There is an increasing realization that district HR departments need to move from a transaction processing focus to become active partners with principals in more strategic human capital management. Several districts have made moving their HR departments in this direction a central part of their reform efforts. Examples include Boston (Johnson & Suesse, 2005), Philadelphia (PA) (Thomas & King, 2005), Houston (TX), and San Diego (CA) (Campbell, DeArmond, & Schumwinger, 2004). Case studies of New York City (Goertz & Levin, 2008), Chicago (Kimball, 2008), and Fairfax County (VA) (Milanowski, 2008a) also illustrate the movement of large district HR departments from a processing/ regulator role to a partnership/service orientation.

### *Producing HR Analytics*

Another core activity for the central office is to produce what might be termed HR analytics that can help both principals and other program leaders implement strategic HR practices. This includes both conducting periodic HR alignment analyses and producing a broader set of HR metrics.

One important central office HR analytic task is to periodically conduct what Heneman and Milanowski (2007) have termed an HR alignment analysis. This concept devolved from the ideas in strategic human resource management to make sure all key HR programs—recruitment, selection, induction, professional development, evaluation, promotion, and compensation—are organized to reinforce the skills and competences needed for key staff in the district—teachers, teacher leaders, and principals.

To conduct an HR analysis for teachers, the district first needs to identify the set of competencies desired for them, as discussed in [Chapter 5](#) and other places throughout the book. An HR alignment analysis is an assessment of the degree to which each HR program is structured to support the teacher competencies—does the district recruit for the competencies it wants its teacher to have? Are teachers selected on the basis of having those competencies? Are induction and professional development programs focused heavily on helping teachers learn and use those competencies? Is evaluation focused in the degree to which teachers have those competencies and assesses different performance levels for them? etc. In a study of two districts, Heneman and Milanowski (2007) found that even though the districts had adopted a set of teaching standards that described the competencies they wanted for teachers, not all HR programs were designed around their appropriate programmatic roles vis-à-vis those competencies. Much professional development focused on other skills and compensation was not directly linked to the competencies. These disconnects blunt the impact of both individual HR programs and the set of HR programs, as well as the ability of the district to successfully implement its overall education improvement strategy.

HR alignment analyses should be done for all key employee groups, including principals. And having all HR programs aligned around the core competencies for each employee group—teachers and principals—is a key aspect of overall strategic talent management.

An even broader approach to developing data to monitor the implementation and impact of HR programs is to create metrics for multiple HR programs. HR metrics give central office administrators insights into how various HR programs and practices are actually operating to execute the district's overall talent recruitment, development, performance management, compensation, and retention strategies. Once a comprehensive set of

HR metrics is developed, an additional step is to identify which of those HR metrics are actually linked statistically to organizational performance; these “strategic HR metrics” show which HR elements are drivers of organizational performance.

Indeed, several high performance organizations outside of education have launched this process, developing multiple metrics on human capital systems and then conducting analyses to determine which metrics are key drivers of organizational performance (e.g., Becker, Huselid, & Ulrich, 2001; Bassi & McMurrer, 2007). Bassi, together with Sandra Chavez (2009), have begun translating this analytic process into education. An example they found in their initial analyses is that schools with higher percentages of teaching that were both engaging in professional development and using the same instructional practices produced more student learning gains.

A well-developed set of human capital management metrics could include the following:

- Staffing:
  - average time to fill open positions
  - number of applicants per position and per recruiting source, by quality level
  - offer to acceptance ratio, by quality level, and recruiting source
  - percentage of vacancies filled before school year begins
  - proportion of hires made using selection procedures based on competency model
  - relationship of selection scores to later performance evaluation scores
  - turnover by recruiting source
  - turnover by performance evaluation score, experience level, and teaching specialty.
- Professional development:
  - percentage of teachers in school participating in ongoing professional development
  - percentage of completed employee development plans aligned with competency model
  - percentage of professional development courses focusing on knowledge and skills in competency model
  - employee and principals'/supervisors' perceptions of utility of professional development activities in developing the competencies.
- Performance management:
  - percentage of key employee groups who understand and accept the district's strategy, their role, and the performance expectations
  - percentage of key employee groups participating in performance planning
  - percentage of performance plans with goals aligned to district and school goals
  - percentage of performance evaluations completed on time
  - number of teachers from school promoted to teacher leader jobs at other schools or assistant principals promoted to principal
  - percentage of teachers tenured by principal who have performance problems in the next five years
  - relationship between performance evaluation scores and student learning gains.

- Compensation:
  - competitiveness of minimum, maximum, and average salaries in the labor market
  - value of benefits compared to key comparables
  - pay progression speed compared to key labor market competitors
  - percentage of pay based on employee performance and effectiveness
  - proportion of key employee groups participating in compensation programs tied to competency model.

There could be other metrics as well, but the above give several ideas of the kinds of metrics that can be developed for each HR area. The above list of possible metrics is quite comprehensive, some indicating the operational efficiency of each HR program and others the quality of human capital management efforts. To determine which HR metrics are the most strategic would require conducting a value-added analysis to determine which metrics are linked statistically to student learning gains.<sup>1</sup> Those HR metrics, then, indicate which aspects of various HR programs drive student achievement. These then become strategic HR emphases to ensure that such HR program elements operate at peak performance levels, thus maximizing the contribution of HR per se to improved organizational performance—student learning gains in education.

### *Organizing the Central Office for Talent Management*

The last issue this chapter addresses is how to organize the central office to ensure that the district gives sufficient overall attention to talent—across all divisions in the central office (curriculum and instruction, professional development, special programs, data and accountability, finance) as well as across all the programs within human resources (recruitment/selection/placement, induction, development, evaluation/performance management, career progression, compensation)—to ensure the system recruits and retains effective talent for all key positions especially teachers, teacher leaders, and principals.

Best practice organizations in managing human capital have four characteristics:<sup>2</sup>

1. Human capital activities are managed in an aligned system, rather than in the silos that characterize most school systems.
2. Human capital activities are organized around “performance competencies” for individuals in each key role, with rigorous metrics for those performance competencies (e.g., multiple measures of effectiveness for teachers).
3. The core talent management activities are orchestrated out of one department with a senior leader often called the Chief Talent Officer. This person has expertise much broader than HR and can orchestrate all talent management actions, whether within specific HR departments (e.g., recruitment) or other divisions (e.g., curriculum and instruction, which often administers professional development), but holding each line manager responsible for the actions of their specific department.
4. They have cultures that emphasize performance, and individual accountability for both individual and organizational results—teachers are individually accountable for instructional practice (which might be developed through collaborative activities), teachers are individually accountable for the achievement of their students, as well as teachers feeling individually responsible for the achievement of students in their

grade, subject, and/or school, with principals individually accountable for the achievement of the school.

Chapter 5 discussed various ways to identify performance competencies for teachers and Chapter 9 discussed multiple performance competencies for principals, particularly those for talent management at the school site, competencies slighted by most other articulations of principal knowledge and skills. The argument is that effective human capital management results from aligning all human capital management activities, as the book has argued, from recruitment through compensation to the talent goals of recruiting, motivating and developing, and retaining top teacher and principal talent, i.e., individuals who are effective in impacting student learning. The argument here also is that the performance competencies for both teachers and principals must devolve from the specific educational improvement strategy, and its curriculum and instructional program, so they are tailored to implement that strategy including the effective instructional practices it requires.

This aligned management is hard to accomplish by the Chief HR Officer working alone, even if that individual sits on the superintendent's cabinet. Such an individual would not necessarily have authority over the Chief Academic, Chief Data and Accountability, and Chief Financial officers, and if that individual did, it could dilute the effort needed to manage all the HR activities. Thus a common approach, in both education and non-education organizations, is to appoint a Chief Talent Officer, who has the specific charge to insure that both within HR programs and across all major divisions, all talent management initiatives are managed around the multiple metrics of teacher and principal effectiveness (i.e., measures of instructional practice and measures of student learning gains). The Chief Talent Officer would have limited operational responsibilities, but would clearly sponsor, if not conduct, periodic HR alignment analyses as well as collect and determine which HR program metrics are strategic—linked to student learning gains. The talent officer also could be in charge of developing the system to conduct value-added analyses at the classroom/teacher and school/principal levels, as this exercise is critical for the entire talent management operation.

When Joel Klein became Chancellor of New York City public schools, he appointed a Chief Talent Officer. This appointment made one senior leader focused on having the organization implement an aligned cycle of talent management from recruitment through development, assessment, rewards, and recognition. This person is accountable for staffing the district with teacher talent who produce student learning, and uses data to assess the effectiveness of every step. It is part of the overall strategy to embed an engagement and performance culture in the school by managing talent around multiple metrics that relate to what they must know and be able to do to impact the bottom line of student achievement.

Teach For America has a Chief People Officer whose task is to ensure that this talent recruitment organization itself has the talent to execute its core competence—recruiting seniors from the nation's top colleges and universities into teaching in urban and rural school systems.

A single talent-oriented cabinet person with the title of Chief HR Officer, but responsible for overall talent management, could structure a team with a leader of teacher talent, a leader of school leader talent, a leader of managerial talent and then other key functions. Indeed, in 2010, the Chief HR role in Washington, D.C. was organized this way, supported by one individual who is Head of Human Capital Strategy for Teachers, another who leads talent management for principals, with another person in charge of the transactional aspects of the HR office.

In a variation of this approach, Montgomery County Public Schools (MD) created a committee of individuals from the professional development unit, HR office, teachers, principals, and union leaders to develop and operate a Professional Growth System for teachers, principals, and administrative personnel to enhance teacher effectiveness.

Again the task for the Chief Talent Officer is to ensure that the entire district is organized around the knowledge, skills, and expertise that teachers and principals need to execute the district's educational improvement strategy. In such organizations, each teacher and each principal know the expertise and competencies they need to acquire, understand the different performance levels for their practice to these competencies, expect to be evaluated and performance managed to these competencies as well as to student outcomes, and can see the linkages or "line of sight" between these competencies and the cash compensation they receive from the district's reward systems.

As districts move toward these multiple and complex tasks involved in strategic talent management, they need to continually ask themselves questions about how the process is unfolding. The Bridgespan Group suggests the following as self-assessment questions for four critical elements for talent-centric organizations:

1. *Alignment*: To what extent are human capital management activities aligned around goals for acquiring, developing, and retaining highly effective educators? How is alignment across these activities accomplished, i.e., what are the mechanisms that produce the alignment? And how complicated is it to change from current human capital management activities toward more aligned practices?
2. *Performance competencies*: To what extent is this statement true?: Every teacher, teacher leader, and principal is clear about the short- and long-term implications of his/her role in accomplishing the mission of the district. Is a common language used across the system to describe, understand, and assess success in key roles (e.g., teacher effectiveness)? Which activities use a common language and which do not? Where there is alignment, what are the tools and processes that enable it? In building a performance competency framework, what current practices, approaches, and values could be drawn on to do it?
3. *Leadership*: How many departments have human capital management activities and do they communicate about them and work together? Is there a senior level manager accountable for district-wide human capital management? Can the district think strategically about human capital management? What changes would be required to shift to a system where one person is in charge of the overall human capital management system? What staff turnover would be required? What are other leadership implications for such aligned and interconnected organizational management?
4. *Culture*: To what extent are individual accountability (for both individual and organizational results), transparency, and employee involvement a part of the district's culture today? How would performance competency-focused human capital management contradict current practices around accountability and transparency? Would other cultural norms also have to change?

Finally, the last point to note is that communication cannot be over-emphasized. Communication about performance management; goals for the district, school, grade/content area, and individual; teacher and principal competencies; individual responsibility for both individual and system performance; and accountability for results needs to be done often and in multiple forms (newsletters, web sites, faculty and

team meetings, etc.). Indeed, Bridgespan recommends over-communicating, signaling that making everyone aware of these new directions is critical and that there is no such thing as too much communication, as the error for most districts is insufficient communication.

### *3. Summary*

This chapter has addressed the issue of how the school system organizes to facilitate strategic talent management. The first section discussed how principals are in fact the human capital managers at the school site and become the “face” of talent management that most teachers experience. The section discussed several competencies principals need in order to be effective in recruiting, interviewing, developing, motivating, rewarding, and evaluating, especially evaluating low-performing teachers. The second section of the chapter first discussed how central offices need to partner with principals to enable them to be effective human capital managers at the school site. This section identified several areas in which central offices could train and support principals in the acquisition, development, motivation, and rewarding of teacher talent.

A major challenge for districts is to consider how much of principal time should be devoted to teacher talent management, as opposed to other responsibilities that have been laid on principals. It could be argued that teacher talent is the principal’s key focus, as an effective teacher in every classroom is the prime route to hiking student performance. As a corollary, it could be argued that many other current principal responsibilities, including direct instructional leadership, could be devolved to other people (such as instructional coaches) so principals could make sure they spend enough time on teacher recruitment, evaluation, and placement to ensure that the goal of getting a highly effective teacher in every classroom is attained.

The second part of this section discussed HR analytics, including conducting HR alignment analyses to determine for each key role—e.g., teacher and principal—the degree to which all HR practices are aligned around the competencies the system needs for those roles. This section also discussed how to initiate strategic HR metrics, which are multiple metrics for each HR program that provide managers with data on how those programs are being implemented. This section also suggested obtaining “strategic HR metrics,” which are metrics of various HR programs that research shows are linked to student learning gains, so the system can focus on those elements of the overall HR system that are key drivers of student learning.

Finally, the chapter recommends that districts moving into strategic talent management appoint a Chief Talent or People Officer, who is charged with coordinating all programs and strategies around the teacher and principal talent needed to successfully implement the district’s education improvement strategy and boost student learning. Such an individual would need expertise in HR processes and HR strategies, as well as curriculum and instruction and the organization of teacher work, in order to create the HR metrics used to steer the district’s talent management strategies, divisions, offices, and programs in ways that produce effective teachers in all classrooms and effective principals in all schools.

# 11

## THE STATE ROLE IN STRATEGIC MANAGEMENT OF EDUCATION TALENT

The bulk of policy and action on the strategic management of teacher and principal talents occurs in districts and schools, but (as should be clear from the preceding chapters) states do play critical and crucial roles as well. Indeed, it could be argued that states specify the key conditions under which districts and schools can engage in strategic management of educator talent. Without appropriate state policies, as Chapter 7 summarized for tenure, evaluation, and dismissal, district leaders are hampered in the degree to which they can make important decisions in those areas as well as implement new policies and practices.

To be sure, state policy is important outside of the human capital area. States need to adopt rigorous curriculum content standards and aligned assessments. They need to ensure that all districts have funding sufficient for them to deploy the improvement strategies outlined in [Chapter 2](#) and to pay teachers and principals competitive and performance-based salaries. But states also need to enact policies that facilitate local districts' strategic approaches to recruiting, rewarding, retaining, and, when necessary, dismissing teacher and principal talent.

We identify the key state human capital policy initiatives below. A short time ago, it might have been a presumption to expect states to act on these policy areas in the crisp ways we recommend. But with the competition for Race to the Top funds, states (beginning in late 2009) have been enacting cutting-edge new policies in all of the identified areas. We have listed the state recommendations in four categories:

1. Create a longitudinal data system linking students, teachers, and schools, that serves as the underlying information system allowing empirical data to inform key human capital decisions.
2. Enhance the talent level of teacher and principals entering the education system.
3. Create multiple development programs bolstered by a multi-tiered licensure.
4. Change policy and practice undergirding the key human capital decisions related to career progression including evaluation, tenure, dismissal, cutbacks, and compensation.

## *1. Create Longitudinal Data Systems Linking Students, Teachers, and Schools*

The first critically important step is for states to create robust data systems that link student data (particularly student performance data), to teachers (including measures of their instructional practice), to schools, and to districts. Without such data systems, management to results and attributing causality to any policy initiative are almost impossible. With such data systems, states and districts can engage in multiple value-added analyses at the classroom, school, and district levels and produce quantitative data for use in tenure, promotion, pay, dismissal, and other consequential decisions for teachers and administrators. Moreover, with such data systems, states and districts also can answer multiple questions empirically, such as:

- Which recruitment and training programs produce individuals who are effective in teaching students and running schools?
- Are measures of teaching performance linked to student learning gains?
- Did new program X or Y have the intended effects?
- Did professional development change instructional practice and improve student learning?

Chapter 5 discussed several issues related to creating these kinds of data systems, including approaches to measure teaching practice and using these data systems to calculate value-added measures of student performance at the classroom and district levels. These data systems also need to incorporate the 12 key elements for these systems that have been identified by the America Competes Act and the Data Quality Campaign. These key elements include linking students and their test scores to the teacher who actually taught them the class, called the teacher of record. Making these linkages accurate is not trivial, but without such linkages, it is not possible to fairly attribute value-added to individual teachers. It takes several years of concerted effort for states to make these linkages accurately. As Chapter 5 argued, it also takes expertise to conduct the value-added analyses accurately, especially given the differences in the analytic community over the best ways to conduct such analyses.

There is concerted action around the country in creating these data systems, supported by several federal grant programs specifically for developing longitudinal data systems. Florida, Kentucky, Massachusetts, North Carolina, Ohio, Tennessee, and Wyoming are states that had made significant progress in developing such data systems by mid-2010, though not all had accurately identified the teacher of record so were still hampered in conducting accurate value-added analyses at the classroom level. Minnesota, North Dakota, and South Dakota formed a coalition to create such data systems, with the explicit goal of tracking teachers and principals from all the state's training programs, including new providers such as Teach For America (TFA) and The New Teacher Project (TNTP), so they could empirically assess institutional success in producing teachers and principals who were effective on the job.



## *2. Enhance the Talent Level of Teachers and Principals*

This section identifies three major state policy recommendations for enhancing the overall level of educator talent entering the education system: (1) increasing the rigor for acceptance into undergraduate teacher training programs; (2) opening the system to talented individuals who already have earned their undergraduate degrees and have pathways into the education system; and (3) insuring that all new teachers have solid content knowledge.

### *Make Acceptance into Undergraduate Teacher Training More Rigorous*

It should be clear that the first goal for all the recommendations in this book, and thus for states, is to have policies and practices designed to get the highest possible talent, regardless of the degree of initial education training, into the education system (particularly urban and rural districts). To reflect that goal, states need to both reduce the inflow into education from lower quality pipelines and to increase the inflow from high quality pipelines. The latter includes multiple non-university-based organizations—e.g., TFA, TNTP, New Leaders for New Schools (NLNS), Academy for Urban School Leadership (AUSL)—that are now recruiting talent into the teacher and principal ranks.

Though this book does not address what needs to be done to make undergraduate teacher training more effective, it does make one set of suggestions for enhancing the talent level of the undergraduate teacher training pipeline: that recommendation is for states to set high bars for literacy and numeracy competence (or for high SAT or ACT scores) for acceptance into any and all undergraduate teacher training programs. Although many states currently require tests of undergraduate literacy and numeracy expertise for admission into teacher training, few have set the bar very high. Thus, across the country virtually anyone can gain entrance into an undergraduate teacher training program—at some college or university.

As mentioned in several chapters above, urban and rural districts have been disadvantaged in the past by the large numbers of individuals entering their systems from below average colleges and universities, many of which have even lower quality teacher training programs. These individuals are not effective with students and simply “flood” the education system with below-average talent. The inflow from these pipelines should be reduced, and that is something that the state can impact.

At the end of the last decade, Washington, D.C. implemented a policy requiring a high score on both the literacy and numeracy section of the PRAXIS I exam for entrance into any teacher training program in the “state” of Washington, D.C. As a result, the teacher training program at the University of Washington, D.C., which had been the prime supplier of teacher talent to the district, had to shut down because so few students met the new literacy and numeracy requirements.<sup>1</sup> When the district’s chief state school officer left the district and became the chief in Rhode Island, she launched the same requirements for her new state, setting the admission requirement even higher than that for Washington, D.C.

The aim of this policy is to eliminate below-average talent from entering a teacher training program. Such a

policy does not insure that individuals who do enter teacher training programs are effective. But the objective is to hike the overall talent level required of those who do enter teacher training, on the assumption that more talented individuals on average will become more effective teachers.

### *Create Routes into Education for Individuals Who Already Have Bachelor Degree*

We also recommend that states support all pipelines that are successful in enticing top talent into education, even if such organizations are not college- or university-based. It turns out that it is difficult for schools of education to recruit the country's top talent into undergraduate teacher training programs. Moreover, most of the country's top universities do not even have undergraduate teacher training programs. And the lure of other job opportunities, with their higher pay and more attractive working conditions, disadvantage education in recruitment pitches to high school graduates entering college.

But as this book has shown, when urban districts partner with such new organizations as TFA and TNTP, they are able to recruit top talent into their education systems. Indeed, these two organizations have been extraordinarily successful in recruiting graduates from the country's top colleges and universities into education. These two organizations annually have thousands of highly talented individuals applying for teaching positions, allowing them to selectively pick only those they deem most likely to succeed in teaching. In these tough economic times when the private sector is letting go of thousands of individuals with top college degrees and majors in math, science, and statistics, Tim Daly, president of TNTP, argues that all that needs to be done to get these talented individuals into public education is to show them a pathway from their out-of-work situation into the public education system. This has been a key objective of his organization.

It is important to note that this recruitment of top talent occurs *after* such individuals have earned their undergraduate degree. Thus, states need to create strategies for individuals who already have their bachelor's degree to enter teaching, whether that decision is made right after earning the bachelor's degree, as is the case for TFA recruits, or after working in (and souring on) the private sector for a few years, as is the case for TNTP. These and other organizations—e.g., Chicago's AUSL, Troops to Teachers—have had stunning success in recruiting highly talented individuals into teaching with substantial racial and ethnic diversity. Many have degrees in mathematics, science, and statistics (which are in short supply in many districts).

Likewise, other organizations, such as NLNS and the Broad Foundation, have been similarly successfully in recruiting performance-oriented individuals into principal, HR, and superintendent leadership positions. Thus states should also review their requirements for individuals to become principals, superintendents, or other central office administrator positions. Few of the individuals these organizations recruit and train have been teachers, but many have become successful in these education leadership roles.

The fact is that these and other education talent recruiting organizations have become strategic partners with many urban and rural districts across the country and core elements of those district strategies to get top talent into their education systems. In too many cases, state policies and regulations make it difficult— or impossible—for such individuals to enter the system. States should carefully review their systems for alternative routes to both teaching and administration to make sure that district efforts to get top talent are supported rather than subverted.

Because these non-university-based talent pipelines have not received state funding for their recruitment or

training efforts, but nevertheless have become strategic partners with both urban and rural districts seeking talented educators, states should provide funding for these organizations as well. Most states provide funding for teacher and administrator training only to colleges and universities, and primarily public colleges and universities. Paradoxically, it often is the case that these public entities have been the providers of the below-average talent that has plagued these districts in both the teacher and administrator ranks.

We recommend that states increase funding for *all* programs that demonstrate success in helping districts recruit top teacher and principal talent. Fiscal support should reflect actual need and seek to correct the over-supply of elementary teachers and under-supply of secondary teachers, particularly those in math, science, and special education. But state funding should be available for all organizations—both public and private—with strong track records of providing effective talent to urban and rural districts, including high quality private universities, local organizations such as Chicago’s AUSL, and such national organizations as TFA, TNTP, NLNS, and The Broad Residency Program.

States should have standards for program quality, know the difference between effective and ineffective programs, and be prepared to close ineffective ones. Effectiveness can be determined through the longitudinal data system which can readily identify which talent organizations produce teachers who are effective with students and principals who are effectively running schools. Florida, Louisiana, and Ohio are now engaged in this tracking process. Minnesota, North Dakota, and South Dakota, with funding from the Busch Foundation, are developing a tracking system. Further, as more rigorous admission policies and closing ineffective organizations lead to reduced enrollments in lower quality institutions, public dollars should be available for investments in these talent recruitment and training organizations that are successful in producing effective products.

### *Insure Content Competence for the Initial Teaching License*

A related recommendation is to require a rigorous content test score for exiting a teacher training program and/or for earning the Initial Teacher License, recognizing that the content tested will vary for elementary, middle, and high school teachers. The key rationale for this recommendation is that effective teachers must have solid content knowledge and the education system needs some assurance that anyone admitted to even initial practice should have this knowledge.

The “controversial” aspect of this recommendation is that it does not also include a recommendation for a rigorous requirement for pedagogical expertise or instructional practice per se. We know that several states have been working to construct a more rigorous assessment of teaching practice for an individual to earn the Initial Teaching License. The “issue” with such an approach is that it might also make it more difficult for the highly talented individuals who now enter teaching through post-baccalaureate recruitment programs such as TFA and TNTP to earn the Initial License, because their training in the clinical skills is by definition limited.

To be sure, all teachers need a set of high-quality instructional practices in order to be effective. But the fact is that for over 20 years the country has sought to enhance the instructional expertise of individuals entering schools systems through undergraduate teacher preparation, and yet superintendents and others, particularly in urban districts, claim that few graduates of such programs have the required instructional and classroom management expertise. We address this issue next.



### *3. Create Multiple Development Programs and a Multi-Tiered Licensure*

This section argues for states to create a full-blown residency program for all new teachers, support ongoing teacher development, and develop a multi-tiered licensure system. The general concept is to support ongoing and ambitious teacher and principal development systems and to document and identify different performance levels through a multi-level state licensure system, the results of which can be used to transform other decisions for teachers, such as tenure, compensation, and dismissal (which are discussed in the next section).

#### *A Residency Program for All New Teachers*

Teaching, like other professions, requires an extended period to develop effective professional and clinical practice. Neither undergraduate university-based training programs nor alternative route training programs can turn out teachers with a full complement of effective classroom and instructional management skills for effective use in their first years of teaching.

The solution to this need is to have all teachers engage in a multi-year residency program. In [Chapter 6](#) we also argued that the most effective way to structure such initiatives is to organize new teachers into collaborative work teams with other more experienced teachers. This insures that all new teachers have immediate access to lesson plans, curriculum units, analytic expertise of senior teachers, and instructional coaches to help them be effective in their first years of teaching. With teacher work organized this way, all new teachers can also be the teacher of record and earn a regular teacher salary, though at the very beginning levels.

We are not suggesting a residency period where the teacher is not the teacher of record and receives a substantial stipend for an apprentice year or two. Such approaches are too expensive. Though they have been recommended and exist in a few places that produce a small number of teachers, that approach is not possible to scale up—and we would argue that it is not needed.

Organizing professionals into collaborative work teams, the approach taken by most professional organizations, is a structured way to provide brand new teachers access to the most effective materials, expertise, and instructional strategies needed to be successful in their first years. It provides the appropriate foundation on which to provide additional, focused training (e.g., classroom management) in order to systemically help all new recruits become solid teaching professionals. So we argue that an effective new teacher induction program is largely about how teacher work is organized in schools, and not about extra activities that provide some assistance to new teachers who continue to work on their own isolated from other teachers.

We recommend that the new teacher residency period be a minimum of two years. Ohio now requires a three-year residency program, but some might consider that too long. As [Chapter 7](#) elaborated, we also recommend that a state require teachers to “exit” the residency program by the end of the fourth year of

teaching by meeting the performance standards for a Professional License, which was argued in [Chapter 5](#). It would include both an assessment of teaching practice and evidence of impact on value-added student learning gains. States should set both minimum and maximum years for such residency efforts; the maximum insures that if an individual cannot meet the standards for the Professional License by that time, then they should not remain in education.

### *Support Ongoing Professional Development*

States should embed such a residency program in a state-supported ongoing professional development system, which also would be based on teachers organized into collaborative work teams at the school level. Chapter 6 specified the level of resources needed for such professional development, and we strongly recommend that states ensure that funding formulas drive effective, ongoing professional development programs at the local level. For example, to insure that professional development leads to changes in instructional practice that increase student achievement, all teachers should have access to the following:

- Time during the regular school day for collaborative work on curriculum and instruction; this requires elective teachers in addition to core teachers and school schedules designed to provide all teachers in each collaborative team common pupil-free time during the regular school day.
- Pupil-free days for training, which require extending the teacher work year by at least 10 days beyond that for instruction, opening, and closing schools and parent conferences.
- School-based instructional coaches, which are an additional resource often found by reallocating other state funds currently engaged in less effective tasks (Odden & Archibald, 2009).

Further, if systems for measuring teaching effectiveness are administered in an online platform (see [Chapter 5](#)), that system can also serve as an online professional development program. It would include videos of classroom instruction at multiple levels of performance, and for multiple topics, particularly topics that are difficult to teach. Transforming the artifacts provided for an online system to measure teaching practice into a development system will take expertise, resources, and effort. States are in the unique position to do so if they are also operating the measurement system. We encourage states not to overlook the opportunities to turn their systems for accountability for teachers (and principals) into systems for development as well.

### *Create a Multi-Tiered Teacher Licensure System*

The recommendations for an Initial and a Professional License align with multiple efforts in the past for states to adopt a two-tier licensure system (Youngs, Odden, & Porter, 2003), as well as more recent efforts to have a multiple (i.e. four or five) tiered licensure system. The levels above the Professional License would provide a common metric on teacher performance that could be used for local decisions on tenure, promotion, as well as compensation systems linked to teachers' knowledge, skills, and expertise.

In sum, in order to insure systematic emphasis on continued teacher skill development and make certain that only teachers with demonstrated effectiveness receive tenure, are promoted, and compensated well, we recommend that states do the following:

- Require an intensive induction/residency program for all new teachers until they meet a minimum standard of performance and impact on student learning and require that successful candidates exit the program within a fixed number of years.
- Adopt a multi-tiered teacher license system and require teachers to earn each level by continuously improving their instructional effectiveness. For example, the new Ohio framework includes:
  - Tier 1 for the Initial License;
  - Tier 2 for the Professional License after successfully completing an induction/residency program;
  - Tier 3 for the next level of performance which, with additional local information, is required for tenure;
  - Tier 4 for advanced performance.

Each higher level license should require higher levels of performance based on multiple measures of teaching effectiveness, as discussed in [Chapter 5](#), and which includes assessments of content knowledge, pedagogical content knowledge, instructional expertise, and impact on student learning.

### *Administer the System to Measure Teaching Effectiveness*

To operate a multi-tiered licensure system, we recommend that states create and administer a performance-based teacher assessment system that measures teaching practice and effectiveness at multiple levels of performance. Each level should include, among other things, specific evidence of impact on student achievement. For content areas for which there are student achievement tests, the system should be “validated” to ensure that teachers in the highest category produce more student learning gains than teachers in lower levels.

Several states stepped up to this challenge in their Race to the Top proposals, and many of those could develop such systems even if they do not receive that federal grant. Developing and operating these systems are appropriate state roles because, except for perhaps some of the largest districts in the country, only states have the resources and capacity to create and operate such systems. Indeed, for just the Gates Foundation video tool that documents classroom practice, the system would require acquisition of the cameras (iPhone devices), an online system into which the cameras upload the videos, a system for scoring the videos including trained individuals who would do the scoring, and a reporting system to give feedback to teachers and districts. Though conceptually each district could create its own system of operation, it makes sense on both efficiency and quality bases for states to run such systems, especially if the key results are used for the various licensure levels.

As Chapter 5 further described, there are several existing systems states could use to design their own system, and the Gates Foundation is developing several new tools to measure teaching effectiveness. Particularly if a state creates a multi-tiered licensure system, it needs to insure that the measures used to determine if a teacher is eligible for the various licensure levels is consistent across teachers and districts. Devolving the measurement task to local districts will simply not produce comparable measures for teachers. Further, as indicated in [Chapter 8](#) on compensation, such a state-operated system would provide comparable data on teaching effectiveness. These data could be used in quite different ways to design new salary

schedules, and provide a way for each district to have comparable metrics for all teachers to help them decide where to place a teacher on the schedule if he or she was from a different district.

Finally, if the state creates and operates the system to produce multiple measures of teaching effectiveness, the results of which are used to determine whether a teacher qualifies for a higher level license and used for tenure, promotion, dismissal, or a pay increase, it can insure that the individuals who “score” all the items in the system provide crisp and rigorous scores. This is often difficult when scoring is done by colleagues in the school or district where the teacher works. On the assumption that every element in the system is statistically valid, i.e., linked to student learning gains, these systems also will eliminate the situation in most districts today that rate the vast bulk of teachers at high performance levels, but have few students performing at or above proficiency level.

## *4. Change Evaluation, Tenure, Dismissal, Cutbacks, and Compensation*

Less than a decade ago, most would have argued that state changes to teacher tenure, evaluation, dismissal, and compensation were virtually impossible—with many not even understanding, as noted in [Chapter 7](#), the multiple state policies that now inadequately structure these important teacher decisions. But in 2010, states are rapidly moving forward on these fronts. Illinois and others overcame restrictions to simply create data systems that linked students and their performance to teachers and now have the data systems that can calculate value-added as well as teacher and school effectiveness. Colorado, Illinois, New York, Ohio, Rhode Island, and several other states, including Washington, D.C., have enacted new laws that require evidence of impact on student learning not only to be a component of the evidence used for tenure but to comprise 50 percent of evidence. Likewise states are changing teacher evaluation systems as well as requirements for teacher dismissal. Though not recognized as a key issue before the fiscal crunch of 2010, states and districts are taking similar second looks at policies for reducing teacher numbers when budgets are cut. We recommend that states continue to move forward on all these fronts.

### *Change Tenure Requirements*

First, we note again that we use the word tenure for multiple phrases, including due process, continuing contract, non-probationary status, etc. Tenure not only provides due process and continuing contract status for teachers, which is warranted, but also tenure is one of the most critical decisions school systems make about teachers. The tenure decision is one that connotes that the teacher is effective enough to remain in the school system, i.e., to be given strong job rights; such decisions should not be made lightly. The decision should be made only after the system has rigorous information on the instructional performance of a teacher as well as evidence of the impact of the teacher on student learning gains.

We recommend that states make three significant changes to tenure. First, we recommend that tenure be earned after the acquisition of the Professional License, which we recommended above be earned after the second and by the end of the fourth year in teaching. We further suggest that the awarding of tenure be made no earlier than two years after the earning of the Professional License. This gives states and districts at least four years to compile data on each individual teacher's effectiveness. This also would make tenure, continuing contract, and due process standards require demonstration of a professional level of clinical skills significantly above that required for licensure; such expertise would be gained during an additional period of performance (and assessment) after earning the Professional License. States should set a minimum and maximum number of years after the residency period to earn tenure status; we would suggest a minimum of two and a maximum of four years. The concept here is that education systems should not tenure individuals who do not reach a level of effectiveness significantly above that required for licensure.

Finally, we recommend, as we did in [Chapters 5](#) and [7](#), that the evidence for tenure include measures of

teaching practice as well as measures of impacts on student performance, i.e., multiple measures of teaching effectiveness. We further recommend that evidence of impact on student achievement be a substantial portion of the evidence required for tenure, and believe that such evidence should constitute 50 percent of the evidence for a tenure decision.

We believe that unlike the situation today, states should be specific about the evidence required before local districts can provide tenure to any individual teacher. We suggest that tenure could be provided only after instructional practice is at least at a proficient level or the Tier 3 License level and that the teacher's value-added for student achievement is a specified amount above the average level. For the tenure decision, we encourage states to set a minimum level for both the measures of instructional practice and the value-added or other measures of impacts on student achievement, as well as giving the latter a weight of at least 50 percent in making the overall decision. Chapter 5 discusses other ways to set the tenure bar.

If states do not create an Initial and Professional License for teachers, we recommend that the state nevertheless stretch out the process for tenure, allowing districts to provide tenure only after a teacher has been in the system for at least four years. It takes at least this number of years to obtain reliable information on performance to multiple measures of teaching effectiveness that should be required for earning tenure.

### *Teacher Dismissal and Reductions*

We also recommend that the same set of multiple measures of teaching effectiveness be used for teacher dismissal, with provisions for appeals but limited to short time periods (60–90 days) and the evidence submitted. As noted in [Chapter 7](#), most states have laws concerning teacher dismissal but do not separate dismissal for misbehavior from dismissal for cause, i.e., ineffective teaching. The recommendation here concerns dismissal for inadequate teaching effectiveness.

States need to set minimum requirements for the evidence needed. One approach would be to say that if any measure of a teacher's effectiveness fell below that for tenure, the teacher could be dismissed. If multiple measures were used, the state could require that at least two measures fall below that needed for tenure to trigger a dismissal. Another approach would be to identify a minimum level of "value-added" impact, below which a teacher could be dismissed. For example, a state could allow dismissal if a teacher's value-added scores fell into the bottom quartile (or some such category) for two years in a row (even if each year's scores were averaged over three years). An additional approach would be to specify that dismissal would require that the teacher score below some minimum level for both the measure of teaching practice and the value-added measure. In short, we recommend that states specify the evidence needed for dismissal for ineffective teaching, generally requiring minimum scores for both measures of teaching performance and impact on student learning gains.

To be sure, if during an evaluation year, evidence showed a teacher's performance was slipping below the tenure level, the initial response of the school and district should be to help the teacher improve. But after a specified improvement period, which could be during that same academic year, if performance does not return to at least the tenure level, then districts could implement the dismissal decision using data suggested in the preceding paragraph.

In this light, we also encourage states to enact similar requirements for reducing teacher numbers because of

budget constraints. We generally recommend eliminating seniority-based dismissals altogether. Arizona was one of several states that enacted such policies in 2010. We further recommend that states allow districts to dismiss teachers on a school-by-school basis, a recommendation aligned with recommendations in [Chapter 3](#) for giving schools the final say in selecting school staff. Third, we recommend that schools and districts be allowed to reduce staff on the basis of performance, which would be some combination of measures of teaching practice and measures of impact on student achievement. And we recommend that such provisions supersede any local contractual provisions for seniority-based staff reductions, at least at the time previously bargained contracts end and new contracts are constructed.

## *Compensation*

Finally, we encourage states to incentivize districts to change teacher compensation into structures that are strategically aligned with current education goals—rewarding the acquisition of knowledge, skills, and instructional expertise as well as impacts on student achievement. In this light, states should eliminate all references to traditional “step and column” or “step and lane” salary schedules and encourage districts to create more performance-based salary schedules, along the lines discussed in [Chapter 8](#) or by Heneman and Kimball (2008).

Such encouragement could include requiring districts to use scores from the performance-based teacher evaluation system as *one* important aspect of new teacher salary schedules. Beyond the typical base salary schedule, new teacher salary schedules should provide the largest pay increase when the teacher’s instructional practice meets the standards for the next tier of performance. It should be augmented further with additional incentives for subject area shortages, high-need schools, National Board Certification, and bonuses (individual and/or group) for improving student performance.

Though states can help structure and fund these new approaches, in most states, the details must be negotiated locally. States could, however, provide incentives for districts to develop such new salary systems, such as Minnesota has done for its QComp program (Heneman, 2008). But states should set rigorous guidelines for the types of new schedules created because past experience shows that without such guidance, changes in locally designed salary schedules are much less than desired (Buck & Greene, 2010).

Assuming results from performance-based evaluation systems are valid (i.e., teachers with higher scores produce more student learning gains), salary schedules that include such scores in the schedule, and provide the highest pay for the highest scores, would be providing the highest salaries to the most effective teachers. This would correlate salary levels with both instructional expertise and impacts on student achievement.

We realize designing and implementing new pay systems is not simple. It requires, in most cases, collective bargaining and broad teacher support. The demise of the Florida’s STAR teacher bonus program at the beginning of the 21st century is an example of a teacher pay system designed at the state level and imposed on districts. It was met with significant opposition and was dropped when a new governor took office. Further, the merit pay plan for teachers proposed in Florida in 2009 also met stiff resistance, because it required pay to be linked not to measures of teaching effectiveness but specifically to student test scores. If the program had passed, Florida would have needed 500 additional student tests, thus spending untold sums on measurement. Until we learn which compensation systems work best, districts should experiment with many versions of

performance pay, using both measures of teaching practice and student performance (i.e., multiple measures of teaching effectiveness), and including both small and large bonuses for improving student learning. Similar state policies can be created for principals, following the recommendations in [Chapter 9](#) for applying strategic management to principal talent as well.

## 5. *Summary*

This comprehensive set of state policy recommendations poses real political challenges. The policies will require multi-year periods of adoption and implementation. Though the policies themselves are straightforward, a major developmental effort to design residency programs, fund professional development resources, and develop and operate performance-based evaluation systems will be required.

The chapter generally recommends that states do the following:

- Enhance the level of talent entering teacher training programs by requiring stiff literacy and numeracy expertise for admission into an undergraduate teacher training program; open the education system to new talent pipelines such as TFA, TNTP, and NLNS which have become expert at recruiting some of the country's top young talent into education; and require mainly a rigorous content test for earning the Initial License.
- Support ambitious and ongoing development programs for teachers by requiring a multi-year residency program for teachers coupled with intensive, ongoing professional development, both working through collaborative teacher groups who engage in the cycle of continuous instructional improvement by continually assessing instructional practice in light of its impact on student learning; and documenting the performance progress of teachers through a multi-tiered state licensure system that identifies four or five performance levels through an assessment and measuring system operated by the state.
- Use the results from the multi-tiered licensure systems, which document various levels of teaching effectiveness using multiple measures of both teacher's instructional practice and impact on student learning gains, to reform and upgrade tenure (with impact on student achievement being at least 50 percent of the evidence), evaluation, dismissal, and staff cutback decisions, as well as operate new, performance-based compensation systems that provide the largest pay increases when a teacher's effectiveness moves from one level to the next.

## 12

# THE POLICY AND POLITICAL ENVIRONMENT FOR CHANGE

*James A. Kelly*

The previous chapters of this book have described major needed reforms in American public K-12 education systems. The reforms are necessary if the school systems of America are to become modern, adapting, “learning” organizations successful in boosting student learning. Nonetheless, it is understandable that some readers, accustomed more to stability than change in public education, may feel that the proposed reforms are so far-reaching that it is unrealistic to expect their widespread adoption. Others may understand that serious change is indeed a real possibility but resist the changes because they do not accept the substantive merit of the reforms. Still others may be motivated by self-interest to resist them. After all, it is only fair to note that the training of most educational administrators focuses much more on how to manage school organizations than on how to lead them through revolutionary changes.

But it is undeniable that changes—bold, significant changes—are unfolding in local and state education systems across the country. The sleeping giant of the public school establishment, mired in bureaucratic systems designed almost a century ago to protect schools and educators from outside influences, is in fact awakening to explore new ideas, experimenting with new methods, and instituting new programs. Fundamental reforms in the strategic management of human capital in education are prominently featured in the education reform agendas that will dominate the second decade of the 21st century. In this concluding chapter, the policy and political environment for change in public education are examined, significant reforms already underway are described, and the complex process of implementing and aligning policy is detailed.

## *1. Major Change Does Happen*

A very quick history of public education in the United States will help set the context for the dynamic tension between stability and change that characterizes school reform movements today, and may help readers understand why it is sometimes difficult to achieve quick acceptance of reforms, even obviously needed ones.

The public education system of the United States began in the 17th century as separate, locally created schools, and continued to develop essentially as local institutions throughout the colonial period of American history. By the first decade of the 20th century, public schools were everywhere, but subjected to few rules and systematic controls. Decentralized school governance meant that by the end of the first quarter of the 20th century, there were almost 130,000 locally elected school boards, on which almost one million citizens served—an amazing number considering the much smaller population base (115 million) at that time. But as successive waves of immigration increased the American population, school enrollments grew also.

But that rapid growth was accompanied by unregulated, populist, local management of schools. School board members appointed family members to school jobs. There were few professional standards for becoming a teacher. Continuing employment was subject to political interference and personal whims of school board members. In the first decade of the 20th century, local government institutions, including schools, were the focus of what was called the Municipal Reform Movement, an effort to design and impose written rules about how schools and other local agencies should be governed and managed (Cremin, 1964). In the 1920s, civil service systems were instituted, state laws established the ground rules for employing teachers, and professional school administrators were appointed. These changes were large in scale and scope, required almost a quarter century to adopt system-wide—but the changes were implemented.

Over ensuing decades, increasingly complex, layered, and stable school bureaucracies emerged, legally defined through elaborate state regulations. The advent of teacher unions and collective bargaining in the late 1960s introduced yet another set of policies and rules for a constantly expanding number of school personnel functions—employment, compensation, promotion, tenure, evaluation, dismissal, working conditions, class size, and supervision. The result was a system that was largely separate from general government, and insulated from much of the political process. In that kind of system, change occurs infrequently, and when it does, it happens so slowly that many observers fail to see it happening.

But in the last half of the 20th century, changes did occur, and three of them were at the center of historic changes in American society. The civil rights revolution challenged racial segregation, and the schools were the front line of that historic struggle as they were ordered by federal courts to desegregate. Handicapped children were admitted to schools for the first time and eventually “mainstreamed,” again reflecting a national movement to provide ways that handicapped populations participate fully in education, employment, and recreation. In the 1970s, school finance reforms substantially reduced inequities in school financing and brought enhanced opportunity for equitable treatment to children attending schools in poor communities. These finance reforms were adopted through court decisions strengthening due process and equal protection clauses in the federal and state constitutions, but also through litigation-induced, court-ordered reforms that

rested in part on education establishment clauses in state constitutions (Odden & Picus, 2008).

In each of these three reform movements, the ideas, advocates, first efforts at reform, and early “pioneers” were all found outside the formal school system itself. In each case, there was substantial initial resistance from officials within the schools, with only a few outspoken voices for reform raised inside the system. However, over time, gradually in some cases and more quickly if court-ordered, changes seeped into education policies and practices. For each of these reforms, it took fully a decade for the first wave of implementation to reach what could be called system-level change. However, within two decades, the ideas and values fundamental to the reforms had become widely accepted as appropriate and even desirable aspects of schooling. And despite predictions from skeptics that the changes would destroy public education, the structure and ongoing operation of schools did not collapse but in fact grew, absorbing the reforms, and adapting old systems and policies to new requirements and opportunities.

These examples of change are lessons learned the hard way during the reform struggles but quickly forgotten as yet another wave of challenges and demands for reform loom on the perimeter of the education system. From these lessons we can see that the barriers to reform are seldom just the formal policies that are being challenged, although those barriers can be real and difficult to overturn. Instead, barriers to education reform are more deeply rooted in organizational culture, in a lack of expertise in managing conflict, and in the personal and professional belief systems of policymakers, politicians, and school officials. But in each case, a successful reform movement prevailed, led by talented and expert advocates, support from outside advocacy organizations and private foundations, pressure from state and federal courts, leadership from progressive governors and other elected officials, and effective use of media to mobilize public support. Today, few would dispute that these reforms, bitterly fought at the start, have resulted in historic improvements in how public education functions to serve American society, and its children.

## ***2. Why Human Capital Has Not Been Managed Strategically in Public Education***

In many sectors of the American economy, the management of human resources has been radically changed in the past 25 years with the introduction of new systems designed to improve productivity, reduce costs, enhance efficiency, and increase employee satisfaction. Many of these innovations were instituted during economic downturns, when pressures were strong on corporate executives to improve earnings. Corporations hired young MBA graduates trained with modern HR management theories and techniques. They utilized emerging technologies to manage large data processing functions to provide data and perform routine transactions for all the basic HR functions—hiring, evaluating, compensating, dismissing, and promoting. Ever in search of improved profits, they found real power to do so through constant modernization and improvement of the management of their human capital. Results were clear, measureable, and significant. There was a “bottom line,” and it really mattered; in that environment, the constant need to change is required, it is understood, and it is accepted.

This never happened in public education. When an entire sector employing several million people at over 100,000 workplaces, enrolling more than 50 million students and spending over \$600 billion per year ignores major modernization changes in other sectors, it’s important to look back and understand why, so that current reform efforts can take root more successfully.

There are several explanations. A basic reason is that inside public education, there was widespread basic satisfaction with the outcomes of public schools. Many educators believed that the schools were such a signal innovation of American society that they had to be defended from all demands for change, no matter the source or the issue.

Pressures to define and measure outcomes more accurately started to build in the mid-1980s with the release of *A Nation at Risk*, the report of a federal task force. The dominant response of the educational community was to assail the report as unfair and not to be taken seriously. However, governors and corporate executives viewed the report as a wake-up call for the nation. They formed alliances and jointly launched efforts to develop national standards for what students should know and be able to do. At the same time, another report was issued, *A Nation Prepared: Teachers for the 21st Century*, the report of a task force created by the Carnegie Corporation, a private foundation. The task force argued that competitive economic factors demanded significant improvement in the nation’s teaching work force and the quality of teaching in schools. The report led to the creation of the National Board for Professional Teaching Standards (on which the author of this chapter served for 12 years as its founding president).

Thus, the nation began to re-examine the most basic of all education policy issues—defining the desired outcomes, and how they can be achieved. While early efforts focused on student standards and assessments, efforts to improve the human capital of the teaching work force were on the table as important issues to be addressed. However, there was no general theory of how to improve outcomes and no agreement about how schools, districts, and states should design their human capital management strategies.

In addition to widespread apathy among educators, there were several other reasons that the educational

community was not already out in front of reform efforts, with the system's own programs ready for widespread adoption. The first of these reasons is that no one was being held accountable for results that were less than expected, or desired. Not a single educator lost his or her job directly because of *A Nation at Risk*. No one's salary was decreased. No school was closed. No one experienced any negative consequences. In fact, at that time, the extant personnel procedures and practices in most states and localities actually prohibited managers from holding subordinates accountable for the outcomes in their classroom or school. Teachers and principals would say, "We taught them," and regard that as a sufficient outcome. The HR systems of schools were designed to process routine HR transactions in very traditional, often cumbersome, and sometimes even dysfunctional ways, with no connection to productivity or outcomes. This was "just how things were done in public education," as some were moved to comment.

A second reason was that the traditional civil service system was the only one that most educators had ever experienced. Modernized HR functions in the private sector were either ignored in education, were widely perceived to be inappropriate for use in schools, or both. No university pre-service or major in-service training program for school administrators embraced the kind of management training for HR issues that was common in MBA programs, which focused on improving productivity in all kinds of organizations. The analogy of Plato's Cave comes to mind about this situation; school administrators simply did not know how things could be done differently.

A third reason is that the old system actually "worked," if one accepted its own criteria for minimally satisfactory performance—people got hired, paid, and advanced on automatic salary schedules that required no evaluation or judgment. Within its own terms of reference, the old system seemed to work. Its moving parts—each distinct HR function and activity—were more-or-less aligned with all the others: the lock-step salary schedule "worked" in setting annual increases; the ease of getting tenure meant that almost no one was ever dismissed; the lack of need to make individualized personnel decisions meant that HR management did not require large budgets and staffs.

A fourth reason is that teachers unions became fierce defenders of the status quo on HR issues. They indeed became partners in the management of that system, through collective bargaining agreements in which unions helped set the terms and conditions of employment, negotiated elaborate and detailed provisions about working conditions and career progressions for teachers, and blocked any reforms on these issues that were not funneled through collectively bargained agreements.

A fifth reason is that few if any elected local and state officials, from school boards to governors, publicly challenged this system. When some did raise their voices in favor of "merit pay" or criticized the seemingly endless procedural difficulties involved in dismissing ineffective teachers, they were assailed as anti-teacher, and teachers' organizations invested substantial political contributions and volunteer workers to make sure they did not prevail in subsequent elections.

The stability of the old system was sustained because of all these reasons—lack of dissatisfaction with results, absence of accountability, minimally satisfactory functioning of the old system, use of collective bargaining to reinforce the status quo and make unions into partners of management in defending bureaucratic systems, and absence of strong political forces demanding change. Thus an informal but complex labyrinth of policies, procedures, beliefs, and political forces acted in relative harmony for several decades, assuring no real change in the status quo tradition of using bureaucratic rules to make decisions about the

quality and performance of teachers and principals instead of moving to a more performance-oriented set of policies and practices.

We should also say that by controlling the education locally through thousands of school boards and their members, the education system is risk averse. Change happens sometimes through changes in society itself or sometimes through court orders. Now that the private sector has tried strategic human resource management and shown how it can work, it may be the right time for education to move into these arenas as well.

### *3. Local Innovations Point the Way*

Some bemoan the decentralized governance of American public education, controlled as it is by states and managed by local school boards and administrators. It is, after all, the federal system of government that James Madison and others explicitly anticipated when they designed and wrote our Constitution in 1789. But one of the major strengths of decentralized educational systems, the flip side of slowing down system change, is that they are open to local innovations, divergent thinking, unusual program inventions, and new ways to educate children. In some ways, decentralization in education is a uniquely American way of organizing schools, quite unlike the more centralized systems found in most other countries.

In the past ten years, this decentralization has permitted a remarkable and historically significant set of initiatives to emerge. Several emerged in large urban school districts. Others were the result of actions by individuals who created new, not-for-profit organizations through which they launched school reform initiatives. Leaders of both types of initiatives were dissatisfied with the outcomes of schooling, measured by achievement levels of students and their graduation rates from high school. They were focused on changing the outcomes, and to do so, they were willing and, in fact, eager, to challenge head-on many traditional aspects of how public schools were organized and managed. They were outspoken in saying that student achievement was *the* outcome of schooling that really mattered, and that it was unacceptably, even disgracefully low. They came to reflect a deep belief that teaching was the paramount issue, and that attracting and developing outstanding teachers was the top priority. They courageously tackled some of the toughest problems first, working in failing urban schools and poor rural areas. They brought fresh thinking, new ideas, new cadres of leaders, new political coalitions, and, over time, new proposals for changing state and federal policies and programs to permit and to support the locally focused initiatives they were advancing. Public education had not seen anything quite like these reformers since the early days of the civil rights movement and demands for racial desegregation almost 50 years earlier.

About a dozen of these initiatives were the subject of case studies conducted in 2008 by the Strategic Management of Human Capital project of the Consortium for Policy Research in Education. These case studies have been cited in earlier chapters in this book but nonetheless it is useful to make clear how, taken together, the reforms constituted a catalytic force that captured the imagination of reformers nation-wide, from local school districts and states to teachers' organizations, to the U.S. Secretary of Education and to President Barack Obama himself.

The five urban school districts studied were Boston, Chicago, Fairfax County (VA), Long Beach (CA), and New York City. The case studies revealed that each school district had its own unique story of reform, that amazing progress had been made, and yet, that the journey toward the big goal of radical increases in student achievement has only begun.

One conclusion from these stories is that while structure matters (e.g., mayoral control or not, elected or appointed school board), no particular structure inherently works better than others—but leadership is what *really* matters:

- In Chicago, a strong mayor obtained state legislative approval to run the schools; he exercised that authority vigorously, naming top school executives who were not traditional school administrators but in whom he had confidence, and then backing them politically and supporting their policies and programs, even when controversial.
- A somewhat similar set of events unfolded in New York City, where a strong mayor also took control of the schools, appointed new leadership from outside traditional ranks, negotiated agreements with the teachers union for large salary increases and needed governance and management reforms, and provided large-scale added resources and firm political support.
- In Boston, strong mayoral support was provided to an outstanding school superintendent with traditional credentials but with a passionate commitment to improving instruction, who, with support from the board of education, launched many promising new programs including many in the HR arena.
- In Long Beach, an experienced school superintendent worked closely with the district's teacher organization and with Long Beach State University, which supplied most of the teachers to the district. Over a ten-year period, an innovative partnership was forged between these three institutions, focused on training, developing, and supporting the types of instructional personnel the school district actually needed.
- In Fairfax County, progressive and effective school administrators launched educational programs to improve instruction with great emphasis on professional development of the expertise and performance of teachers and principals.

All districts were focused on improving teacher effectiveness, including both teachers' instructional practice and their impact on student learning gains.

Five major conclusions were drawn from these cases:

- Urban districts CAN recruit top-quality teachers and principals by deploying aggressive and innovative human resource strategies. This finding contradicted long-standing beliefs that top talent simply couldn't be recruited to work in difficult urban schools.
- Urban districts that installed new systems to recruit, develop, and retain high-quality teachers and principals also re-structured and modernized many human resource transactional processes. New HR systems were designed and installed by a new wave of school administrators, with MBA-type backgrounds, and "networked" by foundation support. These advances brought the "backrooms" of HR management into the technology age, developing new data systems and transactional procedures to make sure that routines (e.g., payrolls, record-keeping) were handled smoothly and in "customer-friendly" ways. The new systems replaced embarrassingly inadequate, dysfunctional, and broken old systems.
- Despite solid improvement in recruitment and staffing, the districts had only begun to develop valid measures of teaching performance and student achievement, and to use these measures to guide all HR decisions, efforts now accelerated by district response to the federal Race to the Top program.
- Large urban "reform" districts benefited from stable leadership of the school district itself, buttressed by strong support from city officials, local universities, and local business and civic leaders.
- While collaboration between management and teacher organizations/unions was found to be essential in

building systems for the strategic management of human capital, the districts achieved varying degrees of success on this issue.

Case studies were also conducted of three entrepreneurial, seminal educational organizations founded and operating independently from school districts. They are Teach For America (TFA), The New Teachers Project (TNTP), and New Leaders for New Schools (NLNS). America has hundreds, probably thousands, of not-for-profit organizations working to improve public schools. Dozens, probably hundreds, of for-profit firms have staked out positions in the K-12 market-place. But none of these has had the impact of TFA, TNTP, and NLNS, which individually and collectively represent an entirely new wave of significant influences on schools from sources emanating outside the formal school enterprise.

TFA was founded in 1989 by Wendy Kopp, whose senior thesis that year at Princeton University called for graduates of elite universities to become teachers in failing urban and rural schools. The TFA story has been told and re-told and need not be repeated here at any length. But TFA is an extraordinarily influential organization that has overcome many challenges to its validity, and in just its first 20 years, has achieved nationwide impact far beyond the scope of its actual operations. TFA recruits graduating college seniors from top universities, screens them carefully, selects less than a fourth of the applicants, and places them in teaching positions in 29 regional sites, mainly urban districts but including some rural districts as well. TFA corps members, as they are called, are expected to teach for a minimum of two years. They are selected and placed without traditional teacher education qualifications but are trained in TFA-designed programs.

After starting small and placing only about 2,000 teachers a year in its first decade, in 2009 TFA placed about 4,200 teachers, or about 2 percent of the nation's total of new teachers. In 2008, more than 25,000 graduating seniors had applied to TFA; most of these applicants were from elite universities. Fully 7 percent of all graduating seniors from Princeton, Yale, and Michigan applied to TFA. Twenty-eight percent of TFA applicants in 2008 were non-white. The average SAT score of all applicants that year was 1,310, well above the average for non-TFA new teachers being recruited by large urban districts.

In its early years, TFA was criticized by many for weak pre-service (typically just a few weeks in the summer between college and teaching jobs) and in-service training programs. Whatever the merits of those criticisms, TFA undertook a self-analysis about ten years ago, identifying its most successful corps members as measured by student achievement; studying the backgrounds, attributes, and teaching performance of them; and based on those analyses, re-designing the entire TFA program—recruitment, interviews, screening, selection, pre-service training, classroom support, ongoing professional development, and, interestingly, continuing ties to TFA and education after completing their first two years of teaching (see Farr, 2010). Few if any traditional colleges of education systematically analyze the performance of their teacher education graduates in this exacting way, and use the data to re-design pre-service and ongoing professional development programs. By 2015, TFA expects to have 50,000 “alumni” with whom it will maintain communications; thousands of these have remained in the education sector in various roles, ranging from principalships to influential roles in local, state, and federal departments of education, and as policy advisors with mayors, state legislators, and foundations.

One TFA alumna, Michelle Rhee, went on to found TNTP in 1997 and was its president until leaving to become the Chancellor of the Washington, D.C. public schools in 2007. Like TFA, TNTP selects and

recruits new teachers but seeks candidates who are early career changers from law firms, management consulting firms, banks and other financial industry companies, and other private sector organizations now providing thousands of possible TNTP recruits through layoffs and cutbacks. It develops contractual relationships with its clients, typically local school districts, almost all of which are urban; it works collaboratively with the clients to support and improve the quality and effectiveness of its teachers. Most TNTP staff members work right in the school district office. TNTP attracts about ten candidates for each position it fills. By 2009, it had placed 28,000 teachers in 200 districts in some 30 states.

The third of the catalytic trio of non-profit entrepreneurial organizations is NLNS, founded in 2000 by five Harvard MBA and education graduate students, one of whom was a former TFA teacher, who wanted to bring improved managerial competence to the public school sector. Since its founding, it has placed about 640 school principals and other leaders in school districts and other education agencies across the country.

These organizations have demonstrated that contrary to previous experience and widespread belief, absolutely top-quality college graduates and mature adults can be recruited and prepared for work as teachers and principals in public schools. It is a hard if painful fact that these kinds of talented people were simply not being recruited by traditional teacher preparation programs in such numbers. But the numbers of smart people recruited is hardly the main story; the remarkable aspect of their programs is that they seek to work in the most difficult, low-achieving schools, and to have the quality of their programs and their corps members assessed by measures of student achievement. Their focus is on the outcomes of their work, consonant with the basic tenet of all professionals: do no wrong, and serve the client.

Through the accomplishments of these three organizations, and the major reforms instituted in five of the nation's largest urban school districts, the old view that schools cannot be changed should be laid to rest, once and for all. The existence proofs in these case studies have established that hard fact. Paraphrasing Winston Churchill, let this be called the end of the beginning—the end of the first phase of moving the public schools of America toward becoming true learning and performance organizations.

## *4. Implementing SMHC Principles*

In this book we have set forth and explained a complex but deeply interconnected set of reforms that we choose to call the strategic management of human capital. In June 2008, Allan Odden and the author of this chapter wrote a long paper that became known as the “What is SMHC?” paper (Odden & Kelly, 2008). In it, we presented the core ideas, rationales, policies, and practices that are essential elements in efforts to strategically manage human capital in public education. At that time, SMHC was regarded as far-out, interesting but impractical, attractive but politically unrealistic. The strongest advocates for SMHC were not in positions of central power over education policy agendas.

The core policy proposals and implications of SMHC can be summarized in this way:

- Achieving dramatic improvement in organizational performance on two essential elements of performance—student achievement and instructional practice.
- Achieving the alignment or coherence of HR practices through collaborative processes focused on the two critical aspects of the strategic management of human capital—talent acquisition, and strategic development and management of talent.
- Designing and implementing human capital management reforms running through the main functional HR areas: recruitment, selection/placement, induction, mentoring, professional development, performance management (evaluation), compensation, and career progression.
- Establishing metrics to evaluate progress toward achieving the human capital management reforms as measured by improved student achievement and instructional practice.
- Using the metrics and evaluations to revise ongoing human capital management reforms and to accelerate the rate of improvement of organizational performance.

Implementing these reforms will touch almost every aspect of how teachers and principals are employed, how their work is organized and evaluated, how the system functions to maximize their own continuous improvement and development, and how the organization evaluates its own success against the two bottom-line dependent variables of SMHC, student achievement and teaching practice.

Understanding the core ideas is one thing. Getting them implemented is quite another. As we have pointed out, a program of strategic management of education’s human capital is complex, and the organizational environment and policy arena in and through which the programs must be implemented, add a lot more complexity. The SMHC case studies identified significant progress on some strategic management dimensions in five reform-minded urban districts, but also found much less progress on other elements of strategic HR, especially those involving performance management, for example.

The issues have now become clearer, and leaders from every nook and cranny of the educational enterprise and of American government have staked out positions.

At the federal level, it’s not possible to overemphasize the importance of the positions that President Obama has taken, calling for improved student achievement, higher graduation rates, improved teacher and principal effectiveness, and last but not least, performance pay for teachers and administrators. He has

repeatedly insisted that public schools must evaluate the effectiveness of teachers and principals, offer assistance to improve those needing it, dismissing those who cannot or will not become effective, and using student achievement results as one factor in determining teacher compensation. President Obama has backed up these admonitions with large-scale federal funding programs such as Race to the Top and other federal incentive programs. Potentially the most significant of them in the long run provide federal funding for new data systems linking student and teacher data, and other funds to support improved assessments of students and teachers.

In advancing these policies, President Obama and his Secretary of Education, Arnie Duncan, directly confronted teacher unions, one of the most significant and powerful constituencies of the Democratic Party. This could be likened to a Republican president, Richard Nixon, going to Beijing to open diplomatic relations with China. It was said that no Democrat could have done that, and it is also said that no Republican president could successfully get the teacher unions to accept the emphasis on teacher effectiveness and performance pay. Though the National Education Association (NEA) and American Federation of Teachers (AFT) both take their own positions on issues, the two unions have changed their positions on critical issues; they have become more open to SMHC-type reforms. The AFT, for example, supports finding ways to use student achievement results as a factor in determining teacher compensation.

The Democratic Party is thus split between some who are allied with traditional union positions on key issues and resist much of the Obama reform agenda, and those supporting the Obama reforms. These divisions will be seen in clearer relief as Congress moves in 2011 to re-write and re-authorize the Elementary and Secondary Education Act. Supporters of the President will want to have large programs that are discretionary, so that the Secretary can determine who should get the funds, but others will want to shift much of the discretionary funds used by Duncan to advance his agenda in 2009 and 2010 into formula-type programs without significant strings attached. Meanwhile, the Republican Party, not typically a friend of teacher unions, and more inclined to accept performance pay than many Democrats, finds itself more kindly disposed to a Democratic President on education issues than on many other policies and political issues.

At the state level, several new policies were discussed in [Chapter 11](#) that are needed to support strategic talent management strategies and which are now reinforced by the emerging federal focus on education talent and its strategic management.

At the local level, there are two key levers, or tools that can help districts keep track of complex SMHC reforms, to identify problem areas, and to chart reform strategies. They were both discussed in [Chapter 10](#): HR alignment analyses, or audits, to determine the degree to which all HR programs are aligned and then HR metrics to track implementation in each HR program itself and to focus most attention on those program elements in each HR area that are drivers of student performance.

The idea of SMHC alignment is that reforms in the various HR functional areas, such as recruitment, compensation, and evaluation, should be aligned with each other and not treated as separate, unrelated functional areas. This type of alignment can be called horizontal alignment. But HR functions should also be aligned with and support instructional policies and practices, and should be seen as contributing directly to the district's educational improvement strategy and its two key elements, instructional practice and student achievement. This type of alignment can be called vertical alignment.

To illustrate how important—and how revolutionary—vertical alignment can be, reflect on the fact that

many efforts to modernize HR functions and transactions are not linked in any way to measures of instructional practice or student achievement. At an SMHC meeting in early 2009, HR and instructional leaders from about 25 large urban districts participated in a two-day seminar on SMHC issues. In most of those districts, there were major efforts under way to modernize old and dysfunctional HR systems, yet in no case were those efforts specifically or directly linked to other efforts simultaneously underway within those districts to reform instruction and improve student achievement. HR reforms were being evaluated on the basis of how efficiently they were being implemented, and not on how effectively they contributed to the improvement of instruction and teacher effectiveness. When this discrepancy, this lack of strategic alignment, became apparent to the participants in the meeting, there was a collective “now I get it” moment that was a significant learning experience for all concerned. Vertical alignment is just another way to make the most basic point of all—that *everything* must be linked to the two bottom lines of improving instruction and increasing student achievement. *Nothing* schools do should be exempted from evaluation against those criteria.

Another very important way to use the concept of vertical alignment is the policy issue of linking policies and practices at the local level to directly relevant state and even federal policies. Many rules about how teachers and principals are employed are in fact set at the state level, in statutes, regulations, and programs, as we have described in [Chapters 7](#) and [11](#). For example, states usually set minimum qualifications that applicants for teaching positions must hold. Typically these include such requirements as holding a state license to teach. In most states, candidates must have graduated from a state-approved (and frequently, state-funded) teacher education program to get a state license, and cannot get a teaching job without the license. These requirements effectively prohibit local districts from hiring applicants without the state license. Strict adherence to this limitation has given way in many states to a more flexible approach, where alternate routes into teaching are recognized by the state. But before these flexibilities were added, these laws impeded the progress of groups like TFA and TNTP (which, incidentally, are not state-funded). That is why TFA and TNTP sought state approval to operate their own teacher training programs outside traditional university routes. But these discrepancies and these unaligned policies are not trivial, and must be addressed, with [Chapter 11](#) identifying the critical state policy agenda. Using the concept and even the language of vertical alignment makes clear that state and local systems should ideally be aligned or at least not be in direct conflict.

The idea of HR audits, or alignment analyses, is conceptually quite straightforward. Implementing an admittedly complicated set of policies and practices that require both horizontal and vertical alignment—and more than that—requires fairly sophisticated understanding and acceptance of a sweeping reform agenda on the part of many actors inside and outside local districts.

There are two other important factors that will help to determine how rapidly the strategic talent management agenda can be implemented. The first is that it’s absolutely necessary to have valid and appropriate assessments of both teaching performance, and student achievement and gains in it, issues addressed in [Chapter 5](#). These assessments must cover the work of all teachers, not just those teaching a few core subjects. Neither set of assessments is fully available in 2010. Federal and foundation (the Gates Foundation) funding is supporting urgent efforts to develop both sets of assessments; realistically, getting them developed, vetted, and accepted by all the stakeholders—state and local officials, union leaders, and teachers themselves—will take several years.

The other factor, however, bodes well for faster adoption and acceptance of reform than has previously been

the case. That factor is technology. Dozens of virtual communities of teachers are functioning in 2010 and many more are being organized each year. Through them, teachers communicate with each other as never before, frequently focused specifically on instructional issues. Through these networks, ideas and issues spread virally, are vetted informally, and enable teachers to communicate their concerns and ideas more effectively. Few of these networks are connected directly to more officially recognized “reform” networks such as those organized by state or national agencies, or major private organizations. It will be important to connect these informal, virtual communities to the networks of policymakers and officials working in a more “top-down” way to advance SMHC-related reforms.

Thus, it will take years to implement a full SMHC agenda in a school district. Realistically, five to ten years is not an unreasonable time period, even with determined and concerted efforts by the most committed and passionate reformers leading the way. That kind of implementation time horizon will mean in many instances that the reform initiatives must be continued through the regimes of two or more superintendents, or CEOs. Systems should therefore develop methods and materials for periodic SMHC audits, or alignment analyses, and HR metrics, tracking system progress on various aspects and elements of human capital reforms. These processes should make strategic talent management reforms more transparent, both to insiders and to other concerned stakeholders. They also can be levers, or tools, that school officials can use to keep the long-term agenda in focus, to maintain recognition of progress already achieved, to organize work assignments and coordinate work across departments and levels of the system, and to chart necessary next steps in the process.

## *5. Concluding Comments*

Reforming the management of school districts is hard work. It takes clear goals, clever and strategic human capital initiatives, sound judgment, tough decisions, and determined leadership. It is hard work because the traditional civil service system of employment found in public schools is designed to insulate employees, many of whom have tenure and enjoy guaranteed annual pay increases. It tends to protect the status quo against demands for change. So deeply instilled is this stability and insulation in the minds and beliefs of many educators that they instinctively resist change, or simply do not understand that there could be better ways to do business. Collective bargaining brought an additional layer of detailed rule-making and decision processes into the picture.

Despite all this inertia, change does happen. Sometimes it is almost forced on schools from the outside. Sometimes visionary and accomplished professional teachers, principals, administrators, and union leaders design and implement important instructional and administrative reforms. Sometimes change happens because a governor advances a reform program that is adopted by the state's legislature, and schools are required to change.

But sometimes, the stars fall into alignment and windows of opportunity open for large-scale, system-wide changes. The second decade of the 21st century is one of those rare opportunities. Stakeholders from inside and outside the system, in dozens of roles and holding differing types of influence, come to see the desirability of a common core reform agenda. Many of the essential elements are already in place—growing dissatisfaction with outcomes, imaginative and courageous leaders inventing new organizations and new local solutions, articulation of a substantive reform agenda like the new approaches to talent management in education addressed in this book, and powerful leadership from the President of the United States. Even the fiscal crises of 2009–2010 force agencies to find more effective ways to allocate resources.

That is why it is accurate to say that the system of public education in America is ready for reform that is system-wide. The first stages, described in the preceding paragraph and earlier in this chapter, have been experienced. The system is poised to enter a transition, from a traditional, stable, and bureaucratic type of system, to one that focuses on outcomes such as instructional effectiveness and student achievement. The performance organizations of the future will subject every element of school policy, practice, and procedure to careful scrutiny and analysis to discover how each can be made to contribute more powerfully to the improvement of instruction and student learning.

## NOTES

## *1 Strategic Management of Human Capital in Education*

- 1 Many of the examples provided in this book as well as the overall thrust of the book derive from cases, experiences, and activities of a major national project called the Strategic Management of Human Capital (SMHC), which included a prestigious National Task Force, multiple case studies, analytic reports, national conferences, and an informative web site where all these materials can be found: [www.smhc-cpre.org](http://www.smhc-cpre.org).
- 2 Sometimes these two outcomes are simply called measures of teaching effectiveness.
- 3 We take no position on the specific nature of the district or state instructional improvement strategy; the test over time is whether it actually boosts student achievement by large increments.
- 4 Many of these individuals had taught in urban schools after being recruited into education by Teach For America (TFA) and concluded both that better talent could be recruited into urban districts and that urban schools could be successful in educating children from low-income and minority backgrounds to high levels. Organizations created by former TFA teachers include The New Teacher Project and the KIPP charter school academies.
- 5 We understand that in the broad strategic human resource management literature there are multiple definitions for what could be called “strategic” management of human resources including: (a) HR process improvements that are outgrowths of total quality management and process reengineering; (b) using metrics to inform the design and operation of HR programs; (c) turning the HR system into a more “customer” service orientation where the customer can be multiple people or elements of the organization; (d) using technology to automate and make HR operations more efficient; (e) outsourcing HR to entities outside the main organization; (f) reducing costs in any aspect of the HR system, as well as (g) improving organizational performance. Often “strategic” includes multiple aspects of the above various definitions. It should be clear that we define the strategic management of human capital as improving organizational performance, i.e., student achievement, though any of the transactional improvements would certainly be consistent with, and could help support, this overarching goal.
- 6 There also are key district roles including that of the superintendent, chief academic officer, chief talent officer, the HR office, data and accountability, and the office of professional development, but the book focuses primarily on key *school* roles.
- 7 Since many urban districts and high-poverty schools have had large numbers of open positions, they have made the focus on recruiting new talent, with school selection of personnel and limited or constrained seniority bumping. Those districts that have ineffective evaluation systems also might find themselves with a “pool” of ineffective teachers with no offers of a position from any school. Indeed, New York City has simply paid such teachers without having them perform work tasks. This practice obviously strains limited school budgets, especially today. Schools, districts, and unions must create ways to insure that only effective teachers remain in the district and that ineffective teachers are counseled out or dismissed in ways that are procedurally and substantively sound and fiscally affordable.



## *2 A Powerful Education Improvement Strategy*

- 1 We understand that some of the extra time for “core” subjects was taken away from other subjects, such as science and social studies in elementary schools, as well as art, music, physical education, and so on. States, districts, and schools could have considered bolder school day and year changes so these subjects are not short-changed as core, test subjects are given added priority.

### *3 Staffing and Recruiting Top Talent*

- 1 Note that this is just a list for key staff; all the staff mentioned earlier are needed for schools. For example, sufficient numbers of individuals teaching elective classes are needed in order to organize all teachers into collaborative work teams.

## *4 Performance Management in Education*

- 1 As we show in [Chapter 7](#), we believe it should be a major but not the sole factor, and at least 50 percent of the evidence for tenure.
- 2 We continue to refer to the two metrics of strategic human capital management— measures of teacher performance and measures of student performance—though as stated at various points in the book, the phrase “multiple measures of teaching effectiveness” includes both of these types of measures.
- 3 We know that there are different definitions of teacher collaborative teams or what DuFour calls PLCs (DuFour, DuFour, Eaker, & Karhanek, 2009), but our meaning for this collaborative teacher work is as written—using student performance data to continuously improve instructional practice, raise student learning, and lower the size of the achievement gaps linked to poverty and race.

## *5 Measuring Teacher Performance for Strategic Human Capital Management*

- 1 We use the term “productivity” instead of the more popular term “value-added” because there could be many ways to measure productivity. Moreover, some refer to these two different but related measures simply as measures of teaching effectiveness; we believe making the distinction between the two is important.
- 2 Leniency is an endemic problem in private sector evaluations as well (see Bretz, Milkovich, & Read, 1992; Levy & Williams, 2004; Murphy & Cleveland, 1995).
- 3 It has long been known in industrial/organizational psychology that using a test that has substantial measurement error for the selection of employees will still lead, over time, to a workforce with higher average performance, as long as the systematic bias in the test is low, there are enough better candidates available to replace poor performers, and the test has some ability to predict who will be a successful performer on the job.
- 4 Yeh and Ritter (2009) considered these features and argued that high replacement costs and costs associated with expanding the pool of new teachers would be significant. Comparing the Staiger, Gordon, and Kane (2006) proposal to nine other interventions, they concluded that replacing low valued-added new teachers was more cost effective than all but three of the alternatives considered. However, they found that two of these three were substantially more cost effective.
- 5 If there were a substantial overall correlation between value-added and practice assessment ratings in a district, we would expect to find the teachers with consistently low value-added also delivering below average instruction, and so to suspect their prior ratings may be due to leniency. This is why an evaluator from outside the building would be used.
- 6 Of course, this approach is more justified if there is a positive correlation between practice assessment scores and value-added, because then the incentive provided to improve practice scores also would promote an average improvement in value-added classroom productivity.

## *6 Induction and Professional Development*

- 1 This section draws heavily from Odden and Picus (2008), Chapter 4, and Odden and Archibald (2009), Chapter 5.
- 2 There is a role for professional development focused on specific needs of individual teachers that would emerge from both their work in collaborative groups as well as profiles of strengths and weaknesses from a performance evaluation of their instructional practice. Professional development plans that individual teachers create on their own are too often isolated activities not strongly connected to the skills, competencies, and knowledge needed to be an effective part of a collaborative work team implementing a specific curriculum. See Joyce and Calhoun (2010) for multiple professional development models.
- 3 Some schools and districts are able to organize school schedules into longer time periods, such as 90-minute blocks of time, some of which are then used for collaborative work teams. This can be a more expensive approach or require larger class sizes, but often works quite well, depending on school and district preference and fiscal condition.
- 4 We also recognize that some of the above ideas are more difficult to implement in small rural schools. These schools may need to form a consortium of schools and teachers across districts, through online mechanisms if possible, to have the critical mass to implement some of the above ideas.

## *7 New Policies for Licensure, Tenure, Evaluation, and Dismissal*

- 1 We make a distinction between measures of instructional practice per se and measures of teaching effectiveness. The Measuring Effective Teaching project supported by the Bill and Melinda Gates Foundation seems not to make the distinction. That project is supporting work on identifying varying ways to measure teaching effectiveness, i.e., student learning gains. It is supporting work that we would label as measuring teaching practice, and we believe will conclude that such a measurement system is a measure of teaching effectiveness if statistically it is shown to correlate to learning gains. In particular, the Gates Foundation video tool, which video records classroom instruction, is something we would call a measure of instructional practice, and when it is linked statistically with learning gains, generally through a value-added analysis, we would then call it a “valid” measure of instructional practice. When those statistical connections are shown, we believe the Gates Foundation will call it another measure of teaching effectiveness.
- 2 Although new and more rigorous state policies on tenure, evaluation, and dismissal can help improve human capital management in education, districts could make improvements on their own if states do not act or put new policies on paper but with lax enforcement, though districts would continue to be constrained by the tenure time periods.
- 3 Though value-added can produce one measure of teaching effectiveness using at least three years of data, there could be other measures using, for example, end-of-course examination scores, benchmark testing results, common end-of-curriculum-unit test scores, etc.
- 4 Cincinnati appropriately makes exceptions for teachers experiencing temporary individual stress, such as having a chronic sickness, having a spouse or significant other experience a significant sickness, or death, etc. But after that time period it is expected that the teacher’s performance must be at least at Level 3.

## 8 *The Compensation Side of Strategic Talent Management*

- 1 For additional information and more details on how to design the pay changes addressed in this chapter, readers are encouraged to read the CPRE handbook on redesigning teacher compensation systems ([www.wcer.wisc.edu/cpre](http://www.wcer.wisc.edu/cpre)) and a 2007 book, *How to Create World Class Teacher Compensation*, by Allan Odden and Marc Wallace, available for free download at [www.freeloadpress.com](http://www.freeloadpress.com). See also Lawler (2000) on compensation change in general.
- 2 Given the rising interest in and costs of teacher retirement plans, and the ability of many educators to boost retirement pay by having extraordinary additions to their last three years of salary, the figures often used to calculate retirement pay, we suggest states and districts consider switching teacher retirement plans to “cash balance” plans which more fully and fairly fund teacher retirement benefits and link the level of benefits to the teacher’s salary over the course of their career (Costrell, Johnson, & Podgursky, 2010; Costrell & Podgursky, forthcoming).
- 3 Our analyses showed that jobs similar to teaching in knowledge, skills, and responsibilities include instructors in community colleges and vocation institutions, college professors, counselors, social workers, nurses, psychologists, and many positions in the health care professions.
- 4 There is debate in the field about whether teacher salaries should be “adjusted” for the shorter work year for teachers. This chapter takes the position that they should not. In the longer term, however, if teachers could choose to accept a 12-month job offer or a 10-month job offer, then the 12-month teaching job would be the appropriate comparison. But until that becomes an option, this chapter compares extant average teacher salaries to extant average salaries in comparable jobs, many of which are teaching jobs as well.
- 5 Unfortunately, neither the O\*NET database nor other databases include salary *and* benefits data, particularly at the state or regional level, so direct comparisons of compensation—salary *and* benefits—cannot be made.
- 6 See Heneman and Kimball (2008) for more ideas on how to change teacher salary structures.

## *9 Strategic Talent Management for Principals*

- 1 We focus here primarily on the district role of principal human capital management. Clearly, states, the federal government, and professional organizations (National Association of Elementary Principals and National Association of Secondary School Principals) also contribute resources, guidance, and licensure requirements that can influence principal SMHC.
- 2 In some cases (i.e., small districts), compensation is negotiated between the individual and superintendent (or school board), with no formal salary schedule.

## *10 Organizing to Implement Strategic Human Capital Management in Education*

- 1 Not every HR metric should or will be linked to student learning gains, such as, for example, time to fill new vacancies, but that HR metric might nevertheless be important. But a key goal of creating the wide array of HR metrics is to identify those that are linked to student learning gains as a way to identify which elements of which HR programs should be given considerable attention to insure it is operating at a peak performance level so it can continue to impact student performance.
- 2 Many of these suggestions draw from Bridgespan Group (2010) which also based its recommendations, in part, on several SMHC papers and concepts.

## *11 The State Role in Strategic Management of Education Talent*

- 1 Using most of the recruitment strategies outlined in [Chapter 3](#), Michelle Rhee, the chancellor of the district at that time, had no trouble filling teacher and principal positions.

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principal evaluation and compensation, strategic human resource management in education, and evaluation of foundation education programming. In addition to his involvement with the CPRE Strategic Management of Human Capital project, he is currently Principal Investigator for the evaluation of the Chicago Community Trust Education Program, and a research staff with the Center for Educator Compensation Reform project of VARC. He is also participating on a contract with Milwaukee Public Schools to redesign teacher and principal evaluation systems, and is an evaluation coordinator for the evaluation of teacher mentoring in that district. Prior projects have included a study funded by the Institute for Educational Sciences on principal performance evaluation for which he was co-investigator, and research on the CPRE Teacher Compensation Project. He has taught graduate level classes in staff personnel systems in education and teacher performance evaluation at the University of Wisconsin-Madison. He has been lead or co-author on numerous academic publications, book chapters and conference papers involving principal human capital management; principal performance evaluation; teacher evaluation validity, reliability and impact; teacher compensation, and foundation evaluation. Before joining WCER, he held legislative analyst positions in the U.S. House of Representatives, the U.S. Senate and the Texas State Office in Washington, D.C.

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**Anthony Milanowski** is an assistant scientist with the Wisconsin Center for Education Research (WCER) at the University of Wisconsin-Madison. He received his Ph.D. in industrial relations from the University of Wisconsin-Madison. His recent research has involved human capital management at the school level. He helped to staff the Strategic Management of Human Capital Task Force. He is also currently part of the Center for Educator Compensation Reform technical assistance staff, providing assistance to the U.S. Department of Education's Teacher Incentive Fund grantees on teacher and principal performance evaluation. Past work has included coordinating research on teacher compensation and performance evaluation for the Consortium for Policy Research in Education (CPRE) Teacher Compensation Project, developing a process for assessing human resource management program alignment, and studying new teachers' responses to incentives. He was also co-Principal Investigator of a study of standards-based principal evaluation systems, including an assessment of the relationship between principal evaluation ratings and value-added student achievement. Before joining WCER, he was a human resource management professional for 16 years, working in compensation, staffing, and performance evaluation.

**Allan R. Odden** is Director of Strategic Management of Human Capital (SMHC) in public education, a project of the Consortium for Policy Research in Education (CPRE) that seeks to improve student performance through talented teachers and school leaders and improved instructional practices produced. He also is Professor of Educational Leadership and Policy Analysis at the University of Wisconsin-Madison; and Co-Director of the CPRE. CPRE is a consortium of the University of Wisconsin-Madison, Pennsylvania, Harvard, Michigan, Northwestern, Teachers College-Columbia University, and Stanford Universities. He formerly was Professor of Education Policy and Administration at the University of Southern California (1984–1993) and Director of Policy Analysis for California Education (PACE), an education policy consortium of University of Southern California, Stanford and the University of California, Berkeley.

He is an international expert on the management of human capital in education, teacher compensation, education finance, school-based financing, resource allocation and use, resource reallocation, educational policy, school-based management, and educational policy implementation. He worked with the Education Commission of the States for a decade, serving as assistant executive director, director of policy analysis and research, and director of its educational finance center. He was President of the American Educational Finance Association (AEFA) in 1979–80 and received AEFA’s Distinguished Service Award in 1998. He served as research director for special state educational finance projects in Connecticut (1974–1975), Missouri (1975–1977), South Dakota (1975–1977), New York (1979–1981), Texas (1988), New Jersey (1991), Missouri (1992–1993), the Joint Interim Task Force on School Finance Adequacy in Arkansas (2003, 2005), the Wyoming Select Committee on Finance (2005, 2010), Washington Learns (2006), Wisconsin (2005–2007), and North Dakota (2007–2008). He was appointed Special Court Master to the Remand Judge in the New Jersey *Abbott v. Burke* school finance court case for 1997 and 1998. He has worked on teacher compensation changes in dozens of states and districts. He currently is directing research projects on the strategic management of human capital in public education, school finance adequacy, school finance redesign, resource reallocation in schools, the costs of instructional improvement, and teacher compensation. Odden has written widely, publishing over 250 journal articles, book chapters, and research reports, and 35 books and monographs. He has consulted for governors, state legislators, chief state school officers, national and local unions, The National Alliance for Business, the Business Roundtable, New American Schools, the U.S. Congress, the U.S. Secretary of Education, many local school districts, the state departments of education in Victoria and Queensland, Australia, and the Department for Education and Employment in England.

He was a mathematics teacher in New York City’s East Harlem for five years. He received his Ph.D. and M.A. degrees from Columbia University, a Masters of Divinity from the Union Theological Seminary and his B.S. in aerospace engineering from Brown University.

**TABLE 5.1** Practice Assessments for Additional Human Capital Management Uses

| <i>SMHC use</i>               | <i>Data collection and assessment methods</i>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|-------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| External Recruitment          | <ul style="list-style-type: none"> <li>• The competency model and teacher evaluation rubric can be used to identify the competencies teachers are expected to have at the time of hire and are expected to develop. These would be featured in recruitment material for potential job applicants so that applicants could self-screen.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Initial Selection             | <ul style="list-style-type: none"> <li>• An interview question bank with multiple questions and suggested</li> <li>• An observation protocol for evaluating a sample lesson presented by a job candidate can be developed from the teacher evaluation rubrics.</li> <li>• A reference check protocol for key competencies can be developed from the teacher evaluation rubrics.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Induction and Mentoring       | <ul style="list-style-type: none"> <li>• The teacher evaluation rubric can be modified to focus on the competencies being developed by induction and mentoring program, and more emphasis placed on pre- and post-observation conferences.</li> <li>• The walk-through protocol can be adapted to focus on critical new teacher competencies, results for new teachers used to assess whether basic practice problems need immediate attention from the mentor, and how well the new teacher is mastering the basics.</li> </ul>                                                                                                                                                                                                                                                                                               |
| Professional Development (PD) | <ul style="list-style-type: none"> <li>• Teacher evaluation ratings and feedback can be used as inputs to individual and school PD plans.</li> <li>• Standards-based instructional unit portfolios modeled on the performance assessment can be done as part of individual PD plans. These can be used to prepare for tenure or career ladder assessments, or used by teachers in lesson study groups.</li> <li>• Walk-through data can be used to assess the transfer of knowledge from PD to daily application. This data can also be reviewed in school or team meetings as part of job-embedded PD.</li> <li>• Walk-throughs and classroom observations can be used to identify teachers who have mastered particular competencies, and who could serve as models for teachers struggling with that competency.</li> </ul> |
|                               | <ul style="list-style-type: none"> <li>• Classroom observations and walk-throughs get peers and administrators into the classroom, demonstrating the importance the school places on the competencies.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |

|                        |                                                                                                                                                                                                                                                                                                                                            |
|------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Performance Management | <ul style="list-style-type: none"> <li>• Classroom observations and walk-throughs can be used to identify teachers who may need help on some competencies.</li> <li>• Classroom observations and walk-throughs can be used as opportunities to recognize teachers demonstrating good practice with verbal and written feedback.</li> </ul> |
|------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

TABLE 8.1 A Knowledge- and Skills-based Pay Plan

|                        | <i>Step within level</i> | <i>BA</i> | <i>MA</i> | <i>MA 60/Doctorate</i> |
|------------------------|--------------------------|-----------|-----------|------------------------|
| Entry                  | 1                        | \$40,000  | \$41,600  | \$43,264               |
|                        | 2                        | \$40,600  | \$42,224  | \$43,913               |
|                        | 3                        | \$41,209  | \$42,857  | \$44,572               |
| Emerging Professional— | 1                        | \$45,330  | \$47,143  | \$49,029               |
| Professional License   | 2                        | \$46,010  | \$47,850  | \$49,764               |
|                        | 3                        | \$46,700  | \$48,568  | \$50,511               |
|                        | 4                        | \$47,400  | \$49,297  | \$51,268               |
|                        | 5                        | \$48,112  | \$50,036  | \$52,037               |
|                        | 6                        | \$48,833  | \$50,787  | \$52,818               |
| Professional—Tenure    | 1                        | \$53,716  | \$55,865  | \$58,100               |
|                        | 2                        | \$54,522  | \$56,703  | \$58,971               |
|                        | 3                        | \$55,340  | \$57,554  | \$59,856               |
|                        | 4                        | \$56,170  | \$58,417  | \$60,754               |
|                        | 5                        | \$57,013  | \$59,293  | \$61,665               |
|                        | 6                        | \$57,868  | \$60,183  | \$62,590               |
| Master                 | 1                        | \$63,655  | \$66,201  | \$68,849               |

|                                  |      |          |          |          |
|----------------------------------|------|----------|----------|----------|
|                                  | 2    | \$64,610 | \$67,194 | \$69,882 |
|                                  | 3    | \$65,579 | \$68,202 | \$70,930 |
|                                  | 4    | \$66,562 | \$69,225 | \$71,994 |
|                                  | 5    | \$67,561 | \$70,263 | \$73,074 |
|                                  | 6    | \$68,574 | \$71,317 | \$74,170 |
| Percent Increase for Step        | 1.5  |          |          |          |
| Percent Increase for Skill Level | 10.0 |          |          |          |
| MA, MA 60/Doctorate              | 4.0  |          |          |          |
| National Board Certification     | 10.0 |          |          |          |

TABLE 9.1 Example of Standard from Chicago Public Schools Principal Competency Model

| <i>Indicator</i>                        | <i>Does not meet<br/>—1</i>                                                                                                                                                          | <i>Needs<br/>improvement<br/>—2</i>                                                                                                                                                                            | <i>Meets—3</i>                                                                                                                                                                                                                                                                                                                                                                             | <i>Exceeds—4</i>                                                                                                                                                                                                                                                                                                                          |
|-----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Establish a<br>Community<br>of Learners | <p>Teachers do not engage in team learning or help one another in staff development.</p> <p>Grade level teams or content area teams do not share work or problem solve together.</p> | <p>Grade level teams and/or content area teams work together to devise strategies to improve student achievement.</p> <p>Content level teams work together, but teachers do not work across content areas.</p> | <p>Grade level teams and/or content area teams work together to devise strategies to improve student achievement; teachers beginning to work across grade levels and content areas.</p> <p>Professional reflection is valued and practiced at the school.</p> <p>Transparency of practice is becoming a professional norm. Trust and respect are evident in professional interactions.</p> | <p>Teachers work within grade level teams and across subject matter areas to develop school-wide efforts to improve student achievement.</p> <p>School possesses a reflective professional learning community that has student learning at its core.</p> <p>Teachers design staff development across grade levels and subject matter.</p> |

**TABLE 9.2** Example of Competencies for Human Capital Leadership

| <i>Dimensions</i>             | <i>Components</i>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|-------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| School Staffing               | <ul style="list-style-type: none"> <li>• Pursues high quality recruits by identifying and using proven recruitment sources; makes special efforts to find candidates for key positions</li> <li>• Communicates school vision, improvement plan, and performance expectations to recruits</li> <li>• Assesses job candidates by collecting job-related information, using a standardized process, and involving a hiring team</li> <li>• Selects candidates by focusing on likely teaching effectiveness and diversity needs</li> </ul>                                                                                                                                                      |
| Induction and Mentoring       | <ul style="list-style-type: none"> <li>• Works with new hires for appropriate classroom assignments; observes and provides feedback; insures new hires are oriented and feel welcome</li> <li>• Establishes performance expectations by communicating performance standards</li> <li>• Provides effective mentoring by selecting competent school-based mentors and insures they receive needed training</li> <li>• Manages the mentoring process to insure availability of mentoring and support; provides mentors with needed resources; evaluates mentors and the mentoring process</li> </ul>                                                                                           |
| Professional Development (PD) | <ul style="list-style-type: none"> <li>• Prepares school PD plan: assesses staff PD needs based on student achievement results, staff performance evaluations, walk-throughs, and other observations of performance; links PD efforts to school improvement plan, student achievement goals, and staff needs</li> <li>• Determines staff PD: chooses PD activities consistent with needs assessment, and inputs from teachers</li> <li>• Manages PD programming: takes active role in planning, resourcing, and presenting PD activities; insures PD activities are high quality</li> <li>• Monitors and evaluates the effect of PD on staff performance and student achievement</li> </ul> |
| Performance Management        | <ul style="list-style-type: none"> <li>• Plans performance and goal setting: reviews past evaluations and student achievement data; works with staff to set goals for future performance; identifies resources needed for improvement such as PD</li> <li>• Provides assistance to staff: regularly makes informal observations of teaching and provides feedback, recognition, and suggestions for improvement</li> <li>• Evaluates staff: completes evaluations on time, reviews evaluation results with staff;</li> </ul>                                                                                                                                                                |

|  |                                                                                                                                                                                                                                                                                                                                                                               |
|--|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|  | <p>works with staff to identify improvements needed and links to PD</p> <ul style="list-style-type: none"> <li>• Conducts remediation: identifies staff in need of remediation; insures that improvement plans are developed; monitors progress of improvement plans; counsels out or initiates termination procedure for staff whose performance does not improve</li> </ul> |
|--|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

Note: The competencies in Table 9.2 are part of a principal competency model developed by Herbert G. Heneman, III, Tony Milanowski, and the chapter's author.

TABLE 9.3 Example of Atlanta Principal Performance Evaluation for Elementary Schools

| <i>Performance area</i> | <i>Dimension</i>                       | <i>Measurement</i>                                                                                                                                                                                                                                                                                                                                                                                   | <i>Total points</i> |
|-------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|
| Student Achievement     | Test results and attendance            | Decrease in % not meeting standard in grades 3–5 reading, language arts, math, science, & social studies on state criterion referenced test Increase % of students exceeding standards in 3–5 reading, language arts, math, science, & social studies on state criterion referenced test Decrease in % of students absent for K–5 combined (total # absent 10 or more days/ total active enrollment) | 25                  |
| Leadership Competencies | Change and facilitating agent          | 3 performance factors: setting tone, motivating staff & decision making style, communicating high expectations                                                                                                                                                                                                                                                                                       | 20                  |
|                         | Teaching and learning environment      | 4 performance factors: creating positive learning environment, focus on instruction, quality programs for special needs students                                                                                                                                                                                                                                                                     | 20                  |
|                         | Staff performance                      | 4 performance factors: strengthening staff performance, using data effectively, monitoring teacher/student performance, mentoring staff                                                                                                                                                                                                                                                              | 20                  |
|                         | Administrative practices               | 6 performance factors: managing facility, budget, responding to requests, utilizing services, evaluating staff, administering special programs                                                                                                                                                                                                                                                       | 5                   |
|                         | Communications and community relations | 3 performance factors: publicly articulating the vision, fostering communications, encouraging involvement                                                                                                                                                                                                                                                                                           | 5                   |
| Self-improvement        | Personal development                   | Documented growth activities                                                                                                                                                                                                                                                                                                                                                                         | 5                   |

Source: Atlanta Public Schools Principal Evaluation Handbook.

**TABLE 9.4** Generic School Leadership Scorecard

| <i>Score area</i>                  | <i>Dimensions</i>                                                                                         | <i>Measurement</i>                                                                                                                 |
|------------------------------------|-----------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------|
| Student Outcomes                   | State test results Student attendance<br>High school completion rate ACT composite scores                 | Value-added Attendance improvement<br>Attainment improvement (e.g., movement toward student proficiency goals)                     |
| School Improvement Plan (SIP)      | 2–3 key strategies identified annually from SIP                                                           | Quantitative and qualitative implementation indicators (agreed upon in advance)                                                    |
| Leadership Behaviors and Processes | Instructional leadership Cultural leadership Human capital leadership School community                    | Evaluator judgments based on collective evidence and performance rubrics                                                           |
| Management and Compliance          | Financial management Facilities management Compliance with federal, state, and district policies and laws | Reports and other input from central office units responsible for programs; inspection visits by evaluators using basic checklists |