FINDINGS

OF THE

PRINCIPAL PROJECT ADVISORY TEAM

WITH

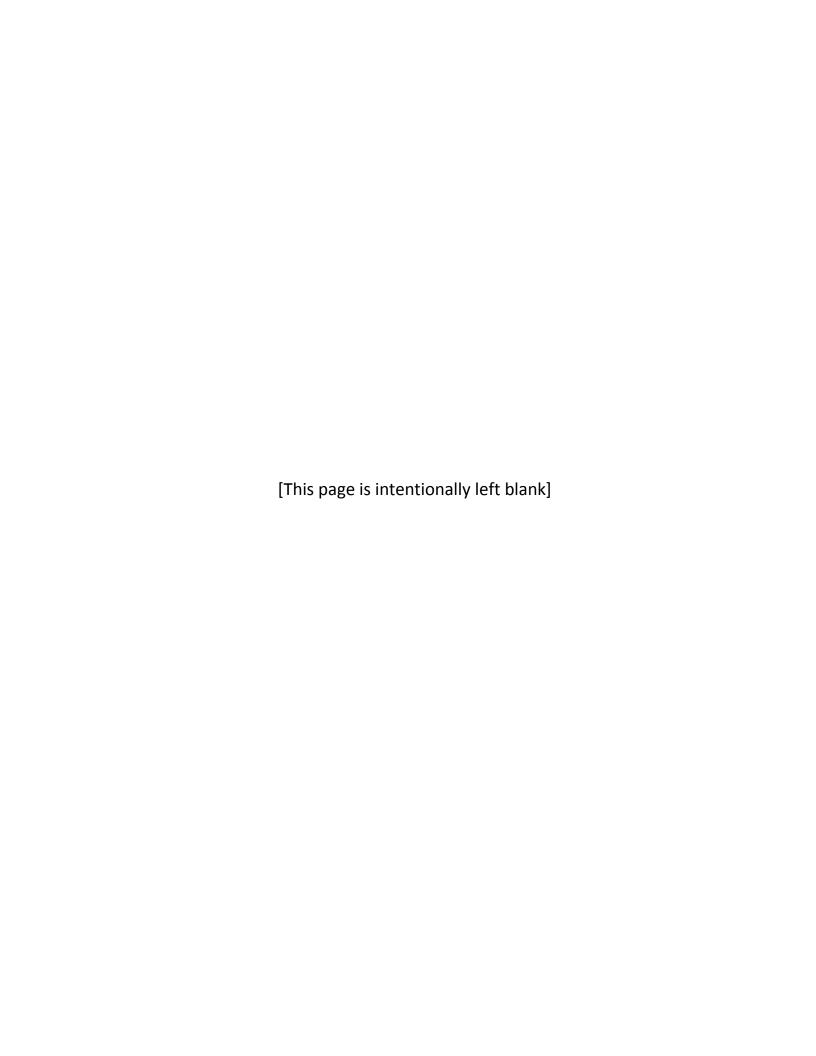CONSENSUS BELIEFS

AND

RECOMMENDATIONS

FOR THE

COMMISSIONER AND NYS BOARD OF REGENTS

June 1, 2017

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ACKNOWLEDGEMENTS

The undertaking was led by 37 individuals. Each accepted an invitation that was extended by the New York State Commissioner MaryEllen Elia. The group was called the *Principal Project Advisory Team*.

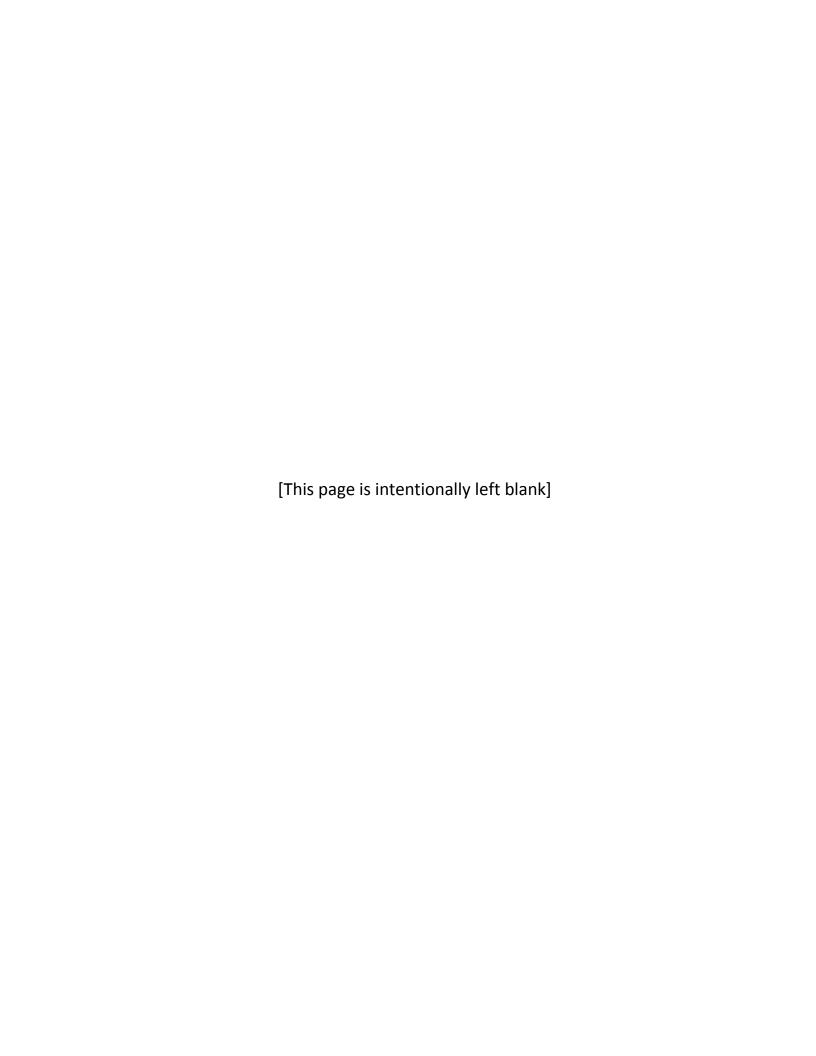|		
David Babikian	Teacher	North Syracuse Central School District
Marc Baiocco	Principal	Alexander Hamilton Junior-Senior High School
Grace Barrett	Teacher	Commack Central School District
John Blowers	Local school board member	Burnt Hills-Ballston Lake School District
David Cantaffa	Higher education	Assistant Provost, State University of New York (SUNY)
Hazel Carter	Higher education	Chair, Leadership Department, City College, City University of New York
William Clark	Civil rights/community group	CEO and Executive Director, Urban League of Rochester, NY
Bergre Escorbores	Principal	South Middle School
Shireen Fasciglione	Principal	Hillsdale Elementary School
Kathleen Feeley	Parent/family representative	Director, Center for Community Inclusion, Long Island Center for Inclusion
David Flatley	Superintendent	Carle Place School District
Soribel Genao	Higher education	Professor, Leadership, Queens College, City University of New York
Adrienne Gliha-Bell	Parent/family representative	Rural Specialist, New York State Parent Teacher Association
Cecilia Golden	Civil rights/community group	Executive Director of Education, Hillside Children's Center
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James N. Mills	Higher education	Supervisor of Educational Leadership, Niagara University
Greg Mott	Principal	Pfc. William J. Grabiarz School of Excellence
Pamela Odom	Principal	Grant Middle School
Moses Ojeda	Principal	Thomas A. Edison Career & Technical Education High School
Maria Pacheco	Teacher	Rotterdam-Mohonasen
Edwin Quezada	Superintendent	Yonkers Public Schools
Annette Romano	Teacher	Niskayuna Central Schools
Helen Scharff-Panero	Higher education	Director, Center for Educational Leadership, Baruch, City College of New York
Howard Schoor	Teacher	Secretary, United Federation of Teachers
Carron Staple	Superintendent	New York City Districts 7, 8, 9, 10, 11
Omar Tabb	Parent/family representative	Educational Partnership Organization Superintendent
Colleen Taggerty	Superintendent	Olean School District
Stephen Todd	District Superintendent	Jeff-Lewis-Hamilton-Herkimer-Oneida BOCES
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Efforts have been made to attribute referenced material to the proper and first author. Through public review and comment, the intent is to correct any oversight or omission if notice is provided.

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PREAMBLE

This begins with a proposition. If we agree that students thrive in the presence of great teachers and great school leaders and if we believe teachers are better equipped to promote learning when they have access to the leadership, guidance, and support of a well-prepared and well-supported principal, then enhancing principal preparation can contribute to greater success for all students.

This ends with a claim. By adopting the enclosed beliefs and recommendations, the Board of Regents can improve the preparation of aspiring principals and support for current principals thereby improving the likelihood of success for students throughout New York State.

Attached are findings and conclusions developed by a Principal Project Advisory Team that was appointed by New York State Commissioner of Education MaryEllen Elia (hereafter "the team").[i] A total of 37 individuals accepted the appointment and the charge to study whether it is possible to improve the development of school building leadership.[ii] Included were parents, teachers, principals (or those holding school building leader certification), superintendents, district superintendents, local school board members, deans and faculty of schools of education at institutions of higher education, civil rights representatives, and individuals with national expertise in this arena.[iii] Convened initially on September 22, 2016, members met seven times and completed work on May 31, 2017. During that period, the team gathered evidence and weighed options that were designed to improve standards that form the basis for principal certification and standards used to guide principal preparation programs.[iv] Also considered were issues related to professional development, supervision, and evaluation.

The team used a consensus-building process to finalize beliefs and recommendations. Consequently, the proposals that follow have the support of every member. By initially articulating a set of beliefs, the Advisory Team described a vision of the ideal principal preparation program and the well-prepared school building leader. In this way, a framework of beliefs grounded this work. By then formulating recommendations, the team identified what New York State can do to enhance the quality and increase the quantity of aspiring principals as well as improve the support for existing principals and improve retention of effective leadership.

Work proceeded in three stages. In the first phase, timelines were set, deliverables identified, success criteria established, and a project plan developed.[v]

In the second phase, efforts focused on learning what is working with respect to principal preparation, both from a national perspective and in New York State. This was accomplished through 50+ interviews, 21 focus group meetings involving 202 participants, two statewide surveys of 979 stakeholders, and by collecting, reviewing, and summarizing policy-related literature on the topic.[vi] The document review included analysis of laws and regulations concerning school building leader preparation.[vii] Publications were collected (80 documents totaling 5,000 pages), summarized, and housed on a web site with other collateral related to the project. [viii]

This second phase also included collection and analysis of quantitative data comparing university-based preparation programs with respect to candidate enrollment and the pass rates for candidates from those institutions who take the School Building Leader exam (SBL).[ix] Analysis also addressed change over time in the distribution (by age) of those enrolled in SBL programs.[x] It focused on changes over time in the racial and ethnic composition of students, teachers, and principals in New York State public schools with particular attention to fluctuations in the non-White share of each group.[xi] As well, the analysis explored how pass rates for SBL exams varied by race/ethnicity and also varied across time (pass rates for test-takers on earlier forms of the exam were compared to pass rates for test-takers on the current form).[xii]

The third and final stage involved assembling a coalition to guide this work, identifying needed improvements, and building a consensus for change. To assist in the consensus-building process, the 37-member Advisory Team was aided by input from 235 participants in 22 focus group meetings, five different surveys involving 505 stakeholders, and input from the members of various statewide organizations (the *NYS Board of Regents*, the *Metropolitan Council of Educational Administration Programs*, the *Professional Standards and Practices Board*, the *New York State Staff and Curriculum Development Network*, and the *Committee for Identifying and Developing Educational Leadership*).[xiii xiv xv]

The next section provides context for this work.

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CONTEXT

Because everything is understood in context, it is useful to situate the topic of principal preparation in New York within a larger landscape. Through the *Every Student Succeeds Act* (*ESSA*) the federal government has focused both educators and the country on one question.

> How do we create conditions that are more conducive to teacher
> instruction and student learning in ways that contribute to better,
> more-equitable opportunities and outcomes for all students? [xvi]

Work on the current project has taken place during a time of larger social change. While the principal's job has traditionally been viewed as demanding, responses from surveys and focus group participants suggest that it has become more complex in recent years due to forces and trends both inside and outside of education. This includes a wave of laws that have heightened educator accountability. Demographic shifts make communities more diverse than ever and the presence of English learners commonplace in classrooms.[xvii] Among many New York communities, childhood poverty is growing and racial isolation is increasing.[xviii] Technology advances have opened the door to new teaching avenues; at the same time, social media and ubiquitous smart phones have surfaced new ethical questions related to security, safety, and privacy. As a result, the job of school principal is today viewed as more challenging than a decade ago.

Through surveys, focus groups, and interviews, practitioners have noted and expressed concern that the preparation of school building leaders has not kept pace with these changes. At the same time, through interviews, surveys, focus groups, it is clear that some forward-thinking principal preparation programs stand out for the proactive way they have adapted to take on these new challenges. Nevertheless, the most frequent theme arising from early focus groups was the perception that many earn SBL certification in New York State but not enough are ready to step into the position of principal and be successful.

Fortunately, growing attention is being devoted to the role and importance of school building leadership. This is reflected in several ways. One is a movement among states to modernize the standards that guide certification of school building leaders. An informal poll conducted in January 2017 by the *Council for Chief State School Officers* shows that six states have made the shift to update these standards and 14 others (including NYS) are in process of doing so.[xix] More evidence is seen in a provision within *ESSA* that allows states to set aside three percent of Title II – Part A funds for the purpose of leadership development.[xx]

Leaders of local districts in New York have taken note. Because districts throughout the state expend 80 percent or more of operating funds on personnel, one of the most important decisions district leaders make involves how to recruit, select, develop and retain effective principals.

The next section of contains insights developed by the Principal Project Advisory Team.

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INSIGHTS

The collection and analysis of data generated insights that guided team members. A list follows.

1. Many are certified to be school building leaders in NYS but not enough have what is needed to be effective as a principal.

2. When it comes to principal prep, standards are important but "enacted competencies" matter more.

3. Better alignment is needed between what is needed to be a successful principal, what is taught in SBL programs, and what it takes to be SBL certified. For example, the basis of school building leader certification in New York State is a set of standards created in 2008 by the *Interstate School Leaders Licensure Consortium* (or ISLLC).[xxi] However, in 2015 a new set of national standards was released called the *Professional Standards for Educational Leaders* or PSELs).[xxii]

4. Insufficient opportunities exist for school building leader candidates to lead projects in P12 settings so they can apply what they learned in their SBL program. That is to say, at present, to earn SBL certification in NYS, candidates must satisfy three conditions.
   - A statement from an SBL program attesting that a candidate completed a program (including an internship)
   - A satisfactory score on the state-approved SBL exam that is externally administered
   - Three years of teaching experience (or three years in pupil personnel services)
   What is absent from regulations is any formal expectation that aspiring principals take what they learn in an SBL program and apply it successfully in an authentic setting to improve staff functioning, student learning, or school performance.

5. Internships are considered an effective way to improve preparation. Internships make guided practice possible within the actual P12 setting. This is especially so when internships are combined with close support from a successful, practicing, school-based administrator. For this to occur, a close relationship must exist between K12 and Higher Education. A decision to place a particular candidate in a particular internship is best made where there is a coordinated effort involving the candidate, the

school district hosting the internship, and representatives from the SBL program in the higher education institution.

6. While there is wide agreement that principals assume the responsibility to improve the schools they lead, the reality is that principal success often depends on the support they get in the job. Unfortunately, in the absence of a mentor to turn to, first-time-ever principals can tend to avoid asking for help (this can lead to a dangerous downward spiral). For this reason, high-quality mentoring that extends through the first year on the job is increasingly considered by most who are well-informed to be an essential element of a high-quality preparation program.

7. In various ways, diversity plays a larger role today than in the past. Even as the racial/ethnic diversity of the student population in NYS is increasing, the racial/ethnic diversity of the principal corps is declining. According to data from the National Center for Education Statistics *School and Staffing Survey*, the non-White share of P12 enrollment in NYS had grown to more than 50% by 2011, but during the same time period the non-White share of school building leaders was shrinking. Whereas one in four principals was non-White in NYS in 2007; by 2011 (the most recent year for which data are available) the share dropped to one in five. At the same time, there is widespread agreement that principals everywhere need the knowledge, skill, and dispositions to be able to address the learning needs of an increasingly diverse student population.

8. With respect to school building leader preparation, the State has a four-part purpose. First, the State sets expectations concerning the standards for individual certification and program design/approval. Second, the State specifies the respective responsibilities of individuals seeking certification, higher education institutions offering programs, districts providing internships, and any other interested parties (BOCES, etc.). Third, the State deploys resources that enable the P-20 system of principal preparation to improve in effectiveness and efficiency. Finally, the State has the responsibility to clearly communicate the source and boundaries of its authority and to fairly exercise that authority in ways that promotes quality, equity, efficiency, and access within the statewide system of school building leader certification.

9. By regulation (8 CRR-NY 52.21 (c)(1-2)), higher education institutions that enroll aspiring principal candidates "shall be continuously accredited by either an acceptable professional accrediting association, meaning an organization which is determined by the department to have equivalent standards to the standards set forth here, or by the Regents, pursuant to a Regents accreditation process." (This refers to organizations such as the *Council for the Accreditation of Educator Preparation* or CAEP).

The next section contains consensus beliefs statements developed by the Principal Project Advisory Team.

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BELIEFS STATEMENTS

A. Equity

Well prepared school building leader candidates cultivate a climate of compassion and care for the well-being of every child in the school; candidates create a culture that strives to support the learning needs of every student in an environment where all students are valued, are respected, and experience success regardless of their differences (age, gender, socio-economic status, religion, race, ethnicity, sexual orientation, disability, native language, national origin, and other characteristics).

B. Value Diversity

Effective school building leader preparation programs recruit and produce aspiring leaders from varied backgrounds and historically-under-represented populations who are committed to the success of every student, who value different learning styles, who promote instructional practices that capitalize on a range of cultural traditions, and who strive to eliminate prejudice, stereotype, bias, and favoritism.

C. Purpose

Well prepared school building leader candidates make it their mission to support staff in the school so every student is equipped for success in the next level of schooling, career, and life; further, candidates have the ability to translate goals into plans, action, and desired results.

D. Shared Decision-Making and Shared-Leadership

Well prepared school building leader candidates have the willingness and ability to share decision-making and distribute leadership.

E. Instruction

Well prepared school building leader candidates have the knowledge and skill to improve teacher instruction and student learning.

F. Collaborative Partnership

Well-prepared building leader candidates have the skill, ability, and desire to collaborate so students, staff, and parents feel they belong and community members are valued and appreciated as respected partners.

G. Skillful Practice under Authentic Conditions

Effective school building leader preparation programs produce aspiring principals who demonstrate their readiness for school leadership by successfully applying the skills and knowledge they acquire within authentic settings throughout their preparation program.

H. Reflective Practice

Effective school leader preparation programs require candidates to reflect upon their actions. Well-prepared building leader candidates rely on collegial feedback, student evidence, and current research to inform their reflection and guide their practice.

I. Continuous Improvement and Change Management

Well prepared school building leader candidates display the emotional intelligence, skill, and grace needed to manage the tension and conflict that can arise when schools engage in continuous improvement efforts.

The final section contains consensus recommendations developed by the Principal Project Advisory Team.

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RECOMMENDATIONS

I.   Base initial principal certification on the most-current national <u>standards</u> for educational leaders but with emphasis added on educating all students to high levels of performance, the necessity of cultural competence, the utility of culturally-relevant curricula, and the role school leaders should play in efforts to instill a love of learning in young people.[xxiii] [xxiv] [xxv] [xxvi] [xxvii]

II.   Make initial school building leader certification <u>competency-based.</u> To accomplish this, translate the *Professional Standards for Educational Leaders* into competencies that become the basis for determining certification readiness. That is to say, aspiring school building leaders become eligible for certification by applying the knowledge, skill, and dispositions (acquired in a university-based preparation program) in a school setting to improve staff functioning, student learning, or school performance.[xxviii] [xxix]

III.   Provide better and different pathways, options, and/or opportunities leading to full-time, extended-period, school-based <u>internships</u> for all aspiring principal candidates. As practical, furnish candidates with an internship that enables them to experience the full range of roles and duties of a principal.

IV.   Provide incentives and expectations that promote stronger and more-sustainable <u>P-20 partnerships</u> involving districts and universities (and if useful BOCES and/or third party organizations with interest and expertise in this arena).[xxx]

V.   Pair internship with high-quality coaching and <u>mentoring</u> support that extends through first full year that a candidate is in the principal job (enumerating what will be done to assure quality mentoring).[xxxi]

VI.   Consistent with existing language within NYS regulations pertaining to competency-based practices and the internship, create a mechanism that: (a) employs a clinically-rich experience; (b) calls upon a knowledgeable in-district expert to observe and attest that a candidate has demonstrated competency with respect to a particular certification standard; (c) culminates in issuance of a <u>micro-credential</u> that is recognized by NYS; and (d) provides a mechanism whereby micro-credentials can be combined in partial fulfillment of requirements for SBL certification.[xxxii] Micro-credentials may take the form of an annotation to an SBL certificate that signals particular expertise of the bearer of the certificate.

VII.   Revise the expectations within the *Continuing Teacher and Leader Education* (CTLE) requirements in such a way that in order to re-register once every five years principals must demonstrate they have acquired the knowledge, skill, and dispositions (i.e., culturally-responsive practices) that prepare them to supervise instruction in ways that <u>address the learning needs of a diverse student population</u>.[xxxiii]

VIII.   Create <u>funding opportunities and non-pecuniary incentives</u> to encourage districts and universities (and if desired, Boards of Cooperative Education Services) to implement models of <u>continuous professional learning for and support to</u> educators during the first three years of their career as school building leaders. These include (but are not limited to) sustainable induction models that may be tied to a principal preparation portfolio in ways that provides feedback to the individual school building leader, to the university-based SBL program, and to the school district leadership. Take steps to furnish on-going, job-embedded professional learning and authentic experiences with diverse student populations (including English language learners, students with disabilities, etc.) during preparation and the first year on the job as a school building leader.

IX.   Reinforce the expectations in current NYS statutes and regulations that require university-based preparation programs to maintain national accreditation (via the *Council for the Accreditation of Educator Preparation* or *CAEP*). In part, these expectations call for higher education institutions to set goals, targets, and milestones (and report success in efforts) to increase the number and percent of candidates from <u>historically-under-represented populations</u> who enroll and complete programs of study.[xxxiv] Similarly, create expectations and <u>incentives</u> that prompt school districts to set goals (and report on success in efforts) to recruit, select, develop, and place individuals from historically under-represented populations within the ranks of their school building leaders.

X.   In support of VIII and IX (above), identify <u>and deploy non-public sources of funds</u> to improve the ability of district hiring managers to identify, recruit, select, place, and develop talented principals (both aspiring and current school building leaders). Design and implement <u>indicators and measures to gauge the efficacy of SED efforts</u> to: (a) support and enhance the growth of individual principals and the staff members in schools they lead; and (b) support P-20 partnerships in their efforts to improve the identification, recruitment, selection, placement and development of aspiring school building leaders (especially but not exclusively those from historically-under-represented populations).

XI. As a possible option (prior to full-scale implementation of state-adopted changes to the process of school building leader certification), design and offer a step-up plan that includes meaningful incentives and that makes possible <u>a pilot involving a P-20 partnership</u> (opt-in participation for BOCES) and a process of learning from the pilot.

[i] In this context, the term "principal" refers to an individual who earned the School Building Leader (SBL) certificate in New York State and who is employed to lead a school. Beyond principals, others may hold the SBL certificate in NYS. Those who have earned SBL certification can include assistant principals, program coordinators, central office administrators, or other staff positions that perform administrative duties. In some cases, aspiring principals may include classroom teachers who hold the SBL certificate but have not yet attained a position that has the title of "principal". Because the purpose of the Principal Project Advisory Team is to identify ways to improve the development of school building leaders, the Advisory Team members considered and addressed the runway leading to the principal-ship. Thus, aspiring principals were of interest and concern to the Advisory Team. Unless otherwise noted in the text, when the term "school building leader" appears, it generally refers to anyone holding the title of principal with the understanding that it may more broadly pertain to others who hold the SBL certificate but do not yet hold the principal title.

[ii] Invitation is at http://www.nysed.gov/common/nysed/files/commissioner-letter-of-invitation-to-serve-on-the-advisory-team.pdf. A memo from the Commissioner is at http://www.nysed.gov/common/nysed/files/principal-project-memo-from-commissioner-to-principal-proj-adv-tm.pdf.

[iii] A list of members is found at http://www.nysed.gov/common/nysed/files/members-of-the-principal-project-advisory-team.pdf

[iv] The term "school building leader preparation program" means any of the 47 graduate-level programs in New York State that universities offer which have earned permission of the New York State Education Department to enroll students who seek to acquire the school building leader certification. This is the certification that is needed to be employed as principal in a school. The SBL acronym refers to school building leader.

[v] http://www.nysed.gov/common/nysed/files/charge-deliverables-and-success-criteria.pdf
http://www.nysed.gov/common/nysed/files/management-action-plan-for-principal-preparation-project.pdf

[vi] Themes emerging from 21 focus group meetings are found at http://www.nysed.gov/common/nysed/files/focus-group-themes.pdf. Graphs showing survey responses are found at http://www.nysed.gov/common/nysed/files/graphs-from-the-surveys-completed-by-focus-groups.pdf. A summary of the literature is found at http://www.nysed.gov/common/nysed/files/summary-of-the-literature-on-principal-preparation.pdf. Another summary is found at http://www.nysed.gov/common/nysed/files/summary-of-the-literature-on-principal-preparation-part-two.pdf. Another is at http://www.nysed.gov/common/nysed/files/principal-project-summary-of-the-literature-on-principal-preparation-part-three.pdf.

[vii] http://www.nysed.gov/common/nysed/files/graphic-showing-relationship-of-nys-laws-regs-and-sbl-standards.pdf
http://www.nysed.gov/common/nysed/files/table-of-requirements-affecting-individuals-programs-institutions.pdf
http://www.nysed.gov/common/nysed/files/table-showing-relationship-of-standards-for-programs-and-individuals.pdf
http://www.nysed.gov/common/nysed/files/long-form-of-title-viii-regulations-from-nys-re-school-building-leader-preparation.pdf

[viii] http://www.nysed.gov/schools/principal-project-advisory-team

[ix] http://www.nysed.gov/common/nysed/files/principal-project-cautionary-note-three-graphs.pdf

[x] http://www.nysed.gov/common/nysed/files/principal-project-age-distribution-for-sbl-candidates.pdf

[xi] http://www.nysed.gov/common/nysed/files/principal-project-mismatch-display-nov-1-2016.pdf

[xii] http://www.nysed.gov/common/nysed/files/principal-project-chart-displaying-results-of-sbl-exams.pdf

[xiii] http://www.nysed.gov/common/nysed/files/themes-emerging-22-focus-groups-conducted-march-april-2017.pdf

[xiv] http://www.nysed.gov/common/nysed/files/graphs-reaction-235-survey-respondents-belief-statements-apr-11-2017.pdf

[xv] http://www.nysed.gov/common/nysed/files/graphs-reaction-235-survey-respondents-to-recommendations-apr-11-2017.pdf

[xvi] Reference here to "all students" involves providing the access and services needed for students to acquire the knowledge and skills to successfully pursue their chosen path in life. This may involve customized opportunities and individualized support. The understanding that "all means all" explains the moral obligation of educators and especially school building leaders to advocate for and take action to promote the success of every student, regardless of a student's disability or circumstance. This contemporary view of a social covenant that includes a duty to advance the welfare of others has been articulated by many including NYU scholar Kwame Anthony Appiah. Paraphrasing Appiah's view of commonness plus difference, he says, "Two things are true. We are all alike. We are all different." (*Cosmopolitanism: Ethics in a World of Strangers*).

[xvii] In this context, the term "diverse" or "diversity" means differences in a variety of way. This includes but is not limited to age, gender, socio-economic status, religion, race, ethnicity, sexual orientation, disability, native language, or national origin.

[xviii] http://www.nysed.gov/common/nysed/files/kucsera-new-york-extreme-segregation-2014.pdf

[xix] http://www.nysed.gov/common/nysed/files/principal-project-table-showing-state-progress-toward-revising-leadership-standards.pdf

[xx] See *Non-Regulator Guidance for Title II Part A* issued September 27, 2016 by the U.S. Department of Education. This is found at this link. https://www2.ed.gov/policy/elsec/leg/essa/essatitleiipartaguidance.pdf. It states, "Under ESEA section 2101(c)(3), an SEA may also reserve *up to an additional 3 percent of the total amount available for LEA subgrants* to support activities for principal [preparation and development]."

[xxi] http://www.nysed.gov/common/nysed/files/principal-project-file-53-isllc-standards-2008.pdf

[xxii] http://www.nysed.gov/common/nysed/files/file-23-professional-standards-for-educational-leaders-2015.pdf

[xxiii] For the purpose of this work, references to students in Standards 4, 5 and 6 have been changed from the original 2015 *Professional Standards for Educational Leaders* (*PSELs*). Whereas the PSELs in the original refer to "each student", for these recommendations, reference is instead made to "all students." The rationale for this shift follows. Students differ in many ways. This includes age, gender, disability, socio-

economic status, religion, race, ethnicity, sexual orientation, native language, national origin, and other characteristics. Nevertheless, the standards express the commitment of effective educational leaders to the academic success and well-being of all students. "All means all."

[xxiv] In this context, the term "culturally-relevant" means an approach that enables students to acquire knowledge and skill by connecting new learning to prior experience. The term "cultural competence" means the ability to use culturally-relevant approaches

[xxv] Standard 4 of the PSELs pertains to Curriculum, Instruction, and Assessment. It is recommended that the phrasing of Standard 4 be revised to state the following. "Effective educational leaders develop and support intellectually rigorous, culturally relevant, and coherent systems of curriculum, instruction, and assessment to promote the academic success and well-being of all students,"

[xxvi] Standard 5 of the PSELs pertains to Community of Care and Support for Students. It is recommended that the language be revised to state the following. "Effective educational leaders cultivate an inclusive, caring, and supportive school community that promotes the academic success and well-being of all students."

[xxvii] Standard 6 of the PSELs pertains to Professional Capacity of School Personnel. It is recommended that the language be revised to state the following. "Effective educational leaders develop the professional capacity, cultural competence, and practice of school personnel to promote the love of learning, academic success, and well-being of all students."

[xxviii] Within this recommendation there is an element that involves the decision about whether to eliminate, revise, or replace the current School Building Leader exam. Given the results of alignment studies, New York State should consider augmenting or replacing the current SBL exam with a competency-based assessment.

[xxix] As the state considers whether to eliminate, revise, or replace the current SBL exam with a competency-based assessment, the state should give thought to how a move in the direction of competency-based assessment can help support and enhance state efforts to advance its goals of improving the representation of historically-under-represented populations within the corps of school building leaders. That is, while maintaining a commitment to quality (when it comes to certification, program approval and institutional accreditation), the state should take steps to improve the presence of historically-under-represented populations in the ranks of successful school building leaders by employing multiple pathways to SBL certification that include competency-based demonstrations and peer review of portfolios containing multiple forms of evidence (beyond test-based results). In this context, the term "multiple pathways" does not refer to alternative certification but instead on broadening the tools used to determine candidate readiness for certification beyond test-based assessments.

[xxx] To institutionalize the P20 partnerships, through regulation create a set of expectations that formalizes the roles that university and district partners play in assessing candidate competency in each required standards.

[xxxi] Create a measurable first-year mentoring requirement that features a full school year of formal mentoring. Structure it so higher education partners with districts (and if desired other organizations with expertise in mentoring) so there is a continuation of formal training received in principal preparation. To allow this, develop a job embedded candidate portfolio process to accompany principal preparation so the portfolio follows candidates into the job. The portfolio contains a competency-based assessment – that includes but is not limited to self-assessment -- that starts in preparation but with a line of sight to on-the-job evaluation and which measures each candidate's strengths and weaknesses in an effort to focus mentoring efforts on target areas of growth and development that are tailored to the strengths and needs of each candidate. Further, provide targeted support to train and develop mentors as well as for consideration for mentor placement, including working with professional organization for assistance and guidance from existing models of success, e.g., Committee for Identifying and Developing Educational Leaders in Western New York State (or CIDEL).

[xxxii] http://www.nysed.gov/common/nysed/files/principal-project-context-for-a-discussion-today-about-a-competency-based-approach-mar-22-2017.pdf

[xxxiii] This shall include knowledge of and proficiency with both "universal design" and "culturally responsive practices".

[xxxiv] This especially pertains to *CAEP* Standard 3.1 that calls for the "provider to present plans and goals to recruit and support completion of high-quality candidates from a broad range of backgrounds and diverse populations to accomplish their mission. The admitted pool of candidates reflects the diversity of America's P-12 students."

Attached is a set of preliminary recommendations that were drafted by the Principal Project Advisory Team and approved by consensus on May 1, 2017.

These preliminary recommendations formed the basis for the consolidated recommendations that were developed in early May, 2017 and which appear earlier in this document.

To gather public comment, the recommendations were disseminated to stakeholders via an online survey. Feedback from stakeholders was considered by the Advisory Team at its final meeting on May 31, 2017.

Principal Preparation Project Advisory Team
Preliminary Set of Consensus Recommendations for Public Comment
May 4, 2017

Diversity

1. Aspiring and current principals demonstrate they have acquired and can apply the knowledge and skill required to meet the learning needs of an increasingly-diverse student population (to include "universal design" and "culturally responsive practices").
   a. Current principals with a professional SBL certificate produce proof when they register every 5 years.
   b. Those not yet initially certified provide proof through the process of certification.

2. Going forward, professional development plans that districts prepare and submit to the State Education Department will include annual goals that call for increasing the number and percentage of historically under-represented populations in the ranks of school building leaders employed by the district; districts make public annual reports that describe progress made toward these goals.

3. Future state approval for university-based School Building Leader (SBL) preparation programs will be predicated on the SBL program setting and reporting publicly on program progress toward annual goals that seek to increase the number and percentage of historically under-represented populations in the ranks of:
   a. Candidates enrolled in the School Building Leader preparation program
   b. Those candidates enrolled in the School Building Leader preparation program who successfully earn SBL certification

4. While maintaining a commitment to quality (when it comes to certification, program approval and institutional accreditation), take steps to improve the presence of historically-under-represented populations in the ranks of successful school building leaders by employing multiple pathways to SBL certification that include competency-based demonstrations and peer review of portfolios containing multiple forms of evidence (beyond test-based results).

5. Design, implement, and scale up statewide a mechanism that enables State-based incentives to be used to improve the identification, recruitment, selection, placement and development of aspiring school building leaders (especially but not exclusively those from historically-under-represented populations).

Standards

1. Adopt *Professional Standards for Educational Leaders* (*PSELs*) for principal preparation and evaluation but add particular emphasis. For Standards 4, 5, and 6 replace "each student" with a reference to "all students." Further, add emphasis in the following ways:

   a. In Standard 4, add "culturally relevant" as in "intellectually rigorous, culturally relevant, and coherent systems of curriculum".

   b. In Standard 6, add "cultural competence" as in "professional capacity, cultural competence and practice of school personnel"

   c. In Standard 6, add "and love of learning" at the conclusion of the sentence.

   Standard 4: Curriculum, Instruction, and Assessment

Original Phrasing:	Effective educational leaders develop and support intellectually rigorous and coherent systems of curriculum, instruction, and assessment to promote each student's academic success and well-being.
Proposed Phrasing:	Effective educational leaders develop and support intellectually rigorous, culturally relevant, and coherent systems of curriculum, instruction, and assessment to promote the academic success and well-being of all students,

   Standard 5: Community of Care and Support for Students

Original Phrasing:	Effective educational leaders cultivate an inclusive, caring, and supportive school community that promotes academic success and well-being of each student.
Proposed Phrasing:	Effective educational leaders cultivate an inclusive, caring, and supportive school community that promotes the academic success and well-being of all students.

Standard 6: Professional Capacity of School Personnel

Original Phrasing: Effective educational leaders develop the professional capacity and practice of school personnel to promote each student's academic success and well-being.

Proposed Phrasing: Effective educational leaders develop the professional capacity, cultural competence, and practice of school personnel to promote the love of learning, academic success, and well-being of all students.

Note: In this context, the term "culturally-relevant" means an approach that enables students to acquire knowledge and skill by connecting new learning to prior experience.   The term "cultural competence" means the ability to use culturally-relevant approaches.

For the purpose of this work, references to students in Standards 4, 5 and 6 have been changed from the original 2015 *Professional Standards for Educational Leaders* (*PSELs*). Whereas the PSELs in the original refer to "each student", for these recommendations, reference is instead made to "all students." The rationale for this shift in language follows.

Students differ in many ways. This includes age, gender, disability, socio-economic status, religion, race, ethnicity, sexual orientation, native language, national origin, and other characteristics. Nevertheless, the standards express the commitment of effective educational leaders to the academic success and well-being of all students. "All means all."

P12-Higher Education Partnership
1.   Institutionalize P-20 partnerships to strengthen the profession.

2.   Provide on-going, job-embedded professional learning and authentic experiences with diverse student populations (including English language learners, students with disabilities, etc.) during preparation and the first year on the job.

3.   Consider an annotation to the SBL Certification for principal-ship.

Professional Learning and Ongoing Support
1.   Create a measurable first-year mentoring requirement that features a full school year of formal mentoring. Structure it so higher education partners with districts (and if desired other organizations with expertise in mentoring) so there is a continuation of formal training received in principal preparation. To allow this, develop a job embedded candidate portfolio process to accompany principal preparation so the portfolio follows candidates into the job. The portfolio contains a competency-based assessment – that includes but is not limited to self-assessment -- that starts in preparation but with a line of sight to on-the-job evaluation and which measures each candidate's strengths and weaknesses in an effort to focus mentoring efforts on target areas of growth and development that are tailored to the strengths and needs of each candidate.

2.   Create incentives to encourage districts and universities (and if desired, Boards of Cooperative Education Services or BOCES) to align and adopt sustainable induction models tied to the principal preparation portfolios to provide continuous ongoing support to educators during the first three years of their educator's careers. The State Education Department will monitor, track, and report outcome gains to document growth and outcomes.

3.   Provide targeted support to train and develop mentors as well as for consideration for mentor placement, including working with professional organization for assistance and guidance from existing models of success, e.g., Committee for Identifying and Developing Educational Leaders in Western New York State (or CIDEL).

Authentic Experiences and the Internship
1.   The preparation of school building leaders will be:
-   Grounded in CAEP or State-adopted standards for programs to prepare school building leaders
-   Competency-based
-   Rooted in district-university partnerships
-   With partners playing a role in assessment of competency in each standard via clinically-rich micro-credentialing experiences throughout the coursework
-   Includes an internship component with sustained time in one place
-   The above happens in a pilot initially with voluntary representation of university-district partnerships across the state and a process of learning from the pilot

Note: In this context, the term "CAEP" refers to the Council for the Accreditation of Educator Preparation.