

**HANDBOOK**  
for  
**Highly Objective Uniform Statewide  
Standard of Evaluation (HOUSSE)**  
for  
**Principals and Assistant Principals in the  
State of New Mexico**



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**New Mexico Public Education Department  
Educator Quality Division**

444 Galisteo, Suite A  
Santa Fe, NM 87501  
Phone: 505-827-3533  
Fax: 505-827-3525

**Dr. Mary Rose CdeBaca, Assistant Secretary for Educator Quality**

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Highly Objective Uniform Statewide Standard of Evaluation  
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New Mexico Principal Leadership Competencies and Indicators**

V. Scott Affentranger, New Mexico Association of Secondary School Principals  
Joyce A. Aranda, Las Cruces Public Schools  
Maxine Abeyta, Espanola Public Schools  
Carlos Atencio, University of New Mexico  
James Ball, New Mexico Public Education Department  
Diane Baker, New Mexico Association of Secondary School Principals  
Dr. Ellen Bernstein, American Federation of Teachers New Mexico  
Leroy Blea, Mora Northern Network  
Allison Borden, University of New Mexico  
David Briseno, Clovis Public Schools  
Carole Brito, New Mexico Council of Administrators for Special Education  
Barbara Browder, Gadsden Independent School District  
Eppie Calderon, Hobbs Public Schools  
Danny Chavez, Mora Public Schools  
Ernestine Coppedge, Cimmaron Public Schools  
Adrian Cordova, New Mexico Public Education Department  
Dr. Karen Couch, New Mexico Association of Superintendents  
Teri Cron, Gallup/McKinley County Schools  
Dr. Janaan Diemer, Las Cruces Public Schools  
Stephen Dilg, Re: Learning New Mexico  
Lillian Duran, Las Cruces Public Schools  
Dr. Elsy Fierro, Albuquerque Public Schools  
Kate Friesner, College of Santa Fe  
Amelia Gandara, Albuquerque Public Schools

Dr. María Luisa González, Center for Border & Indigenous Educational Leadership  
 Wendi Hammond, Las Cruces Public Schools  
 Jennifer Huntsberger, Gadsden Independent School District  
 Dr. Candelario Jauregui, Western New Mexico University  
 Dr. Gary Ivory, New Mexico State University  
 Regina Lane, New Mexico Association of Secondary School Principals  
 Sonia Lawson, Belen Public Schools  
 Mary de Lopez, Los Lunas Public Schools  
 Yvonne Lozano, Gadsden Independent School District  
 Theresa Mariano, Gallup/McKinley County Schools  
 Elizabeth Marrufo, Las Cruces Public Schools  
 Lawrence Martinez, New Mexico Public Education Department  
 Pam McBee, Hobbs Public Schools  
 Pandora Mike, Central Consolidated Public Schools  
 Dr. Chris Milyard, New Mexico State University  
 Rose Mitchell, University of New Mexico  
 Michael Montoya, Las Cruces Public Schools  
 Lisa Myhre, Albuquerque Charter Vocational High School  
 Joyce Newman, Albuquerque Public Schools  
 Sue Passel, Rio Rancho Public Schools  
 Nancy Patterson, Deming Public Schools  
 Ann Piper, Albuquerque Public Schools  
 Steve Preskill, University of New Mexico  
 Dr. Gloria Rendon, New Mexico Coalition of School Administrators  
 Dr. Julia Roark, Moriarty Municipal Schools  
 Jennifer Rodgers, New Mexico Public Education Department  
 Jesus Saenz, Deming Public Schools  
 Loretta Shiver, American Federation of Teachers New Mexico  
 Dr. Cindy Sims, Moriarty Municipal Schools  
 Tom Sullivan, New Mexico Coalition of School Administrators  
 Kate Sydney, New Mexico Public Education Department  
 Beata Thorstensen, New Mexico Office of Education Accountability  
 Dr. Wanda Trujillo, New Mexico Office of Education Accountability  
 Andrea Trybus, Albuquerque Public Schools  
 Nelinda Venegas, Albuquerque Public Schools  
 Dr. Cheryl Wilson, Socorro Public Schools  
 Dr. Peter Winograd, New Mexico Office of Accountability  
 Carolyn Wood, University of New Mexico  
 Dr. Karen Woods-Jones, New Mexico Association of Elementary School Principals  
 Dr. Michelle Young, University Council for Educational Administration  
 Sabrina Zamora, Center for Border & Indigenous Educational Leadership

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# OVERVIEW OF THE HANDBOOK

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## **Statutory Authority for the Evaluation of Principals/Administrators in New Mexico**

New Mexico statutes 22-10A-11(G) NMSA require the Public Education Department to adopt a highly objective uniform statewide standard of evaluation, which includes data sources linked to student achievement and an educational plan for student success (EPSS) progress, for level three-B school principals and assistant school principals that is linked to the leaders' level of responsibility at each school level along with rules for the implementation of the evaluation system.

In accordance with this law the New Mexico Highly Objective Uniform Statewide Standard of Evaluation for Principals and Assistant Principals (HOUSSE-P) was developed over a two-year period. The evaluation system represents the work of many dedicated stakeholders familiar with the unique context of New Mexico and its schools. All those involved in the design of the evaluation system expected that the system would be a reflection of the most recent research and knowledge about school leaders and leadership performance evaluation.

The HOUSSE-P Handbook is divided into three primary sections. The first section provides a short overview of the principal evaluation process followed by the New Mexico Principal Leadership Competencies and Indicators (NMPLCI). This section also presents the actual evaluation process with examples of evidence and data sources to assist users in the development of the Professional Development Plan (PDP), including all requirements and a definition of key terms. The second section includes each of the forms utilized for HOUSSE-P implementation. The third section overviews the background of HOUSSE-P and delineates the extensive work that several HOUSSE-P committees accomplished to include: an overview of the development process, statement of philosophy, and guiding principles.

Section three also includes the New Mexico Code of Ethics for the Education Profession [6.60.9.8 NMAC – N, 04-30-01].



# **Section I: Evaluation Process**

## **Section I: EVALUATION PROCESS**

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This section of the Handbook provides an explanation of the process required for the evaluation of Principals and Assistant Principals. Please note that for the purposes of the Highly Objective Uniform Statewide Standard of Evaluation for principals and assistant principals (HOUSSE-P) Handbook the term “Principal” will be used to refer to both Principals and Assistant Principals. Key elements of the evaluation system include the evaluation timeline, the New Mexico Principal Leadership Competencies and Indicators (NMPLCI), the evaluation process and forms, examples of evidence and data sources, and guidance for the development of the Professional Development Plan (PDP), as well as the definition of key terms.

Evaluations are required every year of employment, but additional evaluations may be conducted at the discretion of the Principal’s Supervisor or at the request of the Principal. The required evaluation process uses the NMPLCI as a basis for defining performance expectations for Principals. At the beginning of employment and continuing on a regular basis throughout the school year, the Principal and Supervisor should discuss each competency area and work toward a common understanding of the Supervisor’s expectations for the Principal’s performance on each competency. No later than October 15, 2008, each public school district and charter school shall adopt policies, guidelines, and procedures for annual principal and assistant principal performance evaluation that meets the requirements of rule 6.69.7 NMAC.

Principals are ultimately responsible for the accomplishment of school goals as stated in the school’s Educational Plan for Student Success (EPSS). The Principal and the Supervisor should hold continuous discussions about district and school goals for supporting student success. Overall, the discussion should focus on the Principal’s capacity to meet the performance expectations related to the NMPLCI and accomplish the school’s EPSS goals.

## **New Mexico Principal Leadership Competencies and Indicators (NMPLCI)**

All Principals in New Mexico are required to be proficient in four broad Domains:

**Instructional Leadership, Communication, Professional Development, and Operations Management.** Proficiency in Domain Five – **Scope of Responsibility in Secondary Schools**, is required of secondary principals, serving middle and/or high schools. New Mexico Principal Leadership Competencies and Indicators (NMPLCI) on pages 8-9 list each domain with its accompanying competencies. Each competency is further described with a set of indicators. NMPLCI are presented as set forth in Public Education Department rule [6.69.7 NMAC].

To assist Principals and Supervisors in preparing Professional Development Plans, each NMPLCI domain is broken down for each competency and indicator. Moreover, examples of evidence that could be used to assist in documenting a Principal's abilities vis-à-vis the indicators are provided on pages 10-17.

## NEW MEXICO PRINCIPAL LEADERSHIP COMPETENCIES AND INDICATORS

<b><i>Domain: Instructional Leadership</i></b>
<b>Competency 1:</b> The Principal promotes the success of all students by maintaining a culture that supports student achievement, high quality instruction, and professional development to meet the diverse learning needs of the school community.
<b>Indicators:</b>  1.1 Works with all members of the school community to make quality instruction a prime focus. 1.2 Uses accountability literacy in making decisions about student success and achievement. 1.3 Evaluates teachers using the Three-Tiered Licensure Performance Evaluation to promote high quality teaching and professional learning. 1.4 Incorporates the diversity of the student population and history of the school community in making curricular and school policy decisions.

<b><i>Domain: Communication</i></b>
<b>Competency 2:</b> The Principal uses communication and relationship-building skills to engage the larger community in the knowledge of and advocacy for equity in meeting the diverse needs of the school community.
<b>Indicators:</b>  2.1 Engages in honest and respectful interactions with all stakeholders to make thoughtful and objective decisions that demonstrate sensitivity and integrity. 2.2 Builds and sustains relationships through team development and mediation skills to promote a climate of cooperation and student success. 2.3 Supports an environment of inclusion and respect. 2.4 Communicates with others objectively, sensitively, fairly, and ethically. 2.5 Supports relationships that promote teaching and learning in the school community through communication skills such as speaking, writing, and active listening. 2.6 Communicates with all school and community stakeholders concerning current school issues and student achievement. 2.7 Maintains a continuous dialogue with decision makers who affect the school community.

<b><i>Domain: Professional Development</i></b>
<b>Competency 3:</b> The Principal organizes and coordinates ongoing professional learning opportunities that are aligned with the New Mexico Professional Development Framework and supports the diverse learning needs of the school community.
<b>Indicators:</b>  3.1 Identifies and assesses student and staff performance to inform professional development needs. 3.2 Uses relevant professional literature and knowledge, collaborates with key partners, and uses technology to create and provide appropriate professional development. 3.3 Implements comprehensive, integrated, and systemic ongoing professional development opportunities for faculty and community. 3.4 Supports reflection, sustained mentoring, and coaching as critical processes for professional growth.

***Domain: Operations Management***

**Competency 4:** The Principal manages the school campus, budget, and daily operations to equitably meet the diverse learning needs of the school community.

**Indicators:**

- 4.1 Manages the school campus to ensure that the environment is safe and clean for students and staff.
- 4.2 Manages the school budget to ensure that resources are maximized for student success.
- 4.3 Manages the day to day operations to maximize the efficiency of the school.
- 4.4 Complies with federal and state initiatives to maximize use of services and programs for which students are eligible.

***Domain: Scope of Responsibility in Secondary Schools***

**Competency 5:** The middle school and high school Principal develops, supports, encourages, and supervises programs that lead to increased student attendance, achievement, and graduation rates resulting in college readiness and work skills to meet the diverse needs of the community.

**Indicators:**

- 5.1 Supervises co-curricular and extracurricular activities to engage all students.
- 5.2 Develops 21<sup>st</sup> century skills throughout the curriculum.
- 5.3 Creates a student centered school environment and strengthens relationships among all stakeholders to improve student performance.

**New Mexico Principal Leadership Competencies and Indicators (NMPLCI)  
with Examples of Evidence**

***Domain: Instructional Leadership***

**Competency 1:** The Principal promotes the success of all students by maintaining a culture that supports student achievement, high quality instruction, and professional development to meet the diverse learning needs of the school community.

<b><u>Indicators</u></b>	<b><u>Examples of Evidence</u></b>
<p><b>1.1 Works with all members of the school community to make quality instruction a prime focus.</b></p>	<p>1.1.1 Communicates and engages in authentic conversations with school stakeholders regarding instructional goals and progress then uses this information to inform/guide instruction.</p>
	<p>1.1.2 Uses collaborative processes to develop a school schedule and programmatic content that is aligned as appropriate to New Mexico and/or national educational standards, scientifically research-based best practices, goals of the school, and needs of the diverse student population.</p>
	<p>1.1.3 Facilitates an ongoing process of professional development activities focused on quality instruction.</p>
	<p>1.1.4 Encourages, facilitates, and mentors staff to become experts in the instructional program including using scientifically research-based best practices, assessment strategies and standards-based planning processes.</p>
	<p>Other Evidence</p>
<p><b>1.2 Uses accountability literacy in making decisions about student success and achievement.</b></p>	<p>1.2.1 Shares, discusses, and uses multiple sources of data to make instructional decisions.</p>
	<p>1.2.2 Supervises teachers in collecting and analyzing multiple sources of student data to improve instruction including appropriate differentiation and intervention.</p>
	<p>1.2.3 Supervises teachers in the development and analysis of standards-based short cycle formative and summative assessments to inform effective instructional practice.</p>
	<p>1.2.4 Provides time for teachers to collaboratively examine student work, establish levels of performance and expectations, and determine next instructional steps.</p>
	<p>1.2.5 Facilitates a collaborative ongoing process of professional development regarding Bilingual Education and Special Education to ensure differentiated instruction and intervention.</p>
<p>Other Evidence</p>	

<b>1.3 Evaluates teachers using the Three-Tiered Licensure Performance Evaluation to promote high quality teaching and professional learning.</b>	1.3.1	Aligns EPSS, staff evaluations, professional development and student achievement data in the implementation of the Three-Tiered Licensure Performance Evaluation.
	1.3.2	Uses teacher observation data, the licensure indicators, student achievement data, and EPSS goals to guide/facilitate teachers in developing their individual Professional Development Plan goals.
	1.3.3	Provides regular feedback to staff relative to changes in skills, knowledge, and behaviors related to professional growth.
	1.3.4	Provides for immediate and ongoing campus support of Level 1 teachers and staff new to the school, including time and resources related to observations, coaching, and district mentorship programs.
	1.3.5	Applies regulations regarding the Three-Tiered Licensure Performance Evaluation.
		Other Evidence
<b>1.4 Incorporates the diversity of the student population and history of the school community in making curricular and school policy decisions.</b>	1.4.1	Ensures that the cultures, languages, and traditions of the community are reflected in the curriculum.
	1.4.2	Provides opportunities and resources for school staff to research and collaborate in developing activities that honor cultures, languages, and traditions of school community.
	1.4.3	Uses knowledge of the school community's culture, languages, and traditions to inform of policy-making decisions, instructional practices, and resource allocations.
	1.4.4	Facilitates a collaborative, ongoing process of professional development focused on culturally responsive pedagogy.
	1.4.5	Uses diverse community members' experience, language, and knowledge to enrich teaching and learning.
		Other Evidence

<b>Domain: Communication</b>	
<b>Competency 2:</b> The Principal uses communication and relationship-building skills to engage the larger community in the knowledge of and advocacy for equity in meeting the diverse needs of the school community.	
<b><u>Indicators</u></b>	<b><u>Examples of Evidence</u></b>
<b>2.1 Engages in honest and respectful interactions with all stakeholders to make thoughtful and objective decisions that demonstrate sensitivity and integrity.</b>	2.1.1 Develops advisory group(s) representative of the school community (teachers, parents, students, and other community members).
	2.1.2 Involves advisory group(s) in making school-wide decisions.
	2.1.3 Encourages and supports members of the school community to assume leadership roles.
	2.1.4 Monitors and evaluates distribution of resources in partnership with the school community to ensure excellence and equity.
	2.1.5 Participates in and encourages meetings led by parents who are representative of the diverse school community to discuss initiatives honoring cultures, languages, and traditions of the community.
	2.1.6 Establishes connections with recognized parent groups such as the school advisory council and booster clubs to address program goals and equity.
	Other Evidence
<b>2.2 Builds and sustains relationships through team development and mediation skills to promote a climate of cooperation and student success.</b>	2.2.1 Works with staff to develop a plan for a safe and trusting environment.
	2.2.2 Implements a system to mediate conflicts.
	2.2.3 Models collaborative values and attitudes.
	2.2.4 Regularly attends school sponsored events and develops personal relationships with students, parents, and staff that extend beyond the classroom.
	Other Evidence
<b>2.3 Supports an environment of inclusion and respect.</b>	2.3.1 Models inclusion and respect.
	2.3.2 Defines and adopts an "Open-Door Policy".
	2.3.3 Uses shared decision-making when appropriate.
	2.3.4 Creates opportunities to foster school spirit through events that allow students to showcase their individual talents and directly impact the overall climate of the school.
	Other Evidence

<b>2.4 Communicates with others objectively, sensitively, fairly, and ethically.</b>	2.4.1	Protects the rights and confidentiality of students and staff.
	2.4.2	Makes decisions based on multiple sources of data.
	2.4.3	Demonstrates a personal and professional code of ethics.
	Other Evidence	
<b>2.5 Supports relationships that promote teaching and learning in the school community through communication skills such as speaking, writing, and active listening.</b>	2.5.1	Models correct speaking, writing, and active-listening skills.
	2.5.2	Facilitates conversations on teaching and learning.
	2.5.3	Explains the state assessment system and how to interpret student results to teachers and parents in culturally responsive ways.
	2.5.4	Provides opportunities for school community members to understand types and uses of data, as well as opportunities to analyze data.
	2.5.5	Shares multiple sources of data with community organizations and institutions to garner input and support to improve student achievement.
	Other Evidence	
<b>2.6 Communicates with all school and community stakeholders concerning current school issues and student achievement.</b>	2.6.1	Communicates the vision, mission, and strategic plan to all stakeholders through newsletters, websites, and community gatherings.
	2.6.2	Assists parents in developing skills to advocate for their children through conversations, meetings, and trainings.
	2.6.3	Develops community partnerships to enhance student achievement and provides opportunities for community organizations and institutions to learn about the strengths and needs of the school, as well as to be involved.
	2.6.4	Communicates district, state, and national policy issues to school and community stakeholders.
	2.6.5	Celebrates school accomplishments.
	Other Evidence	
<b>2.7 Maintains a continuous dialogue with decision makers who affect the school community.</b>	2.7.1	Invites decision makers to attend a school/community meeting on accountability literacy.
	2.7.2	Attends district, regional, and state meetings concerning educational issues.
	2.7.3	Builds networks that support communication.
	2.7.4	Communicates with educational policymakers to ensure decisions promote student safety and learning.
	Other Evidence	

<b>Domain: Professional Development</b>	
<b>Competency 3:</b> The Principal organizes and coordinates ongoing professional learning opportunities that are aligned with the New Mexico Professional Development Framework and supports the diverse learning needs of the school community.	
<b>Indicators</b>	<b>Examples of Evidence</b>
<b>3.1 Identifies and assesses student and staff performance to inform professional development needs.</b>	3.1.1 Uses accountability literacy to determine professional development needs.
	3.1.2 Uses teacher observations and Professional Development Plans to determine professional development needs.
	Other Evidence
<b>3.2 Uses relevant professional literature and knowledge, collaborates with key partners, and uses technology to create and provide appropriate professional development.</b>	3.2.1 Actively participates in professional organizations and keeps up-to-date on current educational research including instruction, group dynamics, and human relations.
	3.2.2 Shares information from professional literature and facilitates discussions regarding current educational issues.
	3.2.3 Extensively collaborates with a variety of key partners in identification and implementation of professional development programs.
	3.2.4 Uses technology in creative and up-to-date ways to create professional development opportunities.
	Other Evidence
<b>3.3 Implements comprehensive, integrated, and systemic ongoing professional development opportunities for faculty and community.</b>	3.3.1 Uses the New Mexico Professional Development Framework to design and organize extensive ongoing professional development activities, focusing on the strategic plan.
	3.3.2 Collects data using the New Mexico Professional Development Framework to inform ongoing professional development needs.
	3.3.3 Provides professional development opportunities for parents and community members with input from the school community for topics.
	Other Evidence
<b>3.4 Supports reflection, sustained mentoring, and coaching as critical processes for professional growth.</b>	3.4.1 Formulates and models use of reflective questions to stimulate thoughtful dialogue among faculty and community members related to student success.
	3.4.2 Establishes sustains, and leads professional reflective learning communities as part of the school culture; encourages teachers to participate in collegial conversations, conduct action research projects, lesson study, and/or other reflective processes.
	3.4.3 Creates and/or supports a system of on-going mentoring/coaching for instructional initiatives related to the EPSS.
	Other Evidence

**Domain: Operations Management**

**Competency 4:** The Principal manages the school campus, budget, and daily operations to equitably meet the diverse learning needs of the school community.

<b><u>Indicators</u></b>	<b><u>Examples of Evidence</u></b>
<b>4.1 Manages the school campus to ensure that the environment is safe and clean for students and staff.</b>	4.1.1 Establishes a safe and secure environment for students and staff by implementing a comprehensive program guided by principles of school safety and security.
	4.1.2 Ensures that equipment and support systems operate safely and effectively.
	4.1.3 Creates and maintains an aesthetically pleasing school environment.
	Other Evidence
<b>4.2 Manages the school budget to ensure that resources are maximized for student success.</b>	4.2.1 Obtains supplemental funding and resources (e.g., grants, additional staff, increased professional development) to support the academic success of all students.
	4.2.2 Involves staff in distributing resources to support the academic success of all students.
	4.2.3 Guides secretarial staff and teachers in the use of district revenue sources in compliance with the New Mexico Chart of Accounts.
	4.2.4 Maintains a current inventory of site resources, for example, technology, furniture, equipment, instructional supplies.
	Other Evidence
<b>4.3 Manages the day to day operations to maximize the efficiency of the school.</b>	4.3.1 Implements and monitors systems and procedures that support the academic success of all students.
	4.3.2 Implements collective bargaining and contractual agreements.
	4.3.3 Safeguards the confidentiality and privacy of school records.
	4.3.4 Prioritizes tasks and meets deadlines.
	Other Evidence
<b>4.4 Complies with federal and state initiatives to maximize use of services and programs for which students are eligible.</b>	4.4.1 Complies with applicable Title IX issues in facility development and improvement and program expenditures.
	4.4.2 Complies with federal and state guidelines to implement programs for the academic success of culturally and linguistically diverse students.
	4.4.3 Complies with federal and state guidelines to implement programs for the academic success of students with disabilities and exceptionalities.
	4.4.4 Complies with federal and state guidelines to implement programs for the academic success of low-income students.
	Other Evidence

**Domain: Scope of Responsibility in Secondary Schools**

**Competency 5:** The middle school and high school Principal develops, supports, encourages, and supervises programs that lead to increased student attendance, achievement, and graduation rates resulting in college readiness and work skills to meet the diverse needs of the community.

<b><u>Indicators</u></b>	<b><u>Examples of Evidence</u></b>
<b>5.1 Supervises co-curricular and extracurricular activities to engage all students.</b>	5.1.1 Collaborates with all stakeholders and equitably allocates resources to develop a school-based co-curricular and extracurricular activities system that provides opportunities for all students to be engaged.
	5.1.2 Develops a multi-faceted network of qualified staff community members, and/or other trained/certified personnel to work with students on co-curricular and extra-curricular activities.
	5.1.3 Uses multiple strategies to promote student involvement in school co-curricular and extra-curricular activities while working to increase the percentage of students participating.
	5.1.4 Models equitable support, promotion of, and attendance at school-based co-curricular and extra-curricular activities.
	5.1.5 Requires and monitors adherence to all policies, by-laws, and rules established by the local district and the New Mexico Activities Association that govern co-curricular and extra-curricular activities.
	Other Evidence
<b>5.2 Develops 21<sup>st</sup> century skills throughout the curriculum</b>	5.2.1 Develops and supports programs open to all students that ensure college readiness and workplace readiness.
	5.2.2 Grade 9-12: Develops partnerships with local colleges and universities to provide dual-credit and/or other course-credit opportunities. Grades 6-12: Develops partnerships with local colleges and universities to develop student awareness of future education opportunities.
	5.2.3 Creates partnerships with local businesses that provide student internships or other work-related experiences and opportunities.
	5.2.4 Establishes behavioral norms consistent with the world of work, for example, standards of dress, civic virtue, and human relations skills.
	Other Evidence

<b>5.3 Creates a student centered school environment and strengthens relationships among all stakeholders to improve student performance.</b>	5.3.1	Establishes an environment that focuses on development of personal learning plans for students that include an adult mentor.
	5.3.2	Supervises programs throughout the school that encourage student leadership and raise the opportunity for students to actively participate in the governance of the school.
	5.3.3	Ensures an atmosphere that is conducive to learning by implementing programs that reward positive behavior and discipline with dignity.
	5.3.4	Creates opportunities for students to showcase their individual talents and recognizes students for their individual successes.
		Other Evidence

### **Examples of Data Sources**

The Principal and the Supervisor should collaborate in the identification and collection of multiple types of data that can inform the self-reflection and evaluation process. Data should be collected periodically from important referent groups including faculty, staff, parents, students, and Supervisors. All data should be collected and analyzed for the purpose of understanding the Principal's abilities and growth trends in each competency area.

Data are an essential part of the evaluation process. As such, data must be collected and analyzed on an ongoing basis and must be referenced in the evaluation process. Data sources could include:

- Student Performance Data (e.g. SBA, Short Cycle, DIBELS, ACT, SAT)
- Self-Assessment
- Yearly District Site Visit
- Principal Classroom Visits
- National Standardized Tests
- Climate Surveys
- Teacher Surveys
- Student Attendance
- Teacher Attendance
- Teacher Turnover
- Dropout Rates
- Discipline Referrals
- Parent Participation in School Processes
- Graduation Rates
- Suspension Rates
- Course Failure Rates
- Contextual Demographic Data
- EPSS/Continuous Improvement Data
- Teacher Evaluation & PDPs
- School Safety Plan
- Professional Development Program
- Parent Involvement Plan
- School Advisory Agendas & Minutes
- Recognition Programs & Awards
- Business & Community Partnerships
- Co-curricular & Extra-curricular Programs
- Grant Funded Programs
- STARS Data
- RTI Data
- Federal Program Data
- PED Focused Monitoring Data
- Trend Data
- Evidence of Data Driven Decision Making

## **Operational Framework of the New Mexico Highly Objective Uniform Statewide Standard of Evaluation for Principals and Assistant Principals (HOUSSE-P)**

### **Part 1: SELF-ASSESSMENT-REQUIRED**

The Self-Assessment (Form A) provides the basis for the Principal to reflect on individual strengths, needs, and growth for professional development. The Principal will use the New Mexico Principal Leadership Competencies and Indicators (NMPLCI) with Examples of Evidence (pages 10-17) in the development of the self-assessment.

### **Part 2: PROFESSIONAL DEVELOPMENT PLAN-REQUIRED**

The Professional Development Plan (PDP) (Form B) is based on the Principal's professional goals and strategies to accomplish them. The PDP is divided into two stages. Stage I should be completed no later than forty (40) days after the Principal commences his or her contract. Stage II takes place as a mid-year conference when progress on the PDP should be reviewed, discussed, and refined as appropriate. The PDP provides a format for the Principal and the Supervisor to discuss and then develop professional development goals. Each goal should be related to one or more of the Principal competencies and at least one EPSS goal. Strengths, focus areas, actions, assistance, resources needed, potential evidence of success, and projected timelines will be identified. The PDP contributes to the performance evaluation on the Summative Evaluation (Form D), which becomes part of the Principal's personnel file.

#### **PDP Development**

At the beginning of the school duties annually, the Principal and the Supervisor begin discussions about district and school EPSS goals. The discussion will address how the Principal will meet EPSS performance expectations, ensuring consistency with NMPLCI. The discussion will include the development of an action plan, identification of needed assistance and resources, timelines, and sources of performance data, as indicated on the PDP (Form B). During the year, the Supervisor conducts no fewer than two site visits to the school. These site visits include random classroom observations to assess the school as a whole and to determine instructional implementation aligned with district and school goals/initiatives.

### **Best Practices**

- Throughout the evaluation process, formative dialogues between the Supervisor and the Principal take place as identified on the PDP (Form B).
- The Supervisor provides information and feedback to the Principal to guide the school improvement planning processes.
- The Principal conducts regular classroom visits using a type of classroom observation rubric to gather data regarding instruction and reviews the data for instructional and programmatic trends.

### **PDP Mid Year Review**

At the mid-year, a conference shall be held between the Principal and Supervisor to assess progress on the PDP.

### **Best Practice**

Principals seek input from groups such as faculty, staff, parents, and students about their performance and the success of their school.

## **Part 3: SELF-REFLECTION ON THE PROFESSIONAL DEVELOPMENT PLAN-REQUIRED**

Before the Summative Evaluation (Form D) is written, the Principal completes the Self-Reflection (Form C, wherein they provide a self-assessment of the progress they made in meeting the goals set in the Professional Development Plan as well as a consideration of other strategies they might use if given the opportunity to continue.

## **Part 4: SUMMATIVE EVALUATION-REQUIRED**

At the end of the school year, the Principal and the Supervisor meet to review evidence of completion of the PDP. The following documents of the summative evaluation process are included in the Principal's personnel file:

- PDP (Form B);
- Self-Reflection on PDP (Form C); and
- Summative Evaluation (Form D).

**Evaluation Timeline**

<b>FORM ACTION</b>	<b>DESCRIPTION</b>	<b>TIMELINE</b>	<b>BY WHOM</b>
<b>Self-Assessment FORM A - REQUIRED</b>	The Principal will use NMPLCI with Examples of Evidence (pages 10-17) in the development of the self assessment	Prior to the development of the PDP	Principal
<b>Professional Development Plan (PDP) FORM B - REQUIRED</b>	<b>PDP Development</b> <ul style="list-style-type: none"> <li>• Identify EPSS &amp; NMPLCI Goals</li> <li>• Develop EPSS &amp; NMPLCI Action Plan</li> <li>• Identify EPSS &amp; NMPLCI Support</li> <li>• Develop EPSS and NMPLCI Timeline</li> <li>• Identify Evidence of PDP Implementation</li> </ul>	No later than forty (40) days after the Principal commences his or her contract	Principal and Supervisor
	<b>PDP Site Visits</b> <ul style="list-style-type: none"> <li>• No fewer than two site visits to the school.</li> </ul>	Continuous	Supervisor
	Examples of Best Practice <ul style="list-style-type: none"> <li>• On-going Formative Dialogue</li> <li>• On-going Classroom Visits</li> </ul>	Continuous	Principal and Supervisor
	<b>PDP Mid Year Review</b> Midyear Progress Review toward EPSS & NMPLCI Goals	Mid Year	Principal and Supervisor
<b>Self-Reflection on the Professional Development Plan FORM C - REQUIRED</b>	Principal reflects on success in meeting EPSS & NMPLCI Goals	End of Year	Principal
<b>Summative Evaluation FORM D - REQUIRED</b>	Synthesis of the Principal's performance	End of Year	Supervisor

## Definition of Terms

**Accountability Literacy:** Competence in a number of areas, including the ability to interpret data; to negotiate support for education in political, professional, and community settings; and to understand what data can and cannot tell about students. This in-depth understanding about appropriate data use goes beyond the ability to use technology tools; it requires capturing and organizing evidence as well as transforming the information into meaningful actions.

**Competency:** The performance expectations of a Principal. They are job related expectations that can be assessed and are based on research of effective leadership practice. Given the continually expanding knowledge base, competencies should be reviewed every five to six years.

**Domain:** Broad leadership areas.

**Examples of Evidence:** Observations and other data. Examples are provided to enable decisions about the performance of an indicator.

**Evaluation Process:** The steps involved from the beginning of each school year through the end and from one year to the next whereby the Principal and the Supervisor work together to consider evaluation evidence and use it to plan for and support the Principal's professional growth. The evaluation process for Principals includes:

- a self assessment step for all Principals that informs an annual Professional Development Plan;
- a developmental step to establish and refine a Professional Development Plan based on an ongoing process of documentation and conferencing throughout the school year;
- a reflection step for the Principal to consider his or her success in implementing the Professional Development Plan; and
- a summative evaluation step based on assessment of evidence collected throughout the school year and ending with a final conference and completion of the Summative Evaluation form.

**Evaluation System:** A comprehensive set of principles, definitions, competencies, indicators, varieties of evidence, and procedures that provide a means of using evidence of performance to guide professional growth.

**Indicators:** Descriptions of the standards of performance or competencies for New Mexico Principals. They represent specific behaviors associated with the competencies.

**Principal:** In the HOUSSE-P Handbook, the term Principal refers to both the principal and assistant principal.

**Professional Development Plan (PDP):** The annual written agreement established no later than forty (40) days after the beginning of the Principal's contract each school year. The PDP has measurable objectives for performance evaluation based on the New Mexico Principal Leadership Competencies and Indicators (NMPLCI), as well as at least one EPSS goal.

**Self-Assessment:** The annual self evaluation written by the Principal assessing his or her strengths and needs for professional growth on the NMPLCI.

**Self-Reflection:** The annual self appraisal written by the Principal assessing his or her success in meeting the objectives set forth in the Professional Development Plan (PDP) submitted to the Supervisor prior to the completion of the Summative Evaluation.

**Supervisor:** District personnel responsible for the evaluation process of the Principal.

**Summative Evaluation:** A final comprehensive review of the Principal's progress based on evidence and documentation to include the PDP and the Self-Reflection. Performance is documented on the Summative Evaluation Form.



## **Section II: Evaluation Forms**

## **Section II: EVALUATION FORMS**

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This section provides the required evaluation forms for the HOUSSE-P. The following forms are required:

- Self-Assessment (Form A)
- Professional Development Plan (Form B)
- Self-Reflection on Professional Development Plan (Form C)
- Summative Evaluation (Form D)

### New Mexico Principal Self –Assessment

Principal's Name: \_\_\_\_\_ Position: \_\_\_\_\_  
 Supervisor's Name: \_\_\_\_\_ Date: \_\_\_\_\_  
 School: \_\_\_\_\_ School Year: \_\_\_\_\_  
 Years of Experience: \_\_\_\_\_

Identify the level of proficiency with the following symbols: BEGINNING with a (B); EMERGING with an (E); PROFICIENT with a (P); and ADVANCED with an (A)

<b>New Mexico Principal Leadership Competencies and Indicators</b>		<b>B/E/P/A</b>
<b>Domain: Instructional Leadership</b>		
<b>Competency 1:</b> The Principal promotes the success of all students by maintaining a culture that supports student achievement, high quality instruction, and professional development to meet the diverse learning needs of the school community.		
<b>Indicators</b>	1.1 Works with all members of the school community to make quality instruction a prime focus.	
	1.2 Uses accountability literacy in making decisions about student success and achievement.	
	1.3 Evaluates teachers using the Three-Tiered Licensure Performance Evaluation to promote high quality teaching and professional learning.	
	1.4 Incorporates the diversity of the student population and history of the school community in making curricular and school policy decisions.	
<b>Domain: Communication</b>		
<b>Competency 2:</b> The Principal uses communication and relationship-building skills to engage the larger community in the knowledge of and advocacy for equity in meeting the diverse needs of the school community.		
<b>Indicators</b>	2.1 Engages in honest and respectful interactions with all stakeholders to make thoughtful and objective decisions that demonstrate sensitivity and integrity.	
	2.2 Builds and sustains relationships through team development and mediation skills to promote a climate of cooperation and student success.	
	2.3 Supports an environment of inclusion and respect.	
	2.4 Communicates with others objectively, sensitively, fairly, and ethically.	
	2.5 Supports relationships that promote teaching and learning in the school community through communication skills such as speaking, writing, and active listening.	
	2.6 Communicates with all school and community stakeholders concerning current school issues and student achievement.	
	2.7 Maintains a continuous dialogue with decision makers who affect the school community.	

		B/E/P/A
<b>Domain: Professional Development</b>		
<b>Competency 3:</b> The Principal organizes and coordinates ongoing professional learning opportunities that are aligned with the New Mexico Professional Development Framework and supports the diverse learning needs of the school community.		
<b>Indicators</b>	3.1 Identifies and assesses student and staff performance to inform professional development needs.	
	3.2 Uses relevant professional literature and knowledge, collaborates with key partners, and uses technology to create and provide appropriate professional development.	
	3.3 Implements comprehensive, integrated and systemic ongoing professional development opportunities for faculty and community.	
	3.4 Supports reflection, sustained mentoring, and coaching as critical processes for professional growth.	
<b>Domain: Operations Management</b>		
<b>Competency 4:</b> The Principal manages the school campus, budget, and daily operations to equitably meet the diverse learning needs of the school community.		
<b>Indicators</b>	4.1 Manages the school campus to ensure that the environment is safe and clean for students and staff.	
	4.2 Manages the school budget to ensure that resources are maximized for student success.	
	4.3 Manages the day to day operations to maximize the efficiency of the school.	
	4.4 Complies with federal and state initiatives to maximize use of services and programs for which students are eligible.	
<b>Domain: Scope of Responsibility in Secondary Schools</b>		
<b>Competency 5:</b> The middle school and high school Principal develops, supports, encourages, and supervises programs that lead to increased student attendance, achievement, and graduation rates resulting in college readiness and work skills to meet the diverse needs of the community.		
<b>Indicators</b>	5.1 Supervises co-curricular and extracurricular activities to engage all students.	
	5.2 Develops 21 <sup>st</sup> century skills throughout the curriculum.	
	5.3 Creates a student centered school environment and strengthens relationships among all stakeholders to improve student performance.	

Available in Electronic Format

<b>NEW MEXICO PRINCIPAL PROFESSIONAL DEVELOPMENT PLAN</b>				
Principal Name: _____		Principal Signature: _____		
Supervisor Name: _____		Supervisor Signature: _____		
School: _____		School Year: _____		
Years of Experience: _____		Dates of Site Visits: (1): _____		
_____ Date of PDP		(2): _____		
Development: _____ (Within 40 days		(Other): _____		
of Principal commencing his or her contract)				
Competencies/Indicators Focus Area(s)		EPSS Goal Focus Area(s)		
Action Plan (describe the action(s) planned to meet the objective chosen)	Assistance to be provided by Supervisor	Timeline	Evidence of PDP Implementation	Mid Year Review
				<p><b>The Professional Development Plan has been reviewed, discussed, and refined as appropriate.</b></p> <p>_____</p> <p><b>Principal's Signature/Date</b></p> <p>_____</p> <p><b>Supervisor's Signature/Date</b></p>

Submitted at the end of the school year with Summative Evaluation – Form D

Copies to: Principal, Personnel File, Supervisor

Available in Electronic Format

New Mexico Principal

Self-Reflection on Professional Development Plan (PDP)

This form is completed at the end of the year prior to Summative Evaluation

Name of Principal: _____	Date: _____
Position: _____	Years of Experience: _____
Name of Supervisor: _____	School Campus: _____
	School Year: _____

Please submit a reflection of your PDP experience to your Supervisor prior to your summative evaluation meeting. Include in your reflection: What were the results of your project or actions in terms of meeting your objectives? What worked well? What would you do differently if you had the opportunity to do the PDP again? Please provide data and artifacts to support conclusions.

Principal Reflection: Provide a written reflection on your PDP

Supervisor Feedback:

\_\_\_\_\_  
Supervisor Signature/Date

\_\_\_\_\_  
Principal Signature/Date

Copies to: Principal, Personnel File, Supervisor

Available in Electronic Format

**New Mexico Principal Summative Evaluation**

Name of Principal	_____	Date	_____
Position	_____	School Campus	_____
Name of Supervisor	_____	Years of Experience	_____

**Rating Identification: 1. Does not meet competency 2. Meets competency**

<b>Domain: Instructional Leadership</b>			
<p><b>Competency 1:</b> The Principal promotes the success of all students by maintaining a culture that supports student achievement, high quality instruction, and professional development to meet the diverse learning needs of the school community.</p> <p><b>Comment:</b></p>		<b>1 2</b>	
<b>Domain: Communication</b>			
<p><b>Competency 2:</b> The Principal uses communication and relationship-building skills to engage the larger community in the knowledge of and advocacy for equity in meeting the diverse needs of the school community.</p> <p><b>Comment:</b></p>		<b>1 2</b>	
<b>Domain: Professional Development</b>			
<p><b>Competency 3:</b> The Principal organizes and coordinates ongoing professional learning opportunities that are aligned with the New Mexico Professional Development Framework and supports the diverse learning needs of the school community.</p> <p><b>Comment:</b></p>		<b>1 2</b>	
<b>Domain: Operations Management</b>			
<p><b>Competency 4:</b> The Principal manages the school campus, budget, and daily operations to equitably meet the diverse learning needs of the school community.</p> <p><b>Comment:</b></p>		<b>1 2</b>	
<b>Domain: Scope of Responsibility in Secondary Schools</b>			
<p><b>Competency 5:</b> The middle school and high school Principal develops, supports, encourages, and supervises programs that lead to increased student attendance, achievement, and graduation rates resulting in college readiness and work skills to meet the diverse needs of the community.</p> <p><b>Comment:</b></p>		<b>1 2</b>	
<b>Evidence of progress towards achieving EPSS Goals:</b>			

Yes \_\_\_ No \_\_\_ Professional Development Plan Completed

Yes \_\_\_ No \_\_\_ Self Reflection on the PDP Completed

Signature denotes that you have discussed, read, and understand all of the comments Summative Evaluation form. Your signature does not imply that you totally agree or disagree with the comments given.

\_\_\_\_\_  
Supervisor Signature/Date

\_\_\_\_\_  
Principal Signature/Date

Copies to: Principal, Personnel File, Supervisor Available in Electronic Format



## **Section III: Background**

## Section III: BACKGROUND

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This section consists of the foundation for HOUSSE-P with the extensive work that the diverse HOUSSE-P committees accomplished to include: an overview of the developmental process, statement of philosophy, and guiding principles. The section also includes the New Mexico Code of Ethics of the Education Profession, which served as a touchstone for the HOUSSE-P committees.

### **Overview of the Process Used to Develop the Highly Objective Uniform Statewide Standard of Evaluation for Principals and Assistant Principals**

Beginning in the spring of 2006, the New Mexico State Department of Education convened a series of design teams and work groups, consisting of a diverse set of educational stakeholders, to develop the HOUSSE-P.

The **2006 Spring Design Team I** was responsible for the development of the statewide evaluation system. The design team was able to:

- review literature on effective leadership and evaluation;
- develop a statement of philosophy concerning the evaluation of Principals in the state of New Mexico;
- develop a set of guiding principles for the implementation of the HOUSSE-P;
- design a graphic framework;
- review and make recommendations concerning the revision and use of New Mexico's Administrative Competencies;
- review and discuss evaluation systems used in the State of New Mexico; and
- design a process for developing the HOUSSE-P.

During the 2006-2007 school year two additional teams were developed. The teams were identified as the Competency Team and the Design Team II.

The **Competency Team** was charged with developing the leadership competencies that would be used in the statewide evaluation system. This contingent:

- reviewed literature on effective leadership practice;
- reviewed national standards, as well as the standards of other states;
- developed a set of Principal leadership competencies; and
- developed indicators and evidence for each competency area.

The **Design Team II** was charged with developing the system itself, based on the recommendations and foundational work of the 2006 Spring Design Team I. They were responsible for:

- reviewing the evaluation systems of several states and large school districts;
- reviewing New Mexico's Three-Tiered Licensure Performance Evaluation System for teachers;
- developing a highly objective uniform statewide standard of evaluation; and
- developing a handbook to facilitate the implementation of the evaluation system.

During the summer and fall of 2007 the following accomplishments took place:

- development of the Summer Leadership Academy 2007, during which practitioners were given an initial training on the Handbook for the HOUSSE-P and were able to respond to the work of the Competency and Design Teams;
- development of the Secondary Scope of Responsibility competency to address New Mexico House Bill 35;
- implementation of the Fall Regional Trainings, another avenue where practitioners were able to give feedback on the work of the Competency and Design Teams;
- review of all feedback obtained; and
- revisions of the HOUSSE-P Handbook.

**Statement of Philosophy  
Concerning the Evaluation of Principals and Assistant Principals  
in the State of New Mexico**

The primary purpose of this statewide evaluation system is to enhance the performance of Principals and Assistant Principals. In establishing this evaluation framework, research shows that the school leader has tremendous impact on student success and the school environment. The state of New Mexico is committed to providing a quality educational program for all students. An effective performance-based evaluation system that supports professional development is essential to accomplishing this goal. The evaluation system will also provide information for appropriate personnel employment decisions.

An effective performance-based evaluation system requires commitment by leaders in the school district, and at the state level (including legislators) to provide the time and resources necessary for implementation. Ongoing professional development to support both the implementation process and the Principal's goals needs to be an integral part. The Housse-P also requires alignment of this system with other relevant state level systems, such as leadership recruitment, preparation, licensure, induction, and teacher evaluation. With these multiple types of alignments, the evaluation systems will make a positive difference for the education of students in New Mexico.

The Housse-P for Principals and Assistant Principals will be a collaborative, continuous process of formative and summative activities designed to measure proficiency on the New Mexico Principal Leadership Competencies and Indicators (NMPLCI) and to foster continuous professional growth. The components of the process are (a) the identification competency-driven performance goals, (b) documentation and conferencing about performance, and (c) participation in professional development to enhance performance. These activities will be implemented consistently statewide in order to guide decision regarding employment, while promoting objectivity, fairness, and a climate of respect, professionalism, and mutual trust among all educators.

## Guiding Principles

The following guiding principles are presented as reminders to school district personnel as they begin implementing the statewide evaluation system.

- Whereas evaluation may be cyclical, professional growth is ongoing and continuous.
- Growth occurs in a collaborative culture where professionals learn and grow together.
- Various levels of experience and job responsibilities require differing levels of support by others.
- The self-reflective practitioner is knowledgeable of and proficient in gathering and analyzing multiple kinds of evidence of success.
- Ownership of one's individual growth plan produces best results.
- Trust is a foundational piece that is essential to authentic growth.
- Performance assessment should reinforce the significant role of learning in the school.
- Educational leaders must demonstrate competence as the instructional leaders of the school.
- The evaluation process should be consistent with the school improvement process.
- Honest communication and interpersonal skills are essential to professional improvement.
- Principals must provide the leadership for collaborative discussions that establish goals and objectives.
- The evaluation process should be flexible enough to account for the varying complexities of the Principal's role.
- Performance evaluation should affirm the value of the Principal's role as the key school-level leader.

To effectively implement these evaluation principles, the system should be based upon established standards of leader performance:

- use multiple measures to assess performance;
- use knowledgeable and fair decision-makers as evaluators;
- provide data for reflection and growth;
- focus upon a limited number of professional goals;
- foster self-diagnosis, self-reflection, and self correction;
- be flexible enough to account for the varying complexities of the role, and
- acknowledge the various career stages of the principalship.

The HOUSSE-P adheres to the principles of the Code of Ethics of the Education Profession.  
[6.60.9.8 NMAC – N, 04-30-01]

### **NEW MEXICO CODE OF ETHICS OF THE EDUCATION PROFESSION**

*We, professional educators of New Mexico, affirm our belief in the worth and dignity of humanity. We recognize the supreme importance of the pursuit of truth, the encouragement of scholarship, and the promotion of democratic citizenship. We regard as essential to these goals the protection of freedom to learn and to teach with the guarantee of equal educational opportunity for all. We affirm and accept our responsibility to practice our profession according to the highest ethical standards. We acknowledge the magnitude of the profession we have chosen, and engage ourselves individually and collectively, to judge our colleagues and to be judged by them in accordance with the applicable provisions of this code.*

- A. **Principle I: Commitment to the student.** *We measure success by the progress of each student towards achievement of his/her maximum potential. We therefore work to stimulate the spirit of inquiry, the acquisition of knowledge and understanding, and the thoughtful formulation of worthy goals. We recognize the importance of cooperative relationships with other community institutions, especially the home. In fulfilling our obligation to the student, we:*
- (1) deal justly and considerately with each student;*
  - (2) encourage the student to study and express varying points of view and respect his/her right to form his/her judgment;*
  - (3) conduct conferences with or concerning students in an appropriate place and manner;*
  - (4) seek constantly to improve learning facilities and opportunities.*
- B. **Principle II: Commitment to the community.** *We believe that patriotism in its highest form requires dedication to the principles of our democratic heritage. We share with all other citizens the responsibility for the development of sound public policy. As educators, we are particularly accountable for participating in the development of educational programs and policies and for interpreting them to the public. In fulfilling our obligations to the community, we:*
- (1) share the responsibility for improving the educational opportunities for all;*
  - (2) recognize that each educational institute has a person authorized to interpret its official policies;*
  - (3) acknowledge the right and responsibility of the public to participate in the formulation of educational policy;*
  - (4) evaluate through appropriate professional procedures and conditions within a district or institution of learning, make known serious deficiencies, and take action deemed necessary and proper;*
  - (5) assume full political and citizenship responsibilities, but refrain from exploiting the institutional privileges of our professional positions to promote political candidates or partisan activities;*
  - (6) protect the educational program against undesirable infringement, and promote academic freedom.*
- C. **Principle III: Commitment to the profession.** *We believe that the quality of the services of the education profession directly influence the future of the nation and its citizens. We therefore exert every effort to raise educational standards, to improve our service, to promote a climate in which the exercise of professional judgment is encouraged, to demonstrate integrity in all work-related activities and interactions in the school setting, and to achieve conditions which attract persons worthy of trust to careers in education. Aware of the value of united effort, we contribute actively*

*to the support, planning, and programs of our professional organizations. In fulfilling our obligations to the profession, we:*

- (1) recognize that a profession must accept responsibility for the conduct of its members and understand that our own conduct may be regarded as representative of our profession;*
- (2) participate and conduct ourselves in a responsible manner in the development and implementation of policies affecting education;*
- (3) cooperate in the selective recruitment of prospective teachers and in the orientation of student teachers, interns, and those colleagues new to their positions;*
- (4) accord just and equitable treatment to all members of the profession in the exercise of their professional rights and responsibilities;*
- (5) refrain from assigning professional duties to nonprofessional personnel when such assignment is not in the best interest of the student;*
- (6) refrain from exerting undue influence based on the authority of our positions in the determination of professional decisions by colleagues;*
- (7) keep the trust under which confidential information is exchanged;*
- (8) make appropriate use of the time granted for professional purposes;*
- (9) interpret and use the writing of others and the findings of educational research with intellectual honesty;*
- (10) maintain our integrity when dissenting by basing our public criticism of education on valid assumptions as established by careful evaluation of facts;*
- (11) respond accurately to requests for evaluation of colleagues seeking professional positions;*
- (12) provide applicants seeking information about a position with an honest description of the assignment, the conditions of work and related matters.*

**D. Principle IV – Commitment to professional employment practices.** *We regard the employment agreement as a solemn pledge to be executed both in spirit and in fact in a manner consistent with the highest ideals of professional service. Sound professional personnel relationships with governing boards are built upon integrity, dignity, and mutual respect between employees, administrators, and local school boards. In fulfilling our obligations to professional employment practices, we:*

- (1) apply for or offer a position on the basis of professional and legal qualifications;*
- (2) apply for a specific position only when it is known to be vacant and refrain from such practices as underbidding or commenting adversely about other candidates;*
- (3) fill no vacancy except where the terms, conditions, and policies are known,*
- (4) adhere to and respect the conditions of a contract or to the terms of an appointment until either has been terminated legally or by mutual consent;*
- (5) give prompt notice of any change in availability of service, in status of applicants, or in change in position;*
- (6) conduct professional business through recognized educational professional channels.*

[6.60.9.8 NMAC – N, 04-30-01]