Australian Institute for Teaching and School Leadership Limited

InSights

Evaluating your Principal Preparation Programs

Research Report

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Executive summary

The role of school principal is broad, complex and increasingly challenging. Yet despite the importance of the role, little is known about the effectiveness of current professional learning programs that aim to prepare aspiring principals for the responsibilities of the job. There is no established practice of rigorously evaluating program outcomes.[1]

Significant resources are continually invested in principal preparation programs, with limited evidence of impact. There is no coordinated or strategic approach to effectively preparing Australia's school leaders.[2] Forty-five per cent of Australian principals report receiving average or weak leadership training as part of their formal education.[3]

Differences between effective principals and those who are under-prepared can be large.[4] Therefore, it is crucial that investments in principal preparation are effective. We cannot begin to assess these investments and the effectiveness of the programs themselves without a commitment to evaluating them. In short, we need to know what is and what is not working.

This report introduces an evaluation framework that program providers, schools and education systems in Australia can use to assess and improve their principal preparation programs.

The proposed framework is a practical guide for providers of professional learning programs to work through to review their program's goals, processes and outcomes.

Recognising that different programs will have their own goals and approaches, the evaluation framework does not use a one-size-fits-all approach to evaluation. Instead it has an adaptable, customisable structure that enables providers to implement an evaluation best suited to their program.

The framework has four components:

Component 1. Review of program objectives and goals

Component 2. Evaluation of selection processes

Component 3. Evaluation of program content, design and delivery

Component 4. Evaluation of participant performance and outcomes

The framework is shown in Figure 1. Each evaluation component is broken down into focus areas that contain key evaluative questions providers can use to help them collect the data they need to evaluate their program. Providers choose the focus areas and questions that are most relevant to their needs. They then select, modify or create evaluation tools that generate answers to these questions.

This report includes a range of commonly used tools, such as surveys and performance appraisals, which providers might use to answer the framework's evaluative questions and measure their program's effectiveness.

The framework itself does not specify which tools should be used for each evaluative question because each principal preparation program is unique. The program provider chooses the tools they consider to be most appropriate and relevant to their program's objectives and intended outcomes, and adapts them to their context.

1 Australian Institute for Teaching and School Leadership (2015a).

2 Australian Institute for Teaching and School Leadership (2015a).

3 OECD (2014).

4 Leithwood et al. (2004).

Overall, the first component of the framework is essential because it drives the rest of the evaluation process; providers cannot measure their program's 'success' until they are clear about what the program is trying to achieve.

Section 3 of this report describes the framework in detail and the types of tools that could be used in evaluation. It takes the user through each of the four components of evaluation, with a description of:

- each of the steps involved and the evaluative questions
- the potential evaluation tools that could be used
- an in-depth example of one selected tool
- an hypothetical example of the tool in use.

Benefits for Australia's schools

If the framework is used effectively, we can significantly improve the development and preparation of our new school principals. This would have a substantial impact on our schools, the learning of our students, and the development of our teachers.

Program providers, schools and education systems can use the framework to:

- Assess program effectiveness by evaluating whether a program improves individual participants' skills, knowledge and capabilities
- Improve training through feedback to program providers in order to improve program content, delivery and operation
- Encourage alignment between programs and between schools' and education systems' needs
- Provide accountability as to whether training funds are being invested wisely
- Inform future decisions of potential program participants and program funders.

The ultimate test of the success of a program is its impact on individual participants, schools and education systems.

Figure 1: Evaluation framework with focus areas and key evaluative questions

Components	Focus areas	Key evaluative questions
	What is the program trying to achieve?	
1. Review of program objectives and goals	i. What are the program's objectives and goals?	What problem is the program trying to address? What are the identified leadership development needs of individual participants? How does the program help aspiring principals to progress towards the Australian Professional Standard for Principals? How does the program address the needs of schools and education systems (where applicable)? What are the short, medium and long term goals and expected impacts of the program?
	ii. How does the program design contribute to achieving the program objectives and goals?	What external factors (e.g. policy environment, workforce planning) may impact the program's ability to achieve its objectives? How is the program designed and structured to ensure the program achieves its objectives? Is the program design systematic, evidence-based, coherent and standards-based? What are the assumptions behind how and why the identified strategies will work?
	Who should participate in the program?	
2. Evaluation of selection processes	i. What are the desired program participant attributes?	What existing personal attributes, motivations, qualifications and experience should participants have? What existing skills should participants have, given the program's objectives?
	ii. Do the attraction and selection processes deliver the desired program participants?	Do the program attraction and selection processes result in participants who have the desired attributes, motivations, skills, qualifications and experience?
	How effectively is the program designed and delivered?	
3. Evaluation of program content, design and delivery	i. Is the program content coherent and relevant?	Does the content and structure of the program deliver on the objectives of the program? Does the program integrate theory and practice linked to the Australian Professional Standard for Principals?
	ii. Is the program design and delivery high quality and based on evidence of what works?	Does the program provide a learning development process that takes into account the needs, career stage, prior learning and context of individual participants? Is the content and curricular design coherent and grounded in evidence-based research? Is the structure and delivery of the program based on best practice including opportunities for practice, feedback and reflection? Does the program provide significant opportunities to learn from experts and practitioners? Are there opportunities for practical experience and applied learning? Are there processes to support the ongoing development of program graduates?
	iii. Are there effective assessment practices and measures of participant growth?	Does the program make good use of formative assessment and feedback processes? Does the program use baseline measures and ongoing monitoring of program participants' growth?
	iv. Do program graduates feel the program was worthwhile, and that they developed new skills?	What were program participants' experiences of the program? What are the program retention and completion rates? Were program participants engaged? Did participants learn new skills and gain knowledge? Do participants feel more prepared to lead?
	How will we know if the program has been successful?	
4. Evaluation of participant performance and outcomes	i. Did program graduates change their behaviour during and after the program?	Did participants change the way they think and their leadership behaviour during and after the program? How have program graduates implemented specific learnings from the program in their leadership practice – including knowledge, skills, behaviours, attitudes and perceptions? Are program graduates working towards the Australian Professional Standard for Principals?
	ii. Did program graduates change leadership and teaching at their school?	Have changes in leadership practices improved the school climate? Have changes in leadership practices positively affected other school leaders? Have changes in leadership practices improved teaching practices?
	iii. What are the impacts of program graduates on student outcomes?	Are there changes in what students know and can do?
	iv. Has the program met its goals and had an impact on the education system?	Are program graduates having an impact on the system? Are program graduates applying for, and appointed in, principal positions? Did the program meet its short, medium and long term goals defined in Component 1?

Overview of the evaluation framework

Component 1: Review of program objectives and goals

To begin to develop their own program evaluation, program providers must first explicitly articulate the program's objectives and goals, the intended outcomes and the strategies that the program will use to achieve these. This will ensure program providers clearly state the logic of *how* and *why* change will occur through the program.

Component 1 is a critical first step in the evaluation process; it provides the basis for adapting and customising the framework. This will ensure that the evaluation measures and assesses the design, implementation and outcomes of the program relevant to what it is trying to achieve. It therefore informs Components 2 to 4 of the program. Program providers should keep referring back to this first component as they progress through the framework.

The short, medium and long term goals identified in Component 1 are the outcomes that providers should measure under Component 4 of the framework.

Figure 2: Component 1: Review of program objectives and goals – key evaluative questions

Components	Focus areas	Key evaluative questions
	What is the program trying to achieve?	
1. Review of program objectives and goals	i. What are the program's objectives and goals?	What problem is the program trying to address? What are the identified leadership development needs of individual participants? How does the program help aspiring principals to progress towards the Australian Professional Standard for Principals? How does the program address the needs of schools and education systems (where applicable)? What are the short, medium and long term goals and expected impacts of the program?
	ii. How does the program design contribute to achieving the program objectives and goals?	What external factors (e.g. policy environment, workforce planning) may impact the program's ability to achieve its objectives? How is the program designed and structured to ensure the program achieves its objectives? Is the program design systematic, evidence-based, coherent and standards-based? What are the assumptions behind how and why the identified strategies will work?
2. Evaluation of selection processes		
3. Evaluation of program content, design and delivery		
4. Evaluation of participant performance and outcomes		

Component 2: Evaluation of selection processes

Component 2 requires providers to (a) identify their ideal program participants and (b) assess whether their attraction and selection processes successfully filter these people to take part in the program.

In reference to the program's objectives, goals and intended outcomes defined in Component 1, program providers should be clear about the personal attributes, existing skills, experience and qualifications that individuals need in order to benefit from the program. In addition, participants that will be appointed as principals immediately, or shortly following the program, are more likely to benefit from the program as they are able to apply their new skills, knowledge and capabilities.

Program providers can then compare their 'desired participants' with the characteristics of actual program cohorts to assess if their attraction and selection processes are selecting the ideal candidates. If there is discrepancy between the two, program providers can use this information to refine and improve their selection processes.

Figure 3: Component 2: Evaluation of selection processes – key evaluative questions

Components	Focus areas	Key evaluative questions
1. Review of program objectives and goals		
	Who should participate in the program?	
2. Evaluation of selection processes	i. What are the desired program participant attributes?	What existing personal attributes, motivations, qualifications and experience should participants have? What existing skills should participants have, given the program's objectives?
	ii. Do the attraction and selection processes deliver the desired program participants?	Do the program attraction and selection processes result in participants who have the desired attributes, motivations, skills, qualifications and experience?
3. Evaluation of program content, design and delivery		
4. Evaluation of participant performance and outcomes		

Component 3: Evaluation of program content, design and delivery

Component 3 requires program providers to evaluate the content, design and delivery of their program relative to the program's objectives and goals, and the needs of participants articulated in Component 1 of the framework. Program providers should prioritise content that directly relates to the program's objectives and goals, but that is also supported by evidence and best practice.

High-quality course content by itself is not enough. Course design and delivery – the types of learning activities, sequencing of them, and the extent to which learners are actively engaged – is critical. Design features most positively reviewed in the literature include experiences tailored to individuals' learning needs and career stage, practice-centred learning, and opportunities for practical experiences and peer learning.[5] The evaluative questions contained in this component are based on a synthesis of several major reviews of the literature.[6]

Figure 4: Component 3: Evaluation of program content, design and delivery – key evaluative questions

Components	Focus areas	Key evaluative questions
1. Review of program objectives and goals		
2. Evaluation of selection processes		
	How effectively is the program designed and delivered?	
3. Evaluation of program content, design and delivery	i. Is the program content coherent and relevant?	Does the content and structure of the program deliver on the objectives of the program? Does the program integrate theory and practice linked to the Australian Professional Standard for Principals?
	ii. Is the program design and delivery high quality and based on evidence of what works?	Does the program provide a learning development process that takes into account the needs, career stage, prior learning and context of individual participants? Is the content and curricular design coherent and grounded in evidence-based research? Is the structure and delivery of the program based on best practice including opportunities for practice, feedback and reflection? Does the program provide significant opportunities to learn from experts and practitioners? Are there opportunities for practical experience and applied learning? Are there processes to support the ongoing development of program graduates?
	iii. Are there effective assessment practices and measures of participant growth?	Does the program make good use of formative assessment and feedback processes? Does the program use baseline measures and ongoing monitoring of program participants' growth?
	iv. Do program graduates feel the program was worthwhile, and that they developed new skills?	What were program participants' experiences of the program? What are the program retention and completion rates? Were program participants engaged? Did participants learn new skills and gain knowledge? Do participants feel more prepared to lead?
4. Evaluation of participant performance and outcomes		

5 King (2013a).

6 Cheney et al. (2010); Dempster, Lovett and Flückiger (2011); Jensen et al. (2015).

Component 4: Evaluation of participant performance and outcomes

Component 4 requires program providers to assess participant performance and intended outcomes of the program as defined in Component 1 of the framework. Depending on the program's goals, evaluators may wish to focus on various outcomes. The evaluative questions in Component 4 capture the outcomes that can take place on several different levels.[7] Outcomes might include changes in behaviour at the individual level, leading to impacts at the school, student and system levels.

The ultimate outcome measure is to assess the change in student outcomes where program graduates are appointed as principals. However, the long causal chain between participation in a principal preparation program and changes in student outcomes makes it more difficult to quantify the longer-term impacts of principal preparation programs. A partial remedy to this problem is to evaluate both student outcomes and 'intermediate' outcomes such as changes in program graduate behaviours.

Figure 5: Component 4: Evaluation of participant performance and outcomes – key evaluative questions

Components	Focus areas	Key evaluative questions
1. Review of program objectives and goals		
2. Evaluation of selection processes		
3. Evaluation of program content, design and delivery		
	How will we know if the program has been successful?	
4. Evaluation of participant performance and outcomes	i. Did program graduates change their behaviour during and after the program?	Did participants change the way they think and their leadership behaviour during and after the program? How have program graduates implemented specific learnings from the program in their leadership practice – including knowledge, skills, behaviours, attitudes and perceptions? Are program graduates working towards the Australian Professional Standard for Principals?
	ii. Did program graduates change leadership and teaching at their school?	Have changes in leadership practices improved the school climate? Have changes in leadership practices positively affected other school leaders? Have changes in leadership practices improved teaching practices?
	iii. What are the impacts of program graduates on student outcomes?	Are there changes in what students know and can do?
	iv. Has the program met its goals and had an impact on the education system?	Are program graduates having an impact on the system? Are program graduates applying for, and appointed in, principal positions? Did the program meet its short, medium and long term goals defined in Component 1?

7 Guskey (2002).

By working through the proposed evaluation framework, program providers can assess their program's objectives, goals and intended outcomes in order to evaluate the design, delivery and outcomes of the program. This will help:

- program providers to use the results of their evaluation to improve program quality
- program providers and education systems to work together to ensure programs address system needs
- program providers who may wish to publish results of evaluations to inform individual participants' program selection.

Differences between effective principals and those who are under-prepared can be great.[8] It is crucial that investments in principal preparation are effective. We cannot begin to assess these investments without an operational evaluation framework.

8 Leithwood et al. (2004).

1. Introduction

Leadership development is an ongoing process across teachers' and principals' careers.[9] Leaders develop through individual, on-the-job development activities such as mentoring, coaching and taking on additional responsibilities, as well as through formal training programs. There is a growing body of evidence illustrating the skills, knowledge and capabilities that principals need, as well as what constitutes effective leadership development programs.

In recent times education systems in Australia have invested significant resources in developing and delivering principal preparation programs. In 2014 there were found to be ten dedicated principal preparation programs and significant numbers of other programs that supported leadership development.[10] However, the dedicated programs are not coordinated, nor do they take "a strategic approach to the ongoing, systematic and effective preparation of school leaders for our nation".[11]

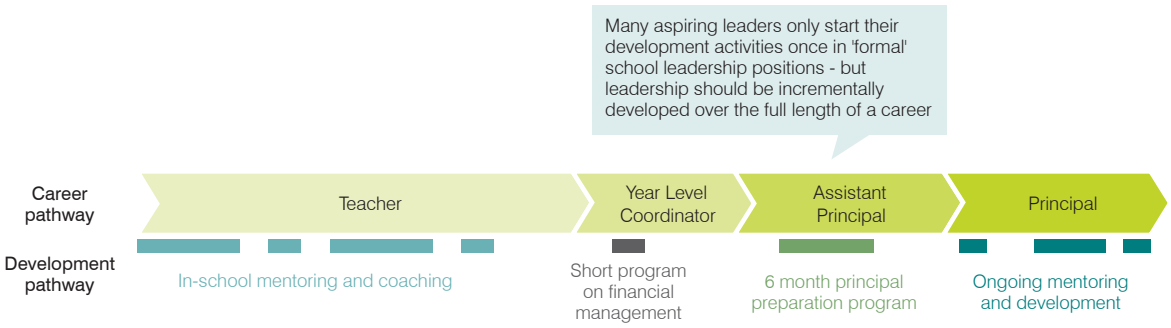
Programs need to be evaluated to ensure they successfully develop aspiring principals' skills and to inform continual improvement. Evaluation is also crucial to ensure that programs meet the needs of the schools and the education systems they serve.

1.1 Pathways to becoming a principal

Throughout their careers, teachers, leading teachers and principals need to continually develop their leadership skills, knowledge and capabilities.

There is currently no well-defined single 'leadership pathway' to becoming a principal in Australia. The path differs. As with all professional development, individuals' leadership development will differ depending on their experience, personal attributes and motivations, the school environment, and the opportunities they have to learn from others around them. Although principals come to the position from a range of backgrounds, an example of one possible leadership development pathway is shown in Figure 6.

Figure 6: Example of a possible career pathway for a school principal



9 Pont, Nusche and Moorman (2008).

10 Watterston (2015).

11 Australian Institute for Teaching and School Leadership (2015a).

The Australian Professional Standard for Principals (the Standard) and the Leadership Profiles[12] define effective school leadership, setting out an evidence-based set of Leadership Requirements and Professional Practices that are expected of all school leaders. Aspiring principals can use the Standard and Leadership Profiles as resources to identify the skills, knowledge and capabilities they need to develop as they progress towards becoming a principal.

Aligning with the Standard and Leadership Profiles, research reveals there are three key areas of skills, knowledge and capabilities that aspiring principals and leaders need to develop.[13]

1. Instructional leadership including the skills to:
   - define, frame and communicate a school's mission
   - manage a school's instructional program including supervising instruction, coordinating curriculum and monitoring student progress
   - promote a positive school learning climate including protecting instructional time, professional development, promoting high expectations and providing incentives for teachers and students.
2. New management and leadership skills to effectively run a school including finance and budgeting, human resources and strategy.
3. Higher-order leadership capabilities including strategic thinking, the ability to lead change, and personal and interpersonal skills such as emotional intelligence, self-awareness, self-management and relationship management.

Aspiring principals need also to develop their identity as a leader; people who develop a strong leader identity can improve their leadership effectiveness. How principals or aspiring principals perceive themselves, and how others perceive them, can affect how they do their job, including their decisions, judgements and how they interact with others.[14]

Leadership development activities, including principal preparation programs, can help individuals develop their leadership identity. When individuals receive feedback on their leadership behaviours during coaching and mentoring, for example, they develop their emotional intelligence to understand how their role, actions, values and beliefs impact their leadership decisions and interactions with others.[15] Ongoing leadership development will help aspiring principals develop their identity as a leader, making the transition from teacher to leader and principal easier.

Individual leadership development activities that aspiring principals may undertake throughout their career include, but are not limited to:

- mentoring and coaching
- taking on additional leadership responsibilities within a school
- shadowing and observing a principal in another school.[16]

To select the most appropriate development activities, aspiring principals will need to consider issues of cost, availability of mentor or principal time, the time required outside of school hours, and the quality and availability of formal training programs. More detail about the strengths and weaknesses of individual development activities is contained in Appendix A.

12 Australian Institute for Teaching and School Leadership (2015d).

13 Jensen et al. (2015), p. 22.

14 Jensen et al. (2015). See research on affect and behaviour including Bono and Ilies (2006) and Damen, van Knippenberg and van Knippenberg (2008).

15 Coaching and mentoring can help build leaders' emotional and self-awareness. See Strebel and Keys (2005).

16 These individual leadership development activities often form part of formal principal preparation programs.

1.2 Principal preparation programs – their aims and impact

Principal preparation programs play a vital role in developing aspiring principals' skills, knowledge and capabilities to successfully lead and continuously improve schools. Importantly, these programs are guided by the Standard and Leadership Profiles that detail what effective school leadership looks like; what principals are expected to know, understand and do to achieve their work.[17]

There is growing evidence as to what constitutes high-quality principal preparation programs (also see Appendix A):

- Programs need to select participants who have the requisite skills, knowledge and experience to benefit from the training offered.
- Program objectives are linked to the education system's strategic priorities of improving teaching and learning. Programs also need to be explicit about their intended purpose and outcomes.
- Content of programs focus on developing participants' deeper subject matter expertise, new management and leadership skills, and higher-order leadership capabilities.
- Program delivery includes a range of different learning experiences that encourage collaboration, feedback and the opportunity for individuals to practise new skills in a real world context.
- Rigorous program evaluations are conducted to assess the value and worth to participants, schools and systems, and to guide ongoing program improvement. Evaluation of outcomes should take into account both intermediate outcomes, such as a change in participant behaviour, as well as longer-term outcomes such as student performance data.[18]

Box 1: What is a principal preparation 'program'?

- This report refers to 'programs' or 'principal preparation programs' that are specific leadership courses or modules delivered by a provider. They seek to help aspiring principals develop certain leadership skills, knowledge and capabilities in line with the Australian Professional Standard for Principals. A program may not necessarily cover *all* skills or requirements that leaders are expected to develop, and may be quite targeted and specific in focus.
- In Australia, there are a large number of leadership programs catering to different audiences; some intend to directly prepare participants for their near-term appointment as principals, and others are relevant to a broader audience such as teachers, aspiring principals and current school leaders.[19] The evaluation framework in this report is focused on programs for aspiring school principals, but may have some relevance to other leadership development programs as well.
- In some cases, education systems (including state/territory education departments, Catholic schools and independent school boards) may require that new or future principals undertake required coursework to be eligible to lead schools. The evaluation framework may be applicable to evaluating such programs, but is not specifically designed for them.

17 Australian Institute for Teaching and School Leadership (2015d).

18 Jensen et al. (2015).

19 Watterston (2015).

Unfortunately, little is known about the impact of principal preparation programs. There is no established practice of rigorously evaluating program outcomes.[20]

This has a ripple effect, creating weaknesses not only *within* programs but also across school and education systems. Without rigorous program evaluation, there is a lack of:

- feedback for program providers about the quality of the program and the impact on participants which inhibits programs from improving and refining the quality of their program
- information for education systems about the value for their investment and therefore which programs to continue investing in
- information about the alignment of education systems' needs and the operation of principal preparation programs which can include issues of education system strategic priorities, workforce supply and demand issues, as well as program content
- information for potential program participants when deciding which program to undertake.

Evaluation can help providers isolate the parts of a program that are less effective or poorly targeted. Providers can then act accordingly to adjust program design and delivery.[21] Through more rigorous program evaluation, information can be collected on effective practices, and over time, can be used to build stronger programs across the education system.[22] Such information is also useful for decision-makers seeking to understand how to improve leadership development in education.

1.3 Overview of this report

The following section of this report (**Section 2**) introduces a proposed framework for evaluation, and the theory and research used to develop it. The section also includes the methodological issues providers need to consider when implementing the framework, advice about when the framework can be used, a description of commonly-used evaluation tools, and issues that providers should consider when choosing tools to use in an evaluation of a program.

Section 3 of this report is an in-depth, practical guide to help providers use the framework. This section includes suggestions for appropriate types of evaluation tools for each step of the framework, as well as examples of how these tools have been used in other program evaluations.

Individual program providers need to work through the framework and design their own evaluation tools to ensure the evaluation reliably assesses their program's intended outcomes.

Appendix A of this report describes activities that aspiring principals can undertake, outside of programs, to help them develop the skills they need to be effective leaders. Appendix A includes tips about how to design effective mentoring and coaching activities, and effective ways for teachers to take on additional leadership roles.

20 Australian Institute for Teaching and School Leadership (2015a).

21 Hoole and Martineau (2014), Umble (2007).

22 Umble (2007).

2. How to evaluate principal preparation programs

2.1 Proposed evaluation framework for principal preparation programs

This report presents an evaluation framework that program providers can adapt and customise. There is no one-size-fits-all approach to evaluating principal preparation programs. There is a wide array of programs with diverse goals and target participants, serving participants from different educational contexts. The proposed framework provides a guiding process to help program providers create their own tailored approach to evaluation, specific to their unique program goals and focus.

The proposed framework is presented in Figure 7 below (identical to Figure 1 above). The framework contains four components that will help providers assess and improve the operation of their program, as well as the intended outcomes and impact on both individual participants, schools and the education system.

- Component 1 provides direction for evaluation of the program's objectives and goals and how it intends to prepare leaders in the context of school and education system needs. Program providers are encouraged to explicitly outline the program's goals and objectives and how the program will help achieve these goals. This component is crucial. It underpins and informs the remaining components of the framework.
- Component 2 evaluates the ideal prospective participants for the program. It evaluates the attraction and selection processes that bring individuals into the program.
- Component 3 consists of evaluating the program design, pedagogical approaches and participants' experiences in the program. This component draws on evidence of what effective course design includes to help program providers improve their courses.
- Component 4 consists of evaluating program outcomes, relevant to program objectives, goals and intended outcomes defined in Component 1. This may include changes in behaviour at individual participant, school, student and education system levels.

The first component in the framework provides the basis for adapting and customising the framework. Program providers should continually refer back to this first component as they progress through the framework. This will ensure that the evaluation measures and assesses the design, implementation and outcomes of the program relevant to what it is trying to achieve. This approach to program evaluation is based on the theory described in Box 2.

Each component can be broken down into focus areas. These focus areas contain key evaluative questions intended to assist in framing data collection for evaluation.

Figure 7: Evaluation framework with focus areas and key evaluative questions

Components	Focus areas	Key evaluative questions
	What is the program trying to achieve?	
1. Review of program objectives and goals	i. What are the program's objectives and goals?	What problem is the program trying to address? What are the identified leadership development needs of individual participants? How does the program help aspiring principals to progress towards the Australian Professional Standard for Principals? How does the program address the needs of schools and education systems (where applicable)? What are the short, medium and long term goals and expected impacts of the program?
	ii. How does the program design contribute to achieving the program objectives and goals?	What external factors (e.g. policy environment, workforce planning) may impact the program's ability to achieve its objectives? How is the program designed and structured to ensure the program achieves its objectives? Is the program design systematic, evidence-based, coherent and standards-based? What are the assumptions behind how and why the identified strategies will work?
	Who should participate in the program?	
2. Evaluation of selection processes	i. What are the desired program participant attributes?	What existing personal attributes, motivations, qualifications and experience should participants have? What existing skills should participants have, given the program's objectives?
	ii. Do the attraction and selection processes deliver the desired program participants?	Do the program attraction and selection processes result in participants who have the desired attributes, motivations, skills, qualifications and experience?
	How effectively is the program designed and delivered?	
3. Evaluation of program content, design and delivery	i. Is the program content coherent and relevant?	Does the content and structure of the program deliver on the objectives of the program? Does the program integrate theory and practice linked to the Australian Professional Standard for Principals?
	ii. Is the program design and delivery high quality and based on evidence of what works?	Does the program provide a learning development process that takes into account the needs, career stage, prior learning and context of individual participants? Is the content and curricular design coherent and grounded in evidence-based research? Is the structure and delivery of the program based on best practice including opportunities for practice, feedback and reflection? Does the program provide significant opportunities to learn from experts and practitioners? Are there opportunities for practical experience and applied learning? Are there processes to support the ongoing development of program graduates?
	iii. Are there effective assessment practices and measures of participant growth?	Does the program make good use of formative assessment and feedback processes? Does the program use baseline measures and ongoing monitoring of program participants' growth?
	iv. Do program graduates feel the program was worthwhile, and that they developed new skills?	What were program participants' experiences of the program? What are the program retention and completion rates? Were program participants engaged? Did participants learn new skills and gain knowledge? Do participants feel more prepared to lead?
	How will we know if the program has been successful?	
4. Evaluation of participant performance and outcomes	i. Did program graduates change their behaviour during and after the program?	Did participants change the way they think and their leadership behaviour during and after the program? How have program graduates implemented specific learnings from the program in their leadership practice – including knowledge, skills, behaviours, attitudes and perceptions? Are program graduates working towards the Australian Professional Standard for Principals?
	ii. Did program graduates change leadership and teaching at their school?	Have changes in leadership practices improved the school climate? Have changes in leadership practices positively affected other school leaders? Have changes in leadership practices improved teaching practices?
	iii. What are the impacts of program graduates on student outcomes?	Are there changes in what students know and can do?
	iv. Has the program met its goals and had an impact on the education system?	Are program graduates having an impact on the system? Are program graduates applying for, and appointed in, principal positions? Did the program meet its short, medium and long term goals defined in Component 1?

Box 2: Why leadership development leads to improved student outcomes: the theory

Evaluating any type of leadership development program is difficult, whether it be, for example, in business, health or education. It is inherently hard to measure the impact of an aspiring leader who has undertaken a leadership development program or activity, given that many other factors affect their work and outcomes.

It is essential that program designers and providers explicitly articulate the program's objectives and intended outcomes, as well as the underlying assumptions and hypotheses that might explain the 'how, when and why of the process of change'.[23] This helps program providers to work out how and to what extent different parts of the program contribute to achieving the intended outcomes. It also helps link potential individual participant outcomes to system level outcomes.[24] Evaluators can then test the assumptions that underlie the program and assess its outcomes. This approach to evaluation of leadership development programs is used in other sectors, as well as education.[25]

In education, the ultimate objective of developing the leadership capacity of aspiring principals is to improve student outcomes. However, the relationship between leadership and student learning outcomes is indirect. Changes in leadership practices affect teaching, and changes in teaching in turn affect student outcomes. There are many other intermediate factors that influence this chain of events, such as time lags between participation in a program and taking up a principal position and subsequently implementing changes in schools.

Figure 8 shows a simplified theory explaining how principal preparation programs are expected to affect student outcomes.

Component 1 of the framework guides program providers through the process of articulating their own program's objectives and goals, intended outcomes and strategies to develop aspiring principals in line with the Standard. The framework includes a template (in Section 3 of this report) for program providers to do this. Completing this process will help providers define who should undertake the program (and how the selection processes should operate), the content, design and delivery of the program, and ultimately the kinds of outcomes that can be expected from participation in the program.

23 Gutierrez and Tasse (2007). This is often referred to as the 'theory of change' approach to evaluation.

24 Gutierrez and Tasse (2007). Different programs and evaluations articulate their program objectives, goals, intended outcomes and strategies to achieve them in different formats. For example, the 'logic model' and pathways approaches are popular.

25 For example, the Kellogg Foundation's Evaluation Handbook and Logic Models (see W.K. Kellogg Foundation 2004).

Figure 8: A simplified theory of how principal preparation programs develop participants' leadership and lead to improved student outcomes

Aspiring principals consider participating in a principal preparation program

Specific, achievable program goals are articulated

- Program has a clearly defined idea of what it will offer participants, what individual needs it will meet and why

Talented aspiring principals are selected into the program

- High quality participants, who have specific development needs the program is designed to meet, apply for the program
- Rigorous selection processes admit only participants that will benefit

Outside influencing factors

- The desired participants can financially afford to undertake programs (sponsored or private)
- Mechanisms are in place in schools to identify and promote talent
- System policies encourage and support participation in courses (time, access)

Program improves participants' leadership ability

- Program content is coherent and relevant to program goals
- Program design and delivery enables participants' learning
- Assessment, feedback and ongoing analysis of participants' learning motivates further development
- Participants develop the knowledge and skills in line with the Standard

Outside influencing factors

- Participant personal circumstances are supportive
- Capacity for program to develop links with schools for practical components
- Unexpected changes in program funding, regulation or policy that disrupt delivery

Program graduates' behaviour leads to improved student outcomes

- Program graduates change their behaviour
- Program graduates improve their leadership, teacher quality and the overall school climate
- As a result of improvements in teaching, student outcomes improve

Outside influencing factors

- Opportunities to take on leadership roles
- The make-up of the teaching staff and leadership team
- Characteristics of student body, and local community
- Resourcing constraints, policy changes

As shown above, there is a long causal chain between participants undertaking a program and the resulting improved student outcomes. The intended program outcome relies on a number of conditions and events taking place.[26] Additionally, outside factors beyond the control of the program are likely to exert some influence over each step in the causal chain.

26 Jensen et al. (2015).

Figure 8 cont.

- **Specific, achievable program goals are articulated.** The program itself must have a clearly defined idea of what it will offer participants, what individual needs it will meet, and why.
- **Talented aspiring principals are selected into the program.** The program must identify prospective participants who stand to benefit from the program and then have good processes in place to select them. At this stage, the people selected into the program need to be at a certain point in their leadership development, and have the kinds of experience, attitudes and motivation to be able to benefit from participation.
- **Effective course design and delivery improves participants' leadership ability.** The program itself must be designed and delivered in such a way that participants are genuinely learning and developing new skills, in line with the Standard. To do this, it will need to have a coherent curriculum aligned to program goals, as well as program design and assessment methods that appeal to how adults learn best.
- **Program graduates' behaviour (in their new leadership roles) leads to improved student outcomes.** Participants in the program must have actually developed in a way that allows them to meet the Standard and lead schools effectively. Their changes in behaviour must then result in changes in teaching and learning at the school, which in turn improves student outcomes. At this stage, there are many factors that will affect outcome measures that are not related to the program. For example, students' background including prior achievement and personality characteristics account for approximately 50 per cent of the variance in student outcomes, while teachers account for approximately 30 per cent of the variance in student achievement. [27]

The process outlined in Figure 8 is also consistent with, and reinforces, AITSL's work summarised in *Preparing future leaders: Effective preparation for aspiring school principals*. [28] See Box 3 below for further detail.

2.2 Methodological considerations

2.2.1 Approach used to develop this evaluation framework

Program providers need an approach that will allow them to assess and continually strengthen the way their program operates to achieve its objectives and develop participants' skills, knowledge and capabilities. Importantly, program providers should also be able to evaluate their programs over time – at the early stages of establishing a program, while the program is being implemented, and after participants have graduated and are working in schools in leadership roles.

Therefore the proposed evaluation framework has several aims. It will:

- help program providers create an evaluation process, by first clarifying the program's goals, then evaluating the selection processes, program content and delivery and outcomes that are aligned to the goals
- guide program providers to assess program quality and impact at the individual, school, student and system level in order to inform improvements to the program
- provide an evaluation tool and other resources within each component to aid providers in selecting and developing evaluation tools appropriate to their needs.

27 Hattie (2003). Hattie (2009) synthesises meta-analyses relating to the influences on student achievement including the student, students' homes and in-school influences including the school, teachers, curricula and teaching.

28 Australian Institute for Teaching and School Leadership (2015a).

Work by AITSL has identified the need for an evaluative approach that includes multi-source, longitudinal measures of program quality and impact.[29] This work has also identified that program providers should be able to demonstrate:

- that school principal preparation programs are readying aspiring principals for their first principal job
- that once in principal roles these individuals have a positive impact
- that overall, the program provider is contributing to the number of well-prepared aspirants available to take up future vacancies.[30]

The framework proposed in this report allows for programs to evaluate their performance in each of these areas.

Box 3: How the framework aligns with AITSL's recommendations

The evaluation framework builds on substantial work by AITSL to review the Australian school principal preparation landscape.[31] The framework builds on this research, organising it into a process for program providers to use for self-evaluation.

The major recommendations from AITSL regarding principal preparation are as follows:

- *Take a systematic, standards-based and coherent approach.* This recommendation clearly aligns with the first component of the evaluation framework, clearly defining program goals in the context of the needs of the education system and the Australian Professional Standard for Principals. It is also an important element of the framework's third component: evaluating course content, design and delivery. (Components 1 and 3)
- *Identify and nurture talent.* AITSL has identified that in the strongest approaches to leadership preparation, people are identified early and supported to develop over their careers. The identification, recruitment and selection of potential leaders are important parts of the framework. (Component 2)
- *Match learning to an individual's capabilities, career stage and context.* Program design and learning opportunity matched to individual needs and evidence-based course content are critical elements of the evaluation framework. (Components 2 and 3)
- *Use evidence-based adult learning techniques.* Highly effective programs reflect an understanding of adult learning principles including learning opportunities to apply new skills and knowledge, learning from experts and practitioners, collaborating, receiving feedback and receiving ongoing support. (Component 3)
- *Evaluate programs for impact.* The final recommendation on principal preparation programs is to measure the impact of the programs. In this framework, we propose a range of tools for evaluation at the individual, school, student and system level. (Component 4)

Source: Australian Institute for Teaching and School Leadership (2015a)

29 Australian Institute for Teaching and School Leadership (2015a), Jensen et al. (2015), Watterson (2015).

30 Australian Institute for Teaching and School Leadership (2015a).

31 Jensen et al. (2015), Watterston (2015).

Resources used to develop the framework

In creating the evaluation framework, a number of other evaluation frameworks and guides were reviewed. Key models of influence include the Wallace Foundation's *Quality Measures: Principal Preparation Program Self-Assessment Toolkit*,[32] the Center for the Evaluation of Educational Leadership Preparation and Practice's Evaluation Planning Guide, and the tools contained in the Rainwater Leadership Alliance's Continuum of Principal Preparation.[33]

It also draws on various other evaluation tools for leadership development, including the Kirkpatrick and Guskey models of professional development evaluation and the work of the Kellogg Foundation.[34]

The framework proposed here draws on key concepts and design features from these models, but does not follow any model directly. It is a unique design that takes program providers through a cyclical review process that encourages them to determine their own goals (based on system needs and the Standard), and provides a range of example tools that can be adapted to collect data for specific needs from multiple sources.

It adjusts for differences in the Australian context given different leadership standards and other contextual factors.

More specifically, this framework draws on the following:

- The Wallace Foundation and Education Development Center's rubric, based on extensive research about the components of an effective principal preparation program.[35] However, unlike the framework presented in this report, it does not support program providers to review their own goals and is based on a rating system.
- The Rainwater Leadership Alliance framework, which creates a logical evaluation process and the opportunity to define program goals.[36] However, it differs from the framework presented in this report in that it does not include outcome measures as part of the evaluative process.
- The guide produced by the Center for the Evaluation of Educational Leadership Preparation and Practice (and adapted by New Leaders).[37] It contains a similar framework to the one proposed in this report, but without the same emphasis on defining program objectives and goals and articulating the strategies to achieve these.
- Guskey provides a five-step evaluation model that focuses on participants' reactions, participants' learning, organisation support and change, participants' use of new knowledge and skills, and student learning outcomes.[38] This aligns closely to Components 3 and 4 of the evaluation framework proposed in this report, but does not have key elements such as system and participants' needs, or selection of participants (Components 1 and 2).

32 King (2013b).

33 Cheney et al. (2010).

34 Guskey (2002), Kirkpatrick (1959), W.K. Kellogg Foundation (2006).

35 King (2013b). The US-based Wallace Foundation seeks to foster improvements in learning and enrichment for disadvantaged children by supporting the development, testing and sharing of new solutions and effective practices. It has a particular focus on improving the quality of school principals through research, training, policy and practice.

36 Cheney et al. (2010). The Rainwater Leadership Alliance is a US coalition of school districts, universities, foundations, and non-profits dedicated to promoting the importance of quality school leadership to improve academic growth and performance for children. The organisations lead, manage and support high-impact principal preparation and development programs in many regions of the US. The Alliance shares data, provides exemplars, promotes and scales effective methods to develop and support school leaders.

37 Neuman-Sheldon et al. (n.d.). The Center for the Evaluation of Educational Leadership Preparation and Practice's purpose is to make available valid and reliable evaluation research tools, methods and training materials and strategies for leadership preparation programs. The Center provides tools, training, technical assistance and support for leadership preparation programs.

38 Guskey (2002). Dr Thomas R. Guskey is an expert in evaluation design, analysis, and educational reform. He is a professor at the University of Kentucky, as well as an education consultant who has worked with educators in all 50 US states, Europe, and Asia. Guskey has served as Director of Research and Development for the Chicago Public Schools and as the first Director of the Center for the Improvement of Teaching and Learning, a national educational research centre.

2.2.2 Considerations for program providers when evaluating programs

This section reviews some of the major considerations for program providers when evaluating programs.

Planning

Planning is an essential first step for performing any evaluation. Evaluators should consider what information they want to collect and why. It is important to be clear about what data are useful to collect and to confine data collection to what is likely to be most valuable.

Evaluations can become burdensome if data are over-collected, leaving less time and resources for valuable analysis. This leaves evaluators 'data-rich' but 'information-poor'.

In order to do this effectively, evaluators should consider what data are most useful for providing them with the information they desire and then evaluate the strengths and weaknesses of the data collection tools available to them.

Once evaluators have decided on how to collect the data, someone should be made responsible for its collection and the timing of the collection should be clearly understood. Evaluators should know at the planning stage what analysis method they wish to perform on the data to ensure that they collect exactly what they need. Figure 9 is a useful tool to ensure that none of the planning steps are forgotten or skipped.

Figure 9: Evaluation planning table[39]

Evaluation questions What do we want to know about this program?		
Link to program, objectives, goals and intended outcomes How does evaluating this topic help understand whether the program is working as intended?		
Indicator(s) What is one possible measurable approximation of the outcome?		
Data collection method(s) and tools What data collection method will be used to measure the indicator? e.g. survey, focus group, interview, document review, etc.		
Respondent(s) Who will provide the information needed? e.g. teachers, program staff, mentors, program graduates		
Person(s) responsible for data collection Who is responsible for ensuring the data are collected?		
Timing and use of data collection When will the data be collected? How will the information be analysed and used?		

39 Adapted from Centers for Disease Control and Prevention (2011).

Planning for the evaluation should be done well in advance. Evaluators should develop strategies to maintain contact with program graduates as they are the main source of useful information. Expectations should be set in writing with participants at the start of the program, ensuring that they provide data on their placements. Considerations should be made for the possibility that data are unavailable or incomplete and precautions should be taken.

Collecting data

A consistent process for collecting and organising data collected in evaluation is very important. Depending on the method of collection, data should be collected at the same or a similar time. If time series data are being collected, this should be done at the same time every period. Procedures for collection should remain as similar as possible over time.

Program participants should know what data are being collected about them, and how the data will be used, stored and disposed of. Consent to collect information should be obtained through a signed statement from participants.

Evaluators should try to ensure as large a response rate as possible as this will add reliability and validity to the data allowing more significant conclusions to be drawn. It is always worthwhile to pilot proposed methods of data collection to ensure they work as intended.

When developing specific tools to measure the knowledge, skills or dispositions of participants, it is important to:[40]

- ask questions and offer scoring options (or rubrics) that maximise the variability of responses. This allows for the greatest differentiation between participants and hence offers the most meaningful data.
- test out the reliability and validity of survey data before generating it on a large scale.
- invest in data systems that allow for advanced tracking over time and linkages between different participant responses in order to gather more meaningful data.
- for observational tools, ensure consistency across raters. Raters should be trained thoroughly and given norming sessions and scoring guides. Rubrics should use standards, and consistent and clear language linking the evidence demonstrated by the participant with particular rubric scores.

Interpreting and using evaluation data

Once data has been collected, evaluators need to analyse it to identify key patterns. This analysis can include:

- comparing differences over time
- identifying key themes
- identifying particular recurrent issues
- analysing differences between respondents of different groups.

It is important not to generalise about data across situations or to claim definitive causal effects. Other factors may have been responsible, such as changes in school demographics, staffing, providers, or education policy factors, and these should also be considered.

Using the results of the evaluation

Evaluations are often a squandered resource because they are not then used to guide improvement. While it is difficult to guarantee that evaluations become part of an effective feedback loop, various actions can reduce the chances that evaluations are conducted and forgotten. These are summarised in Table 1, which shows how some common challenges can be mitigated through evaluation design.

40 Jensen et al. (2015); Neuman-Sheldon et al. (n.d.).

Table 1: Evaluation challenges and potential remedies[41]

Challenges	Potential/partial remedies
Long causal chain	Focus on intermediate outputs (e.g. principal behaviours)
Defining what to measure	Create a clear and agreed-upon evaluation framework
Hard-to-measure outputs	Use mixed methods and multiple sources
Impact takes time	Longitudinal evaluation
Evaluations are under-used	Use checklist to help create feedback loop

Evaluations are useful from a provider's perspective to document changes over time. If new elements are introduced to a program or new goals established then providers can use the results of their evaluation to assess whether these changes were effective. Providers should also try to determine which parts of the existing program are more or less effective.

Use of the data relies heavily on a thorough planning stage. At the planning stage, evaluators should decide on the particular questions they want answered in the evaluation. Then the data collected is likely to be useful in generating high quality, desirable information at the final stage.

Allowing for different program goals

Principal preparation programs may have a different impact on certain outcomes, depending on the program's main goal. For instance, a program designed to give principals stronger skills in financial and human resource management may have a less direct impact on student outcomes than a program targeting instructional leadership, though all these skills are crucial to the effectiveness of principals in their broad roles. When comparing different programs and assessing their impact, it is therefore important to compare those with similar goals and to be specific about expected impact.

Considering both the processes and outcomes in the evaluation

Evaluation can involve an examination of processes, outputs and/or outcomes. Many frequently used measures of program success, such as whether participants enjoyed the program, are a form of output measures that do not give adequate information about impact when used alone.

While enjoyment of a program may indicate that individuals felt they were learning and gaining new experience, it does not provide information on changes to their behaviour, impact on teachers in their school, or on improvement in student learning outcomes (the ultimate objective).

The measuring of outcomes is difficult but it is essential for robust evaluation. Outcome measures, such as the impact the program had on participants' behaviour, and the impact graduates have had on student learning outcomes, constitute the evidence of whether a program is achieving individual, program and system goals.

Using multiple sources of information

Evaluations that draw on information from multiple sources and use multiple methods (for instance, analysing changes in professional practice through peer reviews throughout the program, 360° feedback reviews in schools, and self-assessment) will provide a more complete picture of changes taking place as a result of the program.[42]

41 Jensen et al. (2015).

42 Day (2014).

Allowing adequate timelines for evaluating program impact

There are significant time lags between leadership development and improvements in student outcomes. To get a full picture of how principal preparation affects participants and schools, evaluations will need to be longitudinal and include follow-up evaluations at least 12 months after program completion. These post-program evaluations can assess the impact of program graduates in their roles over the long term.

Evaluators should take a baseline measurement of participants' skills and knowledge to assess what impact the program has in the short term. Pre-assessments and surveys administered as part of selection processes or early in the program can also be useful in making sure the curriculum is meeting the needs of participants.

These approaches are already used in some Australian programs. For instance, the Stepping Up program (run by the Brisbane Catholic Education Office) assesses participants before the program and again at the end to determine whether there have been changes in participants' knowledge, skills, beliefs and attitudes.[43]

Given leadership development is a continual process and the impact on student outcomes may take some time to materialise, evaluations would ideally continue for a minimum of 2-3 years (as is the case, for example, in the evaluation of the New York City's Aspiring Principals Program and the New Leaders program in the US).[44] In recognition of the need for a long-term view, one leadership development initiative in Austria involving 10 schools sets out a 15-year time horizon for evaluation.[45]

2.2.3 When to use the evaluation framework

This framework is designed to be used throughout the principal preparation process. It can be used to evaluate and improve existing programs, help in reviewing processes for program design and course delivery, and review the overall impact of programs.[46] Evaluation should be conducted in line with the principal preparation program's objectives, goals and intended outcomes. A timeline for evaluation is proposed in Figure 10.

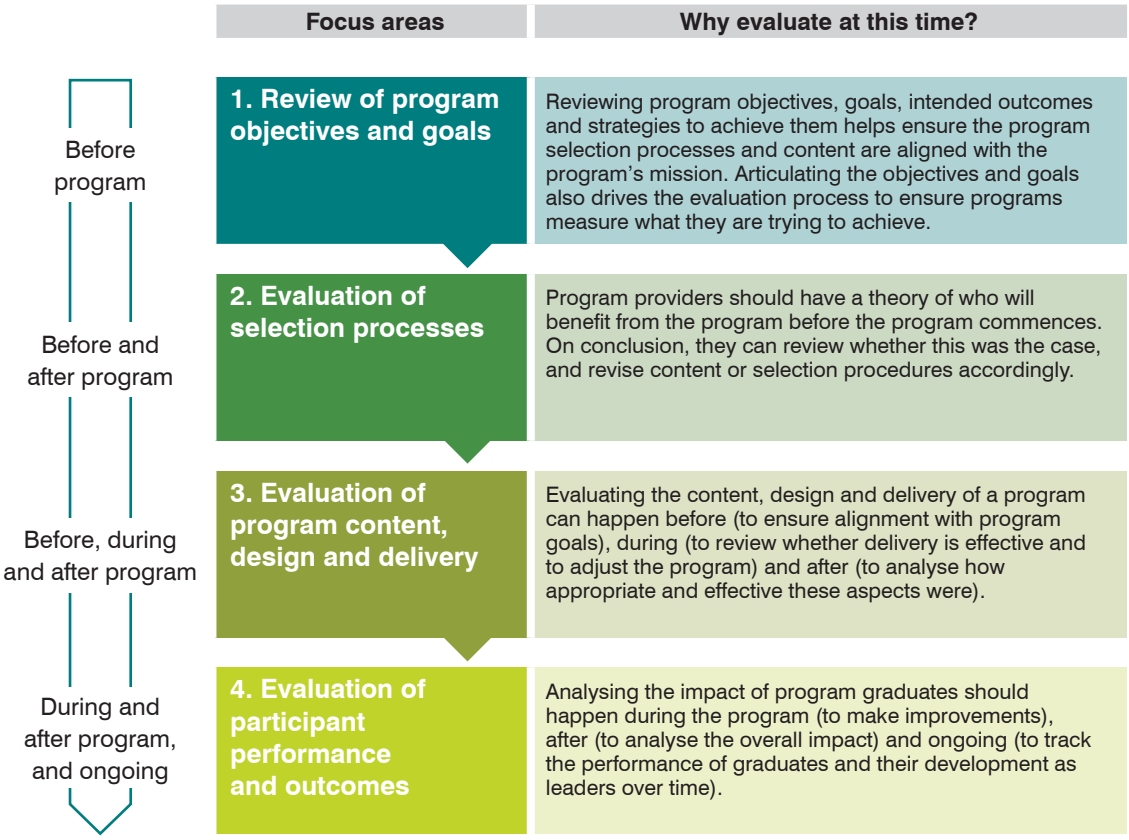
43 Watterston (2015).

44 Corcoran, Schwartz and Weinstein (2009), (2012), Bill and Melinda Gates Foundation (2014).

45 Rapporteur, Moorman and Rahm (2007).

46 Buskey and Karvonen (2012).

Figure 10: Suggested evaluation timeline



It is recommended that evaluators create a timeline for evaluating the components of the framework. Different tools will also generate data across different timeframes and this should be considered. For instance, a self-report tool is fairly immediate, but other tools such as observations of leadership practice may require more time to organise and may need to be spaced over time to generate longitudinal data.

2.2.4 Tools that providers can use with the evaluation framework

In the framework, each component is broken down into focus areas with key evaluative questions. It is intended that program providers will review which focus areas and potential evaluative questions are most relevant to their needs, and will then select, modify or create tools that generate answers to these questions.

Program providers may be able to use existing tools (if they are clearly appropriate), modify them, or create their own tools. Frequently used tools are briefly outlined in Table 2, and discussed throughout this report in greater detail.

Table 2: Tools commonly used in the evaluation of principal preparation programs

Evaluation Tool	Common uses
Strategic review	Strategic review tools encompass a range of tools that can be used in assessing and clarifying program goals; results can also be used for future planning. The Standard and Leadership Profiles which describe the leadership actions of principals as they progress to higher levels of proficiency may provide a starting point for a strategic review of program aims.
Survey instruments	Surveys can be used to collect a range of quantitative data through scaled responses or qualitative data through open-ended questions. They can also be used to triangulate other evaluative data from interviews or observations. They can serve as formative self-assessment opportunities for participants.
Self-reports	Self-reports are often used in evaluating learning needs and principal performance outcomes. They are generally cheap, easy to administer, and provide one way of comparing differences between program participants.
Rubrics	Rubrics can be used to help programs assess the quality of processes and outcomes across a range of issues. Rubrics are usually informed by evidence and reviews of best practice, thus making it easier for program providers and evaluators to engage with the evidence base.
Performance appraisals/ observations	Participants' performance appraisals are a source of data about both performance and change in behaviours and practices over time. A performance appraisal of an individual before they start the program can act as a baseline, with subsequent annual appraisals providing data points in a longitudinal evaluation.
Semi-structured interviews	Semi-structured interviews are a valuable source of qualitative data. Typically these interviews are used to gain participants' points of view.
Document reviews	Review of school policies, procedures and information can provide useful information as to whether program participants have acted on new knowledge gained throughout the programs. They can also be used to evaluate selection and program delivery phases.
Review of best practices	As part of the evaluation process, program providers may wish to analyse the evidence base on a particular aspect of the program, for example reviewing how highly-regarded programs recruit and select participants. This could take the form of a literature review.
Secondary data analysis	Analysis of secondary data sources such as workforce data, or program graduate retention and promotion rates, can be used to identify trends or make predictions about future outcomes.
Student outcomes analysis	Student data can be used to determine the impact a leader's participation in a program had on student outcomes such as wellbeing, learning, growth and achievement (the latter as measured by test scores).

Considerations for providers when choosing tools to use with the framework

Choosing the right indicators, tools and measures to use in evaluation will depend on the program's goals and how the program is designed to achieve these. An appropriate tool in one setting may not reveal the information needed in a different context. It is recommended program providers review tools (such as surveys and self-reports) prior to use to ensure they are measuring the appropriate outputs and outcomes relevant to the program.

A number of methodological issues should be considered when choosing tools to use in evaluation:

Validity and reliability: Validity refers to the tool's accuracy in measuring what it is meant to measure.[47] For example, evaluators may want to use student enrolment data to determine whether the principal is performing effectively. This may be an invalid measure as greater enrolments at a school could be due to a number of factors unrelated to the excellence of the school itself (e.g. increases in the population of an area).

Reliability refers to how consistently a measure predicts certain outcomes.[48] For example, teacher observations, if performed infrequently and under varied conditions (i.e. whether or not the teacher knows in advance they will be observed), can produce unreliable, vastly fluctuating results.

Every tool has its own strengths and limitations, and it is important to understand how instrument design shapes the kind of analysis that is possible. Many of the tools discussed in this report were created in different contexts (e.g. for private leadership training providers in the US) and this is reflected in their design. However, altering tools may change their reliability and validity. Care should be taken to test the tool (preferably in conjunction with another method) before relying on it.

Response incentives and bias: People's honesty when answering questions about their own performance (or the performance of others) may be affected by fear of embarrassment, retribution or other penalties.[49] For instance, a teacher may not wish to give a negative performance review to a poorly performing principal unless they are confident it is anonymous and will not adversely affect their own career.

Alternatively, people often over-rate their own performance or knowledge when they are not aware of what they don't know. While response bias will almost always exist, taking precautions to minimise this (e.g. offering anonymity on surveys) is always advised.

Complexity of the tool: Long surveys and complicated tests often have a high attrition or non-response rate. Tools should collect the data they need but not be overly burdensome. Instructions should be clear with simple question structure, logical response options, and the context and use of the data collection clearly explained to ensure that participants are engaged and to decrease unreliability or invalidity of responses.[50]

Developmental issues: Programs may wish to design evaluation that benefits program participants at the same time as it gathers information. For instance, self-assessment tools and course feedback could be used to improve the program, but these tools may also be integrated into ongoing support for program participants once they have graduated.

Formative and summative assessments throughout the course also offer additional information for both the program and the participants on how well the course is working as a result of the participants' performance. By evaluating participant performance throughout, participants receive feedback on whether they are improving and where they need help, while the program simultaneously receives information on which parts of the program are working well and which parts are not functioning as well.

Ethical and privacy issues: Evaluation should consider the ethical and legal implications of collecting data. For instance, some types of tools may collect information that could identify or potentially compromise the respondents. Such data should be collected with caution and respondents must be made aware of how the information will be used and be given a choice about whether they consent or not.

The use of mixed methods and multiple sources: Most types of evaluation tools generate either quantitative or qualitative data. Quantitative data can be particularly useful in monitoring changes over time in outcome variables. Quantitative approaches include data analysis of changes in student outcomes, employment data or retention rates in a program.

47 Bryman (2012).

48 Bryman (2012).

49 Donaldson and Grant-Vallone (2002).

50 Office of Quality Improvement (2010).

Qualitative data often reveal information about perceptions, experiences and behaviour. Qualitative research tools include open-ended interviews, observations, and self-assessment tools that include opportunities for written responses. Use of multi-method evaluations, collecting data from different points in time, and gaining perspectives from different groups can all enhance the usefulness, reliability and validity of a program evaluation.

Which tools for which evaluative questions?

The evaluative questions posed in the framework can be answered in many ways. Because each program is unique, evaluation tools need to be developed fit for purpose. We do not suggest specific tools for each evaluative question in the framework for several reasons.

1. The choice of evaluation tools should follow from program aims to ensure the tool will capture data required.[51] For example, the approach and tools used to evaluate a selection process (Component 2) will depend on the profile of the programs' preferred participants. Program providers will need to carefully consider the best type of tool, and tailor specific content within it, to generate the data *they* require to improve their selection process (see Box 4 for an example of this).
2. There are only a handful of evaluation tools that have been developed and tested in an Australian context. Tools provided by AITSL (such as the 360° Reflection Tool and the School Leader Self-Assessment Tool) have been created in line with the Standard, and validated in the context of the professional practice of Australian school principals. While the differences between tools created in Australia and overseas may appear superficial, the task of determining their validity would often require testing and further analysis, beyond the scope of this report.
3. There is limited literature on which specific tools are the best to use when evaluating certain aspects of principal preparation programs. In some cases, certain types of tools appear likely to generate the required data. For instance, in assessing a participant's impact on school climate (within Component 4), using a survey tool would be appropriate in finding out how program graduates are perceived by staff, students and the school community. Yet in many cases, other tools could also be used and there is no empirical reason why a survey may be more desirable than a rubric, for example. The choice of tool, once again, should be informed by program aims and the aims of the evaluation.
4. As every methodological approach has strengths and weaknesses, it is recommended that providers of principal preparation programs use a mixed method approach in their evaluations.[52] Therefore, prescribing a specific tool may be too simplistic for most evaluations. Triangulation – the process of using multiple measures, methods or sources of data to assess an outcome – is particularly relevant in evaluating leadership development programs because of the different levels of impact the program may have.[53] Similarly, to ensure validity and reliability in their evaluations, providers may wish to incorporate the perspectives of multiple observers or raters of program quality alongside participant surveys and semi-structured qualitative interviews. Similarly, they may also wish to triangulate the quantitative data they collect on program graduate outcomes with some in-depth interviews or through self-assessment tool data generated during the program.

51 W.K. Kellogg Foundation (2006), p. 16; Bryman (2012), p. 649.

52 King (2013b). See Hoole and Martineau (2014) pp. 175-190 for a detailed discussion of evaluation methods.

53 Bryman (2012), p. 392

Box 4: Hypothetical – Two program providers use different tools to evaluate how they select participants

Consider two principal preparation programs with different goals and processes for selection, reflective of their different program objectives.

Program 1 seeks to target a small, elite cohort of young teachers who are up-and-coming leadership talent. To be selected into the program, participants must have a letter of recommendation from their school principal, verifying their leadership potential. Program 2 seeks to recruit aspiring principals who need to develop skills in budget management (specifically). Program 2 does not filter participants but allows them to self-identify on whether the course is relevant to their needs.

To evaluate the effectiveness of their unique selection processes, each program provider makes a decision about which evaluation tools are most relevant to their program, outlined below. While the two programs use different evaluation tools, each is appropriate to meet the specific program purposes.

Both programs use the data generated through their choice of tools to compare the characteristics of the participants selected, with their profile of 'ideal participants' defined through Component 1 of the framework. This provides a way to assess whether their selection processes result in selecting their 'ideal participants'.

Program 1: The evaluation tools used to evaluate the selection process, i.e. the effectiveness of principal recommendations as an indicator of potential leadership talent, include:

(i) a self-assessment tool that asks participants a series of questions to benchmark leadership identity and levels of self-efficacy, at the start and end of the program; and

(ii) a 360 survey tool that includes the views of senior leaders in the school on potential leadership qualities of the participant.

Program 2: The evaluation tools used to evaluate the selection process, i.e. the effectiveness of participant self-identification as a selection approach, include:

(i) a survey tool completed by school senior leaders on the participant's development needs, including budget management; and

(ii) a pre-program test of participant skills in budget management, identifying if development is needed in this area.

3. An in-depth guide to using the evaluation framework

This section is a practical guide for program providers to evaluate their program using the framework.

The guide discusses in detail what each of the four components of the framework, its focus areas, and key evaluative questions mean in practice.

Program providers should consider which focus areas are relevant to their own program evaluation, and then choose the appropriate evaluation tools that will help them collect the information they need.

For each of the framework's four components, the guide includes an overview of various potential evaluation tools and how they could be used by providers. Each overview is followed by an in-depth example of one of these tools.

A hypothetical scenario is then described to show how a provider could apply that specific tool to their program. Each of these scenarios refers to a fictional principal preparation program, called the Indigo School Leaders Australia program (Indigo School Leaders).

The framework including its key evaluative questions is given again below.

3.1 Component 1: Review of program objectives and goals

Components	Focus areas	Key evaluative questions
	What is the program trying to achieve?	
1. Review of program objectives and goals	i. What are the program's objectives and goals?	What problem is the program trying to address? What are the identified leadership development needs of individual participants? How does the program help aspiring principals to progress towards the Australian Professional Standard for Principals? How does the program address the needs of schools and education systems (where applicable)? What are the short, medium and long term goals and expected impacts of the program?
	ii. How does the program design contribute to achieving the program objectives and goals?	What external factors (e.g. policy environment, workforce planning) may impact the program's ability to achieve its objectives? How is the program designed and structured to ensure the program achieves its objectives? Is the program design systematic, evidence-based, coherent and standards-based? What are the assumptions behind how and why the identified strategies will work?
2. Evaluation of selection processes		
3. Evaluation of program content, design and delivery		
4. Evaluation of participant performance and outcomes		

To begin to develop their own program evaluation, program providers must first explicitly articulate the program's objectives and goals, the intended outcomes and the strategies that the program will use to achieve these. Several related issues need to be considered: the goals of the program in preparing leaders with the skills to effectively meet the Standard, as well as the needs of the school or education system.[54]

The key evaluative questions contained in Component 1 will ensure program providers clearly state the logic of *how* and *why* change will occur through the program.

The completion of Component 1 is a crucial first step in the evaluation process; it provides the basis for adapting and customising the framework. This will ensure the evaluation measures and assesses the design, implementation and outcomes of the program relevant to what it is trying to achieve. It therefore informs Components 2 to 4 of the program. Program providers should continually refer back to this first component as they progress through the framework.

Focus area 1(i): What are the program's objectives and goals?

The following key evaluative questions help providers in articulating their program's objectives and goals. When defining the goals, providers should develop a theory of how the program will aid in the development of school leaders. These questions link directly to a recommended template (Figure 12).

What problem is the program trying to address?

Every program will have its own problem that it is trying to address. It is important to be explicit about this from the outset. The remainder of Component 1 of the framework will be built upon this problem identification, so it is important to clearly identify and articulate it.[55] It will also inform the function of the program and the expected results and outcomes.

Some programs may broadly address the overall need for aspiring principals to develop a range of skills, knowledge and capabilities required by the Standard. In this case, the identified problem may be, for example, aspiring principals do not receive adequate development opportunities and experience that prepares them to successfully step into the principal role.

Other programs may be, or have been, developed in response to a specific identified problem. For example, the problem may be that current assistant principals applying for principal roles are not appointed due to the perceived lack of management skills and experience in budget and financing, as well as leading organisational improvement and change processes.

What are the identified leadership development needs of individual participants?

Are there particular skills that all aspiring principals need to develop, related to the problem that the program is trying to address? For programs that serve aspiring principals as part of an education system, has the system conducted a skills or needs analysis? Does the education system want to ensure all aspiring principals have developed particular skills? Have aspiring principals from independent schools identified specific leadership development needs?

The more specific the data included the better. Documenting these needs now will inform the appropriate evaluation measures used in Components 2, 3 and 4 of the framework. Data can provide baseline indicators for use throughout the framework.

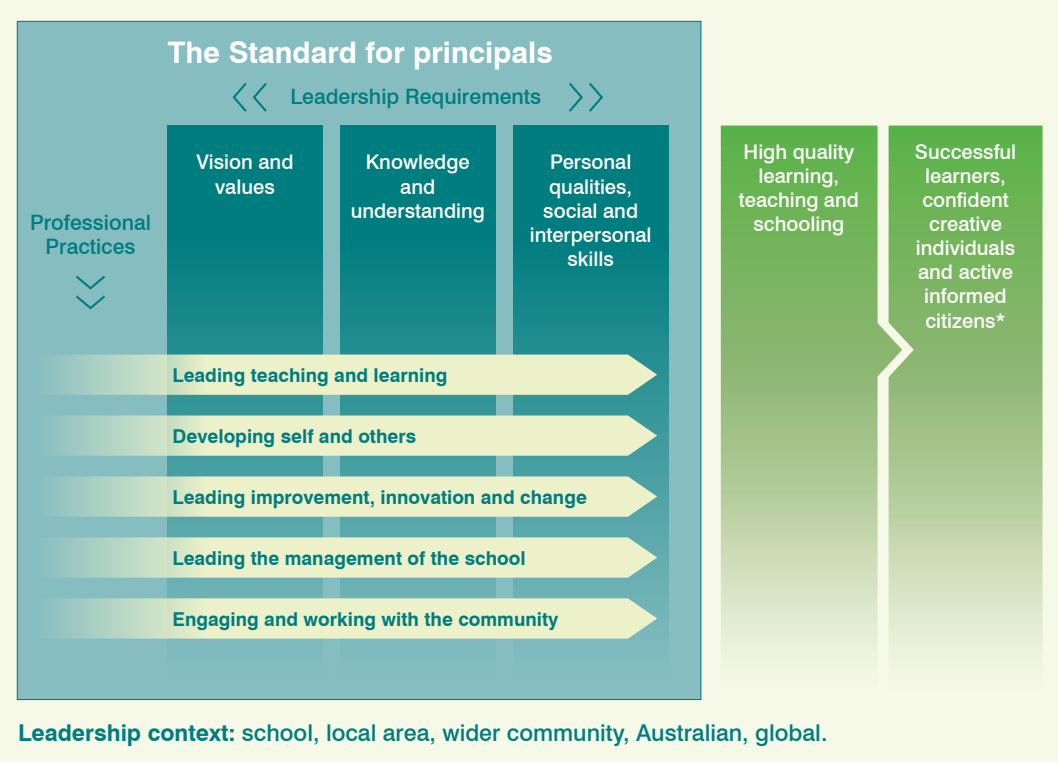
54 See Jensen et al. (2015).

55 W.K. Kellogg Foundation (2004), p. 29.

How does the program help aspiring principals to progress towards the Australian Professional Standard for Principals?

All school principal preparation programs should help aspiring principals meet the requirements of the Standard (shown below in Figure 11). The Standard is comprised of three Leadership Requirements and five Professional Practices, which have been documented in detail by AITSL.[56] These are further described in the Leadership Profiles, which show the developmental pathway of increasing proficiency which can help providers identify what they wish to achieve with their program.[57]

Figure 11: The Australian Professional Standard for Principals



Depending on the goals and capacity of the provider, programs may narrow their focus to a particular element within the Standard. This will allow programs to address a specific identified problem or individual development needs in greater depth and to accommodate existing capabilities of aspiring principals. The Leadership Profiles can assist in articulating desired proficiency levels, and inform how the program intends to foster this development.

How does the program address the needs of schools and education systems (where applicable)?

Program providers should understand the kinds of leaders required in the schools in which their graduates will work. It is important at this early stage in the process that principal preparation programs link their objectives and goals to those of schools and the education system where applicable.[58] This is an ideal time for program providers, schools and system leaders to work together to ensure programs are supporting aspiring principals to develop the skills, knowledge and capabilities to be successful in their new role.

56 Australian Institute for Teaching and School Leadership (2015d).

57 Australian Institute for Teaching and School Leadership (2015d).

58 We recognise that not all schools fit 'neatly' into a system such as government or Catholic schools. However, program providers can also work with independent schools, and school associations, to ensure that the goals of the program meet the needs of schools in which aspiring principals will subsequently work.

Some of the questions program providers, schools and education systems may discuss include:

- Strategic priorities: what are the education system's strategic priorities? Do program participants need to develop particular skills to help them deliver on these priorities?
- Talent management and identification processes: What talent management and identification systems exist and how can the program provider link with and reinforce these processes? Does the program target groups of people who are not currently accessing leadership development programs but could benefit from them?
- Supply and demand issues: What is the future demand for school leaders with different types of skills? Does this vary across geographical areas? How will the program meet the workforce supply and demand needs of the school sector including areas of current and future workforce and skills shortages?
- School and system support for the program: What type of time-release can/does the system provide for aspiring principals in order to undertake the program (which may impact on the types of learning activities that are included in the program)?

What are the short, medium and long-term goals and expected impacts of the program?

In order to evaluate their programs, program providers need to clearly define their goals and expected outcomes of the program. These should be linked to, and align with, the identified problem above, along with individual and school and education system needs.

These goals might include a mix of short-term goals (such as recruiting a certain proportion of program participants from low-SES schools), medium-term goals (having a certain proportion of program graduates in leadership roles) and long-term goals (demonstrating improved teaching and student outcomes in program graduates' schools).

Importantly, identifying the intended results of the program at this point feeds into other components of the evaluation framework. The intended results effectively become the program outputs and outcomes which the evaluation will measure throughout Components 2 to 4.

Focus area 1(ii): How does the program design contribute to achieving the program objectives and goals?

What external factors (e.g. policy environment, workforce planning) may impact the program's ability to achieve its objectives?

Are there external factors that can influence the success of the program? These may relate to the policy environment, talent identification and management processes and program funding.

For example:

- Are program participants given time-release to attend program sessions?
- Are applicants for principal positions required, or expected, to complete the aspiring principal program?
- Do school and system level talent identification processes help identify potential program participants with the desired attributes, motivation, qualifications and experience?
- Can ideal program participants financially afford the program? Is the program funded by schools or the education system?

How is the program designed and structured to ensure the program achieves its objectives? Is the program design systematic, evidence-based, coherent and standards-based?

These questions bring together the above steps and ask providers to identify how the program will bring about change. The questions bring together analysis of how the program will prepare leaders to meet the Standard, the specific goals of the program, together with the needs of the education system.

At this stage, program providers should assess whether program activities are aligned to the articulated program goals identified in the question above. Reviewing whether program goals and activities are internally coherent is important but not just for program clarity. It is also important so that the right monitoring and evaluation processes can be put into place at the outset to capture anticipated program impact. Program providers should also assess their capacity to deliver this program effectively.

By defining program goals clearly, programs are able to provide more relevant and valuable leadership development experiences that address the specific needs of the participants. They can ensure they select the most suitable people to benefit from the course as participants, and design the course content that is relevant to those individuals.

Different providers have their own theory about how their program will help achieve its objectives and address the needs of aspiring principals, schools and the education system. This may be implicit or explicit. For example, the Queensland Department of Education and Training runs the Take the Lead program, which was designed as part of a strategy to recruit principals in small schools, while the Catholic Education Office Melbourne's Women in Leadership program is designed to address the shortage of female principals.[59]

What are the assumptions behind how and why the identified strategies will work?

This question requires program providers to consider why they believe the program will be effective. How is the program content, design and delivery informed by best practice? Is this best practice in addressing the identified program objectives and needs of individual participants and the needs of schools and education systems?

Potential evaluation tools

A range of different techniques and tools may be used to review the program goals in Component 1 and to answer the evaluative questions within this component. One of the most important parts of using evaluation tools is the discussion they prompt among the program providers who are analysing the data.

To undertake Component 1 of the framework, we suggest completing the following template.

59 Watterston (2015).

Figure 12: Template for program providers and evaluators to address Component 1 evaluative questions [60]

1. Problem statement

- What problem is the program trying to address?

2. Needs analysis

- What are the identified leadership development needs of individual participants?
- How does the program help aspiring principals to progress towards the Australian Professional Standard for Principals?
- How does the program address the needs of schools and education systems (where applicable)?

3. Desired results (outputs and outcomes)

- What are the short, medium and long term goals and expected impact of the program? Include measures of how to identify when these goals are met.

4. Influential factors

- What external factors (e.g. policy environment, workforce planning) may impact the program's ability to achieve its objectives?

5. Strategies

- How is the program designed and structured to ensure the program achieves its objectives? Is the program design systematic, evidence-based, coherent and standards-based?

6. Assumptions

- What are the assumptions behind how and why the identified strategies will work?

Figure 13: Checklist for completing the Component 1 template[61]

Item	Yes/No	Comments and revisions
The problems to be solved or issues to be addressed by the planned program are clearly stated.		
The breadth of prospective participant and education system needs has been identified by expert/ practitioner wisdom, a needs assessment and/or asset mapping process.		
The desired results/changes expected as a result of the program are specific.		
Influential factors have been identified and cited from expert/practitioner wisdom and/or a literature review.		
Change strategies are identified and cited from expert/ practitioner wisdom and/or literature review.		
The connection among known influential factors and broad change strategies has been identified.		
The assumptions held for how and why identified change strategies should work in the community are clear.		
There is consensus among stakeholders that the model accurately describes the proposed program and its intended results.		

60 This template was adapted from the Kellogg Foundation's Logic Model: W.K. Kellogg Foundation (2004).

61 This checklist has been adapted from W.K. Kellogg Foundation (2004).

Box 5: Hypothetical example – How the Indigo School Leaders Australia program applies the Component 1 Template

To illustrate the use of the Component 1 template, we use a fictitious principal preparation program, the Indigo School Leaders program. The program is a one-year school principal preparation program, offered by a provider that also offers a range of other leadership development courses. Indigo School Leaders is accredited through a university and provides credit towards a Masters in Educational Administration.

The provider established Indigo School Leaders after demographic/workforce analysis found there was a looming shortage of highly-qualified applicants for school principal roles. In particular, applicants with skills in connection to the Standard's Professional Practices, *Understanding and leading change* and *Engaging with the community,* would be in short supply.

Indigo School Leaders is particularly interested in the leadership development of aspiring principals who want to transform difficult professional culture in their schools and orient staff to support student learning.

The Indigo School Leaders program uses the evaluation framework to plan its evaluation. A review of program goals is done using the Component 1 template.

1. Problem statement

Many principals retiring, leading to a shortage of leaders who can lead change processes in schools, work productively with the community and improve school climate/professional culture

2. Needs analysis

Prospective program participants: need proven techniques to help them develop the skills to lead schools in challenging circumstances

Education system: needs 200 prepared principals over the next three years

3. Desired results (outputs and outcomes)

Short-term: ensure the majority of prospective participants complete a quality selection process including referral from schools

Medium-term: develop proven, high-quality course content that is fully aligned to best practices in leadership development and adult learning

Long-term: program graduates demonstrate they can positively transform school climate

4. Influential factors

Policy environment

Workforce shortages

5. Strategies

Prospective participants should go through a rigorous selection process to ensure they are motivated to go on to principal roles and to identify learning needs

Including a strong component of mentoring and coaching in program design helps to develop different perspectives on conflict resolution

6. Assumptions

Prospective candidates and mentors will make time for mentoring processes despite no additional funding available

A new program selection process includes a referral component. This assumes that schools' existing leadership teams are able to identify talented potential leaders and promote the program as a development opportunity

A range of additional tools and useful materials that may assist program providers to complete the template are outlined in more detail in Table 3 below. The table includes various tool types, along with examples of how each tool could be used, including specific tools from Australia and international jurisdictions.

Table 3: Overview of potential tools providers could use for Component 1: Review of program objectives and goals

Tool type	Examples of how tool could be used	Specific tools and other resources
Strategic review	Programs need to determine the purpose of their program and how it seeks to prepare principals in line with the Standard.	The template in Figure 12 is based on The Kellogg Foundation's Logic Model Development Guide.[62] This resource is a useful tool that provides additional guidance and support to program evaluators in answering the questions contained in the template above. Other examples of program logic tools are provided in the following resources: Program-Based Review and Assessment: Tools and Techniques for Program Improvement provides a range of review tools for a general program review within a university setting.[63] Particular tools assist in defining program goals and objectives. However, the tools are not specific to leadership development, so program providers would need to adapt the tools to fit their needs. The tools have a narrower focus than the Kellogg Foundation Logic Model as they focus specifically on assessing student learning outcomes from a program. Developing a Logic Model: Teaching and Training Guide provides a question checklist to evaluate the logic model of teaching courses for university students. It could be used to assess program goals and test the logic behind the theory of change.[64]
Survey instruments	Surveying previous participants and other stakeholders could aid an analysis of the strengths and weaknesses of previous programs, and inform program goals.	The Centre for Creative Leadership performed an evaluation of one of their leadership programs for American superintendents.[65] Survey responses could be used to determine whether program goals were met or inform the development of new goals.
Secondary data analysis	Programs could conduct workforce demand forecasting, assess areas of workforce need, and review the outcomes data of similar programs (such as hiring and retention data of program graduates).	Conducting High-Value Secondary Dataset Analysis: An Introductory Guide and Resources offers general information on planning, conducting and performing secondary data analysis.[66]

62 W.K. Kellogg Foundation (2004). In particular, see pp. 27-34 for guidance on developing program logic maps.

63 Stassen, Doherty and Poe (2001). See pp. 16-17 for tools to help define program goals and objectives. Note that these tools were designed specifically for higher education to assess student learning relative to learning objectives.

64 Taylor-Powell and Henert (2008). See chapter 5 for guidance on developing a logic model and chapter 6 for guidance on using a logic model to focus an evaluation. This resource also draws on the work of the Kellogg Foundation.

65 McCauley and Hughes-James (1994). See p. 63 for a participant survey. The survey provides examples of how program providers can formulate their own participant surveys. Note that this survey is very specific to the objectives, design and implementation of this particular leadership program. For example, the survey seeks feedback on whether participants developed closer working relationships with their superintendent peers, their reflections on working with their 'executive facilitator' and how participants used learning journals required in the program.

66 Smith et al. (2011).

3.2 Component 2: Evaluation of selection processes

Components	Focus areas	Key evaluative questions
1. Review of program objectives and goals		
	Who should participate in the program?	
2. Evaluation of selection processes	i. What are the desired program participant attributes?	What existing personal attributes, motivations, qualifications and experience should participants have? What existing skills should participants have, given the program's objectives?
	ii. Do the attraction and selection processes deliver the desired program participants?	Do the program attraction and selection processes result in participants who have the desired attributes, motivations, skills, qualifications and experience?
3. Evaluation of program content, design and delivery		
4. Evaluation of participant performance and outcomes		

Not everyone will benefit equally from participating in a leadership development program. Program providers need to review *who* will most benefit from their program given the program's objectives, and how these people are recruited and selected into the program.[67]

There are two major areas to evaluate within this component: reviewing the types of people who should be undertaking the program, and assessing whether the recruitment process successfully selects these people to complete the program.

In undertaking Component 2 of the framework, program providers should refer back to their responses to the key evaluative questions in Component 1. In particular, the program's objectives and goals, individual learning needs and how the program will help aspiring principals progress towards the Standard should all inform the definition of ideal program participants.

Program providers should identify their 'ideal' participants: who is most likely to benefit from completing the program? Similar to student learning, leadership development is an incremental process. Program participants who have skills, experience and qualifications relevant to the program's objectives will benefit most from the program. In addition, participants who are highly motivated and willing to develop leadership skills are likely to benefit more than others.

Leadership development programs are more likely to be successful when participants can apply their new knowledge, skills and capabilities shortly after completing the program.[68] Therefore 'ideal' participants will need to undertake the program shortly before, or immediately prior to, stepping into a principal position.

This can be aligned to a school or education system's career pathway and talent management system, or, where these systems are not strong, built into the program's selection process. For example, does the aspiring principal intend to apply for a principal position within the next 12 months?

Program content should reflect the learning needs of program participants depending on their previous experience, skills and attributes, as well as the kind of principal they aspire to be. For this reason, AITSL recommends program providers use "discriminating application and selection processes matched to the learning opportunity".[69]

Component 2 therefore asks program providers to assess whether their application and selection processes result in the program selecting their 'ideal' participants.[70]

Self-nomination is one way of applying to courses, but it has several shortcomings. For instance, some people may not be comfortable putting themselves forward unless encouraged by their school.

There is a need to invest in the development of talent identification strategies, which can identify people with high potential, and to develop selection criteria that identify the people most likely to benefit from the program and who will go on to leadership roles.[71]

67 Darling-Hammond et al. (2007).

68 Consistent with adult learning principles, adults learn best when given the opportunity to apply their new knowledge, skills and capabilities to real situations. Kolb (1984). Exemplary school leadership development programs ensure that participants have opportunities to apply their new knowledge, skills and capabilities during or shortly after completing the program. Darling-Hammond et al. (2007), p. 68.

69 Australian Institute for Teaching and School Leadership (2015a).

70 See Jensen et al. (2015), p. 14 for a discussion of selection processes used by leadership development programs in education and other sectors.

71 Watterston (2015).

Focus area 2(i): What are the desired program participant attributes?

What existing personal attributes, motivations, qualifications and experience should participants have?

It is important to select participants with the attributes and motivations to become a principal as this will allow them to gain the most from the program.[72] Participants with the appropriate leadership experiences will be able to contextualise their learning during the program, which is a key principle of adult learning.

Program providers should take into account the stage of participants' development when they enter the program. Participants should have the experience and qualifications (where appropriate) that will allow them to benefit the most from the program. This also allows course content and activities to be appropriately targeted to the skills and experiences that the aspiring principal possesses.

The timing of the program is also important for individual participants and can be built into selection criteria. Participants who will be appointed as a principal either immediately following, or shortly after completing, the program will benefit more because they can apply their new knowledge, skills and abilities. The impact of the program will diminish when participants do not have a timely opportunity to apply their new skills.

The program can then also be designed to take into account the future roles the participant will hold before moving into the principalship, and the skills they will develop during that time.

What existing skills should participants have, given the program's objectives?

Program providers should answer this question with reference to the evaluative questions contained in Component 1. Having clearly articulated the program objectives and development needs of aspiring principals, program providers should be clear about the base level of particular skills that individuals need to have in order to benefit from the content and development available through the program.

In addition, selecting a cohort of participants with appropriate existing skills and knowledge is important for cohort based learning. The quality of the cohort will impact collaborative and peer-to-peer learning during a program.[73]

Focus area 2(ii): Do the attraction and selection processes deliver the desired program participants?

Do the program attraction and selection processes result in participants who have the desired attributes, motivations, skills, qualifications and experience?

Providers that select candidates (rather than those that rely solely on the candidate self-selecting) are able to determine the most appropriate individuals for their programs. Strong selection processes are most worthwhile when there is sufficient demand to enter a program. Accordingly, programs need attraction processes that generate a strong candidate pool.[74]

It is important to ensure that the selection criteria match the overall program goals. Having the most appropriate candidates entering the program will mean it is more likely that it will produce the types of leaders it aspires to develop. Research on good practice in selection processes is outlined in Box 6 below.

72 Cheney et al. (2010); Darling-Hammond et al. (2007); Jensen et al. (2015); Leithwood (2012).

73 For a discussion of collaborative and peer-to-peer learning, see Jensen et al. (2015), pp. 38-39.

74 Jensen et al. (2015).

Program providers should compare the ideal program participant (articulated through Focus area 2(i) above) with data on program participants who are actually selected.[75] If there is a discrepancy between the ideal participants for the program and those selected, providers should analyse why that occurs.

In Australia, competitive application processes usually include at least three steps:

(i) a written application, including an endorsement from the school

(ii) short-listing

(iii) a panel/telephone interview or an interview with the applicant's principal.[76]

If there is a difference between the ideal participant and those selected, program providers may find it helpful to consider the following questions:

- *How valid and effective are the processes used to select program participants?* Do the selection processes ineffectively, or unreliably, assess the motivations, skills and attributes of program applicants? Program providers may need to evaluate the tools they use during selection processes by cross-validating them and reviewing the underpinning assumptions of the tools.
- *Does the selection process unintentionally privilege candidates of certain backgrounds?* An evaluation of selection processes should consider the implications for equity and diversity. By using rigorous selection methods, providers are able to limit any subjective biases that exist, and select the best candidates possible.

75 This requires program providers to build adequate data systems that build on the information collected during the recruitment process. For other practical guidance on attracting, recruiting and selecting the most appropriate program participants, see Cheney et al. (2010), p. 41.

76 Watterston (2015).

Box 6: Research on screening participants and selection processes

The report, Aspiring Principals (prepared in 2010 by a consortium including Hay Group, for Teaching Australia) suggests using three critical selection criteria to select participants into programs:

- Leading learning and teaching: aspiring school principals should demonstrate they are effective teachers.
- Demonstrated leadership ability: applicants should have already shown leadership within the school or in another role, for instance, as a leading teacher.
- Capacity for personal growth: applicants should be willing to learn. Four key growth factors have been identified including eagerness to learn, the ability to understand multiple perspectives, understanding of other people, and personal maturity and ability to maintain emotional balance in difficult situations.[77]

In developing a selection process, the report suggests the following:

Step 1: The potential participant completes an online self-assessment tool to assess their readiness to attend the program, i.e. their performance against the three critical selection criteria.

Step 2: Based on the results of the self-assessment tool the potential participant decides whether or not to apply for the program.

Step 3: The potential participant completes an application form that will include providing relevant examples of how they meet the criteria.

Step 4: The sponsor endorses the application and completes an online assessment of the candidate against the selection criteria.

Step 5: The applicant's line manager (if different to the sponsor) endorses the application.

Program providers may wish to adapt the above process to their own needs. For instance, the AITSL School Leader Self-Assessment Tool could be used or a tool that measures a specific attribute that the program deems important.

77 Jackson et al. (2010).

Potential evaluation tools

A range of example tools and useful materials is outlined in Table 4. An in-depth example of a rubric tool is included below. Table 4 includes various tool types, along with examples of how each tool could be used, including specific tools from Australia and international jurisdictions. It is possible to use a range of tools to answer the evaluative questions within this component.

Table 4: Overview of potential tools providers could use for Component 2: Evaluation of selection processes

Tool type	Examples of how tool could be used	Specific tools and other resources
Self-reports	Self-report tools enable aspiring principals to accurately assess their own skills and attributes. This can help providers assess if participants have the desired attributes, as well as helping program designers to deliver individualised or targeted content to selected leaders.	Program providers can utilise the AITSL School Leader Self-Assessment Tool. The tool asks individuals to self-assess their skills and activities directly mapped to the Standard. If program providers require participants to undertake the self-assessment process at the start of the program, providers can access group level, de-identified data which will help them assess the success of their selection processes. The Self-Assessment of Leadership of Teaching and Learning (SALTAL) tool could be modified to collect information on prospective participants and review whether the profiles match the program's desired candidate profiles.[78]
Survey instruments	Surveys could be used to determine whether: ■ participants believe the course was appropriately targeted to them ■ participants felt there was sufficient information for them to assess if the course would be right for them ■ people who did not take the program differ in any way from those who did – and therefore whether the selection processes were effective ■ the application process has effective outreach; for instance, how applicants heard about the program and why they chose to apply.	The Aspen Institute's Impact of Entrepreneurship Database Program Process Guide offers a service for surveying people who were, and were not, selected into a business development entrepreneur program. As it surveys the entire applicant pool, it then compares the changes in program participants to changes in those who did not complete the program. This information could be used to evaluate selection processes (also particular capabilities as well as program design).

78 Brown and Chai (2012). See page 771 for tool dimensions and items. Note that this tool was developed for the New Zealand context.

Review of best practices	Examining best practices in program selection can help providers understand the effectiveness of their own processes.	The Leadership Screening Fact Sheet outlines the process undertaken to select individuals for the Gwinnett County Public Schools Quality-Plus Leader Academy.[79] The process consists of four levels: a credential review, a written exercise, a structured interview and applicant approval. The New Leaders for New Schools selection criteria include selection competencies, which allow evaluators to better link outcomes to inputs (including skills, knowledge and dispositions).[80] Innovative principal preparation programs: What works and how we know highlights design elements aligned with seven key features of effective leadership preparation programs including their selection process.[81] Preparing School Leaders for a Changing World: Lessons from Exemplary Leadership Development Programs examines eight exemplary principal development programs and identifies a series of factors that contributed to the programs' effectiveness, of which selection process is one.[82] Aspiring Principal Preparation (AITSL) draws on best-practice leadership development in education and other sectors to develop key considerations for the design of principal preparation programs, of which selection is one.[83]
Rubrics	Rubrics can be used for various aspects of Component 2, for example to evaluate the desired attributes of program participants, as well as whether attraction and selection processes are high quality and aligned with evidence.	The Knowledge is Power Program (KIPP) School Leadership Framework and Competency Model is an empirically derived and evidence-based model that outlines the key behaviours exhibited by effective KIPP Leaders. The Rainwater Leadership Alliance has adapted the model to create a rubric for selecting school leaders.[84] The Wallace Foundation Principal Preparation Self-Assessment Toolkit is a rubric that outlines the indicators of high-quality principal preparation programs. It is designed to be used in assessing an existing program, or guiding the development of a new program.[85] It is intended to provide stimulus for discussions between course providers and education systems, focusing on the quality of programs and their continuous improvement. Rubrics are provided to help assess course content and pedagogy, supervised clinical practice, candidate recruitment and selection, and graduate performance outcomes.[86]

79 Cheney et al. (2010), p. 164.

80 Cheney et al. (2010), pp. 160-161.

81 Davis and Darling-Hammond (2012), p. 25.

82 Darling-Hammond et al. (2007), pp. 64-66.

83 Jensen et al. (2015), p. 14.

84 Cheney et al. (2010), see pp. 169-171 for example rubrics and selection matrices used in multiple programs.

85 King (2013b).

86 King (2013b), see p. 8 for candidate selection and recruitment rubrics.

An in-depth example of a potential evaluation tool: Wallace Foundation Toolkit rubrics

The Wallace Foundation's Quality Measures: Principal Preparation Program Self-Assessment Toolkit contains rubrics to assess quality across a variety of evaluation areas. While these are developed for a US audience, they can be adapted for the Australian context. The rubrics were developed through an extensive literature review of key features of effective school principal preparation programs.[87]

The rubric for evaluating candidate recruitment and selection consists of four 'quality indicators', as shown in Figure 14. A handbook accompanying the rubric provides advice on the process program providers can use to evaluate in line with the quality indicators, with suggested meeting agendas and roles for evaluators and program staff.

The handbook provides templates for data collection which can be reviewed by others (such as external evaluators). The rubric also provides a guide for evaluators to gather and review evidence that supports the assessment of each quality indicator.

For each of the quality indicators, the rubric directs evaluators to select if few, some, most, or all program processes are as described. These correspond with an assessment for that indicator as being *beginning, emerging, developed* or *well developed* (Figure 15).

Figure 14: Wallace Foundation's candidate recruitment and selection rubric from the Quality Measures: Principal Preparation Program Self-Assessment Toolkit[88]

Quality indicator	Description
I. Rigorous program admission standards	Program admission standards include criteria for: 1) nominating candidates 2) screening applications 3) conducting and evaluating candidate interviews; and are aligned with school district, state, and national performance expectations for school leaders.
II. Multi-dimensional approach to outreach and communication	Criteria and processes are designed to recruit high-potential candidates and are broadly communicated in multiple venues at the local, state, and national level to give the program high visibility.
III. Valid measures for assessing candidate potential	Measures for assessing applicant potential are valid, reliable, aligned with principal performance expectations and consistently used to make admission decisions.
IV. Competitive recruitment incentives	Incentives used to attract and retain highly-qualified applicants are budgeted, responsive to applicant needs, and equitably distributed across the applicant pool.

87 Darling-Hammond et al. (2007); King (2013b); The Wallace Foundation (2008).

88 King (2013b), p. 8.

Figure 15: Extract from Wallace Foundation's handbook for evaluators in using the evaluation tool[89]

Supporting evidence: *use the table below to list the evidence that best supports each indicator of quality. Indicate the type(s) of evidence. Note the developmental level (well-developed, developed, emerging, beginning) the evidence supports for each indicator of quality.*

Quality indicators for recruitment and selection		Title of supporting evidence	Type of evidence (document/ observation/ interview/other)	Evidence supports: well developed/ developed/emerging/ beginning
I. Rigorous program admission standards	Program admission standards fully define criteria for nominating candidates, screening applications, and conducting and evaluating candidate interviews. Standards include complete criteria for assessing candidate performance and are tightly aligned with school district, state and national performance expectations.			

89 King (2013a), p. 16.

Box 7: Hypothetical example – How the Indigo School Leaders Australia program uses the Wallace Foundation Rubric

Indigo School Leaders has developed a new selection process similar to that outlined above in Box 6, whereby participants must be sponsored into the program and are screened through an online selection process. However, selection has been a problem for the program provider in the past, too many participants eventually dropped out of programs, or did not go on to become school leaders, throwing doubt on existing processes.

The program provider therefore decides to include a review of the quality of its attraction and selection process and uses an adapted version of the Wallace Foundation rubric as one part of this evaluation. Adaption of the rubric includes changing some of the terminology and incorporating the need for admissions to be aligned to the Australian Professional Standard for Principals.

The evaluator also administers an online survey about prospective candidates' experiences of the selection process.

Through use of the rubric (below), the Indigo School Leaders' evaluator suggests the program investigate its attraction strategy, including how the program will attain sufficient visibility to develop a strong candidate pool.

Box 7 cont.

Quality indicator	Description	Indigo School Leaders' self-assessment rating	Explanatory notes
I. Rigorous program admission standards	Program admission standards include criteria for 1) nominating candidates, 2) screening applications, and 3) conducting and evaluating candidate interviews, and are aligned with the Australian Professional Standard for Principals.	*All – well developed*	All program admission standards meet these quality indicators.
II. Multi-dimensional approach to outreach and communication	Criteria and processes are designed to recruit high-potential candidates and are broadly communicated in multiple venues at the local, state, and national level to give the program high visibility.	*Some – emerging*	While Indigo School Leaders has a process to recruit high-potential candidates (including referral through a sponsor) it has not yet begun a substantial outreach program. It has mainly relied on recommendations from people who have completed courses with the same provider.
III. Valid measures for assessing candidate potential	Measures for assessing applicant potential are valid, reliable, aligned with principal performance expectations and consistently used to make admission decisions.	*All – well developed*	All measures for assessing candidate potential meet these quality indicators.
IV. Competitive recruitment incentives	Incentives used to attract and retain highly-qualified applicants are budgeted, responsive to applicant needs, and equitably distributed across the applicant pool.	*None – beginning*	Indigo School Leaders does not use financial incentives to attract or retain course participants. However, it has been considering a scholarship program which is not yet developed.

3.3 Component 3: Evaluation of program content, design and delivery

Components	Focus areas	Key evaluative questions
1. Review of program objectives and goals		
2. Evaluation of selection processes		
	How effectively is the program designed and delivered?	
3. Evaluation of program content, design and delivery	i. Is the program content coherent and relevant?	Does the content and structure of the program deliver on the objectives of the program? Does the program integrate theory and practice linked to the Australian Professional Standard for Principals?
	ii. Is the program design and delivery high quality and based on evidence of what works?	Does the program provide a learning development process that takes into account the needs, career stage, prior learning and context of individual participants? Is the content and curricular design coherent and grounded in evidence-based research? Is the structure and delivery of the program based on best practice including opportunities for practice, feedback and reflection? Does the program provide significant opportunities to learn from experts and practitioners? Are there opportunities for practical experience and applied learning? Are there processes to support the ongoing development of program graduates?
	iii. Are there effective assessment practices and measures of participant growth?	Does the program make good use of formative assessment and feedback processes? Does the program use baseline measures and ongoing monitoring of program participants' growth?
	iv. Do program graduates feel the program was worthwhile, and that they developed new skills?	What were program participants' experiences of the program? What are the program retention and completion rates? Were program participants engaged? Did participants learn new skills and gain knowledge? Do participants feel more prepared to lead?
4. Evaluation of participant performance and outcomes		

Providers must sort through a wide range of potential content to establish the priority program coursework most relevant to their program goals, and the needs of participants defined through Component 1 of the framework.

Program content should be prioritised to align with program objectives and goals, and be based on evidence and best practice. For example, research illustrates that aspiring principals need to develop a combination of instructional leadership skills, management and leadership skills and higher order leadership capabilities discussed above in Section 1 of this report. Programs might prioritise content on instructional leadership, or develop courses that focus on specific management and leadership skills such as giving feedback and developing shared goals.

High-quality course content on its own is not enough. Course design and delivery (the types of learning activities, sequencing of them, and the extent to which learners are actively engaged) is crucial. There is reasonable consensus about what good leadership course design looks like, although it is not supported by strong empirical evidence.

Design features most positively reviewed in the literature include experiences tailored to individuals' learning needs and career stage, practice-centred learning, and opportunities for practical experiences and peer learning.[90] The evaluative questions in Component 3 are based on a synthesis of several major reviews of the literature.[91]

Focus area 3(i): Is the program content coherent and relevant?

Does the content and structure of the program deliver on the objectives of the program? Does the program integrate theory and practice linked to the Australian Professional Standard for Principals?

Program content should be clearly related to the objectives and goals of the program, the needs of the participants, and the effective professional practices outlined in the Standard, all of which were defined through Component 1 of the framework. Programs should be explicitly designed to integrate theory and practice linked to the Standard, and provide well-structured learning activities to encourage and support program participants.[92]

When responding to these key evaluative questions, program providers should also refer back to the strategies they articulated during Component 1, including how the program is designed and structured to achieve its objectives.

Focus area 3(ii): Is the program design and delivery high quality and based on evidence of what works?

Does the program provide a learning development process that takes into account the needs, career stage, prior learning and context of individual participants? Is the content and curricular design coherent and grounded in evidence-based research?

A priority for Australian program providers, noted in a recent review of programs, is the creation of a coherent content and curricular design.[93] The following questions may help providers evaluate their program:

- Does the course content build on participants' existing skills, knowledge and capabilities?
- Are the program content and learning activities logically sequenced so participants can progressively build their skills?

90 King (2013a).

91 Cheney et al. (2010); Dempster, Lovett and Flückiger (2011); Jensen et al. (2015).

92 Watterston (2015).

93 Jensen et al. (2015).

- Do the program's learning activities support the content being delivered? For example, are there applied learning projects that are aligned to program content and participants' skill development?
- Are the course content, structure and delivery based on the evidence of what works?
- Do experts in the field deliver the program content?

Is the structure and delivery of the program based on best practice including opportunities for practice, feedback and reflection?

Evidence suggests that effective leadership development programs are based on adult learning principals and provide opportunities to apply new skills and knowledge, collaborate, gain feedback and receive ongoing support. These principles apply to all types of programs: short and intensive programs, as well as programs offered over an extended period of time.

For longer programs, research suggests that a phased or spaced delivery approach helps participants to develop the skills they need in a cumulative manner.[94] Also, longer-term programs can make effective use of blended learning that involves delivering content through a mix of learning experiences, which encourage feedback and reflection. The mix of learning experiences can include mentoring and coaching, learning from case studies, individual needs analysis and leadership diagnostic tools.[95]

Additional information and guidance on designing learning activities including mentoring and coaching, shadowing and observing principals and applied learning by taking on additional leadership responsibilities is shown in Appendix A.

Does the program provide significant opportunities to learn from experts and practitioners?

Aspiring principals need to learn about the practical realities of the job. Observing the daily activities of current principals through, for example, opportunities for shadowing and school visits, helps demystify the role and assist participants to understand how to apply theory to practice. Expert practitioners can provide guidance and significant modelling to demonstrate good practice and engage in deep dialogue about principal practice. Observation and demonstration are key activities for effective professional learning.

Are there opportunities for practical experience and applied learning?

Research emphasises it is important to provide opportunities for practical, applied learning in coherent contexts, particularly when participants have the opportunity to learn from experts, then apply their learning. Adults learn best when able to apply what they have learned, so participants should be given opportunities to utilise new skills and knowledge in practical situations.

Simulations, role-plays and games allow participants to do this within a program. Many leadership and principal preparation programs also include applied learning projects, internships and placements so that participants can apply and reflect on their new knowledge, qualities and skills.

The type of opportunities for practical experience and applied learning activities will vary between programs depending on the objectives of the program, the skills being developed and mode of program delivery.

Are there processes to support the ongoing development of program graduates?

Ongoing support for leadership development is a key element of successful programs. This includes mentoring and coaching for new principals in their first year. Principal preparation programs may consider including ongoing support for program graduates, if these practices are not already built into the education system, as it may be two to three years before participants successfully secure a principal's position.

94 This type of program structure or delivery involves participants coming together for regular program intensives over a period of time. Between intensives, participants return to their role and can begin to apply their new skills, knowledge and capabilities.

95 Jensen et al. (2015); Watterston (2015).

Collaboration between the program and schools has also been noted as an important determinant of quality support.[96] The learning process doesn't end when people exit the preparation program. Ongoing support is important to assist participants to apply and continue their leadership learning. Processes that reiterate key lessons learned by participants and that facilitate communications with their program cohort will ensure each individual's learning is consolidated in the future.

Focus area 3(iii): Are there effective assessment practices and measures of participant growth?

Does the program make good use of formative assessment and feedback processes?

Formative assessment and feedback are powerful learning tools that can drive improvement in both individuals and programs. Individuals can increase their awareness of their progress and ascertain areas for further leadership development. Providers can use formative assessment data to determine the effectiveness of components of their program, and make necessary adjustments to ensure that their program is constantly improving and meeting the set goals.

Assessment and feedback processes are an important part of helping program participants learn.[97] Providers should review the evidence about effective feedback techniques, consistent with adult learning principals, as part of evaluating this item.

Does the program use baseline measures and ongoing monitoring of program participants' growth?

To determine a program participant's growth during the program, collecting baseline data is essential. It allows providers to determine and then address candidate's learning needs, and through further data collection, it gives the provider the ability to track candidates' development through the program.

Program providers should establish their own measures, relevant to the program objectives and desired impacts defined in Component 1 of the framework. For further discussion on designing outcome and impact measures, see Component 4 of the framework.

Focus area 3(iv): Do program graduates feel the program was worthwhile, and that they developed new skills?

What were program participants' experiences of the program? Were program participants engaged? What are the program retention and completion rates?

Collecting qualitative data on participant experience of the program and their engagement can help assess how worthwhile the course was to the participants. While ultimately, changes in behaviour may be a more meaningful measure of a program's impact, participants are more likely to learn in an environment in which they feel engaged.

Program retention and completion data can, in part, reflect the value that participants attach to the program. Participants who do not experience the program in a positive light may choose not to complete the program – although there may be a range of other reasons. Ideally, this data will be considered in conjunction with program outcome data. If the program retention and completion rate is low, evaluators may need to consider why, and whether this supports the results from program outcome measures.

96 Davis et al. (2005).

97 Showers and Joyce (2002); Timperley et al. (2007).

Did participants learn new skills and gain knowledge? Do participants feel more prepared to lead?

Collecting data specifically related to participants' leadership skills, knowledge and experiences, especially in relation to the Standard, can provide valuable opportunities to personalise the learning and improve the methodology of the program.

Potential evaluation tools

A range of example tools and materials is outlined in Table 5. An in-depth example of a combined self-report and observation tool is given below. Table 5 includes various tool types, along with examples of how each tool could be used, and specific tools from both Australia and international jurisdictions. It is possible to use a range of tools to answer the evaluative questions within Component 3.

Table 5: Overview of potential tools providers could use for Component 3: Evaluation of program content, design and delivery

Tool type	Examples of how tool could be use	Specific tools and other resources
Self-reports	Can be used to evaluate the effectiveness of the content and the delivery by collecting data on the growth in participants' skills, knowledge and ability relevant to the Standard.	The AITSL School Leader Self-Assessment Tool could be used to collect information on prospective participants' experience and growth in the program. Programs that request participants to undertake the assessment prior to, and on completion of, the program can assess participants' self-reported growth directly related to the Standard. Where participants undertake the AITSL 360° Reflection Tool as part of the program, program providers can encourage participants to share their results with the provider, which can contribute important data to the evaluation.[98] This could be used to assess whether content was being effectively delivered and contributing to participant growth.
Survey instruments	Can be used to collect data about participant satisfaction and reflections on the program's added value.	The Centre for Creative Leadership performed an evaluation of one of their leadership programs for American superintendents.[99] The questions asked to participants at the conclusion of the program are included in Appendix A of the linked document.
Document reviews	Can be used to analyse how course design and delivery is aligned to program goals. This may be benchmarked against other providers.	The Wallace Foundation Principal Preparation Self-Assessment Toolkit includes indicators and rubrics that could be used to review program documentation (e.g. prospectus, syllabus, delivery model) against the objectives and goals of the program, as a central part of a focused program evaluation and improvement process.

98 Australian Institute for Teaching and School Leadership (2015b).

99 McCauley and Hughes-James (1994), p. 63.

Review of best practices	There are extensive guides on effective course design and course improvement processes that could be used as part of the evaluation of a course's quality.	The Course Improvement Flowchart is a tool that is designed to describe how university courses can collect feedback on course quality, and then use this information for course improvement.[100] Other key reviews of effective practices in course content, design and delivery include: National College of Teaching and Leadership's Content Development Handbook: Leadership Curriculum is a guide to creating curriculum for school leadership programs, which may be useful in reviewing and improving content, design and delivery.[101] The Aspiring Principals report outlines a specific plan for a national professional learning program. It provides research on program content, program delivery and selection.[102] Innovative principal preparation programs: What works and how we know provides an overview of the key features of five innovative principal preparation programs.[103] Preparing School Leaders for a Changing World: Lessons from Exemplary Leadership Development Programs examines eight exemplary principal development programs and identifies a series of factors that contributed to the programs' effectiveness.[104] Aspiring Principal Preparation draws on best-practice leadership development in education and other sectors to develop key considerations for the design of principal preparation programs.[105] Environmental Scan: Principal Preparation Programs (AITSL) identifies key elements fundamental to the success of principal preparation programs around Australia. It also identifies common weaknesses in programs and suggests ways forward that will lead to improvement.[106]
Rubrics	There are several rubrics that relate to course design and delivery in leadership development programs, often drawing on evidence of effective practices.	The Wallace Foundation Principal Preparation Self-Assessment Toolkit is a rubric that outlines the indicators of high-quality principal preparation programs.[107] It is designed for assessing an existing program, or guiding the development of a new program. It is intended to provide stimulus for discussions between course providers and education systems, focusing on the quality of programs and their continuous improvement. Rubrics are provided to help assess course content and pedagogy, supervised clinical practice, candidate recruitment and selection, and graduate performance outcomes.

100 Morgan (2009), see Figure 1.
101 National College for Teaching and Leadership (2014).
102 Jackson et al. (2010).
103 Davis and Darling-Hammond (2012).
104 Darling-Hammond et al. (2007).
105 Jensen et al. (2015).
106 Watterston (2015).
107 King (2013b).

An in-depth example of the School Leader Self-Assessment Tool and 360° Reflection Tool

Self-report tools can provide an important measure of participant growth. Participants self-assessing their skills, motivations and beliefs at the beginning and then at the end of the program can see, and reflect on, what they have learned.

Self-assessment also allows program providers to gain an understanding of the subjective experiences of program participants. There are many tools that are available for self-assessment that could be used to collect information on participant growth in a wide range of areas.

Self-assessment can be combined with observations to create a more complete picture of the actual behaviours of program participants (and program graduates). However, individual self-reports can be biased, as people may see themselves in a more favourable or harsher light than do those around them.[108]

Knowledge of how their performance is actually perceived can help identify strengths and development needs of participants, where a simple self-report might not. Observations and performance appraisals can be used to collect feedback from peers, school leaders, or independent raters trained in the use of a specific tool.

School Leader Self-Assessment Tool – How it works

The AITSL School Leader Self-Assessment Tool could be used to collect information on prospective participants' experience and growth in the program. Programs that request participants to undertake the assessment prior to, and on completion of the program, can assess participants' self-reported growth directly related to the Australian Professional Standard for Principals.

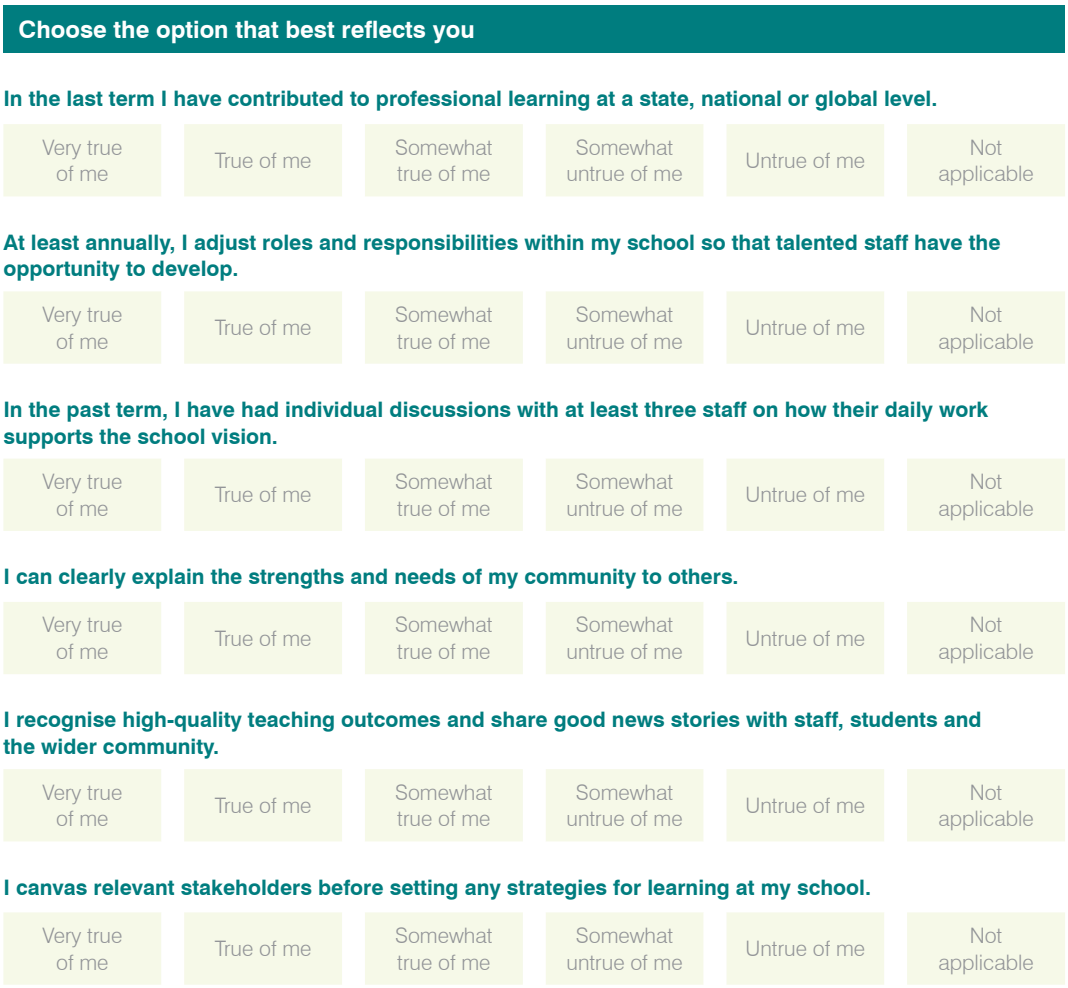
Although individuals' results are sent directly to individual participants, program providers are able to access a group report function. This provides de-identified data on the program cohort, rather than individuals, who undertake the assessment.

Therefore, program providers can use this data to assess whether program cohorts (a) have the desired skills, attributes, and experience at the commencement of the program and (b) how the cohort rates their performance in relation to the Standard at the completion of the project.

Sample questions from the School Leader Self-Assessment Tool are contained in Figure 16.

108 Donaldson and Grant-Vallone (2002).

Figure 16: Extract from the AITSL School Leader Self-Assessment Tool



Choose the option that best reflects you

In the last term I have contributed to professional learning at a state, national or global level.

Very true of me	True of me	Somewhat true of me	Somewhat untrue of me	Untrue of me	Not applicable

At least annually, I adjust roles and responsibilities within my school so that talented staff have the opportunity to develop.

Very true of me	True of me	Somewhat true of me	Somewhat untrue of me	Untrue of me	Not applicable

In the past term, I have had individual discussions with at least three staff on how their daily work supports the school vision.

Very true of me	True of me	Somewhat true of me	Somewhat untrue of me	Untrue of me	Not applicable

I can clearly explain the strengths and needs of my community to others.

Very true of me	True of me	Somewhat true of me	Somewhat untrue of me	Untrue of me	Not applicable

I recognise high-quality teaching outcomes and share good news stories with staff, students and the wider community.

Very true of me	True of me	Somewhat true of me	Somewhat untrue of me	Untrue of me	Not applicable

I canvas relevant stakeholders before setting any strategies for learning at my school.

Very true of me	True of me	Somewhat true of me	Somewhat untrue of me	Untrue of me	Not applicable

360° Reflection Tool – How it works

AITSL's 360° Reflection Tool combines self-report and observation. The tool is designed to help aspiring and current school leaders to gather formative feedback on their leadership, aligned to the Australian Professional Standard for Principals. Both individuals and groups can use and benefit from the tool. In the context of program evaluation, a program could register a group of program participants and receive a report summarising the results.[109]

Importantly, individual results are confidential and are sent directly to the individual. However, program providers can use the tool by:

- Accessing the group function to receive de-identified results from a program cohort; and/or
- Encouraging individuals to share their results with the program which could be done in a variety of ways. Individuals could share their results as part of program activities such as mentoring, individuals could choose to discuss their results as part of an interview at the conclusion of the program, or individuals could choose to share their results directly with the program provider.

109 Australian Institute for Teaching and School Leadership (2015b).

Programs could use the 360° Reflection Tool to evaluate and improve several aspects of program delivery and participant experience.[110]

- Does the program provide a learning process that takes into account the needs, career stage, prior learning and context of individual participants? *Data collected from use of the tool could be used to review the program's appropriateness in relation to the needs of individual participants and the cohort overall.*
- Does the program use baseline measures and ongoing monitoring of program participants' growth? *Use of the tool could be paired with other measures of participant growth such as pre- and post-program self-assessments to create a fuller picture of learning during the program.*
- Did participants learn new skills and knowledge? *Use of the tool at the start and end of the program could serve as one way that participants' growth is measured. Participants would also be able to review their progress over time.*

The tool involves self-reports and feedback from a number of raters (chosen by the person using the tool) and the collection of other information. The tool reviews the quality of leadership through the frequency with which specific types of behaviour occur.

Users of the tool are provided with a feedback report, consisting of the results and commentary on leadership capacity from the raters. Users can use the feedback to develop a 'leadership action plan' to guide their ongoing development. For aspiring school leaders, use of the tool is outlined below in Figure 17 and Figure 18.

110 The tool could also be used within other components of the evaluation framework, including the evaluation of selection processes and in the evaluation of outcomes. The AITSL School Leader Self-Assessment Tool can be used for similar purposes.

Figure 17: AITSL 360° Reflection Tool steps

Who uses the tool	What they do
Aspiring school leaders	Complete demographics information section
	Complete section on school context: the contextual background information about the school, its location, population, student cohort, vision/mission and other relevant details
	Complete the survey: reflection on frequency of own behaviours in relation to the Standard
	Optional completion of reflective comments section: provide additional commentary on own strengths and areas for development
Raters (selected by the aspiring school leader)	Complete the survey: rate the frequency of behaviours exhibited by the principal/school leader in relation to the Standard
	Optional completion of reflective comments section: provide additional commentary on the aspiring leader's strengths and areas for development

Figure 18: Extract from the AITSL 360° Reflection Tool self-report component 'Creates a student centred school' – linking one of the Standard's three Leadership Requirements with one of the five Professional Practices [111]

Creates a student centred school
Leadership Requirement: Vision and values
Professional Practice: Leading teaching and learning

How often do you exhibit the following behaviour?

	Never	Rarely	Sometimes	Often	Consistently	Don't know
Demonstrate commitment to the learning and growth of young people and adults						
Encourage active engagement of students and a strong student voice						
Place student learning at the centre of strategic planning						
Provide a consistent and school-wide focus on individual students' achievement						
Listen actively to students, shows interest and acknowledges their points of view and contribution						
Demonstrate respect for the dignity of each and every individual						

111 Australian Institute for Teaching and School Leadership (2015c).

Box 8: Hypothetical example: How the Indigo School Leaders Australia program uses the AITSL 360° Reflection Tool to evaluate program content, design and delivery

The Indigo School Leaders program's focus on developing school leaders who are skilled in creating a positive school climate has informed the content, design and delivery of the program.

Participants work through a range of case studies of turn-around schools, work with mentors over the year of the program who assist them in resolving real-world issues in participants' schools, and undertake group work on reviewing best practices in resolving conflict and building teams to support student learning in a school setting.

One way that Indigo School Leaders evaluates program effectiveness is through the use of the 360° Reflection Tool. At the start of the program, participants are asked to use the tool, inviting raters from their school to also reflect on their current practice against the 15 areas examined in the tool.

With the permission of participants, the results from the tool are then reviewed by the program convenor, who identifies any particular areas of need for each participant. The profiles generated by participants (along with other data) are used to help the program identify mentors and to assign program participants into study groups.

Near the end of the program, participants complete the tool again. With the program cohort and their mentor, they work through the personalised development planning tools offered as part of the 360° Reflection Tool. This information is discussed prior to the conclusion of the program, and participants can identify their future learning needs as they potentially take on principal roles.

The program provider also reviews the data and comments from raters and participants, to generate an understanding of how participants developed through the program.

3.4 Component 4: Evaluation of participant performance and outcomes

Components	Focus areas	Key evaluative questions
1. Review of program objectives and goals		
2. Evaluation of selection processes		
3. Evaluation of program content, design and delivery		
	How will we know if the program has been successful?	
4. Evaluation of participant performance and outcomes	i. Did program graduates change their behaviour during and after the program?	Did participants change the way they think and their leadership behaviour during and after the program? How have program graduates implemented specific learnings from the program in their leadership practice – including knowledge, skills, behaviours, attitudes and perceptions? Are program graduates working towards the Australian Professional Standard for Principals?
	ii. Did program graduates change leadership and teaching at their school?	Have changes in leadership practices improved the school climate? Have changes in leadership practices positively affected other school leaders? Have changes in leadership practices improved teaching practices?
	iii. What are the impacts of program graduates on student outcomes?	Are there changes in what students know and can do?
	iv. Has the program met its goals and had an impact on the education system?	Are program graduates having an impact on the system? Are program graduates applying for, and appointed in, principal positions? Did the program meet its short, medium and long term goals defined in Component 1?

Measuring outcomes is the ultimate test of a program's objectives, goals and intended outcomes defined in Component 1 of the framework. Currently, however, research on leadership preparation programs provides little evidence of how participants perform as principals or how the program has shaped their behaviours, knowledge and attitudes.[112]

Depending on the program's goals defined in Component 1 of the framework, evaluators may wish to focus on different outcomes. Evaluation of program outcomes can take place on several different levels.[113]

- At the individual level: outcomes include changes in behaviour as a result of completing the program. This is a necessary step to affecting change at the other levels.
- At the school level: outcomes include the impact the program graduates subsequently had on teaching, school climate and relationships with the community.
- At the level of the student body: outcome measures would include an analysis of how the participants impacted student achievement and other learning outcomes.
- At the system level: outcomes include how the program met workforce and education system needs such as the supply and appointment of suitably prepared principals. System level outcomes also include the overall impact of program graduates on schools such as student outcomes, teaching practices and leadership practices of other staff.

Generally, the long causal chain between participation in a principal preparation program and changes in student outcomes makes it more difficult to quantify the longer-term impacts of principal preparation programs. A partial remedy to this problem is to evaluate both student outcomes and 'intermediate' outcomes such as changes in program graduate behaviours.

In some situations, particularly when a program is new or untested, evaluating outcomes at the individual level may be more valuable because it allows for a more immediate understanding of how a program is working (which can be used to refine the program).[114]

When selecting tools for principal preparation program evaluation, evaluators should consider the program's objectives, goals and the intended short, medium and long term impacts defined in Component 1 of the framework. This will assist program providers to identify the level at which they should gather outcome data and the tools that may assist them to gather the required data.

Focus area 4(i): Did program graduates change their behaviour during and after the program?

Did participants change the way they think and their leadership behaviour during and after the program? How have program graduates implemented specific learnings from the program in their leadership practice – including knowledge, skills, behaviours, attitudes and perceptions? Are program graduates working towards the Australian Professional Standard for Principals?

Evaluating the changes in knowledge and professional practice after participation in a program is an important way to test the logic behind the program's objectives, goals and strategies defined in Component 1 of the framework.

Evaluating changes in knowledge and professional practice can be considered intermediary measures and are particularly useful as an evaluative threshold; if participants did not gain new skills and knowledge through participation in the program, the program is unlikely to have prepared them to help lift student outcomes through their leadership.[115]

112 Ng Foo Seong (2013).

113 Guskey (2002).

114 Jensen et al. (2015); Opfer and Pedder (2011); Wayne et al. (2008).

115 Guskey (2002).

As well as collecting information about behavioural change, evaluations may be able to consider how deeply the program was embedded in leadership practice. For instance, the program may have emphasised distributed leadership. To find out whether this was effective, an evaluation might focus on reviewing the specific changes to practice that occurred after participation in the program, and whether these align with the objectives of the program.

Lastly, a program should be able to evaluate how participants' learning prepares them for their prospective responsibilities as a school principal in line with the Standard. One way to do this is through tracking participant growth along the Leadership Profiles in each of the Professional Practices of the Standard. One set of the Leadership Profiles, for Leading teaching and learning, is shown in Figure 19.

Figure 19: Leadership Profile: Leading teaching and learning [116]

Developmental pathway: a principal's increasing proficiency

Principals ensure the school values underpin and support high-quality inclusive practices and set expectations that all activities are focused on improving student learning outcomes. They keep up-to-date with and share current developments in pedagogy and student engagement with all staff. They lead staff and students in identifying and planning high-quality teaching and learning.	Principals prioritise creating and sustaining a student-centred learning environment. They motivate staff to keep their teaching practice current through use of research and new technologies. They develop a robust approach to reviewing the curriculum and pedagogy to ensure a consistently high-quality environment for learning. They develop a coaching culture that encourages honest feedback to and from students and teachers based on evidence.	Principals lead a school-wide focus on individual student achievement, implementing strategies that secure educational provision for all. They ensure that reflective practices, structured feedback, peer review and use of the *Australian Professional Standards for Teachers* lead to personal improvement of both students and staff. They systematically monitor and report on student progress and have interventions in place to reduce gaps in attainment. They communicate high aspirations and expectations for all, celebrate success and challenge underperformance.	Principals lead high aspirations in learning and inspire the same in students, staff and parents. They establish systematic methods for collecting and interpreting evidence to identify excellent teaching and learning, and share successful strategies with the school community. They encourage staff to contribute to education networks, supporting the learning of others and development of pedagogy. They model collaborative leadership and engage with other schools and organisations to share and improve practice and encourage innovation in the education system.

Focus area 4(ii): Did program graduates change leadership and teaching at their school?

Have changes in leadership practices improved the school climate? Have changes in leadership practices positively affected other school leaders? Have changes in leadership practices improved teaching practices?

Assessing the impact of program graduates on their schools can involve analysing whether participants had a positive impact on school climate, other leaders, and the quality of teaching at the school.[117] These changes are the ones most likely to impact student outcomes. Therefore, they should be an important part of the evaluation. Multiple methods (such as surveys of staff, observations, and self-reflection) can be used to gain a fuller picture of the impact of program participants. Evaluations may also consider some of the school-level factors that affect the way program graduates may be able to lead.

116 Australian Institute for Teaching and School Leadership (2015d).

117 Clifford et al. (2012).

Focus area 4(iii): What are the impacts of program graduates on student outcomes?

Are there changes in what students know and can do?

Changes in student outcomes are the end goal of efforts to improve the leadership skills of school leaders. Given the long causal chain between participation in a program and improvements in student learning, it can be difficult to evaluate this outcome in quantitative terms (such as impact on test scores).

Measures of student gain (such as the difference in learning year-on-year) are easier to collect than 'value-added' estimates which seek to isolate the value added specifically by the program. However, value-added estimates can be made in well-designed, comprehensive evaluations.[118] This outcome can also be measured through student surveys and other qualitative indicators.

Focus area 4(iv): Has the program met its goals and had an impact on the education system?

Are program graduates having an impact on the system? Are program graduates applying for, and appointed in, principal positions?

At the final stage of the evaluation, a program's overall impact can be assessed. Each program may use different measures of impact on the system, depending on the program provider's analysis of school and system needs in Component 1 of the framework. A range of methods can be used to determine whether program graduates are having an impact on the system. This may include interviews, observations, surveys and self-report data from program graduates at regular intervals following program completion.

If the education system faced a shortage of prepared aspiring principals, the program evaluation may measure outcomes such as retention of participants in the program, whether the number of applicants for principal positions has increased over time, and the number of program graduates appointed to principal roles within 12 months of completing the program.

Did the program meet its short, medium and long-term goals defined in Component 1?

At the final stage in an evaluation, the initial goals of the program should be reviewed to see whether they were met, and what happened to bring about changes. Program providers should refer back to the objectives and goals of the program, articulated through Component 1 of the framework.

If goals were not met, further analysis should investigate why this was the case and corrective action taken and/or goals reviewed. Ideally, the conclusion of an evaluation should be linked to an improvement process whereby the results are used to drive further improvement.

118 Corcoran, Schwartz and Weinstein (2012); Jensen et al. (2015).

Potential evaluation tools

A range of tool types, along with examples of how each tool could be used, is outlined below in Table 6. An in-depth example of a survey tool is given below. Table 6 includes various tool types, along with examples of how each tool could be used, and specific tools from both Australia and international jurisdictions are also included. It is possible to use a range of tools to answer the evaluative questions within Component 4.

Table 6: Overview of potential tools providers could use for Component 4: Evaluating participant performance and outcomes

Tool type	Examples of how tool could be used	Specific tools and other resources
Self-reports	Can be used to evaluate progression over time, tailoring program content to individual learning needs, and as a means of collecting data on participants' growth.	The AITSL School Leader Self-Assessment Tool allows school leaders to assess their performance against the Standard and Leadership Profiles. The tool also provides comparative reports between individuals' self-assessments over time.[119] Program providers can access group reports, providing cohort level, de-identified data, which may be used to assess the impact of the program on the program cohort.
Semi-structured interviews	Interviews of program graduates and their leadership teams could be used to gain a deeper qualitative understanding of the way a program impacted participants.	The following resources may assist with planning, conducting and analysing interviews: Handbook of Practical Program Evaluation includes a chapter on the use of semi-structured interviews.[120] Better Evaluation provides guidance on using interviews in quantitative and qualitative evaluation.[121] RAND Corporation's guidance on Data Collection Methods: Semi-Structured Interviews and Focus Groups.[122] University of Wisconsin Extension's Program Development and Evaluation provides guidance on conducting interviews.[123]

119 The AITSL School Leader Self-Assessment Tool was released early in 2016. Individual self-assessment tools are used in other education systems including the US. The ISLLC Self-Assessment tool allows principals to assess their knowledge, skills and dispositions against the American ISLLC Standards for School Leadership.

120 Newcomer, Hatry and Wholey (2015), chapter 19.

121 Better Evaluation (2014).

122 Harrell and Bradley (2009), see page 24 for guidance on conducting semi-structured interviews including constructing interview questions (p. 35), interviewing protocols (p. 48) and conducting an interview (p. 66). See from page 79 for guidance on conducting focus groups.

123 University of Wisconsin - Extension (2009).

Survey instruments	Surveys can be used to gather staff, student and community feedback on a school leader's performance across a variety of areas.	The 'Five A' Assessment Tool of Educational Leadership and Professional Development is a survey that measures the impact of professional and leadership development on participants and their schools. It has been developed in the Australian context by Synergistiq. The Comprehensive assessment of leadership for learning (CALL) survey measures leadership practices across five domains: focus on learning, monitoring teaching and learning, building nested learning communities, acquiring and allocating resources, and maintaining a safe and effective learning environment. View sample surveys by visiting the website. The SEED Evaluation Survey Question Bank provides a selection of questions that can be used to assess teacher views on school leader performance.[124] The Colorado Education Initiative has produced a Teacher Perception Survey Toolkit and a Student Perception Survey Toolkit that can be used by programs to gain feedback from teachers or students on school climate and principal performance.[125] The Social-Emotional Wellbeing (SEW) Survey is an Australian, anonymous strength-based survey for students aged 3-18 years, which provides an holistic view of students' wellbeing.[126] The Principal Instructional Management Rating Scale is a well-known questionnaire designed to gain insight into a principal's instructional leadership.[127] More information on the tool and how it is used can be found on the website.
Observations	Peer or independent observations of school leader practice can provide impartial information about a leader's daily behaviours and how these align with program goals.	The Principal Practice Observation Tool is used to gather evidence for principal performance reviews, but could be modified to gather evidence on program graduates' leadership practice.[128]
Student outcomes analysis	Analysis of the impact of leadership programs on student data can be undertaken using more sophisticated statistical approaches. Analysis of school level data, such as student absenteeism rates or behavioural indicators, could also be measured along with instruments testing teacher/student relationships.	One of the first major studies of the impact of a principal preparation program was undertaken by the RAND Corporation for the New York Aspiring Principals Program. The methodology used could inform further analysis.[129]
Secondary data analysis	Can be used to measure the impact of program graduates on the education system, for instance through hiring and retention data.	The New Leaders Principal Program Evaluation report contains tips for how programs can track the placements of their graduates.[130]

124 CT State Department of Education, USA (2013). Note these example survey questions were developed with specific regard to the jurisdiction's rubrics on effective teaching and learning. Therefore, evaluators should use these sample questions as examples only, and explicitly select those questions that are relevant to their program evaluation, or devise their own.

125 Colorado Education Initiative, (2014). The website provides a range of guidance and resources for teachers, school leaders and administrators. Teacher perception survey items can be found on the website. Two student perception surveys are available for students of different ages: grades 3 – 5 and grades 6 - 12. A student perception survey planning tool is also available.

126 Australian Council for Educational Research (2014).

127 Hallinger (2008a). Note that this tool is administered online. A sample rating subscale is found in Hallinger (2008b), p. 9.

128 NYC Department of Education (2014).

129 Corcoran, Schwartz and Weinstein (2009), (2012).

130 Neuman-Sheldon et al. (n.d.), chapter 5.

Rubrics	Several rubrics of effective principal practice exist that could be used to track outcomes.	The Australian Professional Standard for Principals and Leadership Profiles can act as a rubric for reviewing the practice of principals post-program.[131] Examples of rubrics used in other jurisdictions include: The New York State Education Department has a number of Approved Principal Practice Rubrics that can be used to assess leadership practice.[132] The Wallace Foundation created a rubric for identifying areas where principals need greater support and coaching. It contains 40 core leadership behaviours that a principal must master to improve learning and instruction and could be altered to evaluate principal performance post-program.[133] The New Leaders Program created a rubric for evaluating principal performance. It includes examples of evidence that can be collected in order to help accurately evaluate the principal.[134] Dr Robert Marzano developed an extensive rubric for evaluating school leaders' performance based on his research of leadership practices associated with student achievement.[135]

Additional examples can also be explored through the Center on Great Teachers and Leaders online portal. The portal provides an extensive, searchable list of evaluation tools that can be used to measure principal performance and outcomes.[136]

An in-depth example of a survey tool – the School Climate Assessment Inventory

Collecting survey data from staff, parents and students is one way to assess the impact of program participants once they are in leadership roles. There are a very large number of existing surveys available on various measures of principal performance that program evaluators could use or adapt for their own needs.

School climate is one area where principals and other school leaders exert substantial influence. While leadership practices indirectly impact student outcomes by influencing teaching, some aspects of school climate are more directly under the influence of leaders of schools.[137]

Through their leadership, principals may be able to influence aspects of school climate such as improving relationships between teachers and students, the community and the school, and improving staff morale.

131 Australian Institute for Teaching and School Leadership (2015d).

132 New York State Education Department (n.d.). Note that these rubrics were developed and validated according to US performance standards. However, some of the rubrics and associated materials provide examples of how rubrics can be used to assess performance.

133 This tool provides example leadership performance plans that align to the Wallace Foundation rubrics.

134 New Leaders (2012).

135 Marzano et al. (2012).

136 Center on Great Teachers and Leaders at American Institutes for Research (2015).

137 Clifford et al. (2012).

Substantial work has been conducted, particularly in the US, in developing survey tools to analyse the impact of principals on school climate. A major report recently identified 13 valid and reliable, recently developed and publicly available survey instruments that could be used to evaluate principal performance on the indicator of school climate, by surveying staff, parents and/or students. The report noted that these tools can be used for summative and formative principal evaluation purposes.[138]

One of the tools reviewed in the report is the Alliance for the Study of School Climate – School Climate Assessment Inventory. The survey assesses a range of elements that contribute to school climate, including faculty (staff) relations, attitude and culture, leadership and decisions, student interactions, learning and assessment, and the physical condition of the school.

Surveys are for staff, parents and students, and can be administered individually or in a group setting. A modified extract from the survey is presented in Figure 20.[139] Programs could use a similar survey in their evaluations of program graduates' impact on school climate.

Figure 20: Extract from the School Climate Assessment Inventory survey for staff

High	High-middle	Middle	Middle-low	Low
Staff frequently collaborate on teaching matters		Most staff are congenial to one another and occasionally collaborate		Typically, staff members view one another competitively
Staff approach problems as a team/ collective		Staff attend to problems if related to their own interests		Staff expect someone else to solve problems
Staff are constructive when speaking of each other and/or administrators		Staff wait for safe opportunities to share complaints about other teachers and/or administrators		Staff negatively discuss other teachers/ administrators

138 Clifford et al. (2012).

139 Alliance for the Study of School Climate (2004).

Box 9: Hypothetical example: How the Indigo School Leaders Australia program uses school climate surveys to assess graduate performance

The Indigo School Leaders program's focus on developing leaders who create a positive learning environment led it to evaluate its graduates' impact on school climate.

Drawing on a range of surveys, including the School Climate Assessment Inventory, it created its own survey assessing school climate and leaders' actions to improve staff morale, relationships with the community, and teachers' feedback on program graduate performance. The survey was designed to collect information from staff, parents and students about their perceptions.

The program evaluation randomly selected program graduates to evaluate before and after the graduate became a principal in that school (with graduates' and schools' consent).

The results of this analysis showed that Indigo School Leaders graduates were overall creating a more positive school climate including positive relationships between teachers and students, and stronger school-community partnerships.

Several of the findings noted, however, that the program graduates still struggled to work productively with other school leaders who had different views on administrative matters.

The findings of this evaluation were then relayed back to course designers for further analysis. Ultimately, the evaluation resulted in a greater emphasis on collaborative planning and co-leadership.

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Appendix A: A guide to activities for aspiring principal development

Aspiring principals can undertake a range of activities, outside of programs, to help them develop the skills they need to be effective leaders. This part of the report provides a guide on the various activities and experiences that help leadership develop over time, in particular:

- mentoring and coaching
- shadowing and observing a principal in another school
- taking on additional leadership responsibility within a school.

Many of these activities occur close to school practice, however this does not always mean they are organised by the school or current school principal. Sometimes these activities may be undertaken within an existing program, for instance, shadowing takes place within a leadership course at the University of Tasmania.[140]

Which activity is best?

There is not one 'type' of leadership development that is necessarily better than another. The most suitable activities for each aspiring principal will depend on individual development needs, the resources available and the needs of the local context.

Importantly, the effectiveness of any development activity depends on how it is done. For example, some mentoring programs are effective while others are not. The activity design and implementation will determine whether it engages participants in deep learning and challenges them to fulfil their potential – the things that matter most.

A lot more is now known about the science of adult learning, summarised in Box 10 below. We consider the principles of effective adult learning in discussing the strengths and weakness of specific development activities in the next section.

Generally adults learn most effectively when there are opportunities to observe, trial and assess new skills and information, when new information is practical, where there are opportunities for collaboration, when ideas are revisited over time, and when personal learning needs are taken into account.

140 University of Tasmania (2015).

Box 10: Principles of effective adult learning

Generally evidence suggests that effective adult learning should involve:

Opportunities to observe, trial and assess new initiatives: It is important that learning involves not only listening and understanding theory (about what works in the evidence base), but also thorough observation, demonstration, practice and feedback.[141] Feedback is important for supporting further refinement and development.[142]

Practical knowledge: Learners need to understand how their learning is directly applicable to their daily practice.[143] Learning should be goal-orientated, with the participant aiming to achieve something specific from the developmental experience.[144]

Collaboration: Effective learning is now known to be primarily a social activity. A collaborative inquiry-based approach is important for effective adult learning to take place.[145] Collaboration can support new ideas and challenge existing ones, which can be a powerful form of teacher learning.[146]

An iterative cycle using feedback and data: Adults learn best when new concepts are reinforced over time. More effective adult learning is longer in duration (more than 14 hours)[147] and has reinforcement over a long period of time (six months or more).[148]

Individuals often need to see evidence of something working several times before changing their thoughts or practice.[149] Opportunities to trial new approaches and see evidence of their impact and reflect on the learning is important.[150]

Personalisation: Learning should reflect individualised needs as much as possible. If it is purpose-designed for a specific career stage or context it will be of greatest value to the learner.[151]

In addition, there are common elements that make leadership development effective. These are discussed in Box 11.

141 Dempster, Lovett and Flückiger (2011); Showers and Joyce (2002).
142 Showers and Joyce (2002); Timperley et al. (2007).
143 Committee on Developments in the Science of Learning (1999).
144 Dempster, Lovett and Flückiger (2011).
145 Timperley et al. (2007).
146 Timperley et al. (2007); Desimone (2009).
147 Yoon et al. (2007); van Veen, Zwart and Meirink (2012).
148 Timperley et al. (2007); Blank and de las Alas (2009).
149 Kolb (1984); Timperley (2008).
150 Dempster, Lovett and Flückiger (2011).
151 Dempster, Lovett and Flückiger (2011).

Box 11: Vital elements of effective leadership development

A major literature review of effective leadership development activities finds that there are common elements across different types of activities. Regardless of the type of the activity, effective leadership development should be:

1. Philosophically and theoretically attuned to individual and system needs in leadership and professional learning.
2. Goal-oriented, with primacy given to the dual aims of school improvement and improvement in student learning and achievement.
3. Informed by the weight of research evidence.
4. Time-rich, allowing for learning sequences to be spaced and interspersed with collegial support, in-school applications and reflective encounters.
5. Practice-centred, so that knowledge is taken back into the school in ways that maximise the effects of leadership capability.
6. Purpose-designed for specific career stages, with ready transfer of theory and knowledge into practice.
7. Peer-supported within or beyond the school, so that feedback helps to transfer theory and knowledge into improved practice.
8. Context-sensitive, and thus able to build in and make relevant use of school leaders' knowledge of their circumstances.
9. Partnership-powered, with external support through joint ventures involving associations, universities and the wider professional world.
10. Committed to evaluating the effects on leaders, as well as on school practices to which their learning applies.

Source: Dempster, Lovett and Flückiger (2011)

Mentoring and coaching

Mentoring and coaching involve a relationship between an aspiring leader and a more experienced leader who helps in developing leadership skills and/or thinking. The relationship can be formal or informal, and is often long-term.[152]

While mentoring and coaching are often used interchangeably, coaching tends to provide feedback on specific tasks and situations, whereas mentoring tends to be a supportive, longer-term professional relationship that can be formal or informal.[153]

Mentoring and coaching can help aspiring leaders become effective as a school principal, but can also help aspiring leaders understand how to be an effective mentor or coach to others. The ability to mentor and coach others is a key leadership skill highlighted throughout the Standard in several Professional Practices (Developing self and others, and Leading improvement, innovation and change), as well as the Leadership Requirements.

The experience of having a good mentor can also help an aspiring principal be an effective mentor to others once they themselves are in school leadership roles.

152 Nahavandi (2012).

153 Nahavandi (2012).

The role of a mentor or coach is to boost the confidence of the aspiring leader, guide them through problems and dilemmas, and assist in developing the aspiring leader's broad range of skills.[154] A good mentor or coach achieves this by modelling, coaching, providing feedback and advice, asking questions that incite self-reflection and slowly decreasing support as the student's confidence increases.[155]

Mentoring has been found to result in favourable behavioural, attitudinal, health-related, interpersonal, motivational and career outcomes.[156] Based on the principles of adult learning, an effective mentoring or coaching relationship involves not only discussion but also observation and modelling of good practice.

Adults learn best when they receive opportunities to observe new things or receive personalised feedback (see Box 10 above for a summary of adult learning principles).

Mentors are beneficial in bringing their own experience and insight to help resolve problems, to challenge thinking, and help aspiring leaders recognise and face 'blind spots'. They can create accountability in a development pathway through regular check-ins.

Mentors who act as role models and/or offer career support (such as sponsorship, protection and exposing protégées) are known to be more likely to foster transformational leadership in their mentees.[157]

Potential disadvantages of this approach include that mentoring and coaching rely heavily on the strength of the coach, and therefore on the limited perspective of only one person. If this perspective is unhelpful, the relationship will not be productive.

Replicating the leadership style of another person may constrain innovative leadership practices and the mentor or coach's leadership style might not be suitable for the aspiring principals' school context. Additionally, finding a mentor who is willing to give up their time and fully engage with the relationship can sometimes be difficult.

Tips for designing good mentoring or coaching

- Find a mentor with whom there is mutual trust and respect. The success of mentoring depends on the level of trust and rapport between the developing leader and the coach or mentor.[158]
- For coaching, have a specific development goal in mind and make that clear to the coach.
- Seek an experienced leader who has the time to fully engage in the relationship, observing the mentee and offering feedback.
- Set up clear expectations around goals, time, commitment and regularity of contact early on.
- Further resources on designing mentoring for leadership development can be found on the AITSL website.[159]

154 Davis et al. (2005).

155 Lave (1991); Robertson (2008).

156 Eby et al. (2008).

157 Chun, Sosik and Yun (2012); Wanberg, Kammeyer-Mueller and Marchese (2003).

158 Avolio and Gardner (2005).

159 Australian Institute for Teaching and School Leadership (2014); Hay Group (2013).

Shadowing and observing a principal in another school

Shadowing can help aspiring principals understand the practical realties of the daily life of a school leader. In this activity, aspiring principals follow a current principal undertaking their daily responsibilities. They are able to observe the principal's leadership actions and behaviours in another school context. The principal being shadowed is usually at another school, allowing them to be more open about their decision-making.

Shadowing another principal provides aspiring principals with the opportunity to see leadership practice in action and allows the aspiring principal to ask questions about why and how the principal leads.[160] Shadowing, by design, involves opportunities for observation and demonstration, effective practices for adult learning to occur.

It is important for the leader to discuss what the aspiring principal has observed and understood so that ideas are continually challenged and developed. Meaningful collaboration is essential for deep learning to take place.

The main challenge to shadowing is finding someone willing to be observed and with the time to engage intensively in the activity. While it is useful for the participant to observe another leader, shadowing does not offer opportunities for the aspiring leader to be observed and receive feedback on their own practice.

Tips for designing good shadowing

- Find someone with the time to be responsive to questions and explain important information throughout the shadowing period. A meaningful discussion is just as valuable as the observation itself.
- If shadowing for only a short period of time, the aspiring principal should arrange with the principal to attend on a day or days when they can observe a full snapshot of the principal's typical responsibilities.[161] Aspiring principals should always ask throughout their shadowing experience, 'Is this typical?'
- Organise time for discussion and reflection at the end of the shadowing experience.
- If possible, shadow more than one principal. There are often major differences between the job of a principal at primary, secondary, well-resourced, struggling, rural or urban schools. This allows the aspiring principal to observe both the similarities and differences of the principalship.[162]
- Both parties should agree in advance on expectations and time commitments.

Some resources on which questions to ask during a shadowing opportunity are available at the following links: Stanford University Post-Shadowing Principal Interview Protocol; Education Service Centre Questions for Principal Shadow.

160 McDonald (2005).

161 Barnett (2014).

162 Ferlazzo (2013).

Taking on additional leadership responsibility within the school

Most aspiring leaders must first take on additional responsibilities in order to be promoted to the principal role. This might include tasks such as leading the delivery of specific teaching and learning initiatives across the school, taking on roles such as leading teacher or assistant principal, and leading professional development sessions.

It also might include helping to develop others by observing and providing feedback, or managing data collection and use across the school. These roles can help leaders develop several aspects of professional practice within the Standard, in particular 'Leading improvement, innovation and change'.

Taking on leadership roles within school is low cost, practical and usually involves limited travel.

The aspiring principal is able to implement changes in the school directly and reflect on their impact, gaining a direct understanding of what works and what doesn't. The opportunity to trial and see evidence of new approaches working over time is a key part of effective learning (see Box 10 above).

Potential drawbacks of taking on additional responsibilities include workload and ability to manage time effectively. It also depends on the availability of release time for teachers to do these extra tasks on top of other responsibilities.

As this type of professional development happens in an aspiring principal's school, it may not provide the person with an opportunity to learn about leadership outside that particular school context.

It may be useful to couple this type of professional development with a coaching or mentoring relationship so that individuals do not work alone and can learn from the experience through feedback and interactions with others.

Tips for designing good additional leadership roles

- Select roles that will help develop those leadership skills that need to be strengthened, rather than just drawing on existing strengths.
- Create a mechanism where the school principal or another colleague can provide feedback. This could involve a formal or informal mentoring or coaching relationship.

Appendix B: Summary of resources

This appendix contains a summary of resources referred to in the full report.

Australian Institute for Teaching and School Leadership

The Australian Institute for Teaching and School Leadership (AITSL) provides national leadership in promoting excellence in the profession of teaching and school leadership.

School Leader Self-Assessment Tool – This tool asks individuals to self-assess their skills and activities directly mapped to the Standard. Program providers could use the participant self-assessment process to help them assess the success of their selection processes. The tool could be used to collect information on participants' self-reported experience and growth in the program, directly related to the Standard.

http://www.aitsl.edu.au/school-leader-self-assessment-tool

Aspiring Principal Preparation – This report draws on best-practice leadership development in education and other sectors to develop key considerations for the design of principal preparation programs.

http://www.aitsl.edu.au/docs/default-source/school-leadership/principal-preparation/aspiring-principal-preparation-(print-friendly).pdf

Aspiring Principals – This report outlines a specific plan for a national professional learning program. It provides research on program content, program delivery and selection.

http://www.aitsl.edu.au/docs/default-source/aitsl-research/insights/re10025_aspiring_principals_final_report_hay_group_etal_jan_2010.pdf?sfvrsn=4

Environmental Scan: Principal Preparation Programs – This report identifies key elements fundamental to the success of principal preparation programs around Australia. It also identifies common weaknesses in programs and suggests ways forward that will lead to improvement.

http://www.aitsl.edu.au/docs/default-source/school-leadership/principal-preparation/environmental-scan-principal-preparation-programs-(screen).pdf

Leadership Profiles – The AITSL Leadership Profiles can act as a rubric for reviewing the practice of principals post-program.

http://www.aitsl.edu.au/docs/default-source/school-leadership/australian-professional-standard-for-principals-and-the-leadership-profiles.pdf?sfvrsn=4

Australian Council for Educational Research

The Australian Council for Educational Research is a recognised international leader in the development and provision of high-quality assessment and reporting tools and services for schools, universities, TAFE institutes and Registered Training Organisations, health professionals, employers and governments in Australia and internationally. It provides a range of research-based online assessment and reporting services to schools. Tests are available on a 12-month licence, or alternatively single-test pricing is also available.

Social-Emotional Wellbeing (SEW) Survey – The SEW Survey is an Australian, anonymous, strength-based survey for students aged 3-18 years, which provides an holistic view of students' wellbeing. Survey reports provide schools with data on the wellbeing of groups of students. Student responses are grouped by year level and gender. There is also an optional Teacher Perception survey that measures teachers' perceptions of their students' social-emotional wellbeing as well as their social-emotional competencies. The SEW Survey is available on the ACER Online Assessment and Reporting System (OARS).

https://www.acer.edu.au/sew

Better Evaluation

Better Evaluation is an international collaboration to improve evaluation practice and theory by sharing and generating information about options (methods or processes) and approaches.

Interviewing guidance – Web page that describes the use of interviews in quantitative and qualitative evaluation, including guidance on how to plan, prepare for and carry out semi-structured interviews.

http://betterevaluation.org/evaluation-options/interviews

Center for the Evaluation of Educational Leadership Preparation and Practice

The purpose of the Center for the Evaluation of Educational Leadership Preparation and Practice is to make available valid and reliable evaluation research tools, methods and training materials and strategies for leadership preparation programs as well as a systematic process for collecting and analysing state data on degrees and certification by institution, and career advancement and school progress by graduates and institutions. The Center provides tools, training, technical assistance and support for leadership preparation programs.

Formative and Summative Evaluation Planning for Leadership Preparation Programs – This planner is distinctly designed to facilitate planning and data collection on leadership preparation programs. It includes a conceptual model of the link between leadership preparation and outcomes based on evidence, a guide for identifying evaluation evidence, and an evaluation planning worksheet.

http://www.ucea.org/wp-content/uploads/2014/08/Developing-Evaluation-Evidence-2013.pdf

Center on Great Teachers and Leaders (American Institutes for Research)

The Center on Great Teachers and Leaders (GTL Center) is dedicated to supporting state education leaders in their efforts to grow, respect, and retain great teachers and leaders for all students. The GTL Center provides technical assistance and online resources designed to build systems that support teaching standards, ensure equitable access of effective teachers and leaders including recruitment and retention and human capital management, and use data to guide professional development and improve instruction.

School evaluation products – This website compiles school evaluation resources from CGTL and other US websites.

http://resource.tqsource.org/gep/gepsearchresult.aspx

Principal Evaluation Practical Guide – This website compiles principal evaluation resources from CGTL and other US websites.

http://www.gtlcenter.org/tools-publications/online-tools/principal-evaluation

Centre for Creative Leadership

The Center for Creative Leadership is an international, non-profit educational institution to advance leadership practice and development worldwide. It publishes books and reports that aim to contribute to a process of inquiry and understanding in which ideas related to leadership are raised, exchanged and evaluated.

Evaluation survey – This is an example of a participant survey used to evaluate a leadership program for American superintendents (see p63 of the report). Whilst this survey is very specific to the objectives, design and implementation of this particular leadership program, it provides examples of how program providers can formulate their own participant surveys.

http://insights.ccl.org/wp-content/uploads/2015/04/EvalOutcomesLDP.pdf

Sean P. Corcoran, Amy Ellen Schwartz & Maryle Weinstein

Impact of NYC Principal Preparation Program – One of the first major studies of the impact of a principal preparation program was undertaken by the RAND Corporation for the New York Aspiring Principals Program. The methodology used could inform further analysis.

http://epa.sagepub.com/content/34/2/232.short

Colorado Education Initiative

The Colorado Education Initiative is an independent non-profit that collaborates with the Colorado Department of Education (CDE), schools and districts across the state to accelerate achievement for all Colorado students. They target innovation and develop tools and resources to support effective practice in schools.

Teacher Perception Survey – Colorado's Teacher Perception survey comprises questions to measure elements of Principal Quality Standards that are most observable by teachers, covering eight elements: Distributive Leadership, Professional Growth, Student Learning & Expectations, Problem Solving Conflict Management and Disciplinary Leadership, Vision & Goal Setting, Instructional Leadership, School Community, School Culture & Teaching Conditions.

http://www.coloradoedinitiative.org/wp-content/uploads/2014/09/TPS_Administration_survey-instrument-CEI.pdf

Student Perception Survey – The Colorado Education Initiative has also produced a Student Perception Survey Toolkit that can be used by programs to gain feedback from students on school climate and principal performance.

http://www.coloradoedinitiative.org/wp-content/uploads/2014/09/SPS_Administration_survey-instrument-6-12-CEI.pdf

Connecticut State Department of Education

Connecticut's System for Educator Evaluation and Development (SEED) is a model evaluation and support system. The leader (administrator) evaluation was developed in partnership with newleaders.org. It is designed to fairly and accurately evaluate school leader performance in order to help strengthen practice to improve student learning.

SEED Administrator Evaluation Survey Question Bank – The SEED Administrator Evaluation Survey Question Bank provides a selection of questions that can be used to assess teacher views on school leader performance. The evaluation covers four areas of performance – student learning, administrator practice, stakeholder feedback, and teacher effectiveness, with an emphasis on instructional leadership.

http://www.connecticutseed.org/wp-content/uploads/2013/03/Admin_Eval_Teacher_Staff_Survey_QBank.pdf

Dr Stephen H. Davis and Linda Darling-Hammond

Stephen Davis and Linda Darling Hammond are both renowned voices in the fields of school leadership and education more broadly. Stephen Davis has been an associate professor of education at Stanford University since 2002. He is the author of several articles on school leadership and decision making. Stephen Davis is a former school district superintendent, personnel director, and high school principal. Linda Darling-Hammond is Charles E. Ducommun Professor of Education at Stanford University. Her research, teaching, and policy work focus on educational policy, professional development, school redesign, and educational equity. She is author or editor of more than 200 journal articles and book chapters and 11 books.

Innovative Principal Preparation Programs Model: What works and how we know, highlights design elements aligned with seven key features of effective leadership preparation programs including their selection process.

http://files.eric.ed.gov/fulltext/EJ977545.pdf

Dr Thomas R. Guskey

Dr Thomas R. Guskey is an expert in evaluation design, analysis, and educational reform. He is a professor at the University of Kentucky, as well as an education consultant who has worked with educators in all 50 US states, Europe, and Asia. Dr Guskey has served as Director of Research and Development for the Chicago Public Schools and as the first Director of the Center for the Improvement of Teaching and Learning, a national educational research centre.

Model of Professional Development Evaluation – A five-step evaluation model that focuses on participants' reactions, participants' learning, organisation support and change, participants' use of new knowledge and skills, and student learning outcomes. This aligns closely to Components 3 and 4 of the evaluation framework put forward in this document.

http://region3pd.ncdpi.wikispaces.net/file/view/guskey%2Barticle%2BED%2BLeadership%255B2%255D.pdf

Philip Hallinger

Philip Hallinger is recognised internationally as an innovator in leadership development. A prolific author, trainer and consultant, he has lived in Asia for the past 25 years and works extensively with both private and public sector organisations. Philip Hallinger is an internationally recognised scholar in educational leadership and change. He is acknowledged as an innovation leader in the areas of instructional leadership, educational change, leadership development, and school improvement. He authored the Principal Instructional Management Rating Scale (PIMRS), the most widely used survey instrument in the world for measuring instructional leadership.

Principal Instructional Management Rating Scale – The Principal Instructional Management Rating Scale is a well-known questionnaire designed to gain an insight into a principal's instructional leadership. The Scale assesses three dimensions of the instructional leadership construct: Defining the School's Mission, Managing the Instructional Program, and Promoting a Positive School Learning Climate. These dimensions are further delineated into 10 specific instructional leadership functions.

http://philiphallinger.com/old-site/pimrs.html

W. K. Kellogg Foundation

The W.K. Kellogg Foundation (WKKF) is an independent, private, philanthropic foundation in the US. It provides funds for community-based projects to support education and development of young (0-8 year old) vulnerable children. This includes improving the quality of both teaching and learning through leadership and professional development, and working with child care providers, schools and teacher preparation programs.

Logic Model Development Guide – The WKKF's Logic Model Development Guide provides additional guidance and support to program providers and evaluators in answering evaluative questions concerning the problem statement, needs analysis, outcomes, strategies and assumptions.

https://www.wkkf.org/~/media/pdfs/logicmodel.pdf

Evaluation handbook – This report was written to guide the evaluations of WKKF-funded projects. Part 1 of the report offers an overview of the philosophical expectations behind their evaluative approach. Part 2 provides a more practical guide for planning, designing and conducting evaluations.

https://www.wkkf.org/resource-directory/resource/2010/w-k-kellogg-foundation-evaluation-handbook

Dr Donald L. Kirkpatrick

Dr Donald L. Kirkpatrick was Professor Emeritus at the University of Wisconsin and Honorary Chairman of Kirkpatrick Partners. He was the creator of the Kirkpatrick Model, 'the most recognized and widely-used training evaluation model in the world'. The four levels were developed in the writing of his Ph.D. dissertation: Evaluating a Human Relations Training Program for Supervisors.

Kirkpatrick's Techniques for Evaluating Training Programs – Kirkpatrick's model defines four evaluation steps for training programs: participants' reaction, learning, behaviour and results.

http://www.kirkpatrickpartners.com/OurPhilosophy/TheKirkpatrickModel/tabid/302/Default.aspx

Learning Sciences Marzano Center for Teacher and Leadership Evaluation

The Learning Sciences Marzano Center for Teacher and Leadership Evaluation promotes excellence in public education by providing and developing next-generation teacher and leadership evaluation tools and training. The Center identifies, develops, and disseminates cutting-edge resources in educational best practices, built on a foundation of expert research under the direction of national researcher and author Dr Robert Marzano.

School Leadership Evaluation Model – Dr Robert Marzano developed an extensive rubric for evaluating school leaders' performance based on his research of leadership practices associated with student achievement.

http://sde.ok.gov/sde/sites/ok.gov.sde/files/TLE-MarzanoLeaderModel.pdf

Philip Morgan

The Course Improvement Flowchart – The Course Improvement Flowchart is a tool that is designed to describe how university courses can collect feedback on course quality, and then use this information for course improvement.

http://ro.uow.edu.au/cgi/viewcontent.cgi?article=1066&context=jutlp

National Center for Biotechnology Information

Guidance on Secondary Data Analysis – This paper offers general information on planning, conducting and performing secondary data analysis.

http://www.ncbi.nlm.nih.gov/pmc/articles/PMC3138974/pdf/11606_2010_Article_1621.pdf

National College for Teaching and Leadership (UK)

The National College for Teaching and Leadership (previously known as the National College for School Leadership) is an executive agency of the United Kingdom's Department for Education, which offers head teachers, school leaders, senior children's services leaders and teachers with opportunities for professional development.

Content Development Handbook: Leadership Curriculum – National College of Teaching and Leadership's Content Development Handbook: Leadership Curriculum is a guide to creating curriculum for school leadership programs, which may be useful in reviewing and improving content, design and delivery.

https://www.nationalcollege.org.uk/transfer/open/dev/contentdevelopment_november_14.pdf

New York State Education Department

Principal Practice Observation Tool – The Principal Practice Observation Tool is used to gather evidence for principal performance reviews, but could be modified to gather evidence on program graduates' leadership practice.

http://schools.nyc.gov/NR/rdonlyres/F6EAC82C-8FE0-4456-A2DD-5014D211275F/0/PPOTool201415.pdf

Principal Practice Rubrics – The New York State Education Department has a number of Approved Principal Practice Rubrics that can be used to assess leadership practice.

http://usny.nysed.gov/rttt/teachers-leaders/practicerubrics/#APPR

New Leaders

New Leaders is a US national non-profit that develops transformational school leaders and designs effective leadership policies and practices for school systems across the country. New Leaders runs leadership programs to develop transformational school leaders, and collaborates with districts, charter management organisations and states to foster the conditions that enable highly effective school leaders to drive results for students.

New Leaders Principal Evaluation Rubric – The New Leaders program created a rubric for evaluating principal performance. It includes examples of evidence that can be collected in order to help accurately evaluate the principal.

http://www.newleaders.org/wp-content/uploads/NL_evaluationrubric.pdf

Principal Program Evaluation Report – The New Leaders Principal Program Evaluation report contains tips for how programs can track the placements of their graduates.

http://www.newleaders.org/wp-content/uploads/5.TrackingParticipantJobPlacementandRetention.pdf

Principal Preparation Program Self-Evaluation: Lessons Learned by New Leaders – This series of reports offers tips and recommendations for programs looking to perform their own evaluations. In particular it provides helpful information on how to track particular participant information and measure program components.

http://www.newleaders.org/newsreports/publications/principal-preparation-program-self-evaluation/

Rainwater Leadership Alliance

The Rainwater Leadership Alliance (RLA) is a coalition of school districts, universities, foundations, and non-profits dedicated to amplifying the importance of quality school leadership as the critical enabler of academic growth and performance for children. They lead, manage, and support high-impact principal preparation and development programs in many regions of the US. The RLA exists to share data, provide exemplars, and promote and scale effective methods to develop and support PK-12 school leaders.

School Leadership Framework and Competency Model – The Knowledge is Power Program (KIPP) School Leadership Framework and Competency Model is an empirically derived and evidence-based model that outlines the key behaviours exhibited by effective KIPP Leaders. The RLA has adapted the model to create a rubric for selecting school leaders. See pages 169-171 for example rubrics and selection matrices used in multiple programs.

http://www.anewapproach.org/docs/a_new_approach.pdf

Continuum of principal preparation – The continuum creates a logical evaluation process and the opportunity to define program goals. It does not include outcome measures as part of the evaluative process.

http://www.anewapproach.org/docs/a_new_approach.pdf

Synergistiq

Synergistiq conducts research to support systemic improvements in social justice and human rights. Synergistiq works with schools and education authorities across Australia to evaluate and provide advice to support strategies aimed at school improvement, including assessing the effectiveness of educational leadership and professional development opportunities.

'Five A' Assessment Tool of Educational Leadership and Professional Development – is a survey that measures the impact of professional and leadership development on participants and their schools. Specifically, the tool measures, in relation to each participant, the extent to which the professional development - aligned to their learning needs - was adapted to the requirements of their role, generated positive or negative affect, and advanced their knowledge and skill. It also measures the likelihood that the new knowledge and skills acquired by the participant will be applied at their school. As part of measuring this likelihood of application, the Tool collects information on how receptive the school culture is to supporting and embedding learning from professional development. It also provides information on the strengths and weaknesses of the professional development. Having been tested and refined based on the feedback of thousands of Australian educators, the Tool is now being applied by several state jurisdictions.

http://www.synergistiq.com

The University of Massachusetts Amherst

The University of Massachusetts Amherst is the largest public research university in New England. The Office of Academic Planning and Assessment has designed handbooks to guide the practitioner through the steps of student learning assessment.

Program-Based Review and Assessment: Tools and Techniques for Program Improvement – Program-Based Review and Assessment: Tools and Techniques for Program Improvement provides a range of review tools for a general program review within a university setting. Particular tools assist in defining program goals and objectives. However, the tools are not specific to leadership development, so program providers would need to adapt the tools to fit their needs. The tools focus specifically on assessing student learning outcomes from a program. Note that these tools were designed specifically for higher education to assess student learning relative to learning objectives.

http://www.umass.edu/oapa/oapa/publications/online_handbooks/program_based.pdf

University of Wisconsin

The Program Development and Evaluation Unit provides training and technical assistance that enables Cooperative Extension campus and community-based faculty and staff to plan, implement and evaluate high quality educational programs. In UW-Extension, the program development process is captured in its program development model that includes situational analysis, priority setting, program action – the logic model – and evaluation.

Developing a Logic Model: Teaching and Training Guide – Developing a Logic Model: Teaching and Training Guide provides a question checklist to evaluate the logic model of teaching courses for university students. It could be used to assess program goals and the logic behind the theory of change.

http://www.uwex.edu/ces/pdande/evaluation/pdf/lmguidecomplete.pdf

Comprehensive assessment of leadership for learning survey – A web-based survey that measures school leadership practices across five domains: focus on learning, monitoring teaching and learning, building nested learning communities, acquiring and allocating resources, and maintaining a safe and effective learning environment. The survey tool requires an annual subscription.

https://www.leadershipforlearning.org/

Interviews: Talking and Listening to People – This presentation includes simple guidance on how to plan, prepare for and carry out semi-structured interviews to help evaluate program effectiveness.

www.uwex.edu/ces/4h/evaluation/documents/Interviews.ppt

The Wallace Foundation

The Wallace Foundation seeks to foster improvements in learning and enrichment for disadvantaged children by supporting the development, testing and sharing of new solutions and effective practices. In particular, they focus on improving the quality of school principals, the use of time devoted to learning during summer and the school day and year, and access to and the equitable distribution of quality arts learning and after-school programs.

Preparing School Leaders for a Changing World: Lessons from Exemplary Leadership Development Programs – Preparing School Leaders for a Changing World: Lessons from Exemplary Leadership Development Programs examines eight exemplary principal development programs and identifies a series of factors that contributed to the programs' effectiveness, of which selection process is one.

http://www.wallacefoundation.org/knowledge-center/school-leadership/key-research/Documents/Preparing-School-Leaders.pdf

Principal Preparation Self-Assessment Toolkit – The Wallace Foundation Principal Preparation Self-Assessment Toolkit is a rubric that outlines the indicators of high-quality principal preparation programs. It is designed to be used in assessing an existing program, or guiding the development of a new program. It is intended to provide stimulus for discussions between course providers and education systems, focusing on the quality of programs and their continuous improvement. Rubrics are provided to help assess course content and pedagogy, supervised clinical practice, candidate recruitment and selection, and graduate performance outcomes.

http://www.wallacefoundation.org/knowledge-center/school-leadership/principal-training/Documents/Principal-Preparation-Program-Quality-Self-Assessment-Rubrics.pdf

Leadership Performance Planning Rubric – The Wallace Foundation created a rubric for identifying areas where principals need greater support and coaching. It contains 40 core leadership behaviours that a principal must master to improve learning and instruction and could be altered to evaluate principal performance post-program.

http://www.wallacefoundation.org/knowledge-center/school-leadership/principal-evaluation/Documents/Leadership-Performance-Planning-Worksheet.pdf

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facebook.com/aitsl
twitter.com/aitsl
youtube.com/aitsleduau

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School Leadership
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