DEVELOPING EXCELLENT SCHOOL PRINCIPALS TO ADVANCE TEACHING AND LEARNING: CONSIDERATIONS FOR STATE POLICY

PAUL MANNA

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TABLE OF CONTENTS

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FOREWORD

Research has established some important facts about the role of the principal in public K-12 education. Leadership is second only to teaching among school-related influences on student success. Its impact is greatest in schools with the greatest needs. Principals strongly shape the conditions for high-quality teaching. They are the prime factor in determining whether teachers stay in high-needs schools. For policymakers, this all means that the effectiveness of principals is vital to the effectiveness of our nation's public schools, especially those serving the children with the fewest advantages in life.

Yet, despite its importance, the role of the principal typically receives scant and scattered attention in the capitals of the 50 states—a missed opportunity given the states' large role in governing and funding public school education.

This report, commissioned by The Wallace Foundation and written by Paul Manna, a political scientist at the College of William & Mary and expert on state education policy, seeks to help change that picture. Its goal is to map in nonpartisan terms a range of possible steps state policymakers from across the political spectrum can take to help ensure that principals are well trained and well supported.

On the following pages, readers will find descriptions of possible courses of state action, specifically six policy levers states could pull, from setting and using statewide principal standards to improving principal training programs.

We think a particular strength of the report is its acknowledgement that state policymakers, as they consult with local schools and districts, are in the best position to determine which of these levers will be more applicable than others depending on the educational, political and fiscal context of their particular state. In other words, there is no "cookbook recipe" for action, Manna writes. As Manna says, "The diversity of conditions across the U.S. makes it impossible to identify a single formula that will enhance the work of principals in the country's nearly 100,000 schools."

For that reason, Manna urges policymakers to consider four aspects of their state's particular circumstances before selecting which levers to use. These contextual issues are: the state's education governance systems that influence principal policy, its diversity of locales (urban, suburban, rural), its capacity to implement policies, and its current expectations of principals.

Another important contribution of the report, we believe, is its insight into the nature of the principal's job today. There's been much talk in recent years about how the principalship has been "transformed" from focusing on building management to focusing on classroom instruction. Manna's research, analyzing data from multiple sources, including the responses of

principals over time to a regularly fielded federal survey, suggests a somewhat different story—that the job has not been so much transformed as expanded and, perhaps, overloaded. Today, principals report that they carry out a number of instruction-related tasks relatively recent to the post, such as more intense evaluations of teachers. But the more traditional tasks, such as overseeing budgets and school discipline, remain. Principals, Manna concludes, "appear to be bearing more and more weight as old responsibilities persist and, through incremental additions, new ones are layered on top of them." The implication for state policymakers is clear. Before adding new mandates to the principal's job, they would do well to understand what's currently on the principal's plate that could be transferred to others or handled differently.

Manna also finds that terminology may be standing in the way of meaningful action to bolster the principal's job. "School leadership" is a much-used term and one that Wallace itself often relies on. It aptly describes what principals do: lead schools. The problem is that it can also conflate the principal's role with the roles of other leaders in education, such as teacher leaders. Few, Manna writes, would question the wisdom of harnessing the leadership capabilities of the whole school staff. But when it comes to shaping state policy specifically targeted at the principal, the term can breed confusion. Those interested in pressing for state action might want to be clear when they are speaking about the principal and when they are speaking about a broader set of roles.

The principal has a job of singular importance in the nation's schools. By funding on-the-ground efforts and research, The Wallace Foundation has worked for 15 years to encourage the development and support of principals who can help fashion a first-rate education for all the nation's students. We hope this report encourages policymakers and other actors desiring education reform to look closely at the unique job of the principal and consider what their states can do to unleash its power for the good of classrooms across the United States.

Will Miller
President

EXECUTIVE SUMMARY

All organizations need effective leaders to succeed, and schools are no exception. A growing research literature has shown the multidimensional roles principals play in keeping schools operational and safe, and in fostering productive work cultures where teachers and staff can serve students as they pursue academic goals.

Principals who are strong, effective, responsive leaders help to inspire and enhance the abilities of their teachers and other school staff to do excellent work. Such principals also tend to retain great teachers and create opportunities for them to take on new leadership roles. In short, principals, through their actions, can be powerful multipliers of effective teaching and leadership practices in schools. And those practices can contribute much to the success of the nation's students. This leads to the following key question:

What can state policymakers do to help ensure that schools have excellent principals who advance teaching and learning for all students?

The answer: Quite a bit, actually. Each year, state officials make and enforce policies and regulations that can limit or enhance the ability of principals to lead their schools. Further, especially during the last five to ten years, states have pushed forward ambitious education initiatives that will be unlikely to succeed without principals actively leading the work on the ground. In light of the research evidence, the central roles principals play merit much attention as state officials craft their policy agendas.

The diversity of conditions across the U.S. make it impossible to identify a single formula that will enhance the work of principals in the country's nearly 100,000 schools. The 50 states operate with varying needs, capacities, governance systems, and political cultures. Yet even with that variation, the research informing this report nevertheless identifies three crucial areas leaders across all states can usefully consider as they seek answers to the guiding question just posed:

1. State **POLICY AGENDAS** that address school principals along with other priorities.

2. State **POLICY LEVERS** available to state leaders as they attempt to identify and train aspiring principals and support those already on the job.

3. The **CONTEXTUAL FACTORS** within states and local communities that affect how state policies or initiatives for principals are likely to unfold in practice.

A. Principals and the state policy agenda

Although nobody would deny that school principals are important, the principal's role has received consistently less attention relative to other topics on state

education policy agendas. State policymakers give much more attention to teachers and teacher-related issues than principals. Further, the impulse to broaden the scope of "school leadership," although done for understandable reasons, has had the unintended consequence of obscuring the unique and specific roles that principals play.

In considering the role of principals on state policy agendas, several findings emerge:

- **LOW AGENDA STATUS OVERALL**: Across all of the in-person interviews we conducted no individuals indicated principals were a consistently high agenda item for states. Crowded state policy agendas in education often prioritize other issues above principals.

- **LOW AGENDA STATUS RELATIVE TO TEACHERS**: Teachers receive more agenda attention than principals in popular discussions and research. Further, investments in professional development also tend to prioritize teachers rather than principals. Some of these differences are understandable because there are so many more teachers than principals in the nation's schools, yet the evidence suggests important reasons for striking a better balance to improve the chances that teachers and principals alike can do excellent work.

- **OBSCURING PRINCIPALS' ROLES AND UNIQUE CONTRIBUTIONS**: The trend toward harnessing the leadership capabilities of entire school staffs can blur the important substantive distinctions that exist between the leadership responsibilities of principals compared with those of other school leaders.

Augmenting principals' place on state policy agendas is important for:

- *Building productive school cultures*: A growing research base documents the key role principals play in helping their schools succeed. Excellent principals make important contributions to school culture and climate, and have detectable and substantial impacts on student achievement.

- *Supporting teachers and teaching*: Teaching is the core technology of schools, and, in the words of one respondent interviewed for this report, "principals are multipliers of effective teaching." Excellent principals can have a powerful impact on the teachers in their buildings by setting smart professional development agendas, selecting and supporting accomplished teachers to take on leadership roles, and working one-on-one as mentors for teachers who need guidance and support.

- *Ensuring that state initiatives succeed*: Numerous state education policy initiatives developed during the last two decades depend heavily on excellent principals for their success. Teaching to new academic standards, evaluating teachers through in-person observations, and using data to direct various aspects of a school's daily activities—state leaders have crafted policies and regulations across these areas and will be relying on school principals to help make them work.

B. State policy levers to cultivate and support excellent principals

State leaders possess formal and informal powers they can use to serve the goal of ensuring schools have excellent principals who can advance teaching and learning for all students. Although these policy levers are available in every state, different conditions within each will make some more attractive or feasible to pull than others.

SETTING PRINCIPAL LEADERSHIP STANDARDS

Standards for principals are important because they help define the scope of the principal's job, including what principals should know and be able to do. They also provide an organizing frame to inform principal training, professional development, and licensing practices in states.

States can consider the following actions to leverage the potential of standards:

- Adopt principal leadership standards into state law and regulation.

- Differentiate among leaders. States can use standards to clarify those expectations that apply to all leaders and which are specific to principals.

- Embed standards in practice. Adopting principal leadership standards is merely a first step. If they only live on paper, they will remain irrelevant to practice.

- Reconcile with other standards. In defining standards for principals, states can also consider standards related to other dimensions of education to foster coherence across their policies and initiatives.

RECRUITING ASPIRING PRINCIPALS INTO THE PROFESSION

Even though recruitment and hiring are mainly local school district functions, states can alter the incentives to which aspiring principals and school districts respond, thus influencing recruitment practices and the pool of potential principal candidates.

States can consider these actions as they seek to improve principal recruitment:

- Facilitate coordination between local school districts and principal preparation programs in the recruitment of aspiring principals.

- Alter incentives to increase the chances that people who seek principal certification actually intend to become principals. This will avoid wasting valuable resources on people who obtain additional degrees but have little or no intention of becoming principals.

- Support special institutes, including leadership academies, to help identify potentially talented principals, usher them into the profession, and support them on the job.

- Forecast future trends in anticipated principal vacancies to direct recruitment toward meeting specific state needs for principals.

APPROVING AND OVERSEEING PRINCIPAL PREPARATION PROGRAMS

States possess unambiguous authority to oversee the organizations that prepare principals, and they also approve the specific degree programs that institutions of higher education offer. States can help promote the quality of principal preparation programs and help provide information to potential principal candidates so they can select strong programs that will prepare them to become excellent principals.

States can consider these actions as they oversee and approve principal preparation programs:

- Actively oversee principal preparation programs, rather than essentially delegating oversight and approval processes to national accrediting bodies.

- Sunset current programs and require them to meet a high set of standards before admitting future students.

- Use licensing authority to create incentives for programs to improve. States can alter their licensing requirements or prerequisites for aspiring principal candidates to enter a principal preparation program, which can put pressure on preparation programs to improve their offerings so that these candidates receive useful training.

- Serve as an information clearinghouse on program offerings and quality. States can gather and share with programs basic descriptive data about program operations to help candidates select strong programs, help the programs improve, and learn from the experiences of other states.

- Avoid overregulating so that strong programs maintain the flexibility to innovate and quickly adapt to changing circumstances or opportunities.

LICENSING NEW AND VETERAN PRINCIPALS

Licensing provides states with a gatekeeping function that allows some individuals into the profession and prevents others from becoming principals in public schools. How states wield their licensing powers can enable licensing to be a substantively important step in a principal's career or yet another area where

approaches based on compliance and box-checking dominate.

States can consider these actions as they use their licensing authority:

- Connect licensing requirements as much as possible to the real-world conditions and practices that principals experience on the job.
- Delegate the authority to license principals to entities beyond the state that have a strong track record of developing principals.

SUPPORTING PRINCIPALS' GROWTH WITH PROFESSIONAL DEVELOPMENT

With each new policy initiative, technological advance, or demographic shift, school principals frequently find that they need added training to help them lead their schools well. Typically, states have played a relatively small role in principals' professional development, but they can help ensure such experiences benefit their principals. Without investment in professional development, major state initiatives—crafted in state legislatures, boards of education, and state education agencies—are likely to fail.

States can consider these actions as they seek to help principals receive effective professional development:

- Study current state priorities to create a better allocation of resources that help teachers and principals gain access to high-quality professional development.
- Support local school districts as they set their professional development priorities.
- Provide support for professional development for principals that will help them implement ambitious state initiatives.
- Create links between professional development and licensing to steer principals toward professional development tied to important skill sets or knowledge.

EVALUATING PRINCIPALS

Policy makers and researchers have spent more time and effort exploring the implications of different approaches to teacher evaluation and less on evaluations for principals. According to the National Conference of State Legislatures, since 2010, 36 states have passed laws requiring principal evaluations and 22 states were rolling out new principal evaluation systems in 2014 and 2015. However, given the field's limited experiences with principal evaluation, no set of best practices yet exists.

States can consider these actions as they engage the area of principal evaluation:

- Remain flexible during implementation as new knowledge surfaces about how principal evaluation systems operate in practice. Although much support exists for aligning principal evaluations to standards and incorporating measures of leadership quality into them, no consensus appears to exist across the states about the design of principal evaluation systems and the actions that should follow once principals are evaluated.
- Learn from other states' experiences about potentially promising strategies that can be incorporated into their own principal evaluation systems.

C. Getting from here to there: assessing state and local contexts

The policy levers described in the previous section are available to state leaders across the nation. But states' specific histories, political environments, approaches to education governance, and past policy experiences can influence how those levers will influence educational practices in schools. Four contextual factors are particularly relevant for state leaders to consider before and as they set their policy priorities.

STATE EDUCATION GOVERNANCE: WEB OF CONSTRAINTS AND SOURCE FOR OPPORTUNITIES

When studied from afar, the 50 states possess a remarkably similar set of governing bodies that oversee education. Up close, however, how these organiza-

tions and other state institutions manage their internal affairs, wield authority, and interact with each other (as well as local schools and interest groups) can vary tremendously. ***Attending to the state education governance context is important because it:***

- involves numerous state government organizations and actors, all of whom attempt to balance diverse and sometimes-conflicting constraints and incentives; and
- creates potential veto points that can stymie action but also provides multiple venues through which smart ideas can enter the policy process.

DIVERSE LOCALES: PRINCIPALS IN URBAN, SUBURBAN, AND RURAL COMMUNITIES

As one respondent noted in a personal interview, "Every state has a lot of little states in it." Recognizing important differences among localities—as well as variation within local communities across income and race, for example—can help inform state policy decisions designed to improve local practice. ***Attending to the diversity across urban, suburban and rural settings is important because it:***

- incorporates a broader range of voices into state policy debates, helping to reveal differences but also common concerns across school districts;
- reveals opportunities or constraints, depending on the locality, for principal recruitment and professional development efforts; and
- underscores the need for the state to play a strategic coordinating role to ensure that district needs are met across a state.

CAPACITY TO IMPLEMENT: MOVING POLICY INTO PRACTICE

Rolling out state initiatives and then sustaining them to improve practice and, ultimately, student learning requires state and local capacities. These capacities include talented personnel, technical expertise, and funding. ***Attending to the capacity demands that state policies create is important because it:***

- identifies gaps between state policy ambitions and the ability of state and local agencies to fill them. Without local funding, staffing, and technical expertise, state requirements designed to enhance the work of principals likely will fail to have their intended effects;
- can bring to light potentially valuable network partners outside of government that state officials can use as they seek to ameliorate capacity deficits; and
- helps state officials differentiate between low capacity districts and higher capacity ones, which themselves can be sources for future state innovation.

VIEW FROM THE MAIN OFFICE: STATE POLICY AND THE PRINCIPAL'S PERSPECTIVE

Principals are bearing more and more weight as old responsibilities persist and as new ones become layered on top of them. While principals report that they are exercising more and more power over matters such as evaluating teachers and setting school performance standards, they remain equally responsible for traditional activities, such as setting school discipline policies and managing budgets and school spending. ***Attending to the overall range of state policies that affect principals is important because it:***

- enables state leaders to better understand how their policy initiatives alter the tasks that principals must complete each day;
- highlights situations where state policies create layered and potentially conflicting demands on principals; and
- suggests a strategy of addition by subtraction, meaning that as state policies advance new priorities for principals, states can simultaneously dismantle less important responsibilities that occupy principals' time.

D. Looking ahead

Being a school principal is more challenging than ever, in part because of an expanding set of responsibilities, technological change, and growing student needs that are characteristic of a diversifying nation struggling to provide equal opportunities to all its students. How to begin this work of cultivating and supporting excellent principals, or how to continue moving it along for states that have begun to make their principals a higher policy priority? There is not a cookbook recipe for policy development or implementation that will work equally well in all states. State and local adaptations will be necessary. Still, there are some useful places for all states to start, regardless of their current conditions. ***Consider the following topics and guiding questions as a suggested path forward.***

- Move principals higher on state education policy agendas. Are there state leaders and constituencies in the state that can help move principals higher up on the agenda? And if there are not, why is that the case? Before states can hope to make strides in cultivating and supporting their principals, state leaders and their constituents need to be paying attention to them.

- Catalogue principals' tasks, in theory and in practice. What is it that state policymakers aspire to have their principals do? Then ask: What is it that principals actually do? Where are those practices consistent or inconsistent with the aspirations of state policymakers?

- Identify explanations for the consistencies and inconsistencies. What causes principals to work in ways that support or push against state aspirations? Is it a matter of professional disagreement about which tasks are most important? Are there features of the state context—governance, local contexts, capacity, or webs of prevailing policy—that are supporting or obstructing principals as they do their work?

- Create a policy and political strategy for moving forward. How can using the policy levers discussed in this report or other policy changes, which could include dismantling policies and regulations in some areas as well as creating new ones, improve the chances that states will have excellent principals leading their schools? How can the state move a policy agenda forward while simultaneously maintaining flexibility to respond to inevitable challenges (and potential opportunities, too) that may arise in the future? Further, how to ensure that promising efforts can be sustained and be given the time to produce results instead of being swiftly abandoned as the political winds shift?

In calling for the principalship to be a policy priority across the states, this report encourages state leaders to envision their principals as invaluable multipliers of effective teaching and learning in the nation's schools. Operating with that vision, and understanding the potential role of state policy to help achieve it can help state officials ensure state policies work in mutually supportive ways and are coherent enough to channel state and local energies in positive directions while remaining flexible enough to adapt to local circumstances. These are difficult balancing acts to execute, but with care and learning from work underway in state capitals across the nation, some of which is highlighted in this report, state leaders can improve the chances that all schools will be led by excellent principals who are advancing teaching and learning.

INFOGRAPHIC

Chapter 1

INTRODUCTION

All organizations need effective leaders to succeed. Schools are no exception, and their principals bear weighty responsibilities. A growing research literature has shown the multidimensional roles that principals play in keeping schools operational and safe, and in fostering productive cultures that serve students as they pursue their academic goals.[1] Although principals' contributions to ultimate academic outcomes are indirect (except in rural communities where principals themselves sometimes are classroom teachers), mounting evidence has shown the important role they play in helping students succeed academically.[2]

Principals who are strong, effective, responsive leaders help to inspire and enhance the abilities of their teachers and other school staff to do excellent work. Such principals also tend to retain great teachers and create opportunities for them to take on new leadership roles. In short, principals, through their actions, can be powerful multipliers of effective teaching and leadership practices in schools. And those practices can contribute much to the success of the nation's students.[3]

What does that daily work of principals have to do with state government? Quite a bit, actually.[4] Each year, people working in state legislatures, governors' offices, state boards of education, state education agencies, and state professional standards boards, among other venues that wield formal state authority, make and enforce policies and regulations that can limit or enhance the ability of principals to lead their schools. Further, especially during the last five to ten years, states have pushed forward ambitious education initiatives that will be unlikely to succeed without principals actively leading the work on the ground. In light of the research evidence, the central role that principals play merits much attention as state officials craft their policy agendas.

Clearly, state policymakers are not the only officials who influence the daily work of principals.[5] Federal and local policies also are important. Still, states possess constitutional obligations to provide public schooling for their residents. Further, state policies are instrumental in shaping how federal education

1. Wilson (1989); Meier and O'Toole (2006); Cohen-Vogel (2011); Printy and Marks (2006).

2. Lewis et al. (2010); Grissom, Kalogrides and Loeb (2015).

3. Lewis et al. (2010); Leithwood et al. (2004); Council of Chief State School Officers (2008). Spillane's (2006, Chapter 1) account of Chicago principal Brenda Williams provides a concrete illustration of these ideas. See also Khademian (2002) and Moore (1995) for more general treatments of these ideas.

4. Lewis et al. (2010); NGA Center for Best Practices (2011); Shelton (2012); Sun (2011); Council of Chief State School Officers (2013); Southern Regional Education Board (2007); Cheney and Davis (2011); Haynes (2007); The Wallace Foundation (2006); Augustine et al. (2009); IEL Task Force on State Leadership (2011).

5. Manna (2011); Cohen and Moffitt (2009).

initiatives unfold in practice. States also issue mandates and offer flexibilities and resources that influence local school district operations. Those powers and responsibilities residing in state capitals suggest an important guiding question that is the focus of this report:

What can state policymakers do to help ensure schools have excellent principals who advance teaching and learning for all students?

The diversity of conditions across the U.S. makes it impossible to identify a single state policy prescription, specific strategy for improvement, and sequence for implementation that will enhance the work of principals in the country's nearly 100,000 schools. The 50 states operate with varying needs, capacities, education governance systems, and political cultures.[6] Yet even with that variation, the research informing this report nevertheless identifies three crucial areas leaders across all states can usefully consider as they seek answers to the guiding question just posed. Those three areas are:

- State **POLICY AGENDAS** that address school principals along with other priorities.
- State **POLICY LEVERS** available to state leaders as they attempt to identify and train aspiring principals and support those already on the job.
- The **CONTEXTUAL FACTORS** within states and local communities that affect how state policies or initiatives for principals are likely to unfold in practice.

6 . Elazar (1984); Weber and Brace (1999); Manna and McGuinn (2013); Shober (2010).

Chapter 2

STUDYING STATE POLICY AND THE PRINCIPALSHIP

During the last three decades, The Wallace Foundation has been a national leader supporting the development of research, policy ideas, and implementation strategies to help improve the quality of school principals across the country. Prior reports supported by the foundation have explored in much depth the ground-level work underway in school districts and local schools, including explorations of strategies for training principals,[7] principals as building leaders,[8] and the district's role in supporting and grooming excellent principals.[9] The increasing importance of state governments in education since the 1990s moved Wallace's leadership to undertake a more detailed look at how state policies and practices can influence what principals do.[10] This report is an effort to address that important issue.

The research design informing this report was developed by the leader of the research team (who also authored the report) and research team members working in collaboration with Wallace leaders and staff. In addition to synthesizing findings from prior studies and reports, the research team used multiple methods to gather original evidence and draw its conclusions. Those methods were comprised of the following:

- Conducting ***personal interviews*** with people working in organizations that address state policy and school principals.
- Fielding an ***original expert survey*** to reach respondents working in state government, state associations representing school principals and other administrators, university faculty, members of the media, and others working in the advocacy community or think tanks.
- Analyzing secondary data gathered by the U.S. Department of Education's regular ***Schools and Staffing Survey (SASS)***, which, among other respondents, has surveyed representative samples of principals across the country roughly every three years from the 1987-88 to 2011-12 school years.
- Systematically coding ***coverage of news stories*** in *Education Week* that focus on state policy and school principals during the years 1983, 1993, 2003, 2013, and 2014.
- Analyzing ***leadership initiative sustainability reports*** provided to The Wallace Foundation from its grantees in the field.

7. Mitgang (2008; 2012).

8. The Wallace Foundation (2013).

9. Mitgang (2007; 2013).

10. A Wallace report from the mid-2000s began to identify some of the issues this report explores in more detail; see The Wallace Foundation (2006).

- Selecting a handful of ***state exemplar cases*** for more in-depth study.

The methodological appendix accompanying this report describes in detail each strand of the research plan summarized here.

Chapter 3

PRINCIPALS AND THE STATE POLICY AGENDA

Although nobody would deny that school principals are important, the principal's role has received consistently less attention relative to other topics on state education policy agendas. Policies to improve principals' ability to foster positive changes in schools are gaining traction in some states, and some individual states could be noted as leaders in different aspects of this field. Yet the overall body of evidence reveals that other topics typically receive more attention. Across all of the in-person interviews conducted for this report, no individuals indicated principals were a consistently high agenda item for states. In the broader survey of experts the results were more positive, and some did identify specific states as potential exemplars; still, even among the respondents, 35 percent believed that the crowded policy agenda was a significant or very significant factor that prevented principals from gaining more attention in state-level discussions. In a report on progress in Illinois, often considered a leading state, one stakeholder worried that "the state is in danger of losing the momentum" because of "all of the other initiatives that are also on their agenda."[11]

In contemplating the role of principals on state policy agendas, three key points emerge:

- State policymakers give much more attention to teachers and teacher-related issues than principals.
- The impulse to broaden the scope of "school leadership," although done for understandable reasons, has had the unintended consequence of obscuring the unique and specific roles that principals play.
- Solid reasons exist to increase the agenda status of principals in state policy debates.

3.1 Teachers receive more attention than principals

Arthur Levine, president of the Woodrow Wilson National Fellowship Foundation and former president of Teachers College, has argued that popular discussions of educator effectiveness "are almost singularly focused on classroom teachers" and "often overlook important research on school principals."[12] The contrast between principals and teachers is instructive when one considers popular and scholarly discussion of both topics.

A systematic analysis of *Education Week*, the nation's education newspaper of record, begins to show the differences. Examining news stories for 1993, 2003, and 2013 showed that teachers received between two

11. Baron and Haller (n.d., p. 36). See also Illinois School Leader Task Force (2008, p. 10).

12 . Levine (2015).

to four times more coverage than principals each year, a pattern that remained consistent in 2014, where an additional search produced 317 articles discussing teachers and 97 discussing principals.[13] Across all years, when principals were discussed, the coverage typically focused on local matters and was unconnected to state policy debates.[14]

Social science scholarship, which frequently provides the research backing for state policy changes, similarly devotes disproportionate attention to teachers relative to principals. A systematic review of two leading journals in the field, the *Journal of Policy Analysis and Management* and *Educational Evaluation and Policy Analysis*, for the 11-year span from 2004 to 2015 revealed approximately 1 article devoted to principals for every 13 that focused on teachers. Out of 84 articles that referenced principals or teachers in their titles or abstracts, only 6 offered research related to principals compared with 81 that focused on teachers.[15]

The use of funding for professional development further illustrates the lower priority that policymakers have placed on principals relative to teachers. Professional development for all school staff tends to be a small part of school district budgets, especially during lean economic times, when professional development is slashed. When funds are available, they overwhelmingly support teachers. The use of Federal Title II funds from the Elementary and Secondary Education Act illustrates the imbalance.

Although Title II is called "Preparing, Training, and Recruiting High Quality Teachers and Principals," typically less than 5 percent of Title II funds spent by school districts goes to support professional development for principals.[16] One study by the Colorado Department of Education calculated that of all the funds used for professional development across the state, 0.8 percent was used to develop principals.[17] Teacher development and class size reduction are cited as the main uses of Title II funds. More evidence of the limited priority for principal development is that state education agencies typically do not track the use of Title II funds to see whether they are serving principals' needs.

Certainly, given that there are so many more teachers than principals in the U.S., one would expect Title II funds to tip toward serving teacher needs more frequently. Still, several interview respondents noted that even when Title II funds or other district investments of resources appear to be supporting principals, often the events or activities are really designed for teachers and principals typically are invited to participate or observe. As a result, principals' own professional development issues receive limited attention. In short, efforts to meet the needs of "teachers and school leaders" commonly treat the "and school leaders" part as an afterthought rather than part of the initiative's substantive core.[18] Another pattern is for the time spent in district-level development meetings with principals to focus on discussion of new "mandates, initiatives, and expectations" but not to prepare principals for how to address such matters in their schools.[19] These patterns of spending and attention have led advocates for principals to argue for setting aside a portion of Title II dollars specifically for principal professional development.[20]

3.2 A focus on "school leadership" conflates the principal's role with the roles of other leaders

Headlining school principals on state policy agendas can become more complicated when state officials

13. Search terms and the method of analysis are described in the Methodological Appendix.

14 . Of the 518 articles total across all years that included some discussion of principals, only 2.9 percent discussed principal standards, 3.1 percent addressed principal recruitment, and 1.5 percent examined principal licensing. Policy topics receiving the most attention were principal professional development (6.2 percent) and principal evaluation (7.3 percent), with nearly the entire latter topic being featured in news stories during 2013 and 2014. Even when articles covered matters related to state policy, many did so with a focus on local initiatives. Examples include Bradley (1993a; 1993b), Maxwell (2013), and Supervillev(2015b).

15. Three articles focused on both teachers and principals.

16. U.S. Department of Education (2014); Miller (2015).

17. Medler et al. (2011).

18. This issue was discussed in interviews with respondents 180, 183, 273, 341, 412, 573, 659, and 870.

19. School Leaders Network (2014, p. 8).

20. NASSP and NAESP (n.d.); Sawchuk (2008); Gewertz (2008).

and advocates speak or craft policy language to address "school leadership." Although important, this is a less precise concept that includes much more than the principal. Research and policy debates focusing on this larger topic emphasize the roles that teachers, in particular, as well as guidance counselors and other school staff play in helping ensure that schools perform at high levels and meet the diverse needs of their students. These perspectives see leadership as "distributed" in and around school buildings with teams of leaders charting the overall course for a school.[21]

Although there is much wisdom in harnessing the leadership capabilities of entire school staffs, doing so in policy can blur the important substantive distinctions that exist between the leadership responsibilities of principals compared with those of other school leaders.[22] Principals, after all, are the organizers and stewards of school leadership teams, playing a special coordinating role with different types of leaders across the school. Further, principals often possess authority to distribute key leadership tasks to others, such as naming department heads or teacher team leaders or recruiting and naming staff to school improvement committees. Finally, laws and regulations often assign specific responsibilities to principals, not delegated to other school leaders, for teacher evaluation, administering discipline, managing school funds, and attending district-level meetings. In short, although distributed leadership is a valuable concept, it can easily become no more than a slogan if not carefully considered in light of the varied ways that leadership, including the formal leadership of principals, contributes to school success.[23]

When state and local leaders fail to recognize the distinctions between the principal's role and the roles of other leaders, it can frustrate principals on the job. For example, a recent study of principals in the field quoted one urban principal as saying that the district "came down hard" for the principal's failure to delegate more work to others. The problem, this principal observed, was that "if the paperwork's not in on time, I'm the one who gets called on the project, not the A-team [administrative team], not the leadership team. It's me that gets in trouble."[24]

3.3 Persuasive reasons exist to move principals higher on state policy agendas

Moving principals closer to the center of more state policy discussions can be done, but it will require much sustained effort. Today, there are many reasons principals occupy a relatively lower position on state policy agendas, especially when compared to teachers.[25]

- **SHEER NUMBERS**: The large number of teachers and the political clout that they wield relative to the smaller associations and groups that represent principals and other school administrators is one reason.

- **FAMILIARITY**: Another reason is the greater familiarity that policymakers, especially laypeople serving in state legislatures and on state boards of education, have with the work of classroom teachers. Nearly every state politician attended school and learned from dozens of classroom teachers, but likely many fewer had opportunities to observe the work of principals up close.

- **PRIOR RESEARCH**: Importantly, much social science and education policy research on education has focused on teachers, as noted earlier, in particular their potential contributions to student academic success. Landmark research reports from the late 1990s, noting that it was teaching that "mattered most," helped set the agenda and spur development of state, federal, and local policies in areas like teacher evaluation, recruitment, pay, and training.[26]

- **BIAS TOWARDS THE CLASSROOM**: Lastly, there is the influential view that educational funds are

21. Spillane (2006).

22. Printy and Marks (2006); West, Peck, and Reitzug (2010); Cohen-Vogel (2011); Richardson (1993). Interview respondent 370 also raised these issues.

23. Leithwood et al. (2004, p. 7).

24. Quoted in West, Peck, and Reitzug (2010, p. 247).

25. Discussion of the agenda status in principals occurred with interview respondents 125, 180, 183, 273, 341, 370, 490, 556, 821, 822, and 950.

26. National Commission on Teaching & America's Future (1996; 1997).

wasted if they are not directed to classrooms. Investments in administration, which can include funds to develop principals, hire or train their supervisors who work in district offices, and reengineer state or local administrative processes so state and local education agencies serve the needs of principals rather than simply smother them with compliance tasks, are typically seen as wasteful expenditures on bureaucracy.[27] That view is shortsighted because most school classrooms reside within larger school systems. When those systems function well they can better assist teachers and principals in helping their students learn.

The lower status that principals have on state policy agendas means state officials or advocates interested in principal development and support will have to begin their efforts by building a strong case for why, amidst other competing priorities, principals merit added attention. Substantively, they can muster three especially powerful points to support this position.

- **BUILDING PRODUCTIVE SCHOOL CULTURES**: A growing research base, in education and public management more generally, continues to document the key role principals play in helping their schools succeed. Excellent principals make important contributions to school culture and climate, and have detectable and substantial impacts on student achievement.[28]

- **SUPPORTING TEACHERS AND TEACHING**: Teaching is the core technology of schools, and in the words of one interview respondent, "principals are multipliers of effective teaching." Excellent principals can have a powerful impact on the teachers in their buildings. Principals can help their teachers improve by setting smart professional development agendas at the school; selecting and then supporting accomplished teachers to be department heads or members of school committees dedicated to improving teaching and learning; and working one-on-one as mentors for teachers who need guidance and support.[29] Research shows that a main reason teachers leave the profession is because of weak principals.[30] These findings show that when federal, state, or local resources are used to support principal development it does not necessarily have to create zero-sum trade-offs with support for teachers. In fact, the opposite may occur via the multiplier effects just described. Thus, more resources smartly invested in developing effective principals can, in turn, help support teachers and ultimately benefit students as well.

- **ENSURING THAT STATE INITIATIVES SUCCEED**: Numerous state education policy initiatives developed during the last two decades depend heavily on excellent principals for their success. Teaching to new academic standards, evaluating teachers through in-person observations, and using data to direct the various aspects of a school's daily activities—state leaders have crafted policies and regulations across these areas and will be relying on school principals to help make them work. Without effective principals executing these initiatives with care, they will have little chance of success and, as a result, likely will fail to gain the confidence of teachers, parents, and students.[31]

In some state capitals around the country, and in some leading school districts, support for a focus on principals is catching on. Yet those examples tend to be the exception and not the rule. Even in leading states much room to improve exists. Mustering these arguments and building coalitions to advance them will help to surface the challenges, opportunities, and policy levers that states might consider as they strive to enhance the work that principals do. The next section explores those policy levers in detail.

27. For examples of this line of argument see Shokraii (1998) and Fischer (2015). On the general value of investing in administrative capabilities to improve ground-level practice, even in "reinvented" government settings, see Turnbull and Anderson (2012), Cohen and Moffitt (2009), Salamon (2002), Mead (2004), and DiIulio (2014).

28. Lewis et al. (2010); Cohen-Vogel (2011); Grissom, Kalogrides and Loeb (2015); Printy and Marks (2006); Khademian (2002).

29. Jacob (2011); Cohen-Vogel (2011).

30. Boyd et al. (2011); Borman and Dowling (2008).

31. Tucker and Codding (2002).

Chapter 4

STATE POLICY LEVERS TO CULTIVATE AND SUPPORT EXCELLENT PRINCIPALS

State leaders possess formal and informal powers they can use to serve the goal of ensuring that all schools have excellent principals. This section explores six specific policy levers:

1. Setting principal ***leadership standards***;
2. ***Recruiting*** aspiring principals into the profession;
3. Approving and overseeing ***principal preparation*** programs;
4. ***Licensing*** new and veteran principals;
5. Supporting principals' growth with ***professional development***; and
6. ***Evaluating*** principals.[32]

Although all of these policy levers are available in every state, different conditions within each will make some more attractive or feasible to pull than others.[33]

State and local contexts, discussed later, will certainly influence the choices of state leaders. Further, pulling these levers effectively also will involve carefully considering how to wield state power without exacerbating regulatory complexity or fostering mere compliance. An overall goal to aim for would be to create the conditions under which productive innovations across state agencies and local school districts can flourish and support excellent principals as they, themselves, support teaching and learning in their school buildings. As the examples in this section will show, new laws or regulations do not necessarily need to undermine innovative practices.

4.1 Setting principal leadership standards

Standards for principals are important because they help to define the scope of the principal's job, including what principals should know and be able to do. They also provide an organizing frame to inform principal training, professional development, and licensing practices in states. Respondents to the expert survey were enthusiastic about the role of standards, with 73 percent supporting or strongly supporting having states adopt statewide principal leadership standards. States can consider these actions to leverage the potential of standards:

- adopting principal leadership standards into state law and regulation; and

32. Certainly, there are other ways states can use policy to serve the needs of principals as they lead their schools. State policies that provide financial resources and support valuable research certainly can help. Improving processes to facilitate better overall education governance in a state is another area, as well. This section leaves aside those general topics to focus on policy levers more specifically linked to principals and their work. The next section of the report, which explores broader dimensions of state and local contexts, raises some of these other governance and policy issues.

33. Lewis et al. (2010); Elazar (1984); Manna and McGuinn (2013).

- using principal leadership standards to foster coherence across policies and initiatives aimed at cultivating and supporting excellent principals.

A recent review reported that all but one state has adopted school leadership standards, often drawing upon or adapting standards developed by the Interstate School Leaders Licensure Consortium (ISLLC).[34] Some states, such as Arizona, Louisiana, New Jersey, and Washington, have adopted the ISLLC standards whole cloth. Others, such as Maryland, have used them as an important external reference point. According to David Volrath of the Maryland State Department of Education, the ISLLC standards helped the state "find the missing pieces" as it crafted its own standards. Laying Maryland's draft standards down next to the ideas in ISLLC helped to reveal points of overlap as well as potential gaps, which became important discussion points as the state moved forward.[35] Still, adopting principal standards is only a first step and numerous additional actions remain if standards are to have a positive impact.[36] Consider three, in particular.

- **DIFFERENTIATE AMONG LEADERS**: In adopting principal leadership standards, states need to avoid the problem noted earlier of operating with a single overarching category of "school leader" that elides important differences between principals and other leaders in education. This will require clarifying expectations that apply to all leaders and those that are specific to principals.

- **EMBED STANDARDS IN PRACTICE**: Adopting principal leadership standards is merely a first step. If they only live on paper, they will remain irrelevant in practice. As Ann Duffy, former director of the Georgia Leadership Institute for School Improvement has noted, "one of the challenges for a state is to figure out how you're going to prioritize inside [the ISLLC standards] to drive change."[37]

- **RECONCILE WITH OTHER STANDARDS**: In defining standards for principals, states also could consider standards related to other dimensions of education. In general, the field of education is awash in policy and practice standards addressing content and performance standards for students; practice and evaluation standards for teachers; school improvement standards that help determine which schools are succeeding and which are struggling; and preparation standards for institutions that train school personnel, among others. In addition, there are locally developed standards that school districts craft to guide their own operations.

Thinking about how standards for principals can inform overall state strategies in education will help advance coherent action across a state. Consider these examples of how principal standards have become embedded in other state activities:

- A study of Delaware's efforts noted that the adoption of ISLLC standards helped establish continuity in policy and principal experiences "from pre-service to induction to career" given the role that the standards played in focusing professional development and principal evaluation.[38]

- In Iowa, state leaders have used the ISLLC standards to help foster coherence between numerous state processes including principal licensing, evaluation, mentoring, and other principal training. State officials there have called ISLLC "foundational" for their past and continued efforts.[39]

- Tennessee policymakers used ISLLC to develop the Tennessee Instructional Leadership Standards, which are used to guide requirements in the state's

34. See data compiled by the Center on Great Teachers and Leaders at the American Institutes for Research, National School Leadership Standards Map at http://www.principalstandards.gtlcenter.org/. Maine is the only state that has not adopted standards according to the results. Overall, the map shows the powerful influence of ISLLC, given its adoption and adaptation across numerous states. ISLLC standards are presently being revised and new ones are due by the end of 2015.

35. Volrath's comments were made at Panel 134, General Session III: Rolling Out the New Version of ISLLC, Annual Meeting of the University Council for Educational Administration, Washington, DC, November 2014.

36. Council of Chief State School Officers (2008, pp. 16-17); Southern Regional Education Board (2007); Hanover Research (2013). This topic was discussed in interviews with respondents 88, 111, 370, 490, 821, and 921.

37. Quoted in Olson (2008).

38. Augustine et al. (2009, p. 76).

39. Quoted in Olson (2008).

principal preparation programs, a step on the way to licensure.[40]

- After Kentucky policymakers adopted ISLLC in 1998, the state has used the standards as "the guiding doctrine" for preparing new principals, inducting them into their schools, and evaluating their work.[41]

Using standards in such ways will increase the likelihood that practitioners in the field will find the standards meaningful guideposts as they hone their practice. Otherwise, the standards could well be ignored or, worse, simply spawn yet another set of compliance exercises that will produce lots of paperwork and wasted time, but no substantive improvements.

4.2 Recruiting aspiring principals into the profession

In the decentralized American system of education, it may seem odd to suggest that principal recruitment is a policy lever available to state leaders. Even though recruiting, hiring, and compensating principals are mainly local school district functions, states can wield important powers to influence the pool of potential principal candidates. As one interview respondent noted, states may not play a direct role ushering people into specific principal positions, but they can alter the incentives to which aspiring principals and school districts respond, which can influence recruitment practices.[42] States can consider these actions to support principal recruitment:

- facilitating coordination between local school districts and preparation programs in the recruitment of aspiring principals;
- altering incentives to increase the chances that people who seek principal certification actually intend to become principals;
- supporting special institutes, including leadership academies, to identify potentially talented principals, usher them into the profession, and support them on the job; and
- forecasting future trends in anticipated principal vacancies to help direct recruitment toward meeting specific state needs.

State policy can encourage or require different degrees of coordination between local school districts and principal preparation programs as potential candidates are selected for training. In Florida, for example, whereas anyone can choose to enter a university program to acquire an assistant principal credential (Level 1 certification), the state has made school districts themselves responsible for identifying and developing candidates for the principal's role (Level 2 certification). Sometimes districts produce their own training in-house, typically in larger communities, but in other cases districts work in consortia with universities to select cohorts of aspiring principals for training. Because the state has made districts responsible for this function local officials have strong incentives to identify the best possible candidates.[43]

Additional incentives can make it more or less attractive for individuals to pursue administrator credentials. One well-known phenomenon is for people to seek principal certification to receive the higher salaries paid in education to those who acquire additional degrees, even those with little or no intention of becoming a principal.[44] More than a majority of respondents to the survey of experts (61 percent) identified this as a significant or very significant problem. State policies or incentives that permit such practices end up encouraging people to seek training that will not be used for its intended purpose. As a result, valuable resources are wasted. Instead, such funds could have gone toward identifying and then supporting candidates with more potential to become successful principals in the future or toward funding better

40. Sun (2011, pp. 6-7).

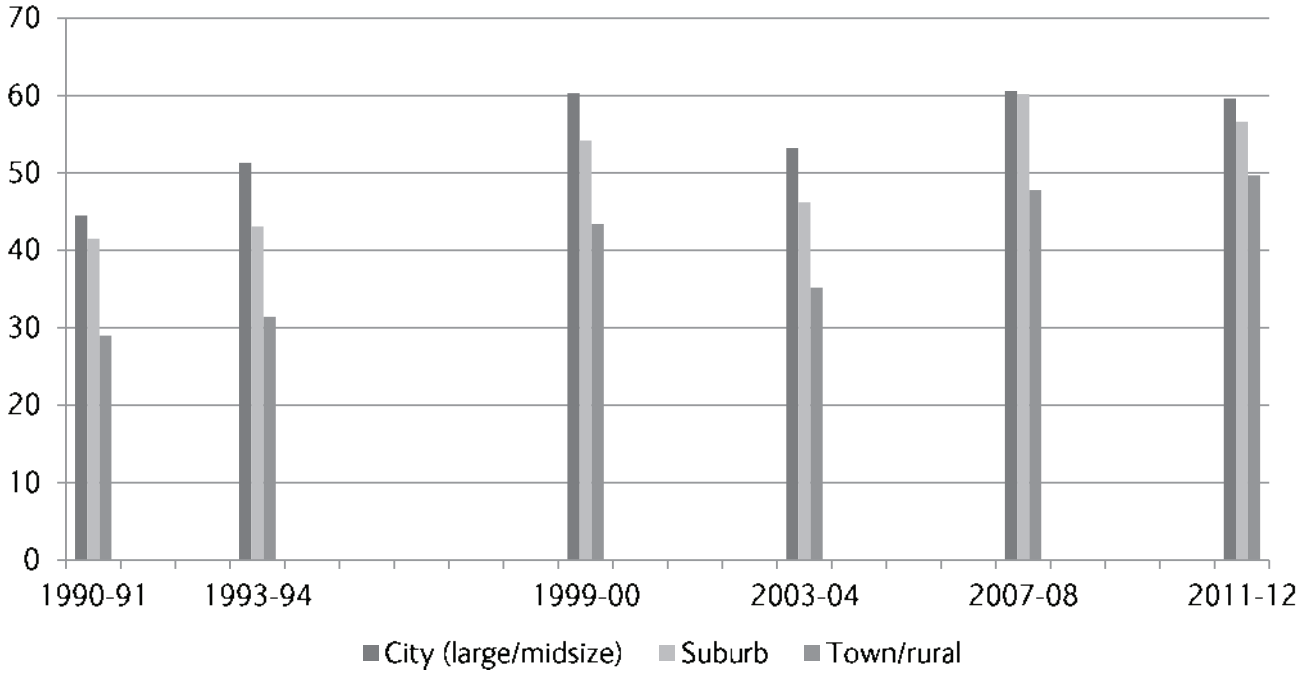
41. Browne-Ferrigno and Fusarelli (2005, p. 131).

42. Interview with respondent 921. Additional discussion of this issue occurred with respondents 125, 370, 412, and 659.

43. Information on Florida's requirements is available at http://www.teaching-certification.com/teaching/florida-principal-certification.html. See also the Florida Administrative Code (6A-4.0081) at https://www.flrules.org/gateway/ruleno.asp?id=6A-4.0081.

44. Southern Regional Education Board (2007); New Leaders (2013).

FIGURE 1. Percentage Of Public School Principals Reporting That They Participated In An Aspiring Principal's Program Before Becoming A Principal, By School Year



NOTE.—N-sizes for each cell are reported in Table 4 in the methodological appendix; Source: Author's analysis of SASS data.

professional development opportunities for principals already on the job.

Also, states can act in ways that have more direct effects on recruitment. For instance, Maryland began the Governor's Promising Principals Academy in 2015, a yearlong program to support and train assistant principals who aspire to become principals. The Maryland State Department of Education plans to train 48 assistant principals (two assistant principals selected by superintendents from each of the state's 24 districts). The goal of the program is to help create a principal pipeline while simultaneously alleviating the steep learning curve that new principals experience.[45]

Other states, such as Delaware, Massachusetts, Minnesota, North Carolina, and New Mexico, have provided state financial support to principal leadership academies. These academies offer numerous services, including training new principals and helping veteran principals become better mentors to their current assistant principals and teachers. Sometimes they are run as summer programs focused on principal professional development. The Kentucky Leadership Academy, operating since 1996, has helped usher new principals into the profession while also supporting the work of existing principals. Training has included meetings with state education agency officials and sessions designed to help principals prepare for implementation of the state's teacher evaluation system, as well as a focus on general management practices to improve school climates and assess the instructional needs of teachers.[46]

Finally, because states have access to data about principals across their schools and districts, refinements to state data systems could also support efforts to fore-

45. Mitchell (2015). Maryland's program was discussed with interview respondent 954. For more information see https://sites.google.com/site/promisingprincipals/.

46. Darling-Hammond et al. (2007, pp. 142-3); Haynes (2007, p. 4). Additional information on the Kentucky Leadership Academy is at https://server.kasa.org/kasa/KASAMember/Leadership_Development/KLA/KY_Leadership_Academy.aspx.

cast overall state and local district needs for principals. That can help the state, institutions that prepare principals, and school districts become more strategic as they attempt to staff schools with outstanding principals each year. Additionally, more attention to strategic recruitment can increase the number of principals from underrepresented communities. This is important because research has shown that principals' identities can be associated with student outcomes, such as placement in gifted or special needs classes, drop-out rates, and disciplinary experiences.[47] States are a long way off from having such systems in place to support more nuanced and systematic recruitment efforts, but a current collaborative effort led by the Center for Reinventing Public Education, working with education officials from a dozen states, has begun to identify ways states can begin the work.[48]

Fortunately, states can build on what appears to be an increasing trend across the country that has supported strategic recruitment of principals. Questions on the SASS since 1990-91 have asked principals about whether they participated in an aspiring principals program before becoming a principal. As Figure 1 shows, the percentage of principals reporting they have done so has generally increased over time. Although urban and suburban principals report more participation than their counterparts in small towns and rural communities, overall the upward trends are apparent regardless of location.

47. Meier (1993). Results from the expert survey conducted for this report show strong support for augmenting minority recruitment. Approximately 80 percent of survey respondents either supported or strongly supported principal preparation programs expanding recruitment from traditionally underrepresented groups and communities. One study of the Aspiring Principals Program in New York City found that a concerted effort to recruit African-American and Latino candidates has led to an increase in the number of principals of color in the New York City schools (Corcoran, Schwartz and Weinstein 2012, p. 233).

48. Campbell and Gross (2012). See also Southern Regional Education Board (2007) and Sparks (2013). This issue was discussed in interviews with respondents 370 and 821, as well.

BRINGING HIGH-QUALITY PRINCIPAL TRAINING TO NORTH CAROLINA'S RURAL DISTRICTS

Located 75 miles east of Raleigh, Tarboro, N.C., population 11,300, is a town known for preserving its history, especially its 250-year-old town commons. In recent years, though, something new has come to Tarboro, in the form of middle school principal Erin Swanson, a graduate of the first class of the Northeast Leadership Academy, NELA, an award-winning effort to train principals for North Carolina's high-poverty rural schools.

"I knew I wanted to get into school leadership," says Swanson, principal of Martin Millennium Academy. "I wanted to get closer to kids and to schools and communities, and I wanted to get back to rural eastern North Carolina. For me, that was why NELA was so appealing. I knew that the mission was very much aligned with my own personal goals, which were to be able to try to lead change in rural eastern North Carolina."

Principal training programs are typically based in cities, university towns or other larger population centers, making it difficult for rural areas to build a large corps of effective school leaders. NELA was the brainchild of Bonnie Fusarelli, a North Carolina State University professor who recognized the unmet need in the Tar Heel State, where almost half of students attend rural schools. Founded at N.C. State in 2010 with state and foundation support, and with Race to the Top funding, NELA works with 14 rural school districts in the state's northeast region.

As of 2015, three cohorts of 20 to 25 NELA Fellows had completed the two-year program, earning a graduate degree and principal license, and two more were making their way through the program. Some 90 percent of graduates had been placed in schools, with roughly three quarters working as principals or assistant principals.

Superintendents recommend candidates for the program, but admission hinges on how they do in real-world scenarios like conducting a teacher conference or writing a memo to parents about a school emergency. Their performance is evaluated by a team including NELA faculty, current principals and teachers. Such activities help convey to potential candidates the main focus of the program, which Fusarelli describes as being organized around "authentic problems of practice."

NELA classes and other learning experiences are grounded in national school leader standards. The program also provides mentoring from both a current principal and an "executive coach" (typically a retired principal or superintendent); a year-long, in-school internship; and a summer grant-writing internship at a community organization. Swanson says the grant-writing experience exemplifies how NELA prepares Fellows for the reality of leading a rural school. School finance discussions, she says, were "specifically about the financial challenges faced by districts and schools in rural areas ... [and] about things we could do to garner additional financial resources for our kids. That was something that was critical for us but may not be critical for every principal."

In 2014, the University Council for Educational Administration awarded NELA its Exemplary Educational Leadership Preparation award. Now, federal funding is helping the program extend training to principals already working in the region's rural schools.

OTHER EXAMPLES OF ACADEMIES OPERATING WITH STATE SUPPORT INCLUDE:

- **Delaware Academy for School Leadership (DASL).**[1] Formed in 2000, DASL provides several programs and services including an 18-month principal preparation program; coaching and mentoring for school districts interested in developing their new or veteran principals; and training for principals to implement Delaware's teacher evaluator system. DASL, which has received Wallace Foundation support, has a national reach, serving principals in 12 states, in addition to Delaware.

- **Kentucky Leadership Academy (KLA).**[2] Since 1996, the academy has helped to organize principal professional development in the state. The Kentucky Department of Education created KLA, also a recipient of Wallace Foundation support, based on feedback from school districts working to help their struggling schools improve. Participants are drawn from around 10 (depending on the year) regions across the state. The theme for the 2014-15 school year was training principals for implementation of the state's new teacher and principal evaluation systems.

- **Minnesota Principals' Academy.**[3] The academy began its work in 2007 to meet the needs of principals already on the job in Minnesota's schools. It emerged from the collaborative effort of faculty at the University of Minnesota, the Minnesota Department of Education, the Minnesota Elementary School Principals' Association and the Minnesota Association of Secondary School Principals. The Academy uses both face-to-face methods (cohort workshop meetings, seminars and study groups) and web-based teaching and learning. Its curriculum is based on the program of the National Institute for School Leadership (NISL).[4]

1. Information on the Delaware Academy for School Leadership is at http://www.dasl.udel.edu/why-dasl/. See also Darling-Hammond et al. (2007, pp. 132, 136-7).

2. Information on the Kentucky Leadership Academy is at https://server.kasa.org/kasa/KASAMember/Leadership_Development/KLA/KY_Leadership_Academy.aspx. See also Darling Hammond et al. (2007, pp. 142-3).

3. Information on the Minnesota Principals' Academy is at http://www1.umn.edu/mnprin/index.html. See also Boldt (2011) and Cagle (2007).

4. Information on NISL is at http://www.nisl.net/.

4.3 Approving and overseeing principal preparation programs

States possess unambiguous authority to oversee the organizations that prepare principals, and they also approve the specific degree programs that institutions of higher education offer. Traditionally, such preparation programs have resided in colleges of education. Data from the federal Integrated Postsecondary Education Data System (IPEDS) shows that in 2012-13, the latest year available, 706 institutions of higher education offered a master's degree in educational administration (a common on-ramp for principal certification).[49] The provider landscape is shifting, however, with non-traditional providers, such as non-profit organizations and on-line institutions operating in many states, now preparing principals as well. Even within traditional universities, new programs are emerging in nontraditional places, such as the Rice University Education Entrepreneurship Program, located in the Jones Graduate School of Business at Rice University, which provides students with an MBA and has been approved by the State of Texas as an alternative provider for principal certification.[50] The existence of this diverse marketplace suggests an important role for states to play in promoting quality and helping provide information to potential principal candidates so they can select strong programs that will prepare

49. Many thanks to Frank Perrone at the University of Virginia who provided data. According to the IPEDS website, the system gathers data from "every college, university, and technical and vocational institution that participates in the federal student financial aid programs." For more information see https://nces.ed.gov/ipeds/.

50. Information on the Rice program is at http://business.rice.edu/reep.aspx.

them to become excellent principals.[51] States can consider these actions to oversee and approve principal preparation programs:

- remaining attentive and not simply delegating oversight and approval processes to national accrediting bodies;
- taking a fresh start by sunsetting current programs and requiring them to meet a high set of standards before being allowed to admit future students;
- using licensing authority to create incentives for programs to improve;
- serving as an information clearinghouse on program offerings and quality; and
- being careful not to overregulate so that strong programs maintain the flexibility to innovate and adapt quickly to changing circumstances or opportunities.

States traditionally have delegated responsibility for program oversight to national accrediting bodies and simply accepted the judgments of those accreditors about the quality of their principal preparation programs. A study of current state laws and regulations on this matter by the University Council for Educational Administration (UCEA), a consortium of higher education institutions that trains school leaders, found that although all states require preparation programs to adopt leadership standards from a nationally recognized organization, many states still do not provide substantive oversight. The UCEA researchers found that 23 states require program reviews at regular intervals; 27 incorporate study of documentation and site visits for initial program oversight; 26 require oversight teams to have relevant experience and training; and 25 have oversight processes that include a feedback mechanism to programs to help them improve. Considering these four elements as a group, 15 states have none of them in place; 35 have at least one; and among that larger group, 17 states have all four.[52]

Even though much rhetorical support exists for forcing poorly performing programs to improve or shut down, with less attention from state policymakers such actions have been rare events. As a result, researchers, members of the advocacy community, principals themselves, and even some university faculty working in educational leadership commonly argue that programs need to improve, and some are so weak they should be closed.[53] The sources of these critiques typically focus on the limited connections between program offerings and actual practice, the lack of mentoring or other valuable field experiences, and the focus on course completion rather than skill development.

One reason such efforts are rare is that they can be politically divisive if the process is not designed in a way that incorporates participation from the groups and organizations affected. Results from the expert survey bear this out: only 32 percent, far less than a majority, supported the approach of sunsetting and then applying new standards to pre-existing programs; however, 58 percent did support closing programs that, if given time and support to improve, nevertheless still did not live up to standards.

Despite the generally limited attention and resources states have devoted to program oversight, some states have used their program approval authority in more aggressive and creative ways. Two of the best-documented cases are Illinois and Kentucky. Since 2000, both states sunsetted their preparation programs and required them to meet a new set of more rigorous and relevant program expectations to continue operations. Those that were unable to meet the new expectations were given time to adjust, but risked closure if they did not demonstrate improvements. [See a sidebar about Illinois' and Kentucky's efforts on p. TK as well as a timeline of their work in the Appendices.]

51. Darling-Hammond et al. (2007); Murphy, Moorman, and McCarthy (2008).

52. Anderson and Reynolds (forthcoming). General information on UCEA and its member institutions is at http://www.ucea.org/.

53. Levine (2005); Tucker and Codding (2002). Concerns about program quality were commonly expressed in panels the research team attended at the Annual Meeting of the University Council for Educational Administration, Washington, DC, November 2014. These themes also emerged in interviews with respondents 125, 556, 821, and 921.

Short of closing programs that fail to provide principal candidates with useful training, states can take other measures as they execute their oversight responsibilities:

- **LINK TO LICENSING**: States can alter their licensing requirements or prerequisites for aspiring principal candidates to enter a principal preparation program, such as eliminating certain course requirements, when the evidence shows that those requirements ultimately do not improve principals' ability to succeed on the job. In Kentucky, for example, when the state's professional standards board announced it would consider allowing candidates without master's degrees to enter principal preparation programs, implying that these degrees lacked substantive value, principal preparation programs and the degree tracks that feed into them were motivated to improve because such a change would have decreased demand for certain courses.[54]

- **STATE AS INFORMATION CLEARINGHOUSE**: States also can provide an information clearinghouse function by gathering and sharing with programs basic descriptive data about program operations to help them improve and learn from one another, and to guide subsequent state interventions, if needed. Depending on the quality of the data and the potential confidentiality issues involved, states could consider publishing those data to help school districts and aspiring principal candidates identify substantively strong programs.[55] This is important because research has shown that aspiring principals trained by poor providers may end up choosing not to become principals because they feel unprepared to do the job.[56] Unfortunately, because aspiring principal candidates often pay for their own training, financial incentives and lack of geographic mobility may push them to choose programs based on cost and convenience factors, not substantive quality.

In wielding authority for program oversight, it is important for states to treat this work as substantively important and not simply another exercise in compliance. Doing this work well is demanding, as officials in Tennessee have learned. Although leaders in the Volunteer State have upgraded the criteria they use to approve principal preparation programs, even with policy that is "well written and strong," noted Emily Carter from the state's department of education, "the challenge is in the implementation of the approval process."[57]

One specific implementation challenge is that standards or oversight systems should be able to clearly differentiate poor programs from the rest so that excellent programs can operate effectively, develop new innovative practices, and strategically adapt to changing school environments. Representatives from programs at the University of Denver and North Carolina State University, recipients of UCEA program awards in 2014, expressed this important caution. Both noted that in attempting to clamp down on weak programs, states, unfortunately, could craft rules that ignore the "complexity" of training principals and end up being "barriers to continuous improvement."[58]

54. Augustine et al. (2009).

55. Discussion at Panel 209, State and Federal Policy Impacting Leadership Preparation, Annual Meeting of the University Council for Educational Administration, Washington, DC, November 2014.

56. Schutte and Hackmann (2006); interview respondent 821.

57. Cheney and Davis (2011. p. 30).

58. Comments from Susan Korach (Denver) and Bonnie Fusarelli (NC State) were made at Panel 060, We Know What Effective Leadership Preparation Looks Like: Featuring the 2014 Award Winning Programs, Annual Meeting of the University Council for Educational Administration, Washington, DC, November 2014. See also Buskey and Polizzi (2012).

NEIGHBORING STATES TACKLE THE REDESIGN OF THEIR PRINCIPAL PREPARATION PROGRAMS

Illinois and Kentucky share more than a small border. They also have adopted a common strategy for improving the preparation of their principals. Over the last 15 years, both have required their principal preparation programs to meet new standards for state approval, with the goal of improving the quality and relevance of the training that principals receive.[1]

In the early 2000s, discussion in each state began largely in academic circles, in Kentucky's case, with the leadership program faculty participating in the Commonwealth Collaborative for School Leadership Preparation; in Illinois's, the faculty and staff at the Illinois State University Center for the Study of Education Policy (CSEP). These early conversations (supported by The Wallace Foundation) helped stoke statewide movements that eventually would involve dozens of groups and hundreds of participants.

Their efforts suggest three key lessons for other states contemplating similar paths.

The redesign work has been collaborative and inclusive, involving participants from inside each state and sometimes outside as well.

In Kentucky:

- An initial Principal Redesign Summit drew 70 participants representing 33 stakeholder groups, including principal associations, university leaders, and state officials.
- Then, meetings across the state helped state policymakers, especially Education Professional Standards Board officials who would be charged with approving the program redesigns, to gather input on legislation and administrative rules.
- Input came as well from representatives of national groups, including the Council of Chief State School Officers, National Association of Secondary School Principals, National Association of State Boards of Education, National Conference of State Legislatures, National Governors' Association, and Southern Regional Education Board.

In Illinois:

- The state Commission on School Leader Preparation, convened by the Illinois Board for Higher Education, included school leaders and university faculty from across the state, as well as state agencies and business leaders.
- A gubernatorial task force drew from similar groups to continue the collaborative approach, with committee work co-led by PreK-12 and higher education leaders.
- The legislature passed a new law that acted on the task force recommendations, thus advancing the effort, also with broad stakeholder input, to craft rules governing the procedure for "sunsetting" and renewing state program approvals.

State leaders have taken a patient and methodical approach.

In both states, policymakers and others have invested more than a decade of effort to develop and roll out their plans. It is no small feat that the initiatives have survived numerous changes in state elected and appointed leadership as well as the Great Recession. That the work has stayed on track underscores the importance of its collaborative nature. Fostering change among the more than 40 institutions in Kentucky and Illinois that prepare aspiring principals—working in urban, suburban, and rural areas—requires much attention to anticipate how new requirements are likely to play out in practice.[2] One price of this approach is that it takes time to complete the work. The anticipated payoff, though, is an environment in which the

1. Baron and Haller (n.d.); Illinois School Leader Task Force (2008); Cheney and Davis (2011); Browne-Ferrigno (2011; 2013); Kentucky Cohesive Leadership System Design Team (2008).

2. According to data for 2012-13 from the U.S. Department of Education's Integrated Postsecondary Education Data System, Illinois has 34 and Kentucky has 12 institutions of higher education that offer master's degrees in educational administration, a common preparation path for aspiring principals enrolled in traditional university-based programs. Data are available at https://nces.ed.gov/ipeds/.

programs themselves take ownership of the larger effort rather than treating it only as a compliance exercise.

The program redesigns are important to shaping effective principals. They also confront challenges in implementation and sustainability.
Although they differ in details, the Illinois and Kentucky program redesigns have common features to encourage sound training, including that the programs:

- Develop closer collaborations with school districts to identify promising candidates for the principalship and reflect local needs in courses and other experiences.
- Offer learning experiences relevant to the work of principals, which requires emphasis on practice and applications of theory.
- Work with their collaborating school districts to identify talented principal-mentors who could take on new trainees.

In implementing the new requirements, the two states have confronted complex realities. For example, both Kentucky and Illinois are home to dozens of small rural school districts that often are far from the institutions of higher education that prepare principals. This complicates forging program-district partnerships and recruiting mentor principals. As one Illinois faculty member has noted: "We have great ideas, we do some phenomenal reshaping of programs, pass laws that have potential to truly change the landscape for children but fall down on implementation."[3]

Kentucky's experience points to challenges in sustaining efforts. For example, the Kentucky Principal Internship Program, which has received accolades from researchers and helps accomplish the goal of providing practice-based learning, has flitted in and out of existence due to budget cuts.[4]

Still, the difficulties have not diminished the appetite of Illinois or Kentucky stakeholders for achieving the objectives of the redesigns, and that bodes well for the future. Clearly, the patient, inclusive efforts that helped each state reach its current point have helped cultivate that spirit.

See a timeline of the Illinois and Kentucky efforts in the Appendices.

3. Baron and Haller (n.d., pp. 28-9).

4. Darling-Hammond et al. (2007) describes the internship program's successes and its sustainability challenges. Information on the program's suspension for budgetary reasons is at http://www.epsb.ky.gov/internships/kpip.asp.

4.4 Licensing new and veteran principals

Principal licensing is another area in which states wield unambiguous authority. One interview respondent called it the state's key power because by exercising this gatekeeping function states allow some individuals into the profession and prevent others from becoming principals in public schools.[59] Licensing also dovetails with principal recruitment because states can choose to define not only a traditional path to the license but also alternative paths, as 29 states have done according to the UCEA analysis of current licensing policies.[60] That approach, which often involves allowing people to substitute life or work experiences in place of formal course work, is not without controversy, though, as illustrated in the expert survey. Less than a majority of respondents (36 percent) supported or strongly supported alternative paths for licensure. States can consider these actions as they use their licensing authority:

- Connecting licensing requirements as much as possible to the real-world conditions and practices that principals experience on the job; and
- Delegating the authority to license principals to entities beyond the state that have a strong track record of developing principals.

59. Interview respondent 125. This issue was a topic of discussion with interview respondents 127, 412, and 659.

60. Anderson and Reynolds (forthcoming).

Looking across the states, the UCEA analysis cited shows that the most common elements states require for initial licensing are teaching experience (40 states), a master's degree from an accredited preparation program (33 states), and successful marks on some sort of assessment (29 states); in addition, 27 states have some process for license renewal. Across all four of these elements, Ohio was the only state with none, and 10 states had all four.[61] Substantively, then, principal licensing has tended to be tied to prior work experience in schools, course-taking, and measured hours of training.

How states wield licensing powers can enable licensing to be a substantively important step in a principal's career or yet another area where approaches based on compliance and box-checking dominate. Typically, obtaining a license has been closely tied to training in traditional preparation programs. These programs have been criticized for offering many courses that focus on management functions without also incorporating new offerings geared toward more contemporary challenges. Licensing provides a lever to alter that combination of courses, however. Illinois, for example, recently has been praised for including pre-K expectations in its licensure process for principals, which recognizes the growing evidence associated with early learning on ultimate student success.[62]

Further, in states where principals are required to renew their license after a set number of years, sometimes called "tiered licensing," a rigorous renewal process can steer principals toward more valuable and strategically chosen professional development opportunities that prepare them to take on new responsibilities and roles. That is likely to be more effective approach than allowing principals to amass a grab bag of courses or conference experiences that may be of limited use to individual principals or the districts where they work.[63]

Although it is uncommon, some states have begun to experiment with licensing provisions that require aspiring principals to demonstrate their competencies, through actual practice, in various aspects of the principal's job. This has the potential to bridge the gaps between theories that principal candidates frequently learn in class and the real world of schooling. Massachusetts is one state in the process of transforming its licensing expectations so they are more grounded in practice, using the state's Performance Assessment for Leaders (MA-PAL) for new principals.[64] Other states, including California, Delaware, and Ohio, require candidates for advanced licensure to assemble portfolios of artifacts based on their practice.[65] Still, opinion in the expert survey was divided on the matter of performance-based licensing with more respondents expressing some level of disagreement (51 percent) than agreement (39 percent) with this approach, while others were neutral on the matter (10 percent). Whether that diversity of opinion potentially stems from performance-based licensing being a relatively new phenomenon, the potential costs associated with it, or some other factor is unclear.

The impact of state actions around licensing can reach beyond the individuals seeking to become principals because states can choose to delegate this authority to other entities outside of state governing bodies. It is common for state agencies or boards to be the organizations that administer the licensing function. In some places, though, the state has distributed this power, as in Massachusetts, which affords it to the school districts in Springfield and Boston, and in North Carolina, where the Northeast Leadership Academy, located at North Carolina State University, possesses it.[66] The expert survey respondents were quite favorable toward such approaches, with 70 percent saying they supported or strongly supported allowing non-traditional organizations to license principals.

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61. Anderson and Reynolds (forthcoming).

62. Brown et al. (2014). For additional discussion of Illinois's experience see Szekely (2013).

63. Southern Regional Education Board (2007). As an example, Cator et al. (2015) have described how a system of "micro-credentials" could be a way to steer principals toward more valuable development experiences.

64. Information on MA-PAL is at http://ma-pal.com/.

65. Roach, Smith, and Boutin (2011, p. 23).

66. Augustine et al. (2009), Haynes (2007), and Archer (2006) describe Boston and Springfield. The description of NC State is from comments of Bonnie Fusarelli at Panel 060, We Know What Effective Leadership Preparation Looks Like: Featuring the 2014 Award Winning Programs, Annual Meeting of the University Council for Educational Administration, Washington, DC, November 2014.

In Colorado, the state has developed a principal licensure system that provides multiple pathways towards licensure. All principal applicants must pass the Program for Licensing Assessments for Colorado Educators (PLACE) exam, have a bachelor's degree and have three years of experience as a licensed professional in a school, but an applicant can choose whether to complete a university-run or alternative preparation program. Although the Colorado Department of Education maintains control over its principal licensing power, the state has structured the licensure process so principals in different districts have different opportunities for participation in principal preparation programs.

Denver Public Schools has taken advantage of this opportunity and partnered with two universities and two alternative programs to provide preparation opportunities for their principals.[67] Denver Lead Today (DLT) and Catapult are the two alternative programs designed to prepare participants who are active principals or vice principals.[68] DLT prepares principals to work in all kinds of schools, while Catapult focuses on preparing experienced leaders to work in schools that have struggled. Denver principals also can participate in preparation programs at the University of Denver Morgridge College of Education's Ritchie Program for School Leaders or the Executive Leadership for Successful Schools program as well as the University of Colorado Denver's Administrative Leadership and Policy Studies program.

4.5 Supporting principals' growth with professional development

Today, essentially all professions face pressures to adapt to evolving challenges and expectations. As a result, keeping one's skills and knowledge up to date through continuous learning is absolutely essential. With each new policy initiative, technological advance, or demographic shift, school principals frequently find they need added training to help them lead their schools well. As a practical matter, then, one should assume, argues Jacqueline Wilson, director of the Delaware Academy of School Leadership, preparation programs for new principals essentially are akin to "boot camps" that teach the basics and do not obviate the need for continuous professional development.[69] States can play a role in helping ensure those experiences benefit their principals. States can consider these actions to support principal professional development:

- Studying current state priorities to create a better allocation of resources that help teachers and principals gain access to high-quality professional development;
- Mustering resources and expertise that can serve local school districts as they set their professional development priorities; and
- Providing support for principal professional development designed to help principals implement ambitious state initiatives.

Typically, states have played a relatively small role in the professional development of their principals. In a personal interview, one respondent called it the "most overlooked" area.[70] An earlier section described how funding for professional development typically is directed to the needs of classroom teachers or, if offered to teachers and principals simultaneously, teachers' needs are prioritized. The limited attention principals receive from state policymakers is compounded when budgets become tight because of competing priorities or economic downturns. In those conditions professional development of all kinds is cut.

Recent survey data from the SASS indicate that nearly all principals have some sort of professional de-

67. Superville (2015a); see also information from the Denver Public Schools at http://careers.dpsk12.org/pathways-to-school-leadership/.

68. Information on Denver Lead Today is at http://careers.dpsk12.org/denver-lead-today/. Information on Catapult is at http://www.catapultleadership.org/.

69. Wilson's quote is from comments at Panel 120, The New ISLLC Standards: Building a Future of Excellence in the Profession, Annual Meeting of the University Council for Educational Administration, Washington, DC, November 2014.

70. Interview with respondent 822. See also the earlier discussion regarding Title II funding.

MASSACHUSETTS CHARTS A NEW PATH TO PRINCIPAL LICENSURE

On paper, Sylvia Jones, a high school instructor in Massachusetts, appears well qualified to be a principal. Along with her years of work in the classroom as a certified teacher and her graduate degree in education leadership, her work experience includes a previous career in business.[1] But beyond what her résumé describes, is she ready to lead a school?

Across the country, many states rely upon traditional written licensure tests to help determine whether a candidate is ready to take on the principal's job. Not so in Massachusetts, home of the new Performance Assessment for Leaders (referred to as PAL or MA-PAL), which is attempting to improve principal licensing by making it a more substantively meaningful process. In the words of Massachusetts Commissioner of Elementary and Secondary Education Mitchell Chester, who helped jumpstart principal licensing reform when he took office: "Unlike standard paper and pencil tests, PAL will include performance assessment tasks that more closely reflect the authentic work of school leaders, aligned to state indicators."[2]

The result is more than a new licensure procedure. Because preparing aspiring principals to excel in a performance-based licensing experience is much different from ensuring that they are ready to pass a conventional licensing exam, PAL has triggered discussions and efforts in principal preparation programs to revamp curricular offerings and teaching methods. PAL, then, provides an example of how state policy for licensing could have a broader impact, one that affects the experiences of aspiring principals as they prepare to lead schools.[3]

PAL was field-tested during the 2014-2015 school year. Principal hopefuls like Jones, who successfully completed PAL, had to complete a major task in each of four areas considered crucial for effective school leadership: setting a vision for high student achievement; shaping a professional learning culture; observing, assessing and supporting teacher effectiveness; and engaging families and the community. Jones and others documented their completion of each task using written and video evidence.[4]

As a participant in the PAL field-test, Jones's experiences revealed some of the potential promises and challenges confronting the state as it moves to this new licensing approach. To demonstrate her ability to support teachers, for example, Jones observed faculty members in classrooms and provided feedback to help them improve, an experience she considered valuable preparation for the principalship. Completing the other three required PAL tasks was less useful, she said, in part because it was hard to find substantively rich projects in her school that would allow her to meet PAL's detailed requirements.

Moreover, each task required between 40 and 50 hours for Jones to complete, a large amount of time that nevertheless is consistent with what PAL's authors expected. Terry Orr, director of the Massachusetts Performance Assessment for Leadership Project and one of its lead designers, acknowledges the work involved. "It is time consuming," she said, "because it is designed for candidates to authentically demonstrate their leadership work, which takes time."

Massachusetts remains on the frontier of efforts to make licensing procedures a better reflection of the principal's job. How the new process plays out and is refined as it moves forward will begin to be seen as PAL implementation begins in the 2015-2016 school year.

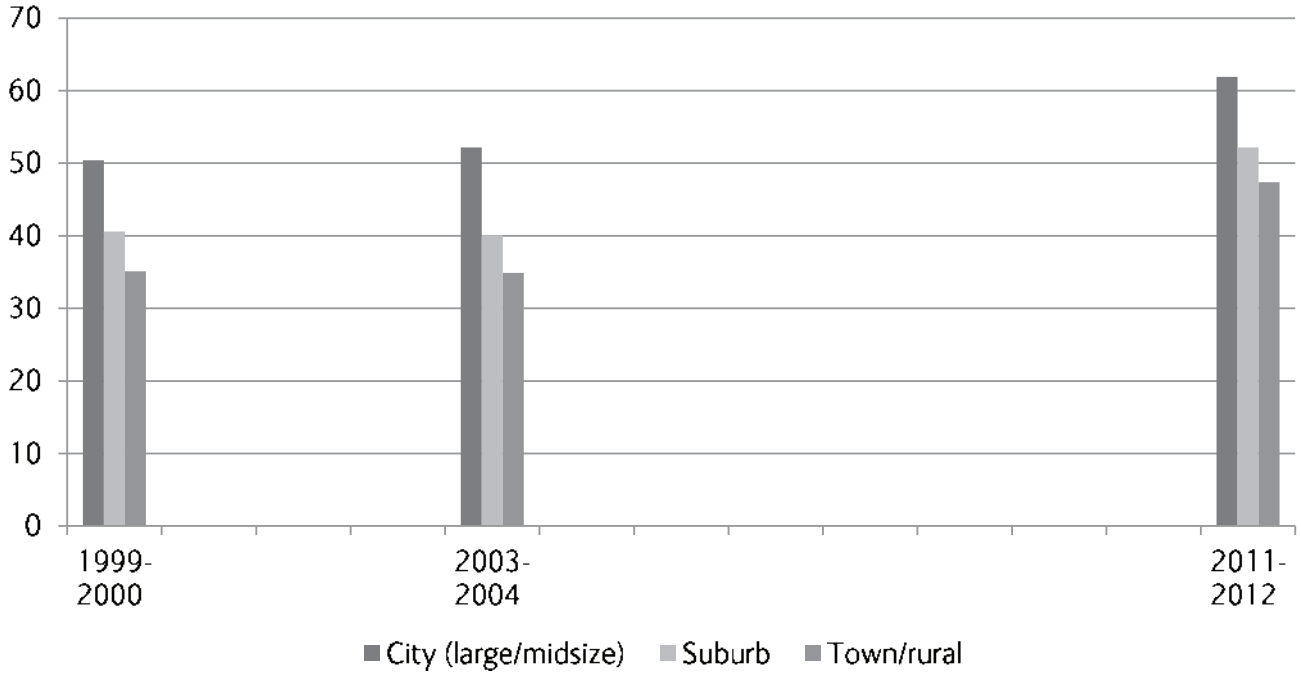
1. The name "Sylvia Jones" is a pseudonym representing an actual person who completed the MA-PAL process during its field-test in 2014-15.

2. Mitchell D. Chester. "Performance Assessment for Leaders Project." Memo. October 23, 2012. http://www.doe.mass.edu/news/news.aspx?id=7112.

3. Discussion of these broader impacts occurred at Panel 148, Performance Assessment for Principal Licensure: Opportunities, Challenges, and Early Findings, Annual Meeting of the University Council for Educational Administration, Washington, DC, November 2014.

4. Citation: Information on MA-PAL is available from the Massachusetts Department of Education at http://ma-pal.com/.

FIGURE 2. Percentage Of Public School Principals Reporting That They Received Mentoring Or Coaching During The School Year



NOTE.—N-sizes for each cell are reported in Table 8 in the methodological appendix; Source: Author's analysis of SASS data

velopment experience each year.[71] As Figure 2 shows, though, one of the most effective forms of professional development, mentoring or coaching[72], appears available only to about half of the nation's principals, although the trends in participation are moving upward. Relatively large disparities exist between principals in cities, who reported the highest levels of mentoring or coaching, and principals in suburbs or small towns and rural areas.

Although the content of principal professional development is overwhelmingly driven by choices in local school districts and schools, state policymakers do have potentially constructive roles to play either directly or indirectly. For example:

- **TAKING A SYSTEMATIC APPROACH**: Six states have developed systematic statewide initiatives with the National Institute for School Leadership (NISL), a principal training organization offering a program based on the ISLLC standards and research on leadership across various fields. In Pennsylvania, for example, NISL has partnered with the state education agency to develop a statewide program for novice principals and assistant principals that, since beginning in 2005, has helped foster networks and improve the skills of hundreds of principals across the state.[73]

- **LICENSING**: As noted earlier, state requirements for renewal of principal licensing can help steer principals toward professional development that is tied to important skill sets or knowledge.[74] That

71. Author's analysis of SASS for 2007-08 and 2011-12. These professional development experiences as reported on the SASS can include taking university courses, visiting other schools, conducting research, mentoring or coaching, participating in a principal network, or attending a workshop or conference as a presenter or listener.

72. Mitgang (2007); Grissom and Harrington (2010).

73. Information on NISL is at http://www.nisl.net/executive-development-program/our-reach-map/. For details about Pennsylvania's work see http://www.nisl.net/proven-results/pennsylvania-department-of-education/.

74. Interview with respondent 111. See also Southern Regional Education Board (2007).

way, licensing requirements can serve broader strategic goals rather than simply creating new sets of boxes for principals to check off as "done."

- **FORECASTING**: Part of the state forecasting function, yet to be developed across the states in a systematic way, has particular relevance for professional development as well. Numerous principals retire each year, and some could be tapped to help train up-and-coming novices, or become program developers working with state leadership academies or as adjunct faculty in traditional institutions of higher education.[75] Cultivating such networks of retired principals and connecting them to current principals in the field can serve a state well.

Importantly, states have adopted a demanding set of policy initiatives during the last five to ten years, many of which require significant knowledge and attention from school principals. Those initiatives likely will stumble during implementation unless principals are prepared to help carry them out. Kentucky is one state, for example, that is attempting to build on its prior work to develop a more strategic yet flexible approach to training its principals and teachers as the state moves to using the Common Core standards. The state has used this transition as a pivot point to think more broadly about the on-going training that can help principals and teachers succeed in this new environment. Much work remains as the effort rolls out.[76]

In addition to training principals to lead in environments where expectations of students are changing, principals also need additional learning opportunities to carry out the more demanding roles they are coming to play in implementing state teacher evaluation systems, a task that often requires them to conduct systematic classroom observations and use other data and methods to assess teacher performance.[77] Put simply, it is in the interest of state policymakers to invest in principal professional development or else major state initiatives, crafted in state legislatures, boards of education, and state education agencies, are likely to fail. Further, without adequate support, the problem of principals frequently churning from one school to another or simply out of the profession entirely will undermine the ability of states and districts to produce sustained improvements and consistently high levels of excellence in their schools.[78]

4.6 Evaluating principals

The growing momentum in recent years for evaluation has led states to adopt new systems to evaluate principals. One report has described how numerous recent state efforts have created a "changing landscape" in this area.[79] To echo a common theme discussed in other sections, so far policymakers and researchers alike have spent much more time and effort exploring implications of different approaches to teacher evaluation and much less on evaluations for principals. Given the field's limited experiences with principal evaluation, no set of best practices yet appear to exist, and much remains to be learned. States can consider these actions as they decide how to proceed with principal evaluation:

- remaining flexible during implementation as new knowledge surfaces about how principal evaluation systems operate in practice; and

- learning from other states' experiences about potentially promising strategies that then can be incorporated into their own principal evaluation systems.

According to the National Conference of State Legislatures, since 2010, 36 states have passed laws requiring principal evaluations; and 22 states were rolling out new principal evaluation systems in 2014 and 2015.[80] As part of these efforts, states are increasingly using student performance as part of principal evaluations, and doing so in different ways. In Delaware, 20 percent of a principal's evaluation is attached to student performance, whereas in Georgia and Ohio, 50 percent of the principal's evaluation involves student

75. Campbell and Gross (2012).

76. Interview with Respondent 490. See also Berry et al. (2012).

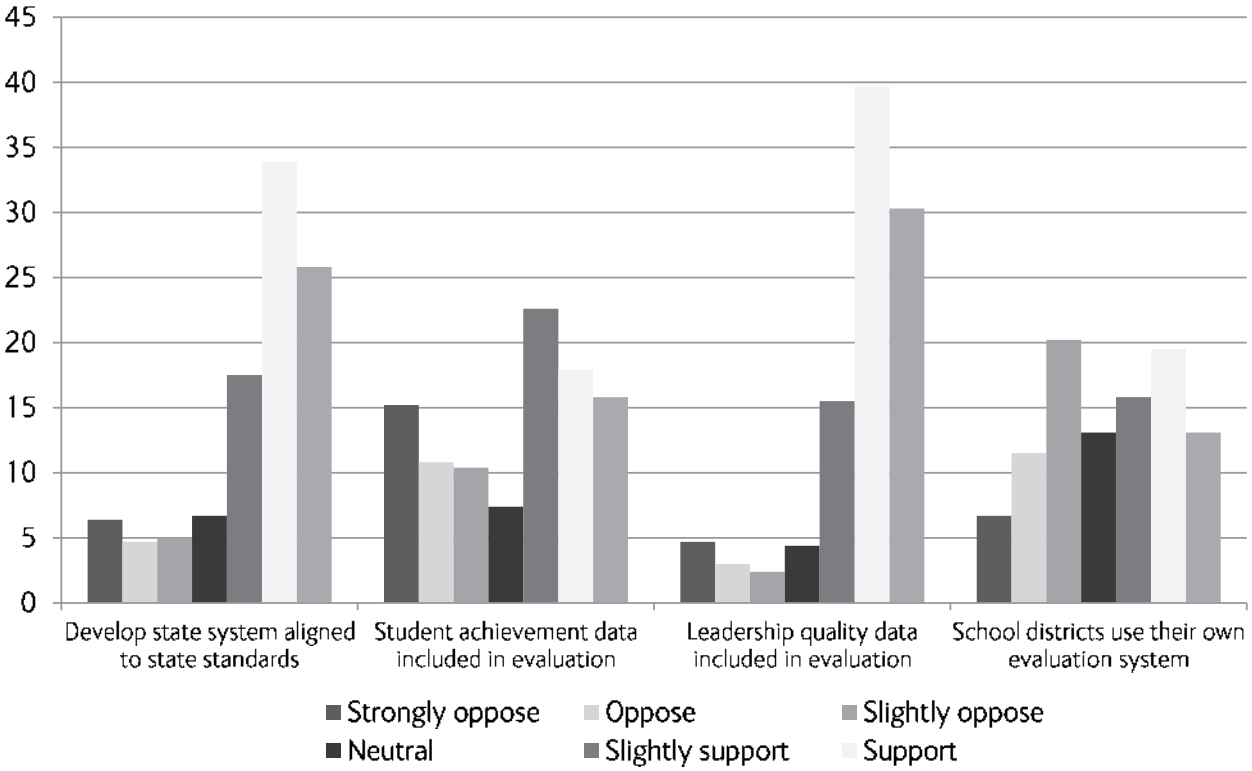
77. Interviews with respondents 273, 341, 412, and 659.

78. School Leaders Network (2014).

79. Jacques, Clifford, and Hornug (2012).

80. Zubrzycki (2013).

FIGURE 3. Percentage Of Expert Survey Respondents Supporting Different Aspects Of Principal Evaluation



NOTE.— N=298 for the first block of results and N=297 for the other three. Source: Author's survey of experts. See the methodological appendix for details on the survey.

performance measures. Some states are using a "matrix model," a combination of student performance and teacher effectiveness to assess principals. In Connecticut, student performance accounts for 45 percent of principal evaluations and 5 percent of the evaluation involves teacher effectiveness measures. National associations that represent principals have called for student achievement growth to account for 25 to 35 percent of a principal's evaluation.[81]

Results from the expert survey, reported in Figure 3, illustrate some of the mixed opinions in the field about principal evaluation. Although much support exists for aligning principal evaluations to standards and incorporating measures of leadership quality into principal evaluations, no consensus emerged among the expert survey respondents about whether student achievement data should play a role in principal evaluations or whether local school districts should be able to use their own systems instead of those defined by the state.

Additional data from the 2011-12 administration of the SASS show that although nearly all principals say they were evaluated in the previous year or two, only about half indicated student test score growth figured into the evaluation. Moreover, city schools and those in towns and rural communities varied widely, with rural areas less likely to incorporate student achievement data.[82] It is unclear from the SASS how many of these evaluations emerged from state mandates or simply local practices.

Based on the expert survey data, SASS data, in-person interviews, and the research that does exist on

81. Superville (2014).

82. Author's analysis of SASS data for 2011-12.

the subject, it would be sensible for states to move forward with caution, especially as they consider how to integrate data about student performance into state-mandated principal evaluation systems.[83] The field has much to learn, still, about how to build upon prior work on evaluating principals, such as the VAL-ED (Vanderbilt Assessment of Leadership in Education) system now used in districts across the country, before considering whether and how such approaches might be rolled into state-mandated (rather than simply local) systems for evaluation.[84] What to do with those evaluations, and whether state policy should address principal employment or pay, for example, raises additional issues as well. As states continue to engage these topics, crafting policy and regulations to ensure maximum flexibility will be wise as it is likely future adjustments will be required. Researchers who have studied this topic in depth have recommended states be willing to learn from each other's experiences as they develop their own practices and routines.[85]

Leaving technical matters aside, one fundamental question for state policymakers to answer is who should be responsible for evaluating principals. Larger school districts commonly employ principal supervisors, but they are tasked with many jobs and these roles can sometimes conflict with each other, as when supervisors serve simultaneously as mentors and evaluators. Further, principal supervisors are commonly stretched thin with many more principals to supervise than can be handled effectively. In those environments it is common for principal supervision and evaluation to be exercises in compliance rather than focusing on the growth of leaders.[86] State policymakers interested in developing initiatives to require principal evaluations must grapple with this important capacity issue.

The potential benefits of careful state attention to principal evaluation extend potentially beyond individual principals. Recall the earlier discussion in this report of principals being multipliers of effective teaching practice. One could envision a parallel dynamic at work here in the broad area of evaluation and hypothesize that principals who themselves are evaluated in substantively meaningful and relevant ways will in turn be more effective when they turn to the task of administering teacher evaluations. Having experienced what an effective evaluation looks like and feels like, principals may well be better prepared—beyond the formal training, if any, they receive from their state or school district—to conduct effective evaluations of their schools' teachers.

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83. Interviews with respondents 370, 490, 548, 821, 950, and 954. For an example of how different assumptions embedded in principal evaluations can change the judgments those systems render, see Grissom, Kalogrides, and Loeb (2015).

84. Information on VAL-ED, which was developed with support from The Wallace Foundation, is available at http://www.valed.com/.

85. Jacques, Clifford, and Hornug (2012).

86. Corcoran et al. (2013).

Chapter 5

CHAPTER 5. GETTING FROM HERE TO THERE: ASSESSING STATE AND LOCAL CONTEXTS

The policy levers described in the previous section are available to state leaders across the nation. But states' specific histories, political environments, approaches to education governance, and past policy experiences can influence how those levers will influence educational practices in schools. This section highlights four contextual factors for policymakers to consider before and as they set their policy priorities:

1. Distribution of powers within state **education governance** systems.
2. District environments with **diverse local conditions** and needs.
3. Level of **state and local capacities** needed to implement policy.
4. Overall **web of state policies** and the demands they create for principals.

Thoughtful consideration of these state features—which can influence how agendas are set, how state initiatives are designed, and ultimately how those initiatives are carried out—will boost the odds of success as states attempt to develop and support excellent principals in their schools.[87]

87. In addition to state policymakers, others who would benefit from developing appreciation for these contexts are federal officials attempting to make policies that affect principals across the country and advocacy groups that develop policy agendas and then attempt to persuade leaders within or across different states to adopt them. The history of education policy change in the United States, not simply regarding principals but across multiple areas, illustrates that potentially promising ideas are bound to disappoint when crafted without deep study of the contexts where they aspire to influence practice. See Tyack and Cuban (1997), Cohen and Moffitt (2009), and Manna (2011); for classic illustrations of this idea in other contexts see Pressman and Wildavsky (1984), Bardach (1977), Wilson (1989), and Lin (2000).

5.1 State education governance: Web of constraints and source for opportunities

When studied from afar, the 50 states look remarkably alike. After all, they all contain similar institutions and organizations that govern K-12 education: governors' offices, legislatures, and state education agencies. Moreover, all but Minnesota and Wisconsin have state boards of education. Up close, however, how these organizations and other state institutions manage their internal affairs, wield authority, and interact with each other (as well as local schools and interest groups) can vary tremendously.[88] Attending to the state education governance context is important because it:

- affects all aspects of education policy in a state;
- involves numerous state government organizations and actors, which attempt to balance diverse and sometimes conflicting constraints and incentives; and

88. Manna and McGuinn (2013); Shober (2010).

- creates potential veto points that can stymie action but also provides multiple venues through which smart ideas can enter the policy process.

The complexity of education governance manifests itself in numerous policy areas relevant to principals. Consider these illustrative examples:

- **FUNDING**: State funds for education, including money for principal professional development or training programs in colleges and universities, emerge from the appropriations process in state legislatures. Federal dollars sometimes simply pass through state education agencies on their way to local school districts, yet in other cases state agency heads have some flexibility in how they use the money. Still other federal funds are used to hire state agency staff who administer federal programs.

- **PRINCIPAL PREPARATION**: Some states have separate boards for higher and K-12 education, meaning that issues relevant to principal preparation may be taken up simultaneously in different places. In Delaware, for example, aspiring principals can complete preparation programs outside of traditional universities. In order to operate, those programs must have approval from the state board of education, the professional standards bureau, and the state education agency.[89]

- **PRINCIPAL LICENSING**: In roughly a dozen states, such as Georgia, for example, professional standards boards serve as powerful oversight bodies that manage certification of principals and other educators. These organizations work with school districts as well as principal preparation programs, which themselves also are overseen by other state agencies or boards, to ensure public school employees possess the proper credentials.[90] In some states these organizations are relatively new; Texas created its State Board for Educator Certification in 1995, which altered the governance dynamic in that state.[91] Other states locate these powers in their state education agencies or state boards of education.

Governance involving multiple state institutions with overlapping jurisdictions can create gridlock and hamper efforts to improve a state's cadre of principals. Indeed, among the expert survey respondents, 77 percent believed the complexity of state education governance was a significant or very significant challenge confronting states interested in improving the quality and effectiveness of their principals. Leaders across different institutions possess different time horizons and respond to different incentives.[92] Elected officials commonly think in two- and four-year blocks of time, coinciding with election cycles, while career officials in state agencies may have a longer-term view.

Institutional disagreements can produce challenges for implementers on the ground.[93] Examples abound, as in principal evaluation. Legislators may pass laws that require speedy changes in principal evaluation systems, but leaders and bureau managers in state education agencies charged with administering those laws may discover they create unanticipated consequences for local school districts that legislators had not contemplated. These state agency officials might prefer more flexible alternatives, which can be spelled out (and altered more easily if needed) in state agency or state board regulations or guidance documents, instead of state law.[94]

Additionally, governance of principal preparation programs, which involves state policymakers from an array of institutions, can create cross-pressures for programs that are trying to adapt their offerings. State boards governing principal preparation or program approval that wish to sanction or close poorly performing programs may be stymied by legislators who represent the communities where those programs reside. Gubernatorial directives or legislative

89. Author's conversation with a Delaware department of education official.

90. For Georgia see http://www.gapsc.com/. The organization that represents such organizations is NASDTEC: http://www.nasdtec.net/.

91. Ramalho et al. (2010).

92. Interviews with respondents 490 and 556. See also Manna and McGuinn (2013) and Shober (2010).

93. Interviews with respondents 412 and 659. See also Ramalho et al. (2010), Manna and McGuinn (2013), and Shober (2010).

94. Interviews with respondents 556, 573, and 870.

appropriations may seek cost-saving measures by pushing institutions of higher education to offer additional on-line courses, which could limit opportunities for more expensive, yet effective, field experiences for principal training.[95]

Fortunately, there are some silver linings that accompany such governance complexity. One virtue of distributing authority across state agencies and boards is that it creates several spots where state leaders can consider potentially promising ideas about how to better meet principals' needs. As a result, ideas and coalitions can develop in diverse places. In Illinois, initial ideas to change principal preparation across the state emerged from faculty and staff members at Illinois State University working in partnership with professional organizations and others in the state. Their efforts, which received support from The Wallace Foundation, eventually built momentum and attracted other supporters outside of government and, subsequently, within the state education agency and legislature. The result of this collaborative and award-winning work across different venues in Illinois was the passage of bipartisan legislation to improve principal preparation programs. Implementation is now under way.[96] [See a sidebar about Illinois' efforts (and similar work in Kentucky) on p. TK as well as a timeline of their initiatives in the Appendices on p. TK.]

5.2 Diverse locales: Principals in urban, suburban, and rural communities

As one respondent noted in a personal interview, "Every state has a lot of little states in it."[97] This is a design principle state policymakers can usefully consider as they craft efforts to staff all schools with excellent principals. Put another way, recognizing important differences among localities—as well as variation within local communities across income and race, for example—can help inform state policy decisions designed to improve local practice. Still, the challenge will be steep, as expert survey respondents noted: 82 percent said the diversity of local school districts creates a significant or very significant challenge to state policies, programs, or regulations regarding principals.[98] Attending to the diversity across urban, suburban, and rural settings is important because it:

- incorporates a broader range of voices into state policy debates, helping reveal differences but also common concerns across school districts;
- reveals opportunities or constraints, depending on the locality, for principal recruitment and professional development efforts; and
- underscores the need for the state to play a strategic coordinating role to ensure district needs are met across a state.

One obvious way districts vary is the degree to which they operate in relatively more urban or rural settings. These differences have important implications for how aligned state policies will be with local needs and for which voices are likely to have more influence in state-level conversations. One interview respondent noted, for example, that in more rural states, professional associations representing principals are too small to operate independently, so they frequently team up with superintendents' organizations, which can have the effect of diluting or overshadowing the perspectives of principals in state policy debates.[99]

One can see how these urban and rural differences play out across several of the policy levers described earlier. First consider principal recruitment. Evidence

95. Darling-Hammond et al. (2007).

96. Illinois received the 2014 Frank Newman Award for State Innovation from the Education Commission of the States. See http://education.illinois-state.edu/downloads/csep/franknewmanrelease.pdf.

97. The quote is from interview respondent 556. As a group, the interview respondents were of mixed opinions about whether states had done well or poorly at differentiating their approaches in principal policy when attending to local diversity. Although many believed states could do much better, some saw signs of improvement. States commonly mentioned as being most sensitive to these matters were relatively smaller, such as Maryland, where it is easier for state officials to be more knowledgeable about local conditions and can more easily engineer close and trusting working relationships with local district leaders.

98. See Lewis et al. (2010, pp. 276-8) for a concrete illustration with actual school districts.

99 In general, the urban and rural distinction was a common theme that surfaced in the personal interviews. Results from SASS data presented in the report also illustrate these distinctions.

from the SASS, cited earlier in Figure 1, shows that over the last two decades the proportion of principals who entered the profession via an aspiring principals program has increased substantially across all types of communities. Notice, though, that urban communities see almost two-thirds of their principals coming from these programs, while fewer than half of principals in rural settings do.

Urban systems also have huge numbers advantages that serve them well in recruitment. Not only do they tend to draw more people, likely because of the higher pay and many attractions present in cities, they also are large enough to support numerous assistant principals, a natural pool of future principals. These larger numbers also increase the chances that supportive professional networks of principals will develop and ameliorate the isolation that many principals can experience on the job. Rural communities often struggle to recruit a steady stream of talented principals to replace those who retire or leave for other opportunities. These challenges can be exacerbated when state policies for principal licensing become more demanding and have the effect of limiting even further the potential pool of applicants from which rural school districts can draw.

Another area in which urban and rural communities differ is in principal professional development. Larger districts in urban areas often have ready access to universities and other organizations that can provide development opportunities. School districts in urban areas also typically employ larger numbers of administrators, which can enable principals to participate in professional development or other activities, given the abundance of assistant principals (a luxury in rural settings) who can manage school operations on days the lead principal is absent. State and federal funding formulas may also disadvantage rural communities given that the dollars that flow in may be too small in any one district to support useful principal professional development.

Without coordination at the state level, the onus is on rural school districts to engineer creative collaborations to meet their preparation and ongoing professional development needs. That is one area where state education agencies, for example, can assist by running regional or statewide workshops and by writing regulations or supporting programs that make it easy for districts to pool their resources for co-programming. Consider these examples.

- The Governor's Promising Principals Academy in Maryland, described earlier, intentionally recruits two assistant principals from each school district across the state, rural, suburban, and urban alike.

- In certifying principals in Florida, which, as noted earlier, state policy delegates to school districts, rural districts often form consortia with a regional university to develop shared principal training programs.

- In North Carolina, three regional leadership academies, operating with state support, work to prepare principals specifically for that state's rural communities and develop others already working there. This helps to overcome a difficult challenge that exists for rural communities in states where preparation programs are required to form partnerships with districts. Isolated rural communities often find it difficult to meet those requirements when they are far from university campuses.[100]

The challenge of making state policy for diverse local contexts does not mean there are no commonalities that cut across districts and schools. As one interview respondent cautioned, beginning with differences rather than similarities can foster division rather than collaboration that can reach creative solutions to the common needs or problems in urban, suburban, and rural communities.[101] Certain fundamental concepts cut across diverse settings, such as the need for principals to have access to excellent training and ongoing support once they are on the job. How those experiences are engineered and adapted to local contexts is a core implementation challenge for states to address. In short, differences may be most significant when it comes to the "how," not the "what," of cultivating

100 On rural challenges, see Browne-Ferrigno (2011). For examples of urban advantages, see Kaimal et al. (2012).

101. Interview with respondent 921. Parallel themes emerged in interviews with respondents 88, 111, and 370.

and supporting excellent principals across a state's diverse communities.

5.3 Capacity to implement: Moving policy into practice

Rolling out state initiatives and then sustaining them to improve practice requires state and local capacities, including talented personnel, technical expertise, and funding. The expert survey respondents strongly agreed: 70 percent believed a lack of state or local administrative capacity was a significant or very significant challenge to state principal initiatives; even more (81 percent) thought the same about inadequate state or local funding; and another 81 percent said a lack of long-term commitment by state elected and appointed officials to initiatives also was a significant or very significant challenge. Attending to the capacity demands state policies create is important because it:

- identifies gaps between state policy ambitions and the ability of state and local agencies to fulfill them;
- can surface potentially valuable network partners outside of government that state officials can turn to as they seek to ameliorate capacity deficits; and
- helps state officials differentiate between low-capacity districts and more high-capacity locales, which themselves can be sources for future state innovation.

One reason states struggle to accomplish their educational objectives is that state education departments, the key organizations responsible for carrying out and overseeing multiple dimensions of state (and federal) policy, have lost much of their personnel and funding over the last three decades. These losses have occurred even as their responsibilities have mushroomed.[102] As legislatures have clawed back their support, state agency staffs have shrunk—"decimated" and "hollowed out" were descriptions used by two interview respondents.[103] When state investments diminish, these agencies become even more dominated by the routines of carrying out federal programs as Washington's footprint in K-12 education has grown. Contracting out is often posed as a solution to shrinking internal capabilities, but even contracting requires agency capabilities that are not necessarily plentiful.[104]

Further, without local funding, staffing, and technical expertise, state requirements designed to enhance the work of principals likely will fail to have their intended effects. When principal mentoring programs are established in law or regulation, but then not funded, it is unsurprising that principals report they lack opportunities for the mentoring that evidence shows can improve practice. Limited funding is one reason why even a state like Kentucky, frequently considered a leader for principal development and support, has struggled to provide internships for principals. The Kentucky Principal Internship Program, which has been celebrated in prior research, has been inconsistently funded and presently is suspended through the end of the 2014-2016 budget cycle. [105]

Or as another example, take the role of principal supervisors in local school districts. Frequently overburdened because they have too many principals under their wings, supervisors typically struggle to meet the professional development needs of their principals. As a result, their jobs become focused on compliance with state and local mandates rather than support, which can create tensions between them and the very principals with whom they work: if supervision is mainly focused on compliance, then principals may be reluctant to express concerns or seek help to ameliorate their weaknesses. Compounding these problems is that principal supervisors themselves lack opportunities to develop their own skills as professionals and mentors. Even if more time were available for them to play a supportive role, many would struggle to do

102. On the general challenge of limited state education agency capacity see Manna (2006; 2011), Cohen and Moffitt (2009), Turnbull and Anderson (2012), Lusi (1997), and Lewis et al. (2010).

103. The quotes were from interviews 111 and 125.

104. Jochim (2014).

105. Darling-Hammond et al. (2007, pp. 137 and 144). The latest budget update on the Kentucky Principal Internship Program is at http://www.epsb.ky.gov/internships/kpip.asp.

so because they have not been prepared for that sort of work.[106]

In an era of scarce resources and little political appetite to enhance administrative capacity—the "dollars to the classroom" bias again—one important role that state education agencies can play is to help foster networks of public, private, and non-profit organizations that can help identify or create new capacities to support policy implementation. There is an extensive literature, for example, on effective partnerships between school districts and principal preparation programs, some mandated or encouraged by state policy, as they have collaborated to solve problems and use resources for principal training and professional development more wisely.[107] Members of the business community also have general interests in leadership and have been a source for ideas in many states.[108]

Additionally, state education agencies can benefit from working with networks and consortia to develop knowledge on how to cultivate and support excellent principals and share that knowledge across state lines. This can include collaborations with professional organizations that represent principals and work closely with them. In Michigan, for example, the state principal association has developed a strong working relationship with the state education agency and, as a result, holds regular planning meetings that can smooth implementation of current initiatives as well as generate new resources by seeking outside grants.[109] Other networks can emerge when key state leaders, often elected officials, use their bully pulpit to create working groups that assemble interested parties from across the state. The recommendation from the Southern Regional Education Board for states to create education leadership task forces via gubernatorial executive order or legislation is one example.[110] Efforts to adjust Illinois's principal preparation programs benefited from the work of such a task force.

Finally, an idea that dovetails with the earlier point about diverse localities is that state actions can support savvy local leaders as they independently seek out resources to seed new initiatives or support prior commitments. Such local effort can generate new ideas and capabilities that can then have ripple effects across an entire state. An evolving partnership in Kentucky between the state government and the Jefferson County Public Schools (JCPS), which serves the Louisville metropolitan area, is an example of how local innovations can help transform state policy.

As one evaluation of JCPS's work argued, "most of the state leadership initiatives originated in the work of JCPS."[111] These included taking ideas developed in JCPS about how to create partnerships between school districts and principal preparation programs, and then applying those ideas to districts across the entire state. Thus, an additional reason to account for local contexts is not only to differentiate between urban, suburban, and rural needs but also to ensure that creative districts are not hamstrung or burdened with compliance activities written into state laws or regulations that may be crafted with low-capacity districts in mind. Local creativity can help create new models that can be the basis for broader statewide improvements, thus fostering additional state and local capabilities.

106. Corcoran, Schwartz, and Weinstein (2012).

107. Orr, King, and LaPointe (2010). This excerpt from Kaimal et al (2012, pp. 905-6) is an example of the richness of the partnerships that can develop: "[the program] brings the need, the context, and the talent of skilled educators [in Philadelphia] aspiring to high school leadership; Lehigh University brings experience in the design and delivery of leadership preparation; the NASSP [National Association of Secondary School Principals] brings established expertise in secondary school reform and assessment of leadership skills; and Temple University brings skill and experience in conducting rigorous evaluations, combined with a deep knowledge of the specific context of the district. .. While each organization has responsibility for particular domains. . . the partnership was created with an explicit expectation that the partners would contribute to the overall creation, development, and support of the program."

108. Southern Regional Education Board (2007); Tucker and Codding (2002); Baron and Haller (n.d.).

109. The Michigan example was described in the interview with respondent 88.

110. Fry, O'Neill, and Bottoms (2006); Southern Regional Education Board (2007).

111. Augustine et al. (2009, p. 39). Additional discussion of JCPS's contributions to broader work across the state is explored elsewhere in Augustine et al. (2009). The general topic of local creativity as a source for additional ideas and capabilities was discussed with interview respondents 125, 370, 412, 659, and 821.

5.4 View from the main office: State policy and the principal's perspective

The last two decades have been an era of rapid policy change in education, which has had huge implications for the daily work of the nation's principals. State leaders and authors commonly note how these changes have fundamentally transformed the school principal's job. Yet, as Lesli Maxwell, assistant managing editor at Education Week, aptly notes, "Managing buses, budgets, and buildings is still central to the job, but the current generation of principals—and the generation that will succeed them—also must oversee colliding rollouts of some of the most dramatic shifts in public schooling in more than a decade: more rigorous academic standards, new assessments, and retooled teacher-evaluation systems."[112]

WHO HELPS SUSTAIN EFFORTS TO PROMOTE THE DEVELOPMENT OF EFFECTIVE PRINCIPALS?

In 2014, 30 state and local organizations that had received Wallace Foundation grants for efforts to improve principal effectiveness were surveyed by Wallace and asked, among other things, to rate the importance of various organizations in helping them to sustain their efforts. The responses indicate that numerous state organizations, especially state education agencies, have been crucial in supporting a diverse menu of programs after the foundation's funding ended. As the figure below shows, on average, the state education agency was rated as "important" for helping to sustain such programs (a score of 3.0), yet so were other organizations working outside of the state government (also rated a 3.0 on average). These organizations represent a wide span of interests, from business councils to teachers unions, from local school districts to charter schools. In fact, the results show that these other organizations were rated, on average, as being more important than the governors' office, the state legislature, and the state board of education. The results underscore the diverse roles that different governmental and non-governmental organizations have played in helping to develop and support excellent principals in the states.

Importance of different organizations for Wallace-supported projects that were "fully" or "mostly" sustained by Wallace grantees, 2014.

Organization	Average importance rating
State education agency	3.0
Other groups in the state	3.0
State colleges or universities	2.8
State board of education	2.5
State legislature	2.3
Non-profit organizations in the state	2.2
Governor's office	2.0

Note: Wallace grantees were asked to rate the state institution's level of importance in helping to sustain Wallace-supported projects that were "fully" or "mostly" sustained. The response options were: 1=not important at all; 2=not too important; 3=important; and 4=very important. Average scores reported are based on reports from 30 Wallace grantees.

Attending to the overall scope of policies that affect principals is important because it:

- enables state leaders to better understand how their policy initiatives alter the tasks principals must complete each day;
- highlights situations where state policies create layered and potentially conflicting demands on principals; and
- suggests a strategy of addition by subtraction, meaning that as state policymakers advance new priorities for principals, they can simultaneously explore ways to dismantle older or less important responsibilities that occupy principals' time.

Although the evidence does show that contemporary policies and expectations have created new demands for the nation's principals, it is debatable whether the principal's role has undergone a wholesale transformation. A different perspective holds that rather than having their jobs transformed—i.e., changed from one thing into another—principals appear to be bearing more and more weight as old responsibilities persist and, through incremental additions, new ones are layered on top of them that expand the number of tasks to be completed each day.[113] As many interview respondents noted, the nation's principals realize that they are now expected to be savvy users of data and instructional leaders in their buildings, but it remains true, as one respondent said, that "the old stuff can still get you fired."[114] What likely appears transformative to some observers, perhaps, is the magnitude of the more recent additions and their more proximate connection to the core school activities of teaching and learning. Although some principals undoubtedly are working in districts where their roles have been transformed, the evidence shows the typical principal's job as being comprised of numerous traditional and new tasks on an ever-expanding to-do list.

Data from the SASS support this view of layering, and Figure 4 provides the key results. While principals reply that they are exercising more and more power over matters such as evaluating teachers and setting school performance standards, they remain equally responsible for traditional activities, such as setting school discipline policies and managing budgets and school spending. In 2011-12, for example, 78.7 percent of principals reported having a great deal or major influence over setting school discipline policy, a traditional task demand, while newer tasks such as setting student performance standards and establishing curriculum fell below that, at 72.7 and 44.3 percent reporting that same level of influence, respectively. In short, the building management function, often described as less important today, still commands much attention from principals and, as the trends in Figure 4 show, principals say it has become more important over time.

The reality of the work facing principals should give state leaders pause. Looking at the vast number of principal responsibilities to which state policies have contributed, onto which local policies have created added demands, it is no wonder that stress levels and attrition remain high among the nation's principals.[115] One principal has explained, for example, that she will "sometimes arrive [at work] before 6:00…and [go] home at 2:00 in the morning, long enough to shower and lay down for an hour and get back up…It takes my nighttime hours to do what you're supposed to be doing as a principal—all the paperwork…It's easy for me to spend 20 hours a day up here and not think anything about it. But I also know that's not healthy."[116] As principals' responsibilities have expanded, in particular into roles as evaluators and instructional leaders, the time in their day to attend to other matters has dwindled. In some states, for example, if principals were to abide by the letter of the law in executing their responsibilities for conducting teacher

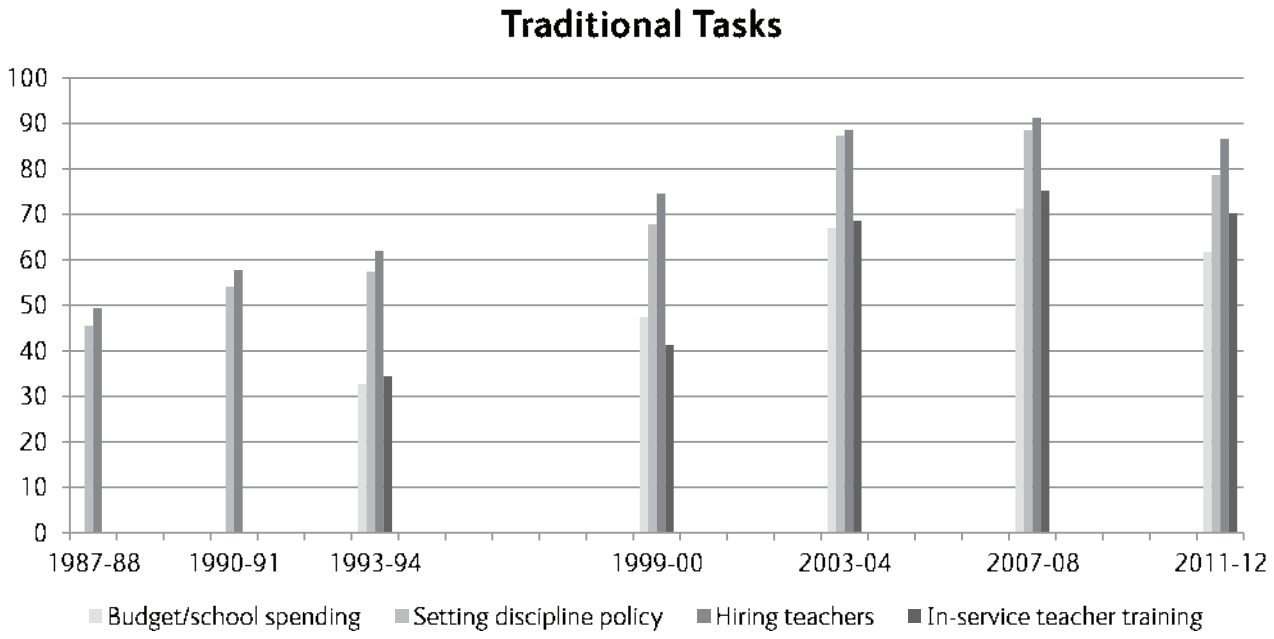
113. Rennie Center for Education Research and Policy (2013); West, Peck, and Reitzug (2010); Horng, Klasik, and Loeb (2010). Rousmaniere (2013, p. 151) offers an additional historical point of view and argues that even before contemporary waves of policy change, "American principals have long played active and productive roles in the development of public education," roles that have always involved much more than simply being building managers.

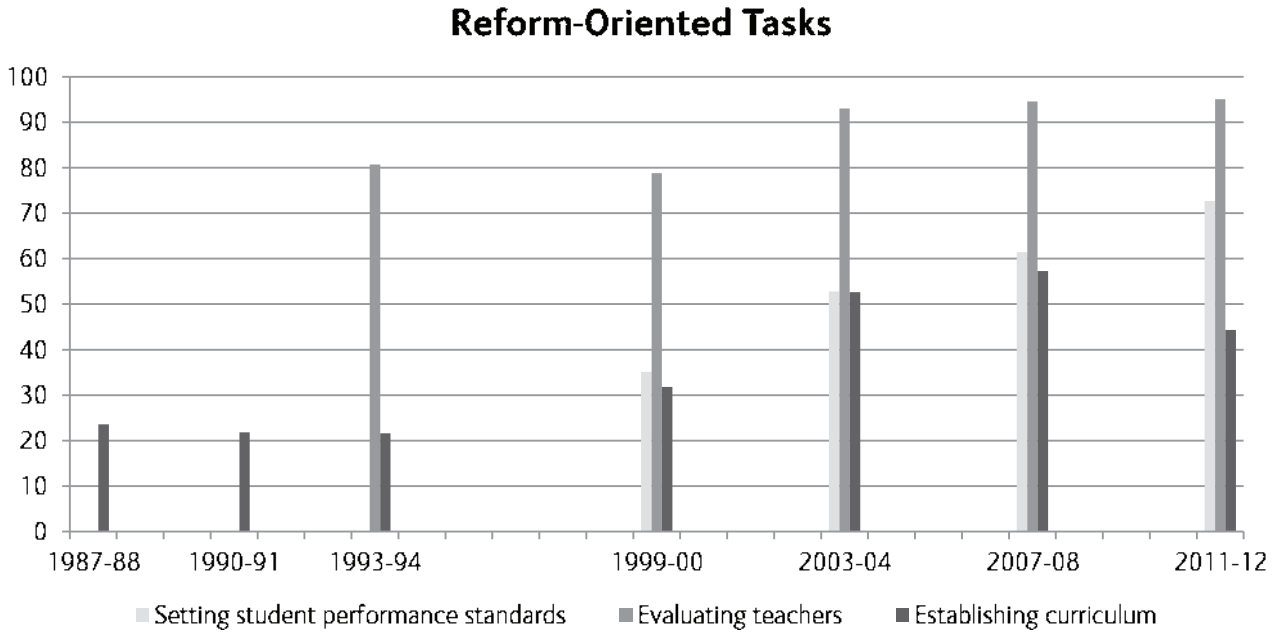
114. The issue of the transformation of the principal's job was a major theme discussed in more than half of the personal interviews.

115 West, Peck, and Reitzug (2010); Conrad and Rosser (2007); Schutte and Hackmann (2006); Winter et al. (2007); School Leaders Network (2014).

116. Quoted in West, Peck, and Reitzug (2010, p. 248).

Figure 4. Percentage Of Principals Reporting "A Great Deal" Or "Major" Influence Over The Following Activities In Their Schools





evaluations, one expert noted there would be no time left in the day to do anything else.[117] Policymakers in Rhode Island addressed such a concern in 2014. Legislators changed the state's teacher evaluation law, which estimates suggested in its earlier form would have required up to 1,500 hours of principal work time per year to implement in some districts. A new law reduced that workload so that the most intense evaluations would focus on teachers who previously received lower ratings.[118]

Yet numerous responsibilities still remain. In such an environment, it makes little sense, for example, to invest heavily in redesigning preparation programs so that principals can be expert mentors for their teachers, savvy analysts of data, and facile users of the latest educational technology if in practice principals never have time to use these skills and knowledge or simply burn out after three years on the job. As Bonnie Fusarelli, leader of the award-winning Northeast Leadership Academy for rural principals in North Carolina has noted, states would be unwise to prepare principals to be "Formula One race cars and then to turn them loose on a go kart track," unable to use their abilities to their fullest.[119]

What does this suggest for state leaders interested in cultivating and supporting excellent principals? Most crucially it reveals how a statewide effort to better define the principal's job and to rationalize the web of policies that demand principals' daily attention could help principals focus on the high-leverage activities that will improve school operations and ultimately contribute to student success. Such an effort to survey and then prune the policy landscape will be a daunting task, something that will not be accomplished in the normal time horizons that typically drive the behavior of elected officials and their political appointees. Making such an effort would still be productive because it would at least help state leaders to better understand the magnitude of the responsibilities and corresponding effort that they have demanded of their principals.

In addition to that longer-term work, in the short-term state leaders could operate by asking themselves a simple question about every new initiative they might advance that would impose additional constraints on a principal's time: "Before we require principals to do something else, which laws or regulations could we change that would remove responsibilities from the principal to free up time to do the new things we believe deserve to be a top priority?" In short, making policy with a better understanding of how it lands on the principal's desk will help state leaders to be more attuned to the demands that principals confront each day.

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117. Interview respondent 111.

118. Szyba (2014).

119. Comments from Bonnie Fusarelli were made at Panel 060, We Know What Effective Leadership Preparation Looks Like: Featuring the 2014 Award Winning Programs, Annual Meeting of the University Council.

Chapter 6

LOOKING AHEAD

Being a school principal is more challenging than ever, in part because of an expanding set of responsibilities, technological change, and growing student needs that are characteristic of a diversifying nation struggling to provide equal opportunities to all students. It is against that backdrop that state policies, regulations, and other initiatives designed to influence the work of principals will play out in practice. As this report has shown, states have many potential policy levers that they can pull to cultivate and support excellent principals who can improve teaching and learning:

- setting principal leadership standards;
- recruiting aspiring principals into the profession;
- approving and overseeing principal preparation programs;
- licensing new and veteran principals;
- supporting principals' growth with professional development; and
- evaluating principals.

How to begin this work, or continue moving it along for states that have begun to make their principals a higher policy priority? The introduction to this report emphasized there is not a cookbook recipe for policy development or implementation that will work equally well in all states. Adaptations across the states and their local communities will be necessary. Still, there are some useful places for all states to start, regardless of their current conditions. Consider the following topics and guiding questions as a suggested path forward.

- **Move principals higher on state education policy agendas.** Once one gets beyond the boilerplate rhetoric that "leadership matters," who in the state demonstrates a serious commitment to improving conditions so principals can do their jobs well? Is there such a constituency in the state that can help move principals higher up on the agenda? And if there isn't, why is that the case? Before states can hope to make strides in cultivating and supporting their principals, state leaders and their constituents need to be paying attention, and not only or primarily when federal or foundation dollars from the outside are at stake.
- **Catalogue principals' tasks, in theory and in practice. What** is it that state policymakers aspire to have their principals do? How does that aspiration compare with what principals actually do? Where are those practices consistent or inconsistent with the aspirations of state policymakers?
- **Identify explanations for the consistencies and inconsistencies.** What causes principals to work

in ways that support or push against state aspirations? Is it a matter of professional disagreement about which tasks are most important? Are there features of the state context—governance, local contexts, capacity, or webs of prevailing policy—that are supporting or obstructing principals as they do their work?

- **Create a policy and political strategy for moving forward.** How can using the policy levers discussed in this report or other policy changes, which could include dismantling policies in some areas as well as creating new ones, improve the chances that states will have excellent principals leading their schools? How can the state move a policy agenda forward while simultaneously maintaining flexibility to respond to inevitable challenges, and potential opportunities, too, that may arise in the future? Further, how to ensure that promising efforts can be sustained and be given the time to produce results instead of hopping from one approach to the other as the political winds shift?

In calling for the principalship to be a policy priority across the states, this report encourages state leaders to envision their principals as invaluable multipliers of effective teaching and learning in the nation's schools. Operating with that vision, and understanding the potential role of state policy to help achieve it can help state officials to ensure that state policies work in mutually supportive ways, and are coherent enough to channel state local energies in positive directions while remaining flexible enough to adapt to local circumstances. These are difficult balancing acts to execute, but with care and learning from work underway in state capitals across the nation, some of which this report has highlighted, state leaders can improve the chances that all schools will be led by excellent principals who are advancing teaching and learning.

METHODOLOGICAL APPENDIX

This appendix describes the methods that the research team, led by Paul Manna, used to identify key issues, gather information, and draw conclusions. A first guiding principle for the research strategy was to identify evidence from a range of sources to determine the level of support available for various claims about what states can do to ensure that their schools have excellent principals. A second guiding principle was for the study to be primarily a descriptive analysis of the state policies and practices, and opinions of people working in the field. In that spirit, a primary empirical goal was to synthesize and summarize a broad range of information to describe these policies, practices, and opinions.

Additionally, readers should not read this report as a narrow impact study or program evaluation in that it does not systematically test the impact of particular policy interventions to determine their effects on behavior or student outcomes. The state successes and struggles that appear in the report are intended to provide examples that state leaders and others can learn from as they contemplate designing their own initiatives or improving upon current policy and practice. Readers seeking more in-depth evaluations of the specific policy levers discussed in this report should consult the numerous citations provided in the list of works cited. The overall research strategy was comprised of these six parts:

1. Personal interviews;
2. Expert survey;
3. Analysis of Schools and Staffing Survey (SASS) data;
4. Coding of Education Week coverage;
5. Analysis of The Wallace Foundation sustainability reports; and
6. Selection of state cases for deeper investigation.

The rest of this appendix describes each of these parts in turn.

A.1 Personal interviews

A.1.1. INTERVIEW RESPONDENTS. In-person interviews were conducted with 21 experts in the fields of state policy and school leadership. Table 5 lists all respondents and their affiliations. The respondents were identified using a few different methods, and all were contacted via email to arrange the interviews. The Wallace Foundation staff suggested names based on the foundation's prior work. Individuals and organizations frequently cited in the popular policy literature also were considered. Finally, a snowball technique was used in

which respondents were asked to suggest other people who would be able to provide useful interviews for the project. Among the interviews, 18 were conducted in person and 3 were done by phone. The interviews lasted between 30 and 60 minutes. Manna conducted all interviews with the aid of research assistants who helped him take notes. None of the interviews were recorded and respondents were promised that their responses would be kept confidential; thus, each respondent is identified by a random number in the footnotes to the report. After each interview, Manna and assistants worked together to type up the notes in a way the reconstructed the flow of the discussion. Segments in the report appearing as direct interview quotes were confirmed by Manna and the research assistants participating in each interview.

Table 5. Interview Respondents

RESPONDENT	ORGANIZATION	POSITION
Kristen Amundson	National Association of State Boards of Education	Executive Director
Jacki Ball	National Association of Secondary School Principals	Associate Director of Advocacy
Julie Bell	National Conference of State Legislatures	Education Program Director
Mark Bomster	Editorial Projects in Education	Assistant Managing Editor
Dan Domenech	American Association of School Administrators	Executive Director
Virginia Edwards	Editorial Projects in Education	President and Editor
MaryAnn Jobe	American Association of School Administrators	Director, Leadership Development
Amanda Karthuse	National Association of Secondary School Principals	Director of Advocacy
Richard Laine	National Governors Association	Director, Education Division, Center for Best Practices
Kelly Latterman	National Conference of State Legislatures	Research Analyst II
Lesli Maxwell	Editorial Projects in Education	Assistant Managing Editor
Janice Poda	Council of Chief State School Officers	Strategic Initiative Director, Education Workforce
Kelly Pollitt	National Association of Elementary School Principals	Associate Executive Director, Policy, Public Affairs, and Special Projects
Sheppard Ranbom	Communication Works	President
Carol Riley	National Association of Elementary School Principals	Associate Executive Director, Professional Learning and Outreach
Phil Rogers	National Association of State Directors of Teacher Education and Certification	Executive Director
Cortney Rowland	National Governors Association	Senior Policy Analyst, Education Division, Center for Best Practices
Sarah Silverman	National Governors Association	Program Director, Education Division, Center for Best Practices
Brenda Turnbull	Policy Studies Associates	Principal
Andrew Ujifusa	Editorial Projects in Education	Reporter
Michael Usdan	Institute for Educational Leadership	Senior Fellow

A.1.2. EMAIL REQUESTING THE INTERVIEW. Potential respondents were contacted via email using the following invitation. The email subject lines varied depending upon whether the email was being sent to a person already known by members of the research team, the person was a first-time contact, or the person had been referred to the research team by someone else.

Dear NAME,

My name is Paul Manna and I am a government and public policy professor at the College of William & Mary in Williamsburg, Virginia. Presently, I am collaborating with the Wallace Foundation on a project examining what states can do to help ensure that schools have excellent principals. The goal of the work is to produce a report that Wallace will distribute widely in order to share insights about this important topic.

Given your expertise in the area of state policy and school leadership, NAME and I thought you would be a great person to talk with about the project. I wanted to see if you would be available sometime during DATES for my research assistant and me to visit you [OR call you] for a 30-60 minute interview to help inform this work. At the end of this message, after my email signature, I have included some more details about the overall project and what I have in mind for the interview.

If you are interested in participating, great! I would appreciate it if you could email (pmanna@wm.edu) or call (757-221-3024) to let me know. I will follow up about scheduling a time for the interview. If you have further questions, feel free to contact me anytime. Lastly, if you'd like more information about me, here is my home page at http://pmanna.people.wm.edu/, which contains links to my publications and more general descriptions of my teaching and research.

Many thanks for considering this request. I look forward to hearing from you.

My best,
Paul Manna
Verkuil Associate Professor of Public Policy
Associate Professor of Government

PROJECT TITLE AND OVERVIEW: State Policy and School Leadership. This project is designed to examine what state governments can do to ensure that all schools have excellent principals.

INTERVIEW: In general, I am interviewing adults who work in the education policy field with some expertise or interest in state policy and school leadership. If you agree to participate, the interview will consist of a series of open-ended questions to gain your insights about specific measures states can take to improve school leadership, including examples of promising practices in states and compelling examples that you know about. My research assistant and I will take handwritten notes during the discussion and we will not be using a recording device. The interview should take between 30-60 minutes, depending on how much time you can spare. I may want to follow up with you briefly by phone or email if I have additional questions later. I have done dozens of these sorts of interviews in the past and so I'd anticipate that the conversation will be much like the routine discussions you have with your colleagues or members of the media about these sorts of matters, so there is no risk associated with your participation. Of course, your participation is voluntary and there is no problem if you would like to skip any of my questions once the conversation gets going. Because I know your time is precious, we also can end early if we end up running out of things to discuss.

CONFIDENTIALITY: My project collaborators and I will keep your responses confidential, stored on secured computers and in locked offices, identifiable in our analysis by anonymous codes. We will not mention your name or quote you by name in our written analysis unless we first get your permission to do so, which would include showing you any specific quotes we would like to attribute to you by name.
BENEFITS TO YOU: I am hopeful that you will find the interview discussion interesting and that it will give you an opportunity to reflect on the issue of state policy and principal leadership in some new ways. After my team and I have completed our work we would be glad to send to you copies of our final report, which we anticipate will be ready by the end of the summer in 2015.

ADDITIONAL QUESTIONS: As I noted above, feel free to contact me directly if you have questions about the project or the interview. I am available at pmanna@wm.edu and 757-221-3024.

PROJECT APPROVAL: As a faculty member, my university requires me to have my research plans involving interviews approved by a committee that attempts to look out for the best interests of potential interview respondents. I'm glad to report that this project was approved by that group, the College of William & Mary Protection of Human Subjects Committee, on 12/15/2014, and that approval will last until 12/15/2015. If you have any questions about the project you may contact the chair of that committee, Dr. Ray McCoy (rwmcco@wm.edu and 757-221-2783).

A.1.3. INTERVIEW PROTOCOL. All interviews were conducted using the protocol in this section. In some cases, particular questions were skipped when the respondent's area of expertise focused on certain areas. Additional follow-up questions also were asked when responses suggested interesting additional lines of inquiry.

[INTRODUCTORY REMARKS AS WE BEGIN THE INTERVIEW]

Thanks again for agreeing to talk with me. Before we start, I just wanted to let you know that if at any time during our conversation you don't want to answer a particular question, or if you feel like we're getting into topics you'd rather not discuss, please let me know. We can avoid those topics, skip certain questions, or stop at any time. I know your time is precious, so we also can end early if it seems like we run out of things to discuss.

And in terms of your responses: My project collaborators and I will keep you're your responses confidential, stored on secured computers and in locked offices, identifiable in our analysis by anonymous codes. We will not mention your name or quote you by name in our written analysis unless we first get your permission to do so, which would include showing you any specific quotes we would like to attribute to you by name.

Finally, I wanted to remind you that in our original exchanges about setting up this interview, I mentioned that my project was approved by the College of William & Mary Protection of Human Subjects Committee, on 12/15/2014, and that approval will last until 12/15/2015. If you have any questions about the project you may contact the chair of that committee, Dr. Ray McCoy (757-221-2783 or 757-221-3966; rwmcco@wm.edu).

Recall that the focus of our discussion today is on state policy and school principals. In particular, my partners at the Wallace Foundation and I are interested in your views on what states can do to ensure that all schools have excellent principals. I have a series of questions that will help us explore that broad topic. Before we start, do you have any questions for me? [Discuss the participant's questions before proceeding.]

[INTERVIEW QUESTIONS]

[Note: The protocol will follow this order and, based on the respondent's answers, will incorporate relevant follow-up questions as well.]
A. Respondent's organization and state policy and school leadership. I had a couple of questions to help orient me to NAME OF RESPONDENT'S ORGANIZATION.

1. Could you describe what the overall focus of NAME OF RESPONDENT'S ORGANIZATION is?

2. Could you describe how the work of NAME OF RESPONDENT'S ORGANIZATION addresses the specific areas of state policy and school principals?

B. I'd like to start with a broad question about state policy and principals.

3. What would you say are the top two or three things states should try to do if they want to improve the quality of their school's principals? Why do you think these are the key things for states to do?

C. Next I'd like ask about some specific areas that have been identified in the literature as possible ways for states to improve the quality of principals in their schools. For each topic, I'd like to hear your views about how effective states have been in each area. [NOTE: Can skip items that were mentioned in question 3.]

4. Set principal leadership standards. How effective have states been here? Do any states stand out as notable models?

5. Recruiting potential candidates to consider becoming principals. How effective have states been here? Do any states stand out as notable models?

6. Improve principal preparation. How effective have states been here? Do any states stand out as notable models?

7. Have more rigorous methods for accrediting principal preparation programs. How effective have states been here? Do any states stand out as notable models?

8. Reform principal licensing (for new principals and veterans). How effective have states been here? Do any states stand out as notable models?

9. Improve professional development for principals on the job. How effective have states been here? Do any states stand out as notable models?

10. Improve principal evaluation. How effective have states been here? Do any states stand out as notable models?

11. Supporting the work of principal leadership academies. How effective have states been here? Do any states stand out as notable models?

D. Next I'd like to ask you about a few specific implementation issues that can come up as states try to make policy to address the challenge of having excellent principals in all schools.

12. Are you aware of examples where a state policy attempting to improve the stock of excellent school principals had an unintended negative consequence? If so, what was it and how do you think it could it have been avoided?

13. How about the challenge of unfunded mandates? Are you aware of any examples of what happens when a state policy regarding school principals is funded at the beginning and then loses its funding, but the mandate remains?

14. In terms of accounting for local variation in state policy, to what extent do you think state policy regarding school principals should differentiate between large school districts and small school districts? Are there implications if the state policy doesn't differentiate? Could you discuss some examples of differentiation either happening or not happening during implementation?

E. Wrap up. In closing, I had a few quick questions for you.

15. Is there anything we didn't discuss today about state policy and principals that you think would be interesting for me to consider? Did we skip over any big issues that we should have addressed?

16. Are there other people you would suggest I talk with about my project? [If the respondent offers any names:] Would it be okay if we used your name when we followed up with this person?

17. As I mentioned in my original message to you, I won't use your name in any written reports or articles without your permission. For now I wanted to ask: May I list your name and affiliation in our list of interview respondents? If I felt it would be useful to quote you by name in the report, would you be willing to have us do that as long as we showed you the quote first?

18. Finally, do you have any other questions for me?

Thanks very much for being so generous with your time today.

A.2 Expert survey

A.2.1. SURVEY RESPONDENTS AND RESPONSES. In order to gather perspectives from the field beyond our interview respondents described in the opening part of this methodological appendix, we conducted a broader survey of individuals working inside and outside of government who were likely to have some expertise in the broad area of educational leadership. The survey was conducted via email using Qualtrics, an on-line survey platform hosted at the College of William & Mary (http://www.qualtrics.com/). Our initial list of potential respondents came from the categories described in Table 6. For each category we note the number of potential respondents initially identified.

A total of 2,241 emails were sent using the invitation described below. Of those messages, 276 were undeliverable. In addition, many respondents wrote back, without taking the survey, to indicate it was not appropriate for them to respond given their areas of expertise or due to a change in their careers. Because we set up the survey link in a generic form (e.g., not customized for each respondent), when potential respondents wrote back with that information we invited them to forward our message to their colleagues whom they believed would be better suited to respond to our questions. Additionally, a couple of the organizations identified in Table 5 agreed to forward the survey invitation to their membership lists, which likely included some of the respondents we had identified but could have included others as well. We believed the strategy of using a generic link was an appropriate method for recruiting respondents given that we were not trying to conduct a random sample of experts; rather, our goal was to gather a broader range of opinions beyond what we gathered in our personal interviews. As a result, we are unable to report a response rate for the survey.

Table 6. Potential Survey Respondents Identified By The Research Team

# OF EMAIL ADDRESSES	RESPONDENT CATEGORIES
51	American Association of School Administrators, state affiliate exec. directors
18	Education Writers Association, leadership and board members
242	Education Writers Association, 2011-2013 award winners
58	State education advocacy organizations, exec. directors
142	State education agency officials
81	State board of education chairs
170	State legislatures, education committee chairs
26	Governors' education advisers
44	National School Boards Association, state affiliate exec. directors
38	National Association of Secondary School Principals, state affiliate exec. directors
23	National Association of Elementary School Principals, state affiliate exec. directors
1,154	University Council for Educational Administration (UCEA) members
212	UCEA deans and program directors from member institutions

The survey was in the field from March 4, 2015 through April 22, 2015. We received a total of 351 responses. In the final question in the survey, respondents were presented with a close-ended list of potential workplaces and invited to identify themselves by the general category of work that they do; they could check all relevant categories. Those results appear in Table 7 and provide an overall description of our respondents' backgrounds.

Table 7. Organizations Where Respondents Work

# OF RESPONSES	WORK CATEGORY (RESPONDENTS COULD IDENTIFY UP TO THREE)
4	State governors' office
5	State legislature
16	State board of education
33	State education agency
2	Other state agency or board
169	College or university in a school of education
8	College or university, but not in a school of education
20	Professional organization that represents principals
12	Professional organization that represents school district officials (e.g., superintendents and central office personnel)

Table 7. Organizations Where Respondents Work (con/t)

# OF RESPONSES	WORK CATEGORY (RESPONDENTS COULD IDENTIFY UP TO THREE)
6	Professional organization that represents university-based individuals (e.g., faculty or staff) who work on education leadership
6	Local school district central office
1	In a school building as a principal or assistant principal
7	News media organization
20	Non-profit group that does education advocacy work but does not officially represent school or school district personnel
12	Think tank
11	Other

A.2.2. EMAIL INVITATION TO PARTICIPATE IN THE SURVEY. The following email was sent on March 4, 2015 inviting respondents to participate in the survey. The email contained a link that, once clicked, opened the survey in Qualtrics.

[EMAIL SUBJECT] WALLACE FOUNDATION SEEKS YOUR INPUT FOR A STUDY ON PRINCIPALS AND STATE POLICY

[Body of the email]
Hello,

My name is Paul Manna, and I am a government and public policy professor at the College of William & Mary in Williamsburg, Virginia. I am conducting a survey for a research project I am doing for The Wallace Foundation, a national philanthropy that seeks to develop and share practical, evidence-based insights that can improve practice and policy in education, the arts and afterschool programming (http://www.wallacefoundation.org).

The overall project is examining various state education policies designed to strengthen the training and support of school principals. You have been chosen to receive this survey because of your expertise in these areas. I would be grateful if you would respond to the survey, which should take no more than 15-20 minutes.

Your answers, which will be kept anonymous, will help me to better understand the range of actions that state governments might consider taking to ensure that all schools have effective principals. Your responses will inform a report on this topic that The Wallace Foundation expects to publish later this year. I will gladly send you a link to the final report regardless of whether you respond to the survey or not.

If you are interested in taking the survey, great! Please read the items at the end of this message and then click the survey link to begin.

If you have any questions or concerns about the survey, please feel to contact me at pmanna@wm.edu or 757-221-3024. You may also direct questions about the overall project to Pamela Mendels at The Wallace Foundation at pmendels@wallacefoundation.org. In addition, I wanted to let you know that the committee at my university that reviews all survey work, the College of William & Mary Protection of Human Subjects Committee, approved this project for the period 12/15/2014 thru 12/15/2015; you may also direct any questions to the chair of that committee, Dr. Ray McCoy (757-221-2783 or rwmcco@wm.edu).

Many thanks for considering my request. Your answers are vitally important for the success of this survey, and I hope that you will choose to respond.

Sincerely,
Paul Manna
Verkuil Associate Professor of Public Policy
Associate Professor of Government
College of William & Mary

In taking this survey, I affirm that I am at least 18 years old, and I understand the following:

- my participation is entirely voluntary;
- my responses will remain anonymous and confidential;
- I may skip any question that I prefer not to answer;
- I will not be asked to offer any information that could personally identify me.

For the best survey experience, I recommend taking this survey on a desktop computer, laptop, or tablet, not on a smart phone.

Follow this link to the survey:
[Link inserted here]

Follow this link to opt out of future emails:
[Link inserted here]

A.2.3. EMAIL REMINDER TO PARTICIPATE IN THE SURVEY. The following email was sent on March 12, 2015 reminding respondents to participate in the survey. The email went to respondents who had not yet replied to the survey. It excluded respondents who had opted out of the survey by clicking the "opt out of future emails" link that appeared in the first email invitation. It also excluded respondents who personally emailed Paul Manna and asked to be taken off the distribution list.

[EMAIL SUBJECT] WALLACE FOUNDATION SEEKS YOUR INPUT FOR A STUDY ON PRINCIPALS AND STATE POLICY

Hello again,

Last week I emailed you to ask if you would participate in a survey on state policy and school principals that I am doing for the Wallace Foundation. I wanted to send this reminder in case you missed my first message, but still might be interested in replying to the survey. My original message from last week is below, which briefly describes the project and includes the link to the survey.

Many thanks for considering my request, and I hope that you will choose to participate.

Paul Manna
Verkuil Associate Professor of Public Policy
Associate Professor of Government
College of William & Mary

[The complete text from the original email invitation to take the survey, reported above in this methodological appendix, appeared next in the reminder email.]

A.2.4. SURVEY QUESTIONS AND SUMMARY OF RESPONSES. This section presents the questions in the survey and a summary of responses. Respondents were allowed to skip questions, which means that N-sizes can vary for each question. Also, recall from Table 7 that nearly half of the respondents (169 out of 351) identified as being affiliated with a university school of education. To account for that fact, the summary results that follow report overall averages and averages for respondents reporting a school-of-education affiliation.

[START OF SURVEY]

[Opening screen of instructions] Wallace Foundation and College of William & Mary survey on state policy and school principals

Thank you for agreeing to take this survey. We are interested in your opinions about several state policies that either have been proposed or initiated to ensure that all schools have effective principals.

Here's one quick clarifying note before we begin: When we use the word "principals" in this survey we are referring to principals (e.g., the overall school leader) and assistant principals.

We recognize that school leadership often includes school personnel beyond principals and assistant principals themselves, but for this survey we are not considering those other positions.

Finally, for the best survey experience, we recommend taking this survey on a desktop computer, laptop, or tablet, not on a smart phone.

PART 1. POTENTIAL STATE INITIATIVES

Numerous ideas have been proposed, including some that have been adopted by states across the country, that are intended to improve the quality and effectiveness of school principals. To what degree do you oppose or support each of the following proposals?

[Note: Response categories for Part 1 were:
1=strongly oppose; 2=oppose; 3=slightly oppose; 4=neutral; 5=slightly support; 6=support; 7=strongly support.]

Leadership Standards For Principals

Would you oppose or support having states...	Overall mean response	Mean for respondents with school of education affiliation
Adopt statewide principal leadership standards.	5.8	5.5
Require principal preparation programs to align their programs to statewide principal leadership standards.	5.6	5.2
Require principals' professional development to be aligned to statewide principal leadership standards.	5.5	5.1
N	306 ≤ N ≤ 308	167 ≤ N ≤ 169

Principal Preparation Programs

Would you oppose or support having states...	Overall mean response	Mean for respondents with school of education affiliation
Limit the candidates who can apply to principal preparation programs to those who have been recommended by a school district.	3.2	2.9
Encourage principal preparation programs to expand recruitment from traditionally underrepresented groups and communities.	6.1	6.2
Expand the range of principal preparation programs recognized by the state to include those offered by organizations outside of traditional schools of education.	3.8	3.2
Evaluate all principal preparation programs using data on program content (e.g., quality of faculty, courses, internships, learning experiences).	5.6	5.4
Evaluate all principal preparation programs using data on whether graduates become principals within a certain number of years.	4.0	3.6
Evaluate all principal preparation programs using data on graduates' performance on the job as principals (e.g., leadership efforts, school test scores, and other performance measures).	4.5	3.9
Sunset current principal preparation programs and have them reapply for state approval using a more rigorous set of program expectations compared to current state expectations.	4.0	3.5
Close principal preparation programs that, after given time and support to improve, nevertheless still fail to meet state standards.	5.3	5.0
N	303 ≤ N ≤ 305	N = 169

Principal Licensing

Potential challenge	Overall mean response	Mean for respondents with school of education affiliation
Require that principals who wish to renew or elevate their license to a higher status must receive both favorable job evaluations and complete additional training via course work or professional development.	5.3	5.4
Allow alternative routes to licensure for principals, in addition to more traditional routes that operate through schools of education.	4.2	3.6
Move away from traditional licensure exams and move toward using performance assessments as part of the licensing process.	3.6	2.9
Make it easier to accept licenses earned by principals in other states (e.g., reciprocity).	5.1	4.9
Enable non-traditional organizations, including school districts, principal leadership academies located within or outside traditional schools of education, and non-profit organizations that train school leaders, to license principals.	5.8	5.9
N	301 ≤ 302	168 ≤ 169

Principal Leadership Academies

Would you oppose or support having states...	Overall mean response	Mean for respondents with school of education affiliation
Create principal leadership academies that operate inside or outside schools of education and that train aspiring and veteran principals.	5.0	4.4
Provide ongoing funding for principal leadership academies.	5.2	4.7
N	N=296	N=167

Principal Evaluation

Would you oppose or support having states...	Overall mean response	Mean for respondents with school of education affiliation
Develop a statewide principal evaluation system aligned to state principal leadership standards.	5.3	5.0
Use student achievement data as part of a statewide principal evaluation system.	4.3	3.7
Use data that measure the leadership quality of principals (e.g., contributions to school culture, instructional leadership, building management) as part of a statewide principal evaluation system.	5.6	5.4
Allow school districts to use their own principal evaluation systems instead of the state's system.	4.3	4.4
N	297 ≤ N ≤ 298	168 ≤ N ≤ 169

PART 2. POTENTIAL CHALLENGES TO STATE INITIATIVES

Next we would like to ask you about some challenges that states might face as they attempt to design initiatives (including policies, programs, or regulations) to improve the quality and effectiveness of their school principals. How significant would you rate each of these challenges?

[Note: Response categories for Part 2 were:
1=not significant at all; 2=not too significant; 3=significant; 4=very significant.]

Potential challenge	Overall mean response	Mean for respondents with school of education affiliation
The diversity of local school districts (e.g., urban, suburban, rural) that exist across an entire state.	3.2	3.3
The complexity of state education governance that involves numerous different organizations (e.g., state governor, state legislature, state education agency, state education board).	3.2	3.3
Lack of long-term commitment by state elected and appointed officials to the initiatives.	3.3	3.4
Lack of state or local administrative capacity to carry out state initiatives.	3.0	3.1
Inadequate state or local funding to carry out state initiatives.	3.2	3.3
The need to craft state initiatives so that they are effective yet consistent with federal policy mandates.	3.5	3.6
The desire of some school personnel to obtain principal certification to earn a higher salary even though they have no plans to become a school principal	2.7	2.8
The attention given to other topics, which prevents principals from being higher on the policy agenda.	2.3	2.4
Partisan political disagreements.	2.9	2.9
N	284 ≤ 291	163 ≤ 168

Are there any other challenges that you would consider "significant" or "very significant"? If so, please describe them here.

PART 3. STATE EXEMPLARS

Finally, we are interested in some exemplar states that come to mind. Please identify up to three states that you believe have enacted policies, programs, or regulations that have helped to improve the quality and effectiveness of principals in their schools. If you cannot think of any specific states, please simply click to move to the final screen.

State 1 Reason(s) why exemplar

State 2 Reason(s) why exemplar

State 3 Reason(s) why exemplar

PART 4. CLOSING

So we can better understand your perspective, could you identify which of the following best describes where you work? (Check all that apply.)

[See Table 7 above for the response options and summary of responses for where the respondents work.]

We would be glad to hear if you have comments about this survey or if there are any other issues that you believe we should consider as we conduct our analysis. Please enter those ideas here. [Text box for open-ended response.]

[END OF SURVEY]

A.3 Schools and Staffing Survey (SASS)

The Schools and Staffing Survey has been administered by the U.S. Department of Education, typically at 3- to 4-year intervals, since the 1987-88 school year. It is a comprehensive survey of teachers and principals that allows researchers to draw national- and state-level inferences about the experiences and views of school personnel. Complete background information on the SASS, including copies of the survey questionnaires, is available at the U.S. Department of Education's web page at https://nces.ed.gov/surveys/sass/.

We requested and received restricted-use SASS data files from the U.S. Department of Education for the school years 1987-88, 1990-91, 1993-94, 1999-2000, 2003-04, 2007-08, and 2011-12, which encompasses all years the SASS has been administered. Within each year, we analyzed data in the aggregate and also by school location: large or mid-size city, suburb, and town/rural. Table 8 reports sample sizes for each year, with totals rounded to the nearest 10 in accordance with U.S. Department of Education requirements for use of restricted data.

Table 8. Frequency Of Public School Principal Respondents By School Year And Location

LOCATION	1987-88	1990-91	1993-94	1999-00	2003-04	2007-08	2011-12
All locales	8,170	9,060	9,100	8,520	8,150	7,460	7,520
City (large / midsize)	2,050	1,980	2,060	1,870	1,920	1,640	1,560
Suburb	2,210	2,070	2,220	3,300	3,420	1,680	1,900
Town / rural	3,910	5,010	4,820	3,350	2,810	4,140	4,060

NOTE.—N-sizes for each cell are rounded to the nearest 10, per U.S. Department of Education requirements for presentation of restricted-use data; Source: Author's analysis of SASS data.

Our analysis of trends over time included following guidance in the SASS documentation that provided "cross-walks" for our variables of interest. This explanation allowed us to determine which survey questions were comparable from year-to-year and when minor or major changes in question wording or response options occurred. On that point, the results in Figure 4 deserve some brief, additional discussion. Question formats were not entirely consistent across all years. Specifically, the number of response categories varied. In the 1987-88, 1990-91, and 1993-94 surveys there were 6 response options; in the 1999-00 surveys there were 5; and in the 2003-04, 2007-08, and 2011-12 survey there were 4. The results reported in Figure 4 represent the percentage of principals reporting the maximum amount of influence, given the survey response options. Importantly, the response categories within each year were the same for each question.

Substantively, the analysis in this report focused on questions that addressed four broad topics: principal training, principal influence over different school activities, professional development for principals, and principal evaluation.

A.4 Education Week analysis

Education Week is commonly considered the premier source for education news in the United States. In order to capture how issues related to state policy and school principals have been covered in Education Week over the years, we systematically searched, coded, and analyzed news articles it has published during the years 1983, 1993, 2003, 2013, and 2014. The goal of this approach was to capture a portrait of how coverage of these issues has evolved across time and also for recent years.

Using the news archive search tool on the Education Week home page, http://www.edweek.org/search.html, for each year we searched articles from January 1 through December 31. We used the search term "principal state" along with the restriction that the articles include at least one of the following terms: evaluation, licensure, accreditation, recruitment, professional development, preparation, policy. We included only news articles, and we sorted by date. By including only news articles, we excluded news blogs, commentary and opinion blogs, research and reports, teacher news and blogs, digital directions, and top

school jobs. All gathered articles were saved in .pdf format and organized by year. Our review yielded 557 Education Week articles. Of those 557 articles, 518 met our criteria of original news articles (we excluded duplicate articles, blogs, op-eds and other forms of opinion pieces from our analysis) and were coded using the variables in Table 9.

In addition to the variables in Table 9, a set of 51 dummy variables, not included in the table, were coded to keep track of which specific states (and the District of Columbia) were mentioned by name.

The coding scheme was developed using the following process to ensure accuracy. Prior to coding the articles, two members of the research team read and coded the same 20 articles from a randomized sample produced by the search results to ensure that each member was coding accurately and consistently. Once that process was completed, the articles were divided in half for each year in the analysis, and coded by those same two members of the research team.

During the coding process, the team made a few adjustments to the list of variables and their measurement. Through email, the team communicated potential problems that appeared during the coding process and worked together to re-assess variables when needed. For example, the team noticed it would be worthwhile to document whether principals were treated as the source of a problem or the solution to a problem. Through email communication, the team discussed possible coding schemes and agreed upon a new variable that would capture whether principals were discussed as the problem, the solution, or both part of the problem and solution. Likewise, in coding the relationship between the principal and the underserved population, the team noticed there were systematic differences in the way this relationship was discussed. In order to code reliably, the team divided the originally designed variable into two variables so it could capture when articles discussed the recruitment of principals who are part of an underserved population and when the article discussed principals working with underserved populations. Both of these adjustments were made early on in the coding process and were completed through email discussions.

Table 9. Variables Used To Code Education Week Articles

Variable Name	Variable Label And Value Labels, Where Applicable
Article	Article "YearMonthDateEW" add a, b, c if there are multiple articles for one day
Article Title	Title of the Article
Author	Author of the Article
Volume	Volume that the article appeared in
Issue Number	Issue that the article appeared in
wallaceackn	Wallace Foundation mentioned in the article
statediscussed	State mentioned in article
statepolicy	State discussed in direct reference to its policy
state/district	Article mentions a state/district relationship (0=no, 1=yes)
statedistrictqual	How the relationship between state and district is discussed (positive, negative, etc.)
PrincProblem	Are principals presented as possible solutions to the problem (0=no reference; 1=principals as problem; 2=principals as solution; 3=principals as problem and solution

Table 9. Variables Used To Code Education Week Articles

Variable Name	Variable Label And Value Labels, Where Applicable
PrincProblemqual	How the problem is framed
polprinc	Does the article discuss policies related to principals (0=no, 1=yes)
govpolicy	Was a government organization mentioned related to that policy (0=no, 1=yes)
nongovpolicy	Was a non-governmental organization mentioned related to that policy (0=no, 1=yes)
UnderservedPop	Article mentions underserved population (ethnicity, gender) (0=no, 1=yes)
underservedqual	How underserved populations are discussed in relation to principals
underservedprinc	Article mentions the recruitment and/or performance of principals from underserved populations (0=no, 1=yes)
standardsdv	Article mentions principal/leadership standards (0=no, 1=yes)
recruitdv	Article mentions principal recruitment (0=no, 1=yes)
preparedv	Article mentions preparation of new principals (0=no, 1=yes)
licensingdv	Article mentions principal licensing [could be for an initial license or a continuing one for a veteran principal] (0=no, 1=yes)
leadacaddv	Article mentions principal leadership academies (0=no, 1=yes)
evaldv	Article mentions principal evaluation (0=no, 1=yes)
profdevdv	Article mentions professional development for principals (0=no, 1=yes)
accreddv	Article mentions accreditation of organizations that train principals (0=no, 1=yes)
otherdv	Article mentions some other topic about principals (0=no, 1=yes)
unsuredv	Article mentions topic about principals, but unsure how to code the topic (0=no, 1=yes)
topicnote	Clarification for otherdv=1 or unsuredv=1; type in an explanation.
valence	Valence of the overall discussion about the state in the paragraph (-1=criticism of the state; 0=neutral; 1=praise for the state; 98= not applicable because all states or a subset of states are presented; 99=unsure)
valencequote	Excerpt of positive or negative mention
subtopic	Optional: Relevant subtopics worth mentioning for cases where TOPICdv=1 that is discussed (note: we're not defining a formal list of these so use your judgment in deciding what to put down)
detailtype	A key detail that is worth keeping track of for future use (0=none; 1=direct quote; 2=summary in coder's own words)
detail	Detail about the topic worth noting for future use (can leave blank if detailtype=0)
coderrxn	Optional: Comment, question, or other reaction from the coder that is worth noting
OpinionPiece	Opinion piece (0=no, 1=yes)
PotentialDuplicate	Possible duplicate article (0=no, 1=yes)

A.5 Wallace sustainability reports

The Wallace Foundation regularly surveys its grantees to better understand the degree to which projects the foundation has supported continue to operate after grant funding has run its course. As part of the 2014 effort, grantees were asked to identify which programs had been sustained and also to describe the degree to which the state policy environment and particular institutions within it contributed to the level of sustainability that the grantees described. The analysis considered a total of 30 grantees, which, combined, reported on the sustainability of 120 projects that had previously benefited from The Wallace Foundation's support.

A.6 Selection method for state sidebars

Our method for identifying states as potential case study sites, and topics for the sidebars highlighted in this report, was nested in our larger research strategy for the overall project. Using a variety of sources, an approach often referred to as "triangulation" in the literature on research methods, we considered the degree to which states emerged as leaders. That helped us ensure our choice of states was driven mainly by the overall body of evidence rather than the particulars associated with any single data source. We used the following five data sources to inform our case selection:

1. **THE WALLACE FOUNDATION RECOMMENDATIONS**: Early in the research process, Wallace staff offered a list of states that appeared to be valuable cases to explore based on the staff's prior experiences and deep field knowledge.

2. **POLICY REPORTS CODING**: We identified 13 policy reports and articles that had analyzed state policy relevant to principals in some depth; some of these reports also made recommendations for policy changes. We coded them for content to see which states appeared most and how they were discussed.

3. **EDUCATION WEEK CODING**: Our method for coding Education Week articles, described earlier in this methodological appendix, included identifying content that mentioned specific states and the initiatives they had undertaken.

4. **INTERVIEWS**: Our personal interviews, also described earlier in this methodological appendix, included asking experts to identify specific states that appeared to be exemplars in the policy areas that we considered. As part of our analysis, we coded the responses in the interviews and identified every reference made to a specific state and the context of that reference to see when individual states were being mentioned as exemplars worthy of additional consideration.

5. **UCEA STATE POLICY SCAN**: The University Council for Educational Administration, under the direction of Michelle Young, produced a working paper in 2014 that documented state policies in the areas of principal preparation program approval and principal licensure. The researchers, Erin Anderson and Amy Reynolds, captured information about these two broad topics across 27 different variables. Analyzing those data allowed us to see which states possessed certain relevant policies and which did not.

Using those five data sources, we developed a simple scoring system to rank the states as potential case study sites. Table 10 describes the scoring system. In addition to allocating points associated with each individual data source, represented by the first 5 rows in Table 10, we also awarded a "multi-mode" bonus to states that appeared as standouts across multiple data sources. It struck us as impressive to see some states rising to the top regardless of the data source we considered, and so we thought it appropriate to award extra points to those states.

Using the scores available across our different dimensions, we calculated three different total scores for each state:

- Total = sum of points across all dimensions appearing in Table 10
- Total Wallace = Wallace Rx score + Policy Reports score
- Total Other = Education Week score + Interviews score + UCEA score

Table 10. Scoring System Used To Rate States Across Each Data Source

Dimension	Scoring Explanation
Wallace Rx	Wallace recommended as a case study site (2 for all)
Policy Reports	Appearance in coding of policy reports (2=standout from the rest; 1=notable mentions, but a cut below the standouts)
Education Week	Mentions in Education Week coverage in relation to key policy levers (2=mentioned in connection to 6, 7, or 8 policy levers; 1=mentioned in connection to 4 policy levers; 0.5=mentioned in connection to 3 policy levers)
Interviews	Discussion of states in personal interviews (2=top grouping among states mentioned across interviews; 1=next top grouping among states mentioned across interviews)
UCEA	UCEA analysis of preparation program approval and licensing features (2=standout on both; 1=standout on one)
Multi-mode	Appearing across Wallace Rx, Policy Reports, Ed Week, Interviews, and UCEA (2=mention in 4 or 5; 1=mention in 3; 0.5=mention in 2)

In addition to calculating the overall Total, we thought it useful to consider two different sub-scores to account for the potential influence of The Wallace Foundation in the case selection process. Many of the policy reports we analyzed either were commissioned by Wallace or had some detectable support from Wallace in terms of funding. The Total Wallace measure combines those scores with the Wallace recommendation scores into one category. Total Other is comprised of sources that have less of an explicit connection to Wallace projects or initiatives. We thought this was a useful way to minimize the chance that Wallace's prior work would create blind spots that limited the range of states we potentially could consider for case studies.

With the final scores for each state in hand, we identified those scoring in the top 10 on Total and considered their accompanying scores on Total Wallace and Total Other. All the states included in the side bar features, and some (but not all) highlighted in the main body of the report, came from this top 10 list. Our eventual choice of which states and state policies to highlight was based on the different scores we calculated, conversations with Wallace staff, and the types of issues we believed were important to focus on in greater depth when considering the overall content of the report, as well as practical considerations such as time and overall space constraints governing the report.

TIMELINE: PRINCIPAL PREPARATION PROGRAM REDESIGN IN ILLINOIS AND KENTUCKY

ILLINOIS	YEAR	KENTUCKY
Illinois State University Center for the Study of Education Policy (CSEP), with help from a Wallace Foundation grant, establishes the Illinois State Action for Education Leadership Project (IL-SAELP). The Illinois Consortium for Education Leadership is created as an advisory council.	2001	
	2002	Discussions for program redesign occur among members of the Commonwealth Collaborative for School Leadership Preparation (CCSLP), a group of university faculty who prepare principals.
	2003	
CSEP publishes "Leadership for Learning: Strengthening Policies on Education Leadership on Behalf of Illinois Schools" with recommendations for state action.	2004	
Illinois Board of Higher Education (IBHE) creates the Commission on School Leader Preparation in Illinois Colleges and Universities ("the Commission"), which includes leaders from K-12 schools, higher education, business and professional education organizations, IBHE, and the Illinois State Board of Education (ISBE).	2005	CCSLP sponsors the Leading Change conference. The meeting identifies nine critical elements needed to provide infrastructure for programs designed to prepare school principals and other school leaders.
IBHE receives the Commission's report "School Leader Preparation: A Blueprint for Change."	2006	A Principal Redesign Summit is held in January with 70 participants representing 33 stakeholder groups. Passage of House Joint Resolution 14 occurs in the fall. The resolution directs the Education Professional Standards Board (EPSB) to work with the state education commissioner and president of the Council on Postsecondary Education to form a task force to develop plans to redesign principal preparation programs.
House Joint Resolution 66 passes and directs ISBE, IBHE, and the governor's office to appoint a task force to guide implementation of ideas included in, but not limited to, "School Leader Preparation: A Blueprint for Change."	2007	Town hall meetings commence to discuss how to move the process forward.

Timeline (cont'd)

ILLINOIS	YEAR	KENTUCKY
Illinois School Leader Task Force recommends three instruments for improving leadership, including redesigning principal preparation programs. Conferences and meetings to discuss the recommendations occur.	2008	Town hall meetings continue. EPSB approves regulations for the sunsetting and re-approval process for principal preparation programs.
Conferences and meetings for discussion continue.	2009	Principal preparation programs approved prior to May 31 are required to submit a redesign proposal to meet the new regulations.
Conferences and discussion continue. Legislation to improve principal preparation programs is developed, passed and signed into law as Public Act 096-0903.	2010	
ISBE rules to implement PA 096-0903 are passed by the state's Joint Committee on Administrative Rules.	2011	As of December 31, programs are no longer allowed to admit students unless they have been approved by the EPSB under the new regulations.
The Principal Preparation Review Panel established in administrative rules is convened.	2012	
	2013	
Rules are revised. As of September 1, all programs must be approved under new program rules or stop operating. The Illinois School Leadership Advisory Council is formed to develop a strategic plan for implementation.	2014	

Sources: Baron and Haller (n.d.); Illinois School Leader Task Force (2008); Cheney and Davis (2011); Browne-Ferrigno (2011; 2013); Kentucky Cohesive Leadership System Design Team (2008).

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- Arts education: Expanding arts learning opportunities for children and teens.
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