

SREB

Progress Over a Decade in Preparing More Effective School Principals

2012

Southern
Regional
Education
Board

www.sreb.org



This report was developed by Gene Bottoms, SREB senior vice president, and Paula Egelson, director of research.

Leslie Hazle Bussey, the former director of research, collected data and significantly contributed to the initial draft of this publication.

The research and the publication are supported by the Wallace Foundation, which seeks to support and share effective ideas and practices that expand learning and enrichment opportunities for all people. The findings and recommendations of individual reports are solely those of the authors. For more information and research on school leadership and other related topics, please visit Wallace's Knowledge Center at www.wallacefoundation.org.

Executive Summary

Over the past 10 years, the Southern Regional Education Board (SREB) has helped states and public universities across the region evaluate their state policies for preparing school leaders and has supported them in redesigning their principal preparation programs to position the principal as the instructional leader of the school. It has been a long but productive process.

SREB's benchmark reports in 2002, 2004 and 2007 showed that progress in state learning-centered leadership has been made in many areas, and this report on the full decade concludes much the same. In states where policy-makers and educators have followed SREB's policy footprints, better-prepared principals have emerged who have implemented best practices for improved student achievement. Yet in certain areas, more efforts are needed. Building on findings from a 2010 study, this report outlines those areas and looks at several new related topics that are important to state and school leaders.

To guide the decade of leadership work in states, in 2002 SREB developed six **learning-centered leadership indicators** (state leadership standards, identification of prospective school leaders, learning-centered leadership preparation programs, quality leadership internships, performance-based, tiered licensure system, and multiple pathways to school leadership). In 2010, four more indicators (specialized services for principals of low-performing schools, working conditions that sustain principal success in improving student learning, principal evaluation based on effective practice, and state data collection systems that support leader development and succession planning) were added to reflect the growing research base in this area. This report utilizes these indicators as critical measures of state progress.

It begins by reintroducing policy-makers and administrators to SREB's learning-centered leadership **theory of change: that when states apply policy direction and technical support to university and district leaders, it leads to better-prepared principals and supportive districts — and, ultimately, to improved student achievement results.** The first part of the report also describes the 10 learning-centered leadership indicators and summarizes the progress states have made over the past decade. It includes a summary of leadership research, organized around **four questions** that focus on leadership standards, principal preparation, principal selection and support of principals.

The second part of the report is organized around the four question strands. The answers to these questions can help policy-makers and administrators gauge how far their states, districts and schools have come and how far they need to go to obtain quality learning-centered leaders who can help raise student achievement. The second part also lays out the rationale used for judging the current indicators, the measures used to judge where states stand on the indicators, states' progress on the indicators, the exemplary practices that exist in states with the indicators and what policy actions states can take.

Brief Summary of Progress

States have made extraordinary progress over the past decade with support from SREB on many of the *original six* key learning-centered leadership indicators. This advancement is promising. Among the highlights:

- **Half the SREB states have made significant progress in developing leadership standards that support the principal as the instructional leader of the school.** There are structures in these states, such as advisory groups and professional development offerings, that support student learning and performance-based standards.

- **Nine SREB states have made significant progress in redesigning programs to reflect the principal as the leader of changes in curricula and in the quality of instruction that support the growth of teachers.** In these states, universities have developed new preparation programs that focus on the principal leading learning. This includes university-district collaborative redesign of the leadership preparation programs, with consequences for failing to meet preparation program approval.
- **Twelve SREB states have made good-to-significant progress in having preparation programs that include substantial field-based experiences.** This includes districts overseeing field experiences, field experiences taking place in diverse school settings, and candidate performance being assessed rigorously.
- **Fourteen states have made good-to-significant progress in designing and implementing a tiered, performance-based statewide system of principal licensure.** This includes distinct tiers for beginning and experienced principals. There is new emphasis on continued growth of principals to become more effective in putting best practices in place in schools, as well as achieving improved student achievement results.



Children from low-income families need the same quality of learning experiences as the children from middle-class and upper-class homes.

Yet in some leadership policy areas, SREB states have been unsuccessful; this is worrisome. **Public schools need more principals who can focus on getting the whole school involved in improving instruction, who can get at relevance and purpose of student learning, and who can recognize that children from low-income families need the same quality of learning experiences as the children from middle-class and upper-class homes.** Having high-achieving students will not occur with a test-prep mentality of drill and cover. Principals who cannot engage the faculty, cannot motivate students and cannot create a school vision of success that goes beyond teachers teaching to the test should not be assigned to low-performing schools. Today's classrooms need more in-depth student learning, and children must be engaged in intellectually demanding tasks.

Specific areas where SREB states have gained less ground include:

- developing policies for principal succession planning that include rigorous leadership preparation program entrance criteria, as well as university and district collaborative selection of candidates.
- creating multiple pathways to school leadership (such as alternative licensure and preparation and teacher-leader certification*).
- having alternative principal preparation programs in states. States need policies that allow other entities to provide high-quality preparation of potential school leaders.

* A teacher leader is an individual who positively influences a school culture, creates a successful team, supports teachers and helps improve student achievement (John Gabriel, *How to Thrive as a Teacher Leader*).

A snapshot of progress on the *four additional* leadership indicators created in 2010 shows that:

- Specialized state services and support for principals of low-performing schools that include distinct curricula for preparing principals of low-performing schools and district office leaders who guide and support such principals are lacking in states.
- States are at the starting gate in creating working conditions that sustain principal success (balancing principal accountability with autonomy). Only three states offer training for teams of district leaders, with just over half the states having a vision of principal autonomy balanced with accountability.
- Eight SREB states do have statewide principal evaluation systems, and in seven states, evaluation is aligned to leadership standards. Training to evaluate principal performance is offered in half the SREB states.
- Finally, seven states have data collection systems that provide unique identifiers for school administrators and preparation programs, and functional connections and analysis among leader, student and leadership preparation data.

In Sum

SREB states clearly have made solid progress in strengthening their school leadership policies over the past decade, with SREB's guidance. The inclusion of performance-based state leadership standards, redesigned preparation programs with a focus on the principal leading learning, and a tiered principal licensure system are good examples.

However, several areas of concern demand more attention. **These include a lack of principal succession planning in states, a lack of support for principals of low-performing schools, and a need for more alternative preparation and pathway options to the principalship.** These deficiencies need to be addressed and resolved in order to have the effective and purposeful principal selection, preparation, feedback and support that are critical in developing and sustaining successful schools in the 21st century. SREB believes a strong and continual push to implement these key indicators at the highest level must occur.



Gene Bottoms,
SREB Senior Vice President

Contents

Introduction	1
Part I: Background on Learning-Centered Leadership Indicators for States	2
What Progress has Been Made This Decade	2
How Principal Selection, Training, Certification, Evaluation and Professional Development Have Changed Over the Past Decade	2
Theory of Change.....	3
SREB’s 10 Policy Indicators of Progress in Developing Learning-Centered School Leaders	5
16 SREB States’ Progress on the Original Leadership Indicators and a Baseline Status on the Four New Indicators.....	6
Four Key Questions Policy-Makers Should Ask	7
Part II: 2010 State Results on Each Indicator of progress.....	11
Developing Effective Leadership Standards	11
Selecting Future Principals.....	13
Preparing Future Principals.....	15
Giving Future Principals Real-World Experience	17
Tiered System of State Licensure.....	20
Pathways to Licensure.....	23
Principal Evaluation.....	26
Data Systems	28
State Support for Principals of High-Needs Schools.....	31
Principal Working Conditions	34
Conclusion.....	38
Appendices.....	39

“Leadership has significant effects on student learning, second only to the effects of the quality of the curriculum and teachers instruction.”¹

Leithwood and Riehl

In today’s era of high-stakes school accountability, principals are more important than ever in getting schools to raise the bar and in helping students reach higher levels of achievement. The beginning of the 21st century ushered in a decade of progress on school leadership selection, preparation, licensure, professional development and evaluation redesign in SREB states. Educators and policy-makers realized that for schools to be successful, good school leadership was critical. Outstanding school leadership was even more essential for turning around schools with low-achieving students. In 2008, Murphy and Meyers stated, “Successful turnaround schools almost always have a good, if not exceptional, principal. The principal typically sets the agenda, while leading teachers, involving the community and building the general capacity.”²

In 2001, the Wallace Foundation provided support to SREB to develop the publication *Preparing a New Breed of School Principals*. In this document, SREB called for state leaders to implement new leadership policies and practices. Policy recommendations focused on principal preparation and certification, including identifying potential leaders, redesigning university preparation programs, reforming principal certification requirements and creating alternative pathways to prepare leaders. As a result, state school leadership policies have changed over the past 10 years. Today, principals are held to higher expectations in leading improvement in student learning. Investigation of principal preparation programs affirmed that state policies do influence the quality of principal preparation through program approval, certification and targeted technical assistance.³

As states more fully developed their accountability systems and placed more emphasis on principal quality, more research emerged on the role principals can play in leading learning. **This new research supported more rigorous and thoughtful principal evaluation,⁴ a new vision of the role central office staff should play in supporting principals,⁵ and more robust and accessible state data systems that allow for projecting future leadership needs and evaluating preparation programs.⁶** SREB’s Learning-Centered Leadership Program bolstered these calls for reform with technical assistance, bringing together state educational and policy leaders, university faculty and district leaders to craft policy. State action emerged on several fronts to better select, prepare and support a new generation of school principals.

In 2009, Catherine Augustine and a team of researchers representing RAND Corporation reported how some states and districts had worked together to create more cohesive policies and activities centered on school leadership. These researchers found that when state and district leaders worked together, their domains of responsibility converged in the areas of principal preparation and evaluation.⁷ In 2010, Orr, King and LaPointe, representing the Wallace Foundation, determined in a study of eight urban districts with leader development projects in progress that state policies complemented district actions and program approaches.⁸

Part I: Background on Learning-Centered Leadership Indicators for States

What Progress has Been Made This Decade

This report updates policy-makers and administrators on where SREB states stand in enacting state policies and implementing practices that research suggests are most likely to improve the quality of principal leadership. Unlike SREB's earlier benchmarking reports (2002, 2004 and 2007), this study not only looks at the importance of school leader selection, professional development and certification, but it also looks at the importance of principal evaluation, district support for principals and data systems to inform the effectiveness of preparation programs.

At the heart of the report are findings from a 2010 study that examined the progress of each of the 16 SREB states[†] in achieving a learner-centered leadership program. SREB determined the progress for each state through review of source policy documents, interviews with state agency personnel, surveys of university preparation program coordinators and surveys of district superintendents. To frame the study, SREB researchers reviewed the conditions that inspired the initial call for state reform and contrasted those with the current conditions that demanded sustained attention to principal quality. SREB researchers presented a theory of change on how **the right combination of state policy and support leads to more successful principals and more high-achieving students.**



The right combination of state policy and support leads to more successful principals and more high-achieving students.

How Principal Selection, Training, Certification, Evaluation and Professional Development Have Changed Over the Past Decade

In 2002, the federal *No Child Left Behind Act* started a new era of school and state accountability for student achievement. The increased pressure to raise standards prompted states and districts to put a greater emphasis on principal reform. In 2001, the authors of SREB's *Preparing a New Breed of School Principals* report argued that principals who could lead continual improvement in what students were taught and how they were taught were necessary to improve student motivation and achievement. And to prepare a new breed of leaders required a significant shift in how principals were selected, prepared and supported.

Ten years later, district and school educators still operate in an age of heightened accountability. Some district leaders — particularly those with a high concentration of low-performing students — have centralized decision-making about curriculum and instruction. But they often lack a strategic plan that consists of a solid mission statement; a framework of effective school and classroom practices based on valid research; a collaborative approach for working with schools; and a well-developed and transparent system of accountability for principals and teachers, so that principals and faculty own both the problems and the solutions for improving school climate and classroom instruction.

Current test scores continue to be worrisome, but other data points tell an even more troubling and descriptive story of student outcomes. The U.S. high school completion rate is 75 percent, based on students receiving a standard diploma in four years;⁹ the U.S. college completion rate is 55 percent, based on students earning a college degree within six years;¹⁰ unemployment among 16- to 24-year-olds is 19 percent nationally;¹¹ and the adult illiteracy rate is 14 percent.¹² Internationally, the United States ranks midway among 26 industrialized nations in student completion of a vocational credential.¹³

[†] SREB states include: Alabama, Arkansas, Delaware, Florida, Georgia, Kentucky, Louisiana, Maryland, Mississippi, North Carolina, Oklahoma, South Carolina, Tennessee, Texas, Virginia and West Virginia.

Black and Hispanic students in America are especially vulnerable.¹⁴ Nationally in 2007, 30 percent of black fourth-graders could not perform at a Basic level in mathematics on the National Assessment of Educational Progress.¹⁵ The achievement gaps of black and Hispanic students compared with their white peers are greater now than they were in the late 1980s.¹⁶



A good principal is the most critical factor in whether a school can hire and retain high-quality teachers needed to help turnaround schools.

Yet more classes in schools with high-poverty, high-minority students are taught by out-of-field teachers (34 percent at high-poverty schools compared with 19 percent at low-poverty schools, and 29 percent at high-minority schools compared with 21 percent at low-minority schools).¹⁷ Based on current statistics, 40 percent of black and Hispanic ninth-graders do not graduate in four years.¹⁸

Grim statistics like these explain why great principals matter. Leaders who can create a culture of continual improvement and learning are paramount. In fact, a good principal is the most critical factor in whether a school can hire and retain high-quality teachers needed to help turnaround schools.¹⁹ Systems that develop and support great principals are directly tied to the economic viability of the region. **Communities need skilled, ethical and effective school principals in order to empower young people with the basic skills and habits of behavior and mind to become strong, successful individuals who contribute meaningfully as citizens to our neighborhoods, towns and cities.**

SREB researchers have learned over the past decade that it is not enough that well-prepared principals lead change and understand how to establish conditions to engage adults in creating learning experiences that motivate and engage students. There has to be a distinct sense of strategic direction, a very distinct mission, a clear framework of standards and assessment and a cohesiveness of what effective school and classroom practices look like to motivate students.²⁰ Conditions where these activities can best occur are when district leadership staff work purposefully with teachers and school leaders to help them take ownership of problems and support them in implementing best practices and refining their own skills to address them. **Ownership at the building level** with district and outside support is critical because school change cannot be mass produced.²¹ Likewise, individuals have to change in order for the organization to produce different results.

Educational leaders must continue to hold universities accountable to redesign their traditional preparation programs to prepare better principals. However, that alone will not be adequate; **the focus must be extended to school districts** that employ principals and provide the support that will allow them to function as true instructional leaders.

Theory of Change

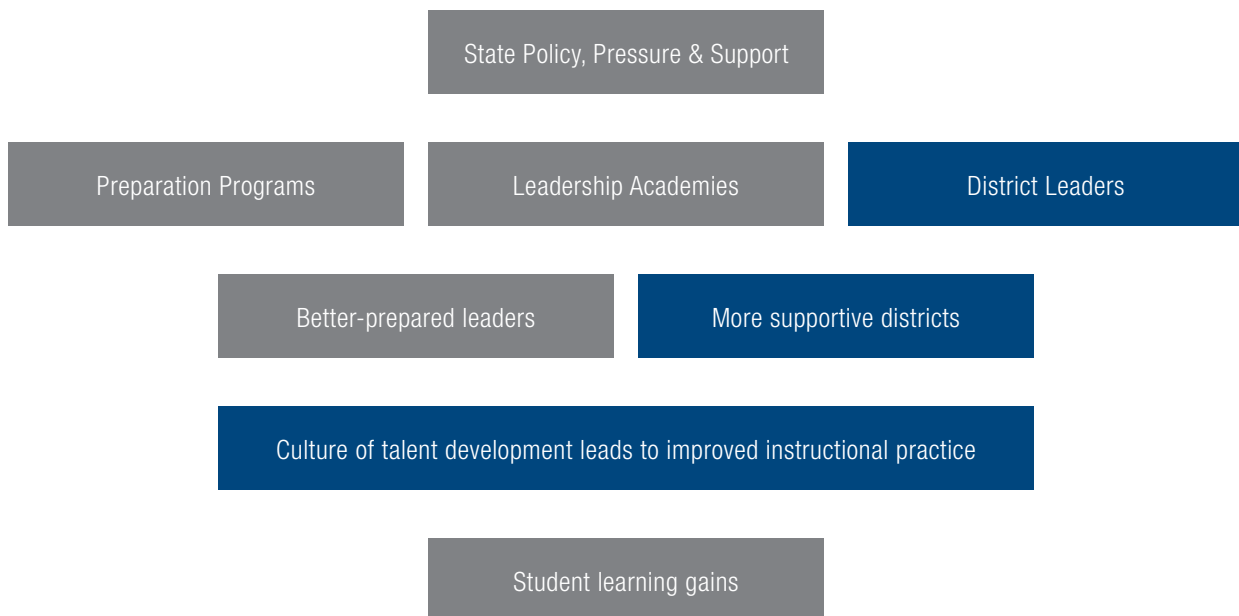
Ten years ago, many leadership reform advocates believed the primary barrier to scaling up school improvement was an inadequately prepared principal. Accordingly, state policy strategists focused on how policy direction and technical support could help universities change their preparation programs to prepare new principals. In several states, educational leaders created leadership academies to better prepare incumbent principals on leading school change and instructional improvement, and by extension, effective school improvement. Investing in principals was a practical way to improve teaching and learning. (See Figure 1 for the original Theory of Change.)

What researchers and policy-makers have learned since then is that inadequate principal preparation is not the only problem. Researchers at the University of Washington found in their 2010 study of school districts that district leaders need to “fundamentally transform their work and relationships with schools to support district-wide teaching and learning improvement.”²² State educators, therefore, must provide policy direction and technical support to engage district leaders more fully in developing a comprehensive succession plan for identifying, selecting, developing and supporting principals. State educators must also work with universities, leadership academies and other entities to change preparation programs, and they must provide school leaders with growth opportunities to become effective principals. **The revised Theory of Change shows state educators applying policy direction and technical support to both university and district leaders.** (See Figure 2.)

**Figure 1:
Original Theory of Change**



**Figure 2:
Revised Theory of Change**



Principals who complete redesigned programs will be better prepared to effectively engage their teacher leaders in taking ownership of problems and solutions, and they will be empowered by a supportive district to lead powerful learning in schools customized to the unique circumstances of their schools. Such synergy among the principal, faculty, school and central office personnel will nurture a collaborative culture.

**Table 1:
SREB's 10 Policy Indicators of Progress in Developing Learning-Centered School Leaders**

Indicator	Description
1. The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all students.	Standards are the foundation for a coherent set of state policies and initiatives and for a vision of statewide development of school leaders focused on continued learning and growth that lead to increased student achievement.
2. The state has developed policies regarding the process and criteria for identifying promising school leaders.	A collaborative process between leader preparation programs and local education agencies identifies, recommends and supports talented prospective school leaders for principal positions.
3. Principal preparation programs focus on the role of the principal in leading learning that results in student academic success.	Preparation programs are subject to program approval criteria that demand a functioning partnership with school districts to design program content, delivery and field-based experiences so candidates emerge ready to lead teacher and student learning.
4. Principal preparation programs include substantive field-based experiences that prepare principals to lead school improvement.	Preparation programs must place aspiring leaders in a variety of school settings to solve real problems of practice. Continual field experiences should be integrated with course work and guided by a mentor or a coach.
5. There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.	Licensure should ensure that high-quality leaders enter the profession by demonstrating competency rather than completing specific courses of study. Licensure policy should reflect state commitment to continual growth of mid-career principals and recognize exemplary principals.
6. There are multiple pathways to school leadership.	To meet the demands for committed high-quality school leaders, state leaders can increase the leadership pool by creating various pathways for promising individuals.
7. Specialized services and support are available to develop high-quality principals for high-needs schools.	State leaders can offer district leaders a range of services designed to create authentic learning opportunities for new and current principals in low-performing schools to lead improvement efforts under the guidance of properly prepared district and university mentors. State leaders can also assist districts with high-needs students in succession planning, talent recruitment and retention incentives.
8. Working conditions are present that sustain principal success in improving student learning.	State and district leaders have a role to play in creating supportive conditions that enhance principal performance. Those conditions include states building district capacity to support schools' instructional needs and comprehensive school reform.
9. Evaluate principal performance based on effective practice as defined in state standards and provide ongoing professional development and other support based on the results of the evaluation.	Effective statewide principal evaluation systems are tiered, connected to state leadership standards and provide support to leaders along a leadership continuum — from aspiring to advanced.
10. The state has a system for collecting and reporting data to improve leader development and succession planning.	A good data system allows for the collection of data around indicators that address different components of a leadership system. This permits stakeholders to make sound decisions to improve all aspects of the program — candidate identification, selection, preparation, licensure, evaluation, professional development and district support.

The four new indicators are shaded blue.

**Table 2:
16 SREB States' Progress on the Original Leadership Indicators and Baseline Status
on the Four New Indicators**

Indicator	2002 State Total	2010 State Total
1. The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all students.	No progress — 0 +Some progress — 14 Good progress — 2 Significant progress — 0	No progress — 0 Some progress — 4 Good progress — 4 +Significant progress — 8
2. The state has developed policies regarding the process and criteria for identifying promising school leaders.	+No progress — 9 Some progress — 5 Good progress — 2 Significant progress — 0	No progress — 3 +Some progress — 6 Good progress — 4 Significant progress — 3
3. Principal preparation programs focus on the role of the principal in leading learning that results in student academic success.	No progress — 0 +Some progress — 16 Good progress — 0 Significant progress — 0	No progress — 2 Some progress — 2 Good progress — 3 +Significant progress — 9
4. Principal preparation programs include substantive field-based experiences that prepare principals to lead school improvement.	No progress — 2 +Some progress — 11 Good progress — 1 Significant progress — 2	No progress — 1 Some progress — 3 +Good progress — 7 Significant progress — 5
5. There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.	+No progress — 7 Some progress — 5 Good progress — 4 Significant progress — 0	No progress — 1 Some progress — 1 +Good progress — 10 Significant progress — 4
6. There are multiple pathways to school leadership.	No progress — 6 +Some progress — 10 Good progress — 0 Significant progress — 0	No progress — 3 +Some progress — 7 Good progress — 5 Significant progress — 1
7. Specialized services and support are available to develop high-quality principals for high-needs schools.*		No progress — 5 +Some progress — 6 Good progress — 4 Significant progress — 1
8. Working conditions are present that sustain principal success in improving student learning.*		+No progress — 6 +Some progress — 6 Good progress — 4 Significant progress — 0
9. Evaluate principal performance based on effective practice as defined in state standards and provide ongoing professional development and other support based on the results of the evaluation.*		No progress — 6 Some progress — 1 +Good progress — 6 Significant progress — 3
10. The state has a system for collecting and reporting data to improve leader development and succession planning.*		No progress — 2 +Some progress — 7 Good progress — 0 +Significant progress — 7

Data compiled by SREB, 2010.

+ Bold text indicates the greatest number of states with the same rating.

* New indicators in 2010.

State Policy and Implementation: What Were Researchers Looking For?

The first benchmark report in 2002 focused on six key indicators that impact effective school leadership selection, preparation, support and growth (See Table 1.) Four additional indicators based on emerging research were added in 2010 (in blue in Table 1). In all, the 10 current learning-centered key indicators with descriptions are presented in the table.

On many of the original six learning-centered leadership indicators, SREB states have made substantial progress over the past decade. Half of the states have made significant progress in **developing leadership standards** that support the principal as the instructional leader of a school. This includes having the organizational structures in place to support student learning and performance-based standards. In nine SREB states, significant progress has been made in **redesigning leadership preparation programs** to establish the role of the principal in leading learning. This includes university-district collaborative efforts to redesign the leadership programs and to have consequences for failure to meet program approval. Twelve SREB states have made good-to-significant progress in having preparation programs that include substantial field-based experiences — districts oversee field experiences, field experiences take place in diverse school settings, and candidate performance is assessed rigorously. Fourteen states have made good-to-significant progress in designing and implementing a performance-based, tiered statewide system of principal licensure.

Areas where SREB states have gained less ground include the **development of multiple pathways to school leadership** (alternative licensure and preparation, teacher-leader certification), succession planning for principals and alternative principal preparation programs.

The progress on the four new leadership indicators created in 2010 shows that states are at the starting gate in creating working conditions that sustain principal success (balancing principal accountability with autonomy). The creation of specialized state services and support for principals of low-performing schools also is lacking in most states. These services include distinct curricula for preparing principals of low-performing schools and support from district office leaders to guide such principals. Ten SREB states do have some features of a statewide principal evaluation system, and seven states have data collection systems that have unique identifiers for school administrators and preparation programs, as well as functional connections and analysis among leader, student and leadership preparation data. (See Appendix A for a more detailed, state-by-state description of progress on the six original indicators from 2002 to 2010.)

Four Key Questions Policy-Makers Should Ask

In addition to reviewing 10 years of regional and state progress by indicator, four basic questions and corresponding research can help policy leaders gauge what progress their states have made and what improvements need to be made. Answers to these questions signal how far states have come and how far they need to go to achieve quality learning-centered leaders.

- Have state leaders developed standards that define what effective principals need to know?
- Have state leaders developed policies to ensure that principals receive high-quality preparation?
- What roles can state leaders play in finding, preparing and nurturing effective principals?
- How are state leaders activating the district role?

Question 1: Have state leaders developed standards that define what effective principals need to know?

Indicator of Progress: The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all students.

Yes, in general. In 1996, the Interstate School Leaders Licensure Consortium (ISLLC) standards were released by the Council of Chief State School Officers (and revised in 2008), and they have been used by a majority of the states to help guide leadership policy, planning and decisions. The *ISLLC 2008* standards view principals as instructional leaders who are responsible for raising student achievement. These standards center around the success of every student by having principals facilitate the school vision, support a school culture conducive to student learning, provide a safe learning environment, collaborate with parents and the community, act in an ethical manner, and understand and respond to a variety of contexts.²³

Some state leaders have moved beyond the ISLLC standards and have revised or developed leadership standards that are much more specific to state goals. These state standards can be grouped by leadership role and by stages in career, and progress in meeting them can be teachable and measurable. State leadership standards are often outcomes-based, frequently focused on student learning and allow principals to reflect upon their work and strengthen their effectiveness as leaders by requiring them to demonstrate various skills and behaviors.

Question 2: Have state leaders developed policies to ensure that principals receive high-quality preparation?

Indicator of Progress: The state has policies regarding the process and criteria for identifying promising school leaders.

Indicator of Progress: Principal preparation programs focus on the role of the principal in leading learning that results in student academic success.

Indicator of Progress: Principal preparation programs include substantive field-based experiences that prepare principals to lead school improvement.

To a certain extent. Aspiring principals must be carefully selected for enrollment in preparation programs because they already show promise as effective teachers and leaders. In a national study of leadership preparation programs, Stanford professor and researcher Linda Darling-Hammond and a team of researchers found that active recruitment of prospective principals, combined with stringent admissions standards, were important practices of the most successful preparation programs.²⁴ Some programs admit more candidates than there are principal positions in the state,²⁵ while others place few graduates in leadership positions.²⁶ **The cost of providing a high-quality preparation experience is too steep to offer to candidates who do not show promise as school leaders.** State leaders should help district and university educators work together to define and implement selection criteria to identify those candidates who are most likely to use the preparation experience as a step toward a successful principalship.

Internationally in countries with high student achievement results — including Finland, Singapore and Canada — expert teachers are often selected to become principals.²⁷ The education systems in these countries provide leadership development and support to their school leaders. Principals are expected to be instructional leaders, to deeply understand the curriculum and to offer curricular and instructional academic guidance to teachers.

The principal preparation curriculum should primarily focus on the principal as instructional leader rather than as manager. In 1992, Vanderbilt University researcher Joseph Murphy wrote about principal preparation programs, maintaining that, “It is probably not surprising, although it is distressing, that inappropriate content ineffectively packaged should also be so poorly delivered.”²⁸ Murphy was commenting on what aspiring principals learned in typical preparation programs and how they were learning it in contrast to what they needed to know in order to be better principals. Darling-Hammond and the researchers note that the most successful preparation programs “seek to develop a principal’s abilities to build a shared vision, both by supporting teachers individually and by developing a more productive organization. [Successful programs] share a conception of instructional leadership focused on teaching and learning,”²⁹ rather than just focusing on how to preserve the smooth operation of schools. **This shift can only occur if a coherent vision exists of effective teaching and learning based on sound research and practice. That vision must be shared by the district and the university or the organization preparing current and future school principals.**



Principals are better prepared to lead learning when their preparation revolves around authentic school-based problems of practice.

Principals are better prepared to lead learning when their preparation revolves around authentic school-based problems of practice, and they are under the guidance of a highly qualified teaching coach. **Traditional course work-based leadership preparation programs have been inadequate for years, but continued practice in the field suggests that a supervised field-based experience is not merely required as a component of effective preparation, it is central.**³⁰ The field-based experience is the starting point around which content-rich courses or modules should be wrapped. Radical structural changes must occur in leadership preparation programs that disguise themselves as “principal preparation programs.”³¹ To deliver meaningful and substantive course-embedded, field-based experiences require all new ways of interdependency between university and district partners.

Question 3: What roles can state leaders play in finding, preparing and nurturing effective principals?

Indicator of Progress: There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.

Indicator of Progress: There are multiple pathways to school leadership.

Indicator Progress: Evaluate principal performance based on effective practice as defined in state standards and provide ongoing professional development and other support based on the results of the evaluation.

Indicator of Progress: The state has a system for collecting and reporting data to improve leader development and succession planning.

Several roles are critical. The state can create infrastructure and incentives and provide technical assistance to advance the improvement of principal preparation and practice. Emerging research in the past five years has shown that state leaders need to encourage principal performance evaluation, set up data systems that enable productive preparation program evaluation, and support district leaders in creating conditions in which principals can succeed in leading instructional improvement and learning.

Honest, reliable and regular feedback on principal performance should contribute both to improving principal practice and to creating a culture of continual professional growth. State leaders can contribute to working conditions that value and recognize principal performance by defining requirements for principal evaluation that include teacher and superintendent input and school practices and student achievement. There should be training for principal evaluators and sufficient flexibility for districts to add their own evaluation contributions. Performance evaluation of principals is a key conduit to improving instruction by helping to identify principal strengths and areas for continued professional growth, accompanied by an individualized growth plan.³²

Historically, district leaders have a spotty record in conducting meaningful principal evaluations that help principals become more effective as instructional leaders.³³ States can help districts change this by defining a common system for principal evaluation and providing districts with accompanying templates, guidelines and training.

Data systems that allow states to track principals back to their preparation program and tie principals to the performance of students in their schools are needed to help preparation programs make refinements in how they train principals. “It makes sense that states [leaders] would work with educational leaders as well as university professors...to develop and implement a quality assurance system for the preparation of educational leaders.”³⁴ Such a system would track program admissions, program completers, licensure, placement in leadership roles, and school quality measures such as school climate, teacher attrition and student outcomes.

Question 4: How are state leaders activating the district role?

Indicator of Progress: Specialized services and support are available to develop high-quality principals for high-needs schools customized around unique problems.

Indicator of Progress: Working conditions are present that sustain principal success in improving student learning.

States are taking several actions, especially for poorly performing schools. Turning around schools with low-achieving students is a challenging task. It takes principal know-how, a specialized skill set, targeted professional development, a high-quality teaching staff, engagement of the community and a variety of resources for a principal to create a school with high-performing students.³⁵ It is imperative that states provide specialized and targeted support to principals of schools with high-needs students. For example, Arkansas provides mentors to principals of low-performing schools; South Carolina offers special leadership academies during the first year of a principalship or assistant principalship; Florida allows districts to design their own principal preparation programs; and North Carolina creates custom-made principal preparation programs for high-need areas of the state.

To support learning conditions for principals, SREB's *The Three Essentials* publication offers solid actions for districts with schools at any achievement level. They include districts establishing a clear focus and strategic framework of core beliefs; having effective practices and goals for improving student achievement; organizing and engaging the school board and district office in support of each school; creating tools and processes that principals and teachers can use to ensure that instruction for all students is aligned with college- and career-readiness standards; investing instruction-related professional development for principals, teacher-leaders and district staff; offering high-quality data that link student achievement to school and classroom practices and assisting schools in using data effectively; optimizing the use of resources to improve student learning; and using effective processes in involving key school and community leaders in shaping a vision for improving schools.³⁶

District leaders matter in supporting principal, school and student success. **The most talented and well-prepared leaders cannot make a substantial dent in teacher and student learning if the central office drowns the school with administrative burdens and robs the school leaders of the ability to make decisions that foster the learning needs of teachers and students.** “The bad system will win almost every time.”³⁷ The reverse is also true. When district leaders shift from a posture of monitoring school compliance to an orientation of working with school representatives to achieve a collaboratively developed school improvement framework, there's a visible impact on student performance.³⁸ State leaders have a role in helping district leaders make the shift to collaboration, building capacity in district leadership teams to serve students' instructional needs and support school-based comprehensive reform that increases teacher and student learning.

Summary

SREB has reached a number of conclusions about what is required to have top-notch principals who can lead change and motivate teachers to engage students in learning. It will require:

- a principal preparation program with a solid set of standards that center on curriculum, instruction and leadership preparation with rich, field-based learning experiences in diverse settings with real schools, teachers and students.
- selection of good people to enter principal preparation programs — people who show promise in making continuous improvement in schools and in their own development.
- principals who have acquired a deep understanding of teaching and learning and who know how to engage and grow their faculty in quality teaching that makes a difference in the life of each student.
- states and districts to create conditions that permit principals to operate with a greater degree of autonomy within a supportive and accountable system.
- states and districts that have a sense of direction — a mission and an agreed-upon framework of proven school and classroom practices that will motivate students to learn.

Part II: 2010 State Results on Each Indicator of Progress

To determine progress each state had made on the original indicators and the baseline on the four new indicators, SREB collected and analyzed a range of data. It included an examination of state websites for a review of policy documents, procedures and plans regarding states' efforts to develop school leaders. Interviews were conducted with appropriate state leaders to verify the information in the documents and to gain other information not reflected in current policy documents. A survey was administered to university program coordinators, district superintendents and data system directors to obtain their views on the current status of state efforts pertaining to certain indicators. SREB convened a review panel that included the SREB director of research, an educational leadership professor, a former principal and a school improvement coach for urban school districts. The review panel established criteria for each indicator, discussed state progress for each indicator and reported its conclusions.

The narrative for each indicator includes the importance of the indicator and related research, the criteria for judging state progress, the state findings and recommended state actions. Again, the four key questions can help policy-makers gauge the progress states are making on the indicators. It is critical to note that state leadership policies are very fluid in the SREB region and can change daily. SREB has done its best to provide the most current 2010 leadership policy information possible. See Appendix B for a comprehensive summary of the 2010 state results.

Question 1: Have state leaders developed standards that define what effective principals need to know?

Developing Effective Leadership Standards

Indicator of Progress: The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all students.

Some have these standards, but all leaders need to put the right standards in place. State standards for principal leadership form the foundation for the selection, preparation, certification and evaluation of school leaders. The standards provide a framework and common language for educators and policy-makers for the purpose of improving schools, thereby making their work more efficient, connected and, ultimately, more successful. Since state standards for principals form the basis of all leadership practice, it is essential that the right standards are in place. **There is empirical evidence that when these standards are demonstrated by principals, there is a higher level of effectiveness in the cognitive, academic, social and psychological development of children and youth.**

State leadership standards have a practical utility for future leaders; they help leaders understand and prioritize their work, reflect on their practice, identify their own weaknesses and map their own growth improvement plan.³⁹ The heart of the standards is about preparing principals who can lead school improvement.

Leadership standards are also the point of reference for: (1) identifying promising principals; (2) developing preparation programs that teach aspiring principals how to lead improvement in school and classroom practices by addressing real problems in real schools; (3) licensing principals throughout their careers; (4) and evaluating principal performance on the job. It is essential that states select the right standards, make them performance-based, and have them effectively carried out to get the full impact of improved teaching and learning.

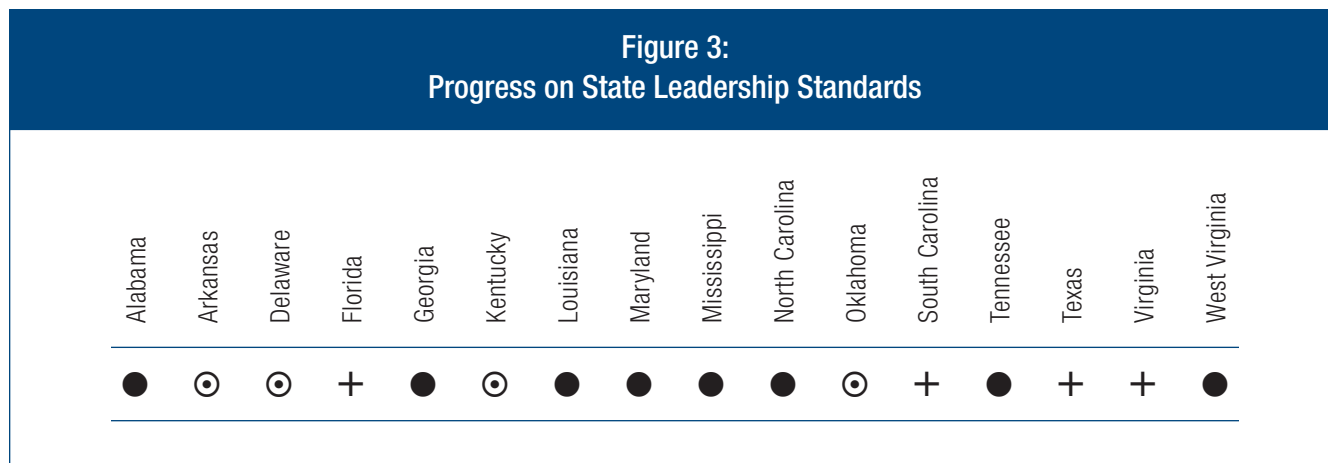
While the ISLLC standards provide a basic framework, these standards were developed with the intent that states "use them to shape, develop, and help implement policies and practices,"⁴⁰ not necessarily to adopt the standards wholesale. Well-developed standards are more practical than theoretical, reflecting the best practices of effective principals in leading real schools to improve student learning. Well-developed standards are well-written, concise and at the same time comprehensive. They are visibly used in the day-to-day practice of principals.

States need to be vigilant about updating their leadership standards for principals because new research will continue to emerge about what effective principals do, particularly in schools with high-needs students.

SREB Criteria

SREB believes that well-developed state leadership standards:

- clearly identify the role of principals in leading teacher learning.
- specify principal skills in leading and implementing school teams that work to improve curriculum and instruction.
- are written in performance-based language that can be observed and assessed.



Policy in this state: ● = Meets all SREB criteria + = Meets most criteria ⊙ = Meets some criteria ○ = Meets no criteria.
Data compiled by SREB, 2010.

Findings

For states not meeting the criteria, leadership standards documents failed to link standards into the *everyday practice* of school principals and school leadership teams having an impact on student achievement. Four SREB states lacked an adequate focus on principals leading teacher learning — Arkansas, Delaware, Kentucky and Oklahoma. (See Appendix C.)

Eight states (Arkansas, Delaware, Florida, Kentucky, Oklahoma, South Carolina, Texas and Virginia) lacked a sufficient focus on principals organizing and working with teams of teachers to identify problems, determine the root causes of problems and take ownership of applying proven solutions to those problems.

Across the SREB region, half of the states have developed leadership standards that are performance-based, have principals working with teams to identify and solve problems, *and* are tied to what principals need to do to create the necessary conditions to improve teacher and student learners. These eight states are: Alabama, Georgia, Louisiana, Maryland, Mississippi, North Carolina, Tennessee and West Virginia. (See Figure 3.)

Documents from these states make strong connections between their state standards and creating the school conditions that ensure learning for each and every student. For example, Louisiana’s leadership standards drive leadership program approval, while Maryland’s standards drive professional development. Alabama’s *Continuum for Instructional Leadership* and West Virginia’s *Standards of Professional Practice for Superintendents, Principals, and Teacher Leaders* are noteworthy. Alabama’s Continuum maps how the leadership standards look at different points in an instructional leader’s career, from teacher-leader to beginning principal to mid-career principal to master principal. Standard B in the *Tennessee Instructional Leadership Standards* explicitly notes that leaders must be able to “develop a leadership team designed to share the responsibilities and ownership to meet student learning goals.”⁴¹ West Virginia’s standards state that “the fundamental job description of the leader is to create the appropriate organizational conditions and develop the personnel expertise necessary to ensure that learning occurs for each and every student.”⁴²

Standards and framing documents in these states recognize the practice of a great principal begins when he or she can lead teachers in improving instruction and student learning. These states have substantially improved their leadership standards by offering a clear vision for instructional leadership that can improve schools. **In many cases the state vision is there, but more needs to be done to infuse these standards into the everyday practice of school principal and school leadership teams.**

The state's role is to have a set of standards that represents the best practices of effective principals. States should assign a task force composed of researchers, practitioners and state policy-makers and charge them to:

- review and revise the current set of leadership standards, or if necessary, develop a new set of standards that are linked to evidence of principal behavior that impacts teacher and student performance.
- clearly connect the standards to the role of the principal in leading teacher learning and development of an effective school leadership team.
- develop standards that are the foundation for the leadership system — selection, preparation, certification and evaluation.

Where are the gaps in state leadership standards?

One of the biggest gaps in SREB states is that leadership standards are in place on paper, but they have not existed in the everyday work of principals. This actualization is critical to the success of a principal. Another gap is that standards do not reflect the different points in a principal's career — from beginning, to professional to advanced. Again, this is a crucial piece of the success puzzle.



Having a succession plan to identify teachers and other leaders who show promise in becoming future school principals should be a goal for every district.

Question 2: Have state leaders developed policies to ensure that principals receive high-quality preparation?

Selecting Future Principals

Indicator of Progress: The state has developed policies regarding the process and criteria for identifying promising future school leaders.

Better policies for selection are needed in the SREB region. One proven, effective practice is to recruit expert teachers with leadership potential to become principals.⁴³ In a 2010 study of school district support for principals, SREB recommended that “every district should create a pipeline of strong school leaders by developing a carefully crafted succession plan and that steps should be created to identify top talent who aspire to become principals.”⁴⁴ In developing such a succession plan, leaders are prepared to provide future aspiring principals with professional development and opportunities to engage in progressively challenging leadership experiences prior to pursuing formal principal preparation.⁴⁵

Having a succession plan to identify teachers and other leaders who show promise in becoming future school principals should be a goal for every district. It is critical that district and university personnel work together in selecting the type of principal candidates who have the ability to lead schools. It cannot be a random candidate self-selection approach. It must be streamlined, efficient and successful. This approach places highly trained, qualified leaders in schools as quickly as possible so that positive school change can take place.

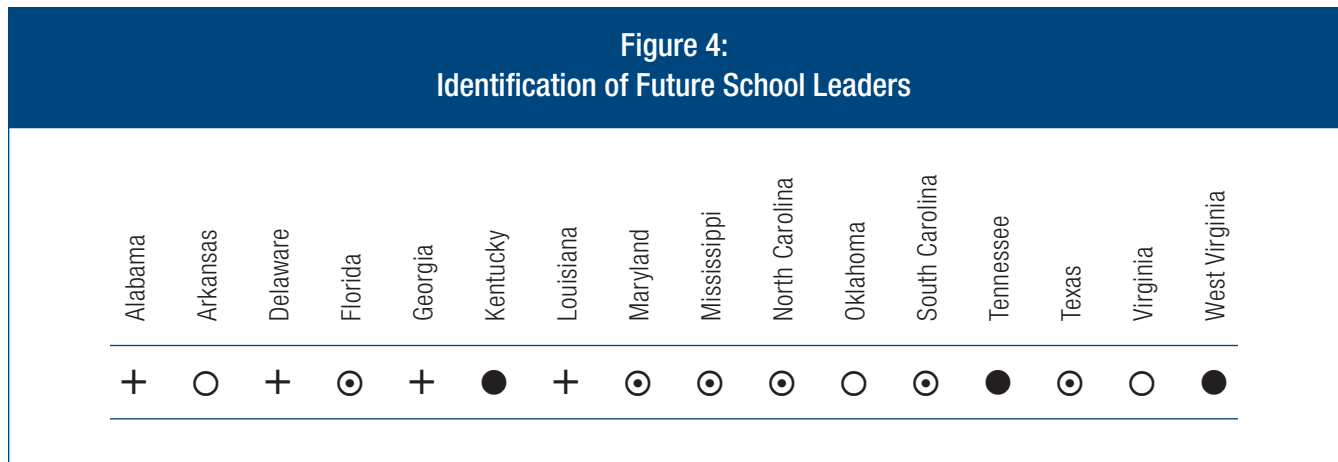
University educators also play a central role when candidates are ready to pursue formal leadership preparation. They must be more selective in their admissions criteria and broaden the indicators used in the selection of candidates to better assess candidates' potential to be effective leaders of teachers. Specifically, university administrators should expand the admissions process to include the endorsement of the aspiring principal by district leaders. They also should review their prospective candidates' achievement outcomes and survey (or interview) colleagues and include other proven criteria.⁴⁶ In addition, **the net needs to be cast wider in finding outstanding potential candidates — including department chairs, special education coordinators, teachers who lead curriculum teams, school literacy and math coaches, and others who have demonstrated excellent leadership potential.**

Identifying promising future leaders is an area that the states by their policy, process and incentives can seek to influence. If the United States is to regain its international prominence of leading the world in the percentage of students who graduate from high school and earn some type of postsecondary credential, then states have no choice but to pay attention to the quality of individuals who are leading our schools.

SREB Criteria

SREB believes that to identify promising new leaders, states should:

- specify a range of assessment criteria — record of student test scores, leadership skills, communication skills and analytical skills that can be used to select and admit candidates to leadership preparation programs and ensure these criteria are anchored in the state leadership standards.
- require that current and future leadership-needs in school districts are considered when making admission/selection decisions for leadership preparation programs.
- specify that the selection of leadership candidates is done collaboratively with substantive decision-making roles for both university and district partners.



Policy in this state: ● = Meets all SREB criteria + = Meets most criteria ⊙ = Meets some criteria ○ = Meets no criteria.
Data compiled by SREB, 2010.

Findings

Nine states — Alabama, Delaware, Georgia, Kentucky, Louisiana, Mississippi, Tennessee, Texas and West Virginia — have policies in place that address rigorous criteria for leadership preparation admissions. (See Appendix D.) Only six states — Delaware, Kentucky, Maryland, South Carolina, Tennessee and West Virginia — have principal succession programs in place for the purposes of reviewing projected leadership needs, like retirements or attrition. Most often the policy on the selection of candidates is focused on collaboration between school districts and preparation programs in developing admissions criteria or reviewing applicants.

Kentucky’s leadership admissions policy⁴⁷ specifies prerequisites for admission to a principal preparation program. Candidates must have: a master’s degree; three years of teaching experience; a written statement documenting the candidates’ ability to improve student achievement;



The majority of district superintendents report that there is very little action taking place to plan for principal vacancies.

leadership ability; and advanced knowledge of curriculum, instruction and assessment. Candidates also must have an agreement of support signed by the district superintendent. **Kentucky's policy further specifies that preparation programs will only be approved if they can document that principal candidates are jointly screened by the university and the district.** Finally, Kentucky requires that preparation programs justify how they address identifying leaders' needs in each district.

In only four states — Alabama, Kentucky, South Carolina and Tennessee — do university preparation program coordinators agree that admission to school leadership preparation programs is based on district needs. (See Appendix E.) Three of these four states —Alabama, Kentucky and Tennessee — were found to have formal policies that specify preparation programs must work jointly with districts in admitting students in order to receive state approval. Kentucky, Tennessee and West Virginia are the only states that meet all the future leader selection criteria. (See Figure 4.)

The majority of district superintendents report that there is very little action taking place to plan for principal vacancies. (See Appendix E.) States in which district superintendents agreed that they engage in succession planning and support for future school leaders include Delaware, Maryland and South Carolina.

Delaware's public-private initiative *Vision 2015*, in which five of the 18 districts in the state participate, provides training to district leadership teams to help them support principals and identify promising future leaders. In Maryland, the state's Division for Leadership Development published *Leadership Succession Planning Guide* in 2006, which provides school districts with guidelines and examples for how to identify and support future school leaders. Two programs of the South Carolina Office of School Leadership (OSL) are specifically focused on succession planning. The Developing Aspiring Principal Program (DAPP) provides superintendents the opportunity to train potential principals in the challenges of leading schools. State agency leaders in charge of the Tapping Executive Educators (TEE) program offer superintendents and local school boards the opportunity to send potential district superintendents to receive district leadership training.

In states failing to meet this indicator, there is some evidence that preparation programs use traditional institutional practices such as Graduate Record Exams and undergraduate transcripts, rather than additional state-developed criteria for candidate selection.

State Call for Action

In 2002, no SREB states met the future leader selection criteria; today, three states meet them.

States can take a number of actions for establishing protocols for districts, universities and other entities to follow in identifying promising school leaders. These actions include:

- offering a set of prerequisite experiences to promising educators possibly using leadership academies as the organizer of these experiences. These educators would be placed in the pipeline to become future school principals.
- requiring university preparation programs to make districts full partners in reviewing applications and making admissions decisions.
- setting criteria that allow districts to conduct their own principal training with candidates receiving advanced certificates.

Preparing Future Principals

Indicator of Progress: Principal preparation programs focus on the role of the principal in leading learning that results in student academic success.

Almost all SREB states meet the criteria for programs that focus on the principal leading instruction and learning.

States with a good set of leadership standards have the foundation on which the university and district can design a leadership preparation program. Such standards specify the knowledge and skills that principals need to lead significant instructional improvements in schools and classrooms. Redesigned principal preparation programs based on such standards prepare school principals who better understand how to help teachers improve instruction and develop school policies, practices and organizational structures that advance student achievement. These principals are also better prepared to turn around schools with low-performing students; they are the types of individuals who are needed as 21st-century leaders. However, for this to occur, principal training programs must address the goals and unique circumstances for which principals are being prepared.

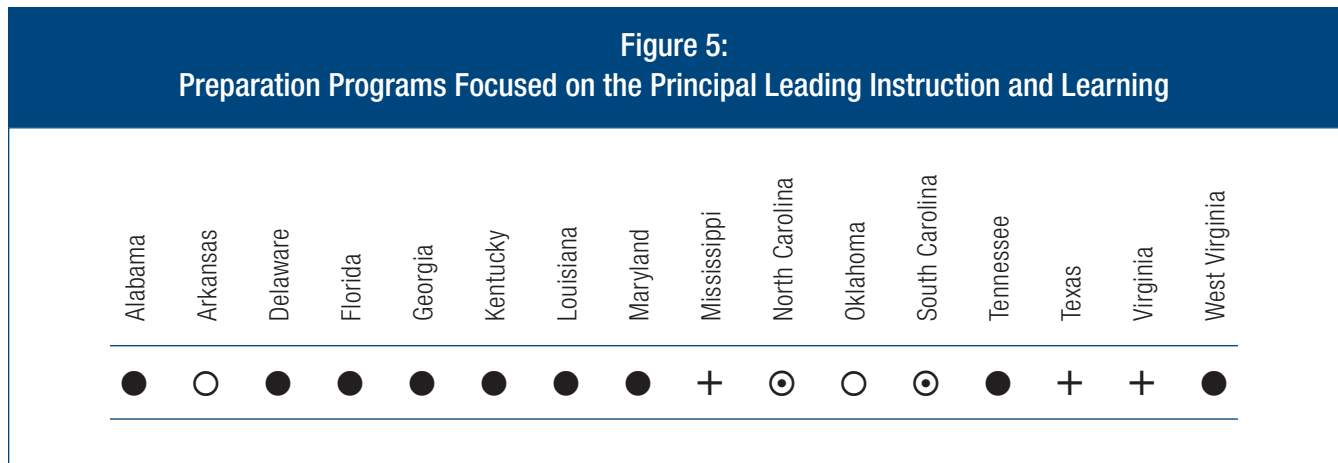
Thus, an essential element for redesigning principal preparation programs is requiring university educators to enter into real partnerships to recruit, select and support candidates along with school district personnel.⁴⁸ Developing and nurturing a real district partnership is a departure for many conventional university programs. Faculty may frown upon having outsiders give input on program content and methods, and they may view district personnel participating in principal training as an infringement on their academic freedom and a challenge to their expertise. The preparation of a cadre of skilled, dedicated and effective school principals who can lead teaching and learning requires **university-district partnerships** that go beyond a written agreement followed by business as usual.

States with a good set of leadership standards have the foundation on which the university and district can design a dynamic leadership preparation program. Such standards have been prepared to show the knowledge and the skill sets that principals need to lead significant instructional improvements in schools and classrooms.

SREB Criteria

SREB believes principal preparation program approval policies should place principals in the forefront as leaders of learning. These policies should:

- have supporting documents that specify that the primary purpose of a redesigned preparation program is to prepare school principals to lead instructional learning.
- Specify that universities and districts collaborate to develop preparation program content and experiences based on state-adopted standards that focus on preparing principals to be instructional leaders.
- accrue consequences to the program and/or partners for not meeting program approval requirements.



Policy in this state: ● = Meets all SREB criteria + = Meets most criteria ⊙ = Meets some criteria ○ = Meets no criteria.
Data compiled by SREB, 2010.

Findings

Based on the evidence collected, educational leaders in 12 SREB states — Alabama, Delaware, Florida, Georgia, Kentucky, Louisiana, Maryland, Mississippi, Tennessee, Texas, Virginia and West Virginia — have adopted policies for closing leadership preparation programs that fail to design programs in collaboration with local districts to prepare principals as instructional leaders. Six states do not require universities to collaborate with school districts in designing and delivering leadership preparation programs — Arkansas, North Carolina, Oklahoma, South Carolina, Texas and Virginia. (See Appendix G.)

In examining state policies, reviewers found that 13 of 16 SREB states’ policies explicitly identify the effective practice of instructional leadership as a primary goal of principal preparation. Twelve states also included clear language in their program approval policies specifying what consequences will accrue if programs failed to meet approval guidelines. State leaders in Alabama, Florida, Georgia, Kentucky, Louisiana and Tennessee have implemented statewide redesign efforts that include ending all previous preparation programs and instituting an extensive review process that requires all programs to develop

applications responding to new, more rigorous program approval guidelines. Under these “sunset” initiatives, programs whose applications do not meet approval guidelines lose state approval, effectively closing those programs since graduates will not be eligible for state licensure. Most states’ program approval policies include a revision process for programs failing to meet approval standards on an initial review. In total, nine states meet all the criteria for having preparation programs that prepare principals to lead instruction and learning. (See Figure 5.)

The consistent national message calling for leadership preparation reform has been embraced in the SREB region, where 92 percent of preparation program coordinators who responded to SREB’s survey reported that their program has undergone “substantial redesign within the past five years.” In addition, preparation program respondents in all states except Mississippi agreed — often strongly — that their programs effectively prepare principals to be instructional leaders. (See Appendix H.)

Overall, these positive results indicate that individuals who create preparation programs perceive that they have made changes in their programs, and they believe their programs are effectively preparing principals who can lead improvement in classroom instruction and student learning. A key process for educational leadership program success — a viable partnership between districts and universities — based on the perception of local superintendents only exists in a few SREB states. (See Appendix I.) Only three states — Delaware, Florida and Maryland — have superintendents who agree that principals are better prepared than they were five years ago (See Appendix J.) Both Delaware and Maryland have higher ratings by district superintendents that are highly correlated with the percentage of superintendents who say that they have meaningful university and district partnerships to prepare school leaders. (See Appendices I and J.)

Some states have developed leadership standards and redesigned their preparation programs, but they have left the district out of being a partner in designing the preparation program and in the selection of candidates. Because district leaders were not involved in the selection of aspiring principals and the redesign of the preparation program, they believe things have not changed in principal preparation. District personnel, university preparation program staff and others participating in leadership preparation must collaborate to ensure the highest quality preparation experiences (course work focused on student instruction, authentic internships and comprehensive mentoring) for future school leaders.

State Call for Action

In 2002, no SREB states met the principal leading instruction and learning criteria; today, nine states meet them.

States can take a number of actions to have more programs that focus on preparing principals to lead improvement in student learning. Actions include:

- implementing formal policies with multi-phase approval procedures, with ongoing review and assistance to partner school districts and universities to ensure that all principal candidates are engaged in research-based practices at the organizational, management, school and classroom levels throughout their preparation program.
- having an external panel validate whether or not universities have designed a program built on the state-approved standards for preparing school principals as instructional leaders. Universities would have to provide evidence that they have involved the district in the aspiring principal preparation process. The program should be sent back for further revisions if universities have failed to do so.

Giving Future Principals Real-World Experience

Indicator of Progress: Principal preparation programs include substantive field-based experiences that prepare participants to lead school improvement.

Quality field-based experiences are critical if we are to have better-prepared principals. Research on how adults learn complex skills have found that adults need opportunities to put new learning into practice with coaching and guidance.⁴⁹ This finding is reinforced by research of preparation in many professions. For example, Noel Tichy describes General Electric’s (GE) philosophy of developing leadership by saying GE goes by the 80/20 rule of thumb: Eighty percent of leadership development comes on the job and life experience, and only 20 percent can be taught through formal education.⁵⁰ Another example is the medical residency program, where doctors get in-depth training under the supervision of an attending physician.

Research is clear that **well-designed and supervised internships that offer real and challenging learning opportunities for aspiring leaders are critical.**⁵¹ School leaders are no different than people in other professions in terms of how they learn best. Then why aren't there quality internships for highly qualified and specially chosen aspiring principal candidates? The truth is that state, district or university leaders have not worked very hard to address the problem. In education, aspiring principals are usually employed in a demanding full-time job as teachers, and there are not enough resources to provide them with a substantial amount of time outside the classroom to participate in planned and supervised internships and field-based experiences.

Why can't states grant specially selected aspiring principal candidates a temporary training certificate to work on improving school and classroom effectiveness under the direction of university professors and a certified mentoring principal? These leadership professionals could take the place of one of the current assistant principals and be rotated among and between schools.

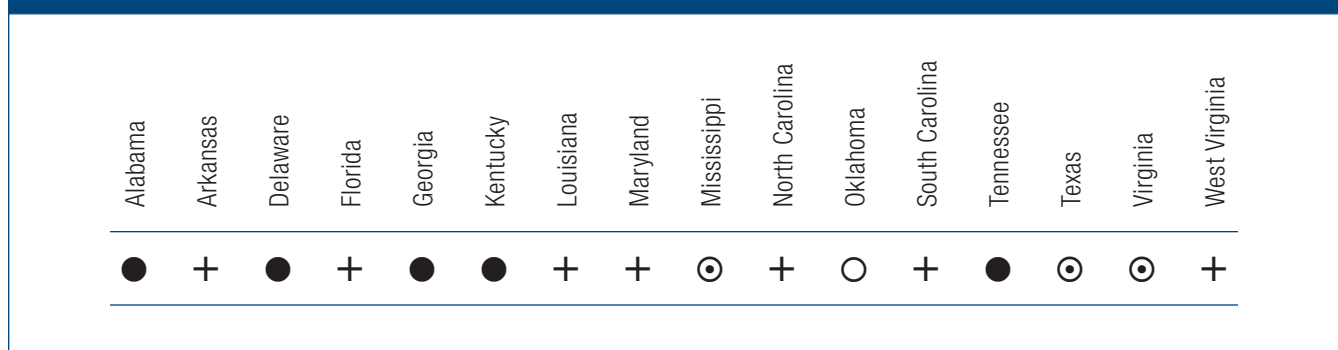
Neither school districts nor universities have had the will to create and support principal internship programs or the will to solve the problem. They have not faced the fact that there cannot be a great principal preparation program without both school districts and universities working together. The district, university and the state have been content to maintain the "traditional internship" as part of a principal preparation program — one which has been mostly a self-directed experience by the candidate characterized by "observing, meeting or possibly shadowing" a leader for a day — all tacked on at the end of a leadership preparation program to comply with a requirement. Yet findings from research on the most effective school leadership preparation programs include substantive field-based experiences that are integrated with course work throughout the program.⁵² Quality field-based experiences include rotating candidates in a variety of school settings and assigning them to work on a number of challenging curricular and instructional needs in the district. This results in effective leader candidates who can lead learning. They are supported with a well-versed mentor or coach who can observe the candidate in the field and provide substantive and valuable feedback on his or her performance.⁵³ Candidates completing such programs are better prepared to handle daily and long-term challenges in schools.

SREB Criteria

SREB believes a well-developed state policy on quality field-based experience includes:

- district partners playing an integral role in defining and overseeing field-based experiences for each candidate.
- field-based experiences that occur in diverse settings — diverse in terms of people, contexts and educational experiences.
- candidate performance in the field that will be assessed rigorously.

**Figure 6:
Principal Preparation Programs with Substantive Field-Based Experiences**



Policy in this state: ● = Meets all SREB criteria + = Meets most criteria ⊙ = Meets some criteria ○ = Meets no criteria.

Data compiled by SREB, 2010.

Findings

Five states — Alabama, Delaware, Georgia, Kentucky and Tennessee — have state policies that address the three criteria for quality field-based experiences. (See Figure 6 and Appendix K.) All but two SREB states — Oklahoma and Virginia — have explicitly specified in their principal preparation programs policies that districts must participate in finding and overseeing field-based experiences. The weakest policy relating to field-based experiences for aspiring principals involved the evaluation of candidates' performance in the field. Only eight of the 16 SREB states included provisions for rigorous evaluation (feedback to guide improvement) of candidate performance in the field for program approval.

Overall, preparation program coordinators and district superintendents were unenthusiastic about the quality of field-based experiences being implemented. When surveyed, only preparation program coordinators in Florida and Tennessee rated their internship quality well above 4.0 (4=agree) on a 6.0 scale, indicating solid agreement that internship experiences met quality indicators. (See Appendix L.) Superintendents in over half of the states — Arkansas, Delaware, Florida, Georgia, Maryland, Mississippi, North Carolina, South Carolina and Virginia — agreed that their state had a high-quality internship program, yet none strongly agreed that their state had an exemplary one. (See Appendix M.)

When it comes to state assistance, both preparation program coordinators and district superintendents agreed that states have not been helpful in creating the policy, tools and resources to support high-quality internships. At a mean rating of 2.56 on a 6.0 scale, preparation program directors solidly disagreed that the states have been helpful in supporting internships. (See Appendix L.) This low level of agreement suggests that state policies and support are not adequate for getting into place a quality field-based learning experience. Echoing the pattern in the preparation program data, superintendents were quite clear that state Department of Education (DOE) personnel were not providing assistance. With a mean rating of 2.59 (2=strongly disagree) on a 6.0 scale for the whole region, superintendents solidly disagreed that state DOE personnel had been helpful in improving conditions for offering high-quality internships. (See Appendix M.) Preparation program coordinators and district superintendents reported that issues related to internships included a lack of time and money to implement them properly, no focus on critical school problems and the exclusion of mentoring by master principals.

Large urban, suburban and rural superintendents responded differently to the question of whether they had a university partner they could count on to prepare the type of school leaders they need for their districts. **Three-quarters of superintendents of large urban districts indicated that they had a university partner they could count on, but only half of the rural superintendents felt the same.** This was probably due to a lack of institutions of higher learning in their communities. (See Appendix N.)

State Call for Action

In 2002, two SREB states met the quality principal internship criteria; today, five states meet them.

University-district partnerships are critical to the content and design of high-quality preparation programs. In the absence of a partnership, quality field-based experiences for aspiring principals are almost impossible. Clear expectations for such partnerships and having the policies, tools and resources for districts to embrace this responsibility are essential components of a state policy on leadership preparation. It is necessary for states to provide districts and universities with guidelines for working together to create field-based learning opportunities for candidates that offer experiences in a variety of school settings and socio-economic levels where they can take part in actual school problem-solving. State actions include:

- mandating that universities and district partnerships select, train and support accomplished principals to serve as mentors to aspiring principals.
- developing special certification with increased pay for accomplished principals who can serve as mentor principals.
- requiring that the field-based experiences take place in more than one school (including one low-performing school) with a strong instructional focus that includes expert coaching and mentoring.
- stating that the field-based practicum occurs throughout the leadership program of study rather than in a single course at the end.
- offering an aspiring principal certification. Aspiring principals can then participate in school-based residencies that allow them to devote their time to administrative work and participation in a broad spectrum of field-based experiences.

Where are the gaps in state support of principal preparation?

Most SREB states are not supporting principal succession planning. Targeting the right people for the principalship and planning ahead are essential for guiding student academic success in schools. The majority of SREB states are not mandating that districts and universities work together in the selection of candidates. This needs to happen so that the best candidates enter principal preparation programs. Finally, most SREB states do not require a rigorous assessment of aspiring leaders during their internships. This needs to change.

Question 3: What role can state leaders play in funding, preparing and nurturing effective principals?

Tiered System of State Licensure

Indicator of Progress: There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.

State leaders who establish a tiered licensure system provide clear-cut guidelines for a principal's growth plan. These plans should include targeted professional development to overcome identified principal weaknesses, incentives connected to increased student outcomes in all areas, and evidence of implemented research-based school and classroom practices. A tiered licensure system also includes specialized support that principals will need to be successful in some of the most challenged schools, and it includes district conditions that make it possible for any principal to effectively work with the faculty and community in achieving and sustaining a continuous improvement effort in schools. **State support, guidance and accountability can increase the probability that the very best people are leading our schools and that they are positively impacting student outcomes in achievement and intellectual growth.**

Some states have developed tougher leader licensure requirements to influence the quality of leadership preparation.⁵⁴ Over the past decade, educational agencies have developed instructional leadership standards that can better support licensure systems that have multiple levels of competency in school leadership. Simultaneously, there has been some movement to make principal licensure performance-based. This is accomplished by attaching greater weight to improved student outcomes and the quality of school experiences provided to students, rather than simply tallying the number of hours of professional development activities principals complete and the number of years they have on the job. In a study of states in 2010, Augustine and Russell found that tiered licensure systems with differentiated performance expectations for school leaders offered a structured system of mentoring and coaching support to principals during the first year that resulted in improved principal effectiveness.⁵⁵

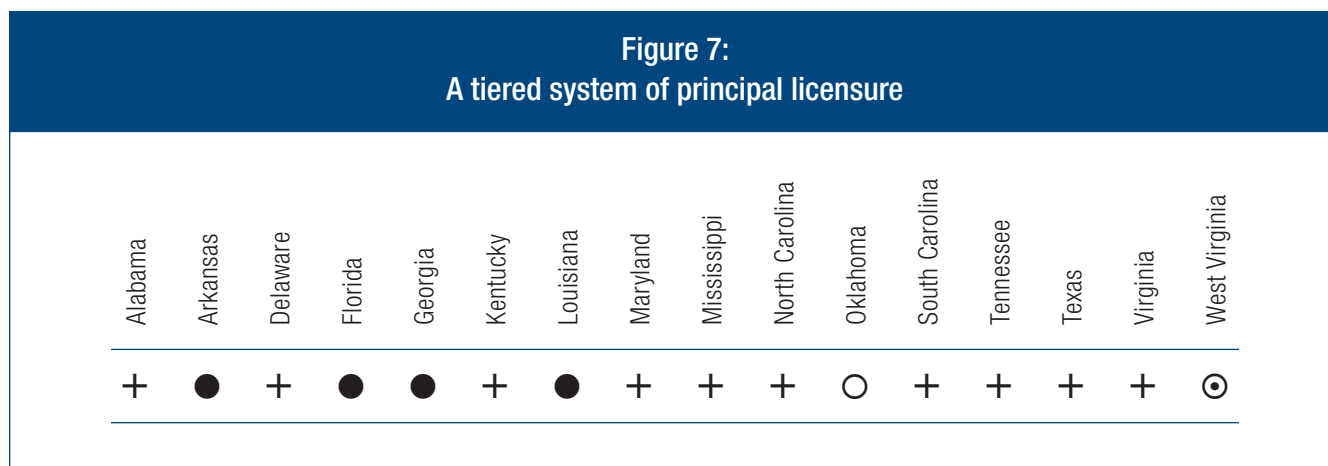
Licensure systems are a tool that can be used to facilitate and encourage a career progression ranging from aspiring and beginning to professional and advanced principals. **Aspiring principals** are individuals who desire to become principals. **Beginning principals** are those who have completed a preparation program; they have met other requirements such as passing a licensure exam, and they were evaluated on their internship experiences. **Professional principals** are those who have demonstrated that they can work with the faculty to change the quality of the school and classroom experiences and they can make progress in implementing research-based proven practices. Principals at the professional level also have shown progress on a range of student outcomes. **Advanced principals** have demonstrated exemplary qualities in advancing student outcomes and improving the quality of school learning experiences, but they also have demonstrated the ability to mentor, train and develop other leaders.

Most states in the SREB region have only two tiers of licensure for principals — initial (completion of a preparation program, passing scores on a technical exam and beginning administrative experience in a school) and professional, which is dependent on leadership performance over time. Usually, two licensure tiers are not enough to show differences in principal skills and overall expertise and to advance continued growth.

SREB Criteria

SREB believes that a strong performance-based, tiered state licensure system includes:

- differences in expected principal practices at the beginning, professional and advanced career phases.
- renewal requirements that include evidence of improvement in student outcomes and/or evidence of progress in implementing proven school and classroom practices.
- policies that provide certification opportunities for other leadership roles.



Policy in this state: ● = Meets all SREB criteria + = Meets most criteria ⊙ = Meets some criteria ○ = Meets no criteria.
Data compiled by SREB, 2010.

Findings

Four SREB states meet all the performance-based tiered state licensure criteria. (See Figure 7.) Most SREB states include an initial principal license and subsequent professional license depending on leadership performance over time. Several are in the process of developing a tiered licensure system in response to the federal Race to the Top guidelines.[‡] These states are using licensure as a positive tool to encourage continued professional growth and incentives for the retention of capable veteran principals.

Fourteen SREB states have some form of a tiered licensure system. (See Appendix O.) Policy-makers in all but two — Oklahoma and West Virginia — have set forth requirements for earning a professional license based on either improved student outcomes or earning professional development credits that meet state guidelines.

Tennessee has moved from a two-tiered licensure system (beginning administrative licensure and professional administrative licensure) to a four-tiered licensure system that differentiates among aspiring, beginning, professional and advanced instructional leaders. **The recognition of aspiring principals in Tennessee is noteworthy; this official designation allows placing these future leaders into substantive and meaningful internships and residency experiences.** By creating an aspiring principal level of licensure, the state Board of Education is endorsing the idea of giving future principals opportunities to practice leadership and develop their potential in real school settings.

Virginia's licensure system is a two-tiered example. Level I initial licensure is based on the completion of an accredited program, with an internship and participants successfully passing the school leaders' licensure assessment. Level II licensure is achieved by school leaders serving as principals for at least five years and having evidence that they have provided effective instructional leadership and improved student outcomes.

[‡] Race to the Top is a competitive federal grant program designed to encourage and reward states that are implementing significant reforms to increase teacher and leadership effectiveness and turn around low-performing schools.

Florida has an entry-level license and a Level II license. The entry-level license is based on the completion of a master's degree in educational leadership. **Florida also provides an entry-level alternative licensure process that authorizes Florida school board representatives to appoint as principal anyone with a master's degree in a similar field who demonstrates to its satisfaction the instructional expertise and leadership qualities necessary to successfully lead a school.** Florida bases its Level II professional license on completing an approved district professional development program in which aspiring principals demonstrate the leadership standards on the job. Each district has its own state-approved Level II certification program. The process and evidence may vary depending on the district plan that is approved.

In most SREB states, license renewal is based on years of experience and professional development renewal credit. However, there are some notable exceptions that base renewal on evidence of improved student outcomes and documented growth of the principal in achieving more effective school and classroom practices.

Alabama's new policy on professional development for school leaders requires that in order to maintain licensure, school leaders must take state-approved courses aligned with their school leadership standards and submit evidence (such as improvement in school practices) of active implementation by their principals in schools.

In Georgia, state policies have established the beginning five-year principals' license, the Non-Renewable Performance-Based Educational Leadership (NPL) certificate. Candidates have five years to complete a Georgia Professional Standards Commission-approved, performance-based leadership program at the specialist or doctoral level. When the educators successfully complete this program, the commission provider recommends a renewable performance-based certificate at the building or district level. **In addition, the Georgia Department of Education will not renew or pay an increment for a leadership license unless an individual is in an administrative leadership position.**

The states of Arkansas, Florida, Georgia, Louisiana and North Carolina have other leadership certifications. One example is Louisiana's turnaround leader specialist certification. It offers executive and instructional leadership training to help school principals become effective change leaders capable of improving schools with persistently low-performing students.

In terms of having effective state licensure systems, most SREB states are failing to delineate between beginning, professional and advanced stages in principal development. There is a failure to create certification policies to support principals' improvement in terms of targeted professional development or other incentives to encourage continuous growth and success. There is no significant development of alternative leadership certifications such as a turnaround specialist for challenged schools or teacher-leader licensure. Five states have other leadership certifications. (See Appendix O.)

State Call for Action

In 2002, 0 states met the principal tiered licensure criteria; today four states meet them.

States must adopt a licensure, renewal and reward system that is focused on principals impacting student outcomes and improving school and classroom practices. Neither the state nor the districts can micromanage the practices and dramatic improvements needed in today's schools and classrooms that can significantly improve the outcomes of all groups of students. Next to the teacher, the principal is the most influential person in advancing achievement in the school. States should:

- create a tiered system of licensure that at least includes beginning, professional and advanced levels, achieved by principals demonstrating increasing degrees of improvement.
- base license renewal on evidence of advancing student outcomes toward targeted goals and proven school and classroom practices.



States must adopt a licensure, renewal and reward system that is focused on principals impacting student outcomes and improving school and classroom practices.

- establish conditions that allow local school districts to provide assistance to principals to increase their chances of being successful. This would include allowing principals to choose their own staff, establish their own school organizational schedule structure and determine ways their staff and their community could best meet the instructional needs of their students.
- require districts to conduct an annual principal evaluation based on a common set of state standards and input from the faculty. This would lead to the development of a growth plan in areas of assessed principal needs. Link the principal licensure renewal to these annual evaluations.
- provide an aspiring leader destination that allows for substantive internship experiences.
- provide for principals' license renewal at the end of the first three to five years of the principalship. **This renewal should be dependent on the principal meeting achievement goals, other stated outcomes and evidence of implementing effective school and classroom practices.** Principals meeting these criteria would receive license renewal and salary increases. Principals failing to meet these requirements would be assigned a principal coach to develop a growth plan that increases the chances that the principal will become successful over the next three years. If the principal is unsuccessful over a three-year period, a renewal license would not be given.
- discontinue providing master's degree pay for those who obtain a leadership license but do not find employment in a leadership role. This will allocate resources only to those who display qualities of becoming an effective principal.
- create a four-year certification for a principal's assistant who can do much of the administrative work required of principals. This will free up the principal to provide greater support to teachers and to focus more on curriculum and instruction.

Pathways to Licensure

Indicator of Progress: There are multiple pathways to school leadership.

Multiple pathways for principal preparation open the market and provide more options for stronger, more effective preparation programs that offer a variety of instructional formats. States should not have to depend on one pathway for principal licensure; a lack of pathways can result in potential leadership talent being overlooked or underutilized.⁵⁶ Likewise, universities should no longer be the gatekeepers of principal preparation. Some university programs are unresponsive to change, steeped in tradition and don't offer quality principal preparation programs. Single provider pathways can hold the state hostage to a system designed for the past, rather than developing a preparation program to prepare future principals who have the depth of knowledge, skills and experience to lead improvement in curriculum, instruction and student outcomes.

States should allow expansion of non-university-based alternative programs and recommend candidates for licensure while holding non-university programs and university programs to the same high standards. The measure of the program should be the quality of the training and the effectiveness of the leaders produced, and not the familiarity, comfort, conventionality or orthodoxy of the pathway.

In addition, a principal licensure option needs to be in place for people who hold master's degrees in different fields. These individuals should not have to complete another master's degree in leadership to get a certification.

Some states are taking steps to develop teacher-leaders who could become part of an expanded pool of future school principals in waiting. The teacher-leader movement recognizes the need for a distributed leadership where teams of teachers work together to improve the quality of teaching and learning. Teacher-leaders are people who have demonstrated that they can motivate students to achieve at higher levels and who can work effectively with other teachers to make improvement in classroom practices. In some



The state and district must look at the best teachers in schools who have leadership skills to become the next generation of principals.

instances, these are individuals who have received additional preparation to become a literacy or math coach or who can lead a cross-curricular team of teachers to provide students with richer, more connected and engaging sets of learning experiences. Teacher-leader preparation is separate from principal preparation, and for many who follow it, teacher leadership is a valuable and respected end in itself — the culmination of a productive and exemplary career as a classroom teacher. But for some, it is a step toward leadership as a principal, a way to try out a leadership role. In all cases, it complements the work of principals and supports the goal of improving leadership for a higher level of student learning.

Currently, several avenues to school leadership preparation exist in the SREB region; some are more common than others and they vary in quality, capacity and availability. They include the traditional university model, a school district program, a nonprofit approach and a combined district-university model.

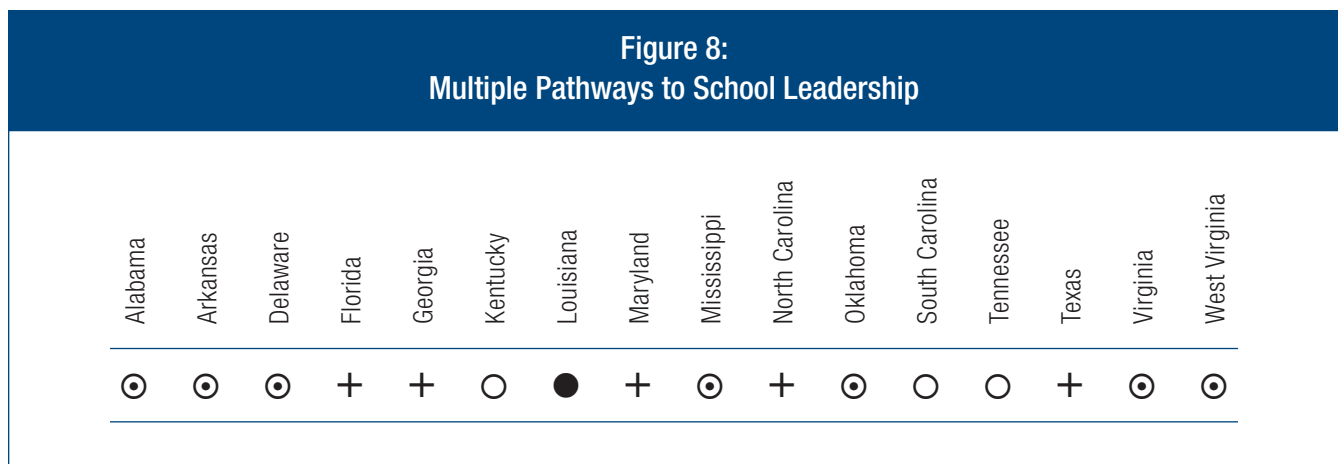
Quality optional pathways for preparing school principals need to be developed, and the pool of individuals who choose to prepare themselves to become highly effective school principals must be broadened. Too often in the past, being a coach or physical education teacher was the primary route for becoming a principal in the middle grades and in high school. These potential candidates were often male, had a reputation for being good disciplinarians, were known by the community and were perceived to have effective communication and people skills.⁵⁷ However, such a narrow candidate pool is restrictive, as it overlooks others within the school who may be better prepared to lead schools and greatly accelerate student motivation and achievement. Schools must have principals who understand how to teach students at a deeper, more intellectual level. Principals should come from a background of experience where they have been highly effective in working with other teachers to make improvements in school and classroom practices. **The state and district must look at the best teachers in schools who have leadership skills to become the next generation of principals.**

SREB believes that to get a new generation of highly effective principals, states need to create exemplary policies for multiple pathways of preparing future principals and to broaden the pool of candidates who have experience and can demonstrate the leadership skills necessary to become future principals. **This means principal preparation should not be limited to traditional university programs.** Qualified individuals with master’s degrees in fields other than education should be considered, and teacher-leader certification ought to provide a shorter route to principal certification.

SREB Criteria

Pathways to broaden the field of principal candidates include:

- a license that is alternative to the standard principal license route.
- non-university entities approved to prepare school leaders as long as they meet the same standards requirements as university-based programs.
- a path to the principal’s office through a formally recognized teacher-leader endorsement such as a literacy coach, math coach, etc.



Policy in this state: ● = Meets all SREB criteria + = Meets most criteria ⊙ = Meets some criteria ○ = Meets no criteria.
Data compiled by SREB, 2010.

Findings

A majority — almost two thirds of SREB states (Alabama, Arkansas, Delaware, Florida, Louisiana, Maryland, Mississippi, North Carolina, Oklahoma, Texas, Virginia and West Virginia) — offer principal licensure options to completing the standard university leadership preparation program. (See Appendix P.) Such options include licensure based on master’s degrees other than school leadership or administrative military experience. This is a good sign. However, only five states (Florida, Georgia, Louisiana, Maryland and Texas) have opened the approved preparation provider field to non-universities. Given the resistance of universities in some states to change,⁵⁸ it is reasonable to think that districts or other organizational personnel may be able to develop more robust and effective programs when not hampered by adherence to the conventional university structure model. Overall, one state meets all the criteria for multiple pathways to school leadership. (See Figure 8.)

Within the SREB region, some cities (Memphis, Tennessee; Baltimore, Maryland; Charlotte, North Carolina; and New Orleans, Louisiana) stand out as examples of alternative pathways to school leadership. One pathway is the New Leaders for New Schools (NLNS) program, which trains individuals to become principals in urban schools. Staff at NLNS recruit, prepare and support principals to lead troubled schools. NLNS has rigorous entrance requirements that are generally higher than most university programs. Their extensive selection criteria require that prospective principals “demonstrate a track record of driving dramatic improvement in academic achievement for all students” and “possess written and verbal skills to articulate a point of view in a clear and concise manner which is appropriate and understood by intended audiences.”⁵⁹

Another alternative pathway to school leadership is the Knowledge Is Power Program (KIPP). KIPP schools are a network of public schools that include open enrollment and college- preparatory elementary, middle grades and high schools. These schools prepare students in underserved communities for success. At least half of the SREB states include KIPP schools. The KIPP School Leadership Program (KSLP) offers a master’s degree in administration from National-Louis University. The three components of the leadership program include building relationships, achieving results and managing people. Candidates have internships that take place at KIPP schools, and principal candidates are mentored for several years into the first leadership placement.

Another pathway is Mississippi’s Alternative Path to Quality School Leadership program. Selected candidates enter with a master’s degree in management, public policy, or teaching and participate in a fast-track school administration program. Accepted candidates receive a free summer-long training and then take part in a yearlong internship at a school. Candidates take the Praxis I and II, and if they pass all the requirements, they receive an entry-level license.

Teacher-leader certification is becoming more commonplace across the region. Georgia, Louisiana and North Carolina currently offer it. (See Appendix P.) Teacher-leader licensure allows for another path to school leadership that a skilled teacher with innate leadership talent can pursue. One example of a teacher-leader program is the Lead Program in Louisiana. It is a yearlong professional development program offered by the Louisiana Department of Education that allows educators to improve their leadership skills and become teacher-leaders. The program builds on leadership capacity in the areas of instructional leadership and school improvement. Upon successful completion of the program, candidates earn a teacher-leader endorsement certification.

State Call for Action

In 2002, no SREB states met the multiple pathways criteria; today, one state meets them.

States can take actions to create multiple pathways for becoming a school principal that would result in a more qualified pool of candidates. These actions include:

- creating alternative principal licensure in states that currently do not have that option for prospective candidates who hold master’s degrees.
- establishing clear standards for school leadership that can guide in the selection of future principals.
- ensuring that school leadership standards and principal evaluation systems emphasize leaders’ responsibilities to develop teacher-leaders and future school leaders.
- developing tools to better predict who has the potential to succeed as a principal.
- having states develop criteria for the approval and evaluation of alternative principal training programs including non-degree-granting entities. These alternative programs can be run by districts or private organizations and should be held to the same standards as the university programs.

- **developing teacher-leader programs that go beyond a focus on content to a focus on working as a team leader to assist other teachers in effective instruction.**
- giving teachers the option of entering the principalship as a result of their certification in a state-approved teacher-leader program.

Principal Evaluation

Indicator of Progress: Evaluate principal performance based on effective practice as defined in state standards and provide ongoing professional development and other support based on the results of the evaluation.

With learning-centered leadership, principals must be both managers and instructional leaders. States must go beyond pre-service leadership reform to make a significant impact on the quality of principal practice. Evaluation of principal performance is a lynchpin of a well-rounded and cohesive leadership system.⁶⁰ The National Association of State Boards of Education states that a well-designed evaluation system for principals uses a variety of indicators (such as communication skills, fiscal management, instructional leadership, performance of students and ethical behavior) to determine leader strengths and weaknesses.⁶¹

More often than not, principal evaluation has been seen as a low-stakes activity that includes the completion of a self-evaluation form or an interview with the superintendent or district supervisor, and it seldom resulted in a growth-related professional development plan. Districts infrequently use data collected to track principal progress and point out weaknesses that could be strengthened.⁶² In addition, principal evaluation systems have not always been linked to principals' roles and responsibilities.

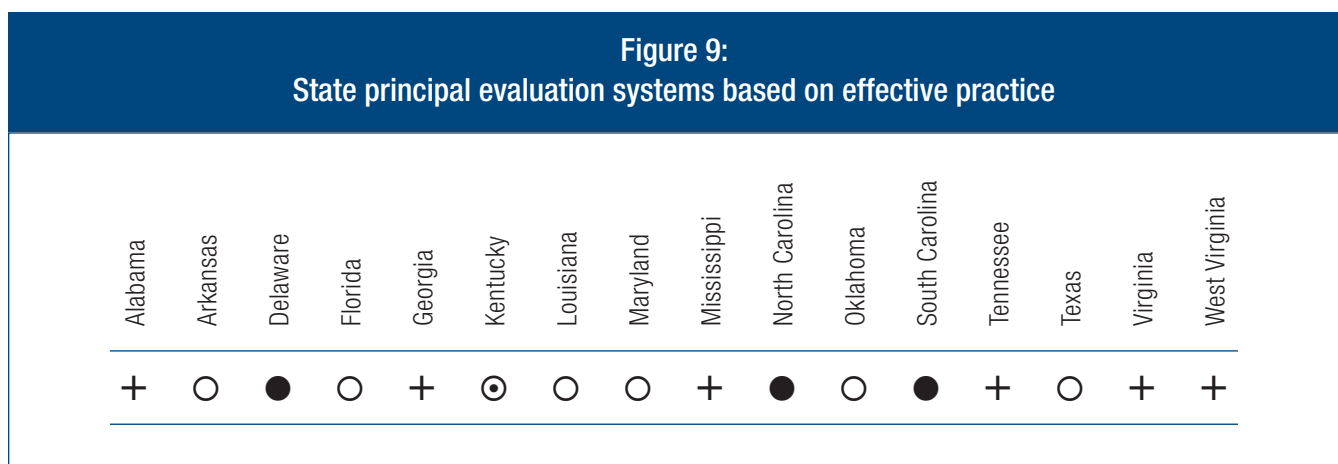
A principal evaluation system that leads to a professional growth plan is the cornerstone of an effective system of school leadership. SREB states can take the lead in developing a single state principal evaluation system. This would create consistency, with a common set of standards and the same expectations across each state for evaluating school principals and other school leaders. A good leadership evaluation system is tiered and includes differentiated training and support along the leadership continuum (aspiring, beginning, professional and advanced). Targeted, sustained and high-quality professional development go hand in hand with the evaluation of principals. Without a robust process by which to assess ongoing principal performance, progress toward the ultimate goals of a cohesive leadership system cannot be measured.

SREB Criteria

SREB believes that an effective principal evaluation system includes:

- a state-endorsed evaluation system on which all principals are regularly evaluated.
- a state principal evaluation process that is clearly aligned to state leadership standards.
- a state-provided training program for those who conduct evaluation of principal performance.

**Figure 9:
State principal evaluation systems based on effective practice**



Policy in this state: ● = Meets all SREB criteria + = Meets most criteria ⊙ = Meets some criteria ○ = Meets no criteria.
Data compiled by SREB, 2010.

Findings

Historically, statewide educator evaluation systems have been more prevalent in the SREB states than other parts of the country. Single state evaluation systems make sense in this age of high accountability for student and teacher performance. Accordingly, eight SREB states — Delaware, Georgia, Mississippi, North Carolina, South Carolina, Tennessee, Virginia and West Virginia — have statewide leadership evaluation systems. (See Appendix S.) The remaining eight states do not have these types of principal evaluation systems; instead, they have locally developed or commercially developed principal evaluation instruments.

Seven SREB states — Alabama, Delaware, Mississippi, North Carolina, South Carolina, Tennessee and Virginia — base their principal evaluation system on the state leadership standards; **this should be a given for every state**. Seven SREB states — Alabama, Delaware, Georgia, Kentucky, North Carolina, South Carolina and West Virginia — provide training for those who conduct principal evaluations. Overall, three states meet the state principal evaluation system criteria. (See Figure 9.)

Examples of promising approaches in principal evaluation include the commercially prepared principal evaluation tool called the VAL-ED, which was developed by Vanderbilt University. The VAL-ED system identifies and assesses critical leadership behaviors associated with improving instruction (high standards for student performance, rigorous curriculum, quality instruction, culture of learning and professional behavior, connections to external communities and systemic performance accountability) and the capacity to share leadership. It also provides data to assist districts in developing tailored professional development.⁶³ VAL-ED has been shown to have strong technical attributes; include high content, construct and concurrent validity; and to have high reliability, as evaluated by Learning Point.⁶⁴

State Call for Action

SREB states must establish a principal evaluation system that is aligned to state standards and that provides principals with meaningful feedback and incentives for continued growth. A comprehensive state principal evaluation system should be based on:

- growth in student achievement, student readiness for the next level of education and, eventually, high school graduation.
- faculty input and implementation of a continuous school improvement plan.
- a 360-degree feedback component incorporating views from faculty, students, parents and supervisors.
- an annual review of principal performance by the district superintendent or district office supervisor.
- a principal survey to determine their perceptions of whether or not they have the working conditions and necessary support to reform the school.
- a professional growth plan — professional development opportunities and coaching support based on the comprehensive assessment.

The state evaluation systems adopted by Delaware and North Carolina offer promise and should be studied by other states. The Delaware system — called the Delaware Performance Assessment System (DPAS II) — was created in 2000. DPAS II is driven by the Delaware Administrative Standards and aligned with the ISLLC standards to evaluate superintendents and principals. The system aids the professional growth of administrators, their continuous improvement and quality assurance. It includes five areas: vision and goals, culture of learning, management, professional responsibilities and student growth. Data to determine student improvement can include school accountability data, state assessment online scores, district-administered tests, longitudinal studies and external test scores. The components of the system include goal-setting, formative and summative conferences, surveys and data collection. There are both one-year and two-year evaluation cycles, depending on the level of principal experience and success. Inexperienced and struggling, experienced administrators are evaluated every year and successful and experienced administrators are evaluated every two years. The summative evaluation includes one of four overall ratings: ineffective, needs improvement, effective and highly effective. The state has a corps of development coaches to support the evaluation process. This creates a more rigorous evaluation process, decreases the administrative burden to evaluators and improves the accuracy of the DPAS II.



The North Carolina School Executive Evaluation System was approved in 2008. It includes an evaluation process for principals and assistant principals, with required and optional components. The purpose of the evaluation system is to determine the principal's performance in relation to the North Carolina Standards for School Executives. The eight Standards for School Executives were developed based on national reports, and research focused on leadership practices that impact student achievement and the ISLLC standards. The evaluation serves as a guide for principals; facilitates higher education programs in creating content and requirements of degree programs; centers on goals and objectives of districts; guides principal professional development; and is a tool in coaching and mentoring programs for principals. Principal performance is rated as either developing, proficient, accomplished, distinguished or not demonstrated. Evaluation evidence can include focus group results, interviews, questionnaires, agendas, working condition surveys, degree to which school improvement strategies are implemented, student information and professional development provided and its impact on student learning. Student achievement data are required as evidence.

Data Systems

Indicator of Progress: The state has a system for collecting and reporting data to improve leader development and succession planning.

One of the most concrete ways that state Department of Education personnel can support school and district staff is by investing in a robust and reliable data system. These systems enable practitioners and policy-makers to make better-informed decisions based on the latest available data.

An ideal data system is powerful enough to allow analysis across different types of data and is accessible by educators, policy-makers and researchers who need that data to make decisions. For school and district leaders, such a system needs to be accessible from any computer. In addition, the system would require only basic Web-browsing skills to navigate and link information about students and schools to employment data about teachers, teacher-leaders and principals. A comprehensive data system that links principal preparation programs, districts and schools is essential for accountability purposes at the state, university, district and school levels. It helps determine student, teacher and school success or failure, and it supports changes that need to be made at the teacher, school, district or university levels.

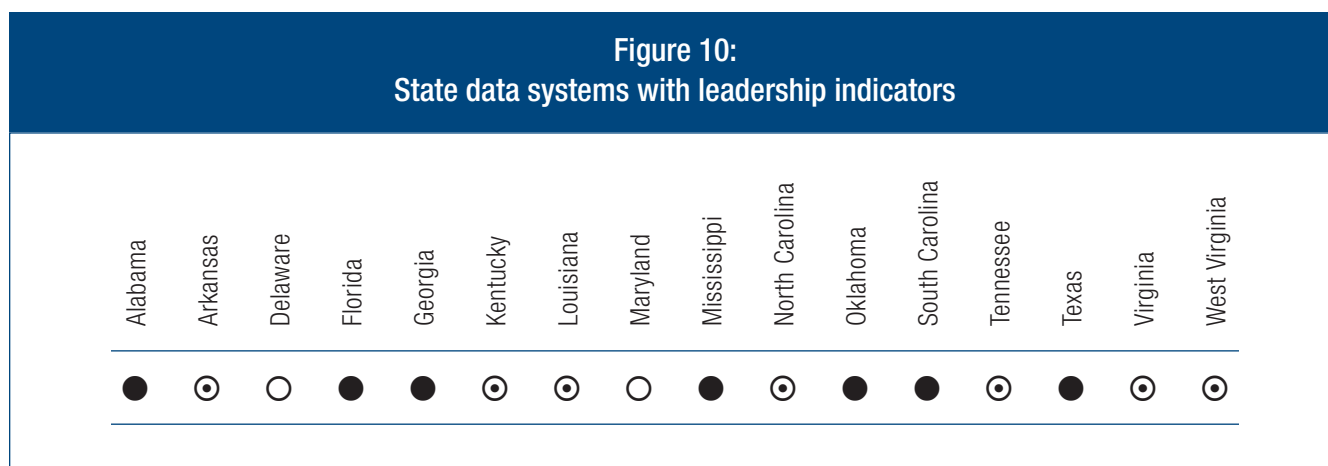
The national Data Quality Campaign (DQC) was initiated in 2005 with funding from the Bill & Melinda Gates Foundation. It is a collaborative effort to help state policy-makers improve the collection, availability and use of high-quality education data and to implement the state longitudinal data systems that can improve student achievement. The DQC calls for state data to follow students over time, be meaningful, comparable, linked and shared across systems. In this way, it is critical in helping states develop data systems that link student, school, teacher and university data to principals. In particular, it has helped states build data systems focused on individual student data. The original recommendations by DQC stopped short of encouraging states to link student and school performance data to principals, and to link principal employment and licensure data to principal preparation programs. If such linkages were made judiciously, they could allow for analysis of principal vacancies, rates of principal retention and turnover, as well as the number of prospective leaders in different regions and school types and the evaluation of principal preparation programs.

Specifically, the best way to evaluate the impact of the previous indicators on school effectiveness is to examine longer-term trends in preparation program production (the number of leaders who complete preparation program and receive a leadership credential), placement (the number of program completers who are employed in leadership positions), and the pipeline ratio (the number of aspiring leaders enrolled in leadership preparation programs relative to the number of projected vacancies). In addition to policy evaluation, such a system is necessary to support a comprehensive, human-capital strategy that identifies geographic regions and school types experiencing staffing shortages. Targeted programs can be developed to prepare a pool of principals to staff those schools.

SREB Criteria

SREB believes that a quality state system for tracking and analyzing data about school leaders and leadership preparation programs includes:

- data elements that describe educator employment and licensure/certification including all of the following roles: superintendent, principal, assistant principal, department chair and teacher-leader.
- data elements that describe principal preparation programs.
- functional connections and analysis among leader, student and leadership preparation program data.



Policy in this state: ● = Meets all SREB criteria ⊕ = Meets most criteria ⊙ = Meets some criteria ○ = Meets no criteria.

Data compiled by SREB, 2010.

To gather information about SREB states that had data systems that matched these criteria, SREB surveyed 16 state system managers who responded to the DQC survey, achieving a 100 percent return rate. The survey was linked to the three criteria.

Findings revealed that all but one SREB state reported their data system allows tracking of their K-12 educators by leadership role (principal and assistant principal). (See Appendix T.) This means that when a teacher becomes a principal there is a way to note such a change in the state data system. Currently, selected educators from every state have the capacity to conduct analysis of principal employment patterns, such as principal longevity, turnover, retention and mobility. **These data could in theory be connected to school level data — such as test scores, promotion and high school completion, but presently this analysis is not being done.**

Respondents offered reasons for this: inadequate staff to conduct such analysis; inadequate technological infrastructure resources to manage a data set on such topics; and inadequate political support for uncovering the answers. Representatives from only half of the SREB states collected data about a teacher-leader's role. States collected only a fraction of the data that they needed to make sound judgments about principal preparation programs. Eleven states reported collecting the basic data about leadership preparation programs, such as the approval status of preparation programs, while representatives from eight states reported that they collected data about the types of preparation programs. Only data system directors from Florida reported that they collected information about the percentage of preparation programs that were delivered virtually, while representatives from only four states (Florida, Georgia, Oklahoma and South Carolina) reported that they collected data on the number of full-time faculty that staff preparation programs. (See Appendix U.)

Program characteristics are important to inform policy-makers about program approval and certification, particularly when combined with data about school, teacher and student performance. A total of seven states meet the criteria for having state data systems with leadership indicators. (See Figure 10.)

Three overall findings emerge from this analysis: (1) states are collecting data, but the data are not being used to inform decisions; (2) representatives from only half of the SREB states collect data about teachers in leadership roles; and (3) not enough data are collected about leadership preparation programs.

It is critical that preparation programs use attribute-data to inform decision-making related to leader placement and personnel decisions. The teacher-leader endorsement is one that is emerging in the SREB region. Teacher-leader data need to be gathered and used to determine its impact on student achievement and other measures of school success. Additional information about leadership preparation programs should be collected to determine the attributes that need to be in place for principal success in schools.

State Call for Action

University, district and school data systems should be linked to school-level leadership in order to increase the scope and utility of information available for the purpose of informing state, district and university leaders about what is working and about what needs to be improved to have an effective principal in every school. This data system should be designed to answer questions such as:

- Do districts with high percentages of minority and low socioeconomic background students attract the best-qualified people as school principals and assistant principals?
- Does the distribution of people certified as principals during the past five years represent a cross-section of teaching experiences in core academic and elective areas at the elementary, middle grades and high school levels?
- Can data systems identify the percentage of principals whose recent evaluations reflect adequate, good or advanced level of performance? How do these ratings compare when controlled for socioeconomic and racial variables related to student achievement, high school graduation and readiness for the next level of education? Are there differences in the evaluation ratings of principals who graduated from various approved programs?
- Do the growth plans and coaching provided to principals, in conjunction with evaluation, result in a change in the performance of the principals and their schools?
- Is there systematic feedback from newly prepared principals about the adequacy of preparation programs and about the conditions and support provided by the district that has enabled them to engage the faculty in a continuous school improvement effort?
- Are satisfaction studies being conducted of superintendents regarding the partnership they have with universities or other entities about the selection, preparation and field experiences of people being prepared as principals and assistant principals?



Multiple pathways to the principalship need to be expanded in SREB states.

Where are the state gaps in the support and nurturing of principals?

Principal licensure tiers are not as well-defined in SREB states as they need to be. Most SREB states have two licensure tiers. Preferably, there should be four, and they should describe the different points in a principal's career and indicate accompanying evidence of success. In addition, there is a teacher-leader movement in this country that most SREB states do not recognize as a principal endorsement or as a pathway to the principalship. This needs to be remedied. **Multiple pathways to the principalship need to be expanded in SREB states.** States should be more accepting of high-quality, non-university preparation programs. In SREB states, principal evaluation has to be linked to leadership standards; currently, this is not the case. Finally, more SREB states must link principals and their school achievement results back to their preparation programs to help determine program effectiveness.

Question 4: How are state leaders activating the district role?

State Support for Principals of High-Needs Schools

Indicator of Progress: Specialized services and support are available to develop high-quality principals for high-needs schools, customized around their unique problems.

Much more needs to be done to provide specialized preparation and support for potential and current leaders of schools with large numbers of low-performing students. States and districts need to equip leaders who work in the most challenging of schools with the vision, curriculum, instruction and assessment strategies needed to foster working in an environment of continuous improvement.

With the signing of the *No Child Left Behind Act (NCLB)* in 2002, states were given a mandate to take action to help schools that perennially struggled to meet the learning needs of all students. *NCLB* represented a substantial shift in the role of the state from that of compliance monitor to provider of technical assistance.⁶⁵ State agency leaders in the SREB region continue to be at different points in making the transition to this expanded role. *NCLB*'s mandate that states focus on school improvement has clear implications for the selection, preparation and support of current and future principals, especially in schools with high levels of low-income families.

Principals in low-income schools have a unique set of challenges. They need a different set of preparation and field-based experiences to acquire the skills and competence necessary to succeed. Such principals need special knowledge and skills to work with faculty and to create a learning environment for students who often have greater social needs and lower levels of school readiness.

Yet today, teachers in schools with low-performing students are likely to have fewer years of experience and are more likely to be teaching out-of-field. Research conducted in 2007 by Clotfelter, Ladd, Vigdor and Wheeler showed that North Carolina students in high-poverty schools were served by school personnel with lower qualifications than teachers in more affluent schools.⁶⁶ Clearly, principals in such schools actually need a higher and broader set of qualifications than those required of principals in schools with high-performing students.

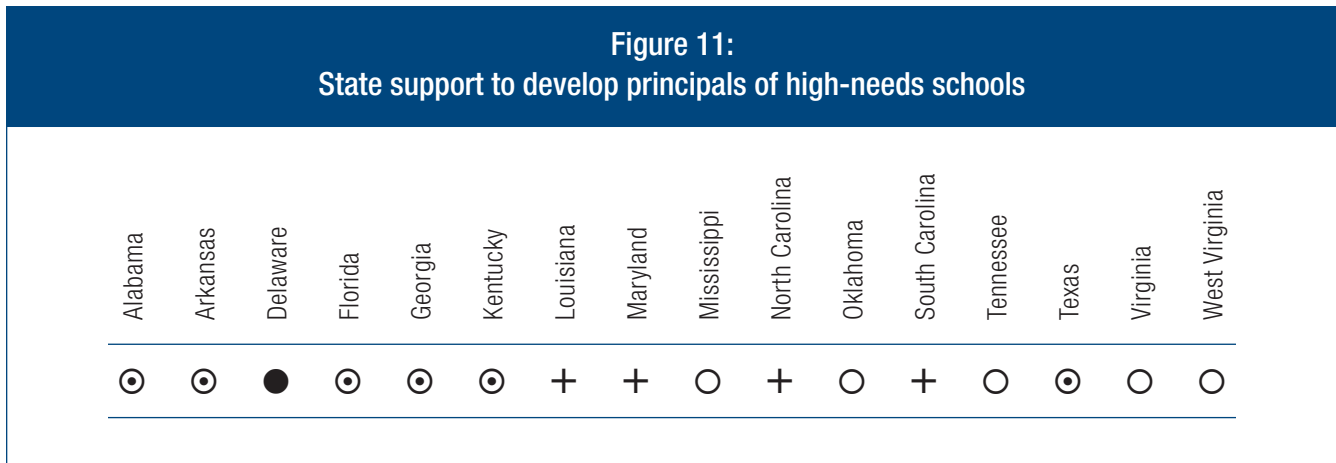
Selection and preparation of principals for schools with low-performing students are good first steps, but they alone are not enough. **District leaders have a vital role to play in sustaining leadership quality and continuity to create a strong bench of high-performing principals who are prepared to improve schools.** Research on principal attrition and mobility suggests that principals in schools with high-needs students have a higher-than-average probability of leaving their position within two to three years of arriving as principal.⁶⁷ If a good principal leaves a school with high-needs students, often the students will regress unless a succession plan is in place that ensures continuity of high-quality leadership.

Having a district-wide principal succession plan allows officials to develop and support principals to improve the quality of teaching and student learning. Taking a more systemic approach to planning for principal succession yields the dual outcomes of increasing support for the current principal by identifying promising leaders in the building and giving them leadership responsibilities within the school, while also leaving the school less vulnerable to leadership turnover if the incumbent principal leaves. The state must select and support district leaders with technical expertise and have a plan to select and develop talented future leaders in a strategic way.⁶⁸ This will leave the school less vulnerable to a downward slide sometimes caused by leadership turnover.

The state can leverage its federally mandated, systemwide support by executing a school improvement strategy that begins and ends with leadership development at the building and district levels. While equipping selected teachers to deliver more effective literacy and numeracy instruction is unquestionably important, such work is incomplete if the principal does not know how to coach, encourage and nurture the entire faculty to become engaged in teaching all students to the depth of understanding necessary to meet the new Common Core State Standards or other rigorous standards. This is particularly true in low-performing schools.

SREB believes that state support for leaders in high-needs schools should include:

- policies for preparation programs and/or principal leadership academy programs with distinct curricula for preparing leaders for struggling urban and rural schools.
- state policies and materials that describe programs that support central office leaders to do succession or continuity planning in districts with struggling students and hold them accountable for having such systems in place, particularly for schools not meeting Adequate Yearly Progress under *NCLB*.
- a statewide system of support that includes a specific strategy to build leadership capacity in schools in need of improvement.



Policy in this state: ● = Meets all SREB criteria + = Meets most criteria ⊙ = Meets some criteria ○ = Meets no criteria.

Data compiled by SREB, 2010.

Findings

Overall, the review of state policy regarding leadership development and support for schools with struggling students indicates improvement is needed in the SREB region for selecting, preparing and supporting principals for such schools. **Only one state meets the criteria to develop principals of high-needs schools.** (See Figure 11.) Six SREB states — Delaware, Georgia, Louisiana, Maryland, North Carolina and South Carolina — have developed policies that explicitly acknowledge that principals in different settings need different preparation experiences, with distinct or specialized curricula reflecting research on how practice of leadership is contextual and differs across settings and school levels. (See Appendix Q.)

Few principal preparation program coordinators in the SREB region reported that they offer a preparation program explicitly designed to prepare leaders for a school with high-needs students. **Only seven university program coordinators from across the region who responded to the survey stated that the curriculum in their program differs from the curriculum of the conventional program, while nine program coordinators who responded stated that the field-based experiences for such candidates in schools with high-needs students differed substantially from the conventional program.** A majority of coordinators who lead preparation programs reported that they had not been encouraged by the state to create programs that develop and prepare leaders for schools with high-needs students, and that there are few successful programs (either academies or university-based) in their states that specialize in preparing leaders for schools with high-needs students.

A handful of preparation programs throughout the SREB region have initiated efforts to close the leadership gap in high-needs schools. Overall, there is little indication that most states have a comprehensive strategy for understanding and meeting the unique leadership needs in their struggling schools.

State leadership academies or programs in nine states (Alabama, Arkansas, Delaware, Florida, Kentucky, Louisiana, North Carolina, South Carolina and Texas) have viable options for improving current principals' success in helping schools with low-performing students develop the capacity of school leadership teams. An example of support for new leaders of high-needs schools is the

Delaware Leadership Project (DLP) — a training and residency program. It was created to prepare aspiring principals and assistant principals to lead schools in low-income communities. The 14-month program is free to DLP candidates and includes a 10-month, school-based residency where candidates work with a mentor principal and participate in two summer study programs. Graduates must agree to work in a high-needs school for at least one year. When employed as school administrators, graduates of DLP receive ongoing coaching and a planned participation in peer network their first two years on the job.

Another example is the Northeast Leadership Academy (NELA). It was initiated in 2010 by North Carolina State University to develop 21st-century leaders in the state's seven rural northeastern high-needs school districts, and it is a 20-month program. There are two other similar academies located in other parts of North Carolina. Course work combines theory and practice, plus inquiry and action. The NELA key components include: daylong class sessions (Year One); ongoing field work (Years One and Two); visits to successful school sites (Years One and Two); summer internship in a community agency (between Year One and Year Two); yearlong release to participate in a planned school internship in Year Two; pre-leadership planning (Year Two); and a sustained network of support that includes a dedicated classroom substitute, a student teacher, a principal mentor, an executive coach, and support from a member of the North Carolina State University faculty. The NELA candidates are committed to leading low-achieving schools for three years after successful completion of the program.

A third example of a leadership academy for principals of low-performing schools is South Carolina's Palmetto Priority Schools program. The South Carolina Department of Education works in collaboration with partners across the state to provide advice and assistance to principals of low-performing schools that failed to meet expected progress on student achievement. There has been a focus to assist these schools in creating plans of action and strategies designed to increase academic achievement.

Another approach is Georgia's Leadership Institute for School Improvement (GLISI). GLISI leads seven-member teams (school superintendents, principals, assistant principals and district staff) through a three-year program on school improvement. The training assists team leaders in developing, initiating and supporting a school improvement initiative. The teams examine school data to determine the root cause of problems and study the components of their schools. Team members work on district and school improvement plans and receive internal and institute support.

Florida is using Race to the Top funds to launch a principal pipeline initiative that is intended to ready a pool of well-prepared principals for low-achieving schools in five of its six largest districts, and to prepare selected leaders from Florida's charter schools. The Florida Turnaround Leaders Program (FTLP) is currently the largest and most ambitious turnaround leadership program in the country. Among other things, FTLP trains participants in rigorous and relevant classroom instruction and shows them how to create a 90-day plan for turning a school around. Participants complete a six-month full-time internship in a turnaround school setting.

Nine out of the 16 SREB states have explicitly implemented a strategy of leadership development as a part of their statewide system of support. (See Appendix Q.) For example, Florida is providing leadership development and principal coaching through its differentiated accountability system. That is, Florida schools with low-performing students have a more prescribed approach to instruction and assessment than schools with higher-performing students.

Two states — Delaware and Maryland — provide support to districts around succession planning for school principals. The state of Delaware provides specific training for district leaders to develop a succession plan for their respective districts. In 2006, Maryland published a document that offers guidance to school leaders about how to plan for succession and create a pipeline of skilled principals who can lead instruction and improvement. Maryland State Department of Education leaders have provided training and technical assistance to districts that request it.

State Call for Action

In 2002, no SREB states met the criteria of providing state support to develop principals of high-needs schools; today, one state meets them.

Each state should leverage its federally mandated statewide system of support and execute a school improvement structure and accompanying strategies that begin and end with leadership development at the building and district levels. States should:⁶⁹

- **create state or regional programs to select and train experienced principals to serve as turnaround specialists.**
- provide incentives for experienced principals to accept the turnaround challenge.

- develop and continuously improve principal selection tools that can predict success in turnaround settings.
- increase per student funding for principal preparation.
- support ongoing, individualized professional development especially for turnaround leaders.
- create “enterprise zone” rules for turnaround high schools, providing expanded authority over personnel decisions, schedules, and improvement strategies.
- support the development and deployment of high-quality formative assessment lessons.
- provide principals with regular data “snapshots” about the culture and the climate of their schools.
- end seniority-based layoff policies that disproportionately impact schools in need of turnaround.
- provide incentives to encourage veteran teachers and promising novice teachers to work in turnaround high schools.
- change the toxic “scorecard” mentality that currently surrounds high-stakes testing results.

Principal Working Conditions

Indicator of Progress: Working conditions are present that sustain principal success in improving student learning.

States that work to build the capacity of school district offices and school boards in establishing a common vision, a framework of instructional leadership, a positive school culture, targeted data analysis and guided succession planning have the potential to positively impact all schools in a district, rather than just a designated few. **A district’s vision and support are crucial in promoting principal, school and student success.** Even the most talented and well-prepared principals cannot make a substantial dent in teacher and student learning if the central office either micromanages the school or merely operates as a middleman — distributing federal and state funds to schools and ensuring compliance of federal and state policies, guidelines and regulations.

When district personnel move from micromanaging to working *collaboratively* with school principals and teacher-leaders to achieve an agreed-upon school improvement structure, student performance is positively impacted.⁷⁰ States have a role in helping districts make this shift.

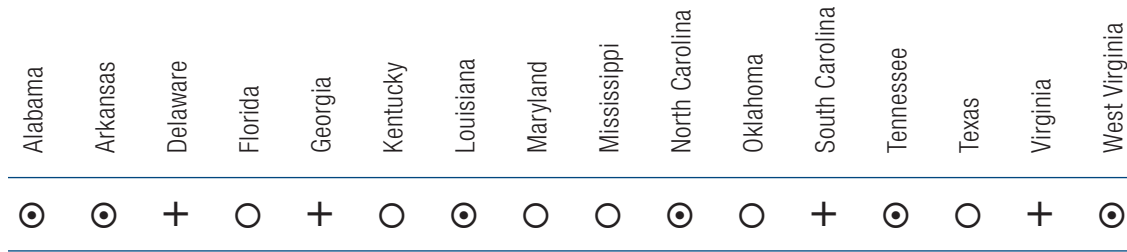
SREB addressed the benefits of school district collaboration and targeted assistance to school personnel in *The District Challenge* in 2008 and *The Three Essentials: Improving School Requires District Vision, District and State Support, and Principal Leadership* in 2010. A set of seven strategies were validated and included in the *Three Essentials* publication. They are: (1) establish a focused and strategic framework of core beliefs, effective practices and goals for improving student achievement; (2) organize and engage the school board officers and the district office personnel in support of each school; (3) provide instructional support to educators; (4) invest in instruction-related professional development for principals, teachers and district staff; (5) provide high-quality data that link student achievement to school and classroom practices and assist schools in using data effectively; (6) provide human and financial resources to improve student learning; and (7) use open and credible processes to involve key school and community leaders in shaping a vision for improving schools.⁷¹ **Often principals who successfully lead schools where students succeed academically have greater autonomy and authority to make decisions about staffing and resources.**

SREB Criteria

SREB believes that state DOE personnel can advance optimal working conditions that sustain principal success by:

- providing training to school board members focused on creating conditions for teacher and leader growth.
- training teams of district leaders to create a district office culture focused on identifying, developing and sustaining talented teachers and principals.
- assisting districts to create and communicate a vision of principal practice that exercises authority and autonomy over school-based decisions within a framework of a district strategic improvement and accountability plan.

**Figure 12:
State promotes working conditions that sustain principal success**



Policy in this state: ● = Meets all SREB criteria + = Meets most criteria ⊙ = Meets some criteria ○ = Meets no criteria.
Data compiled by SREB, 2010.

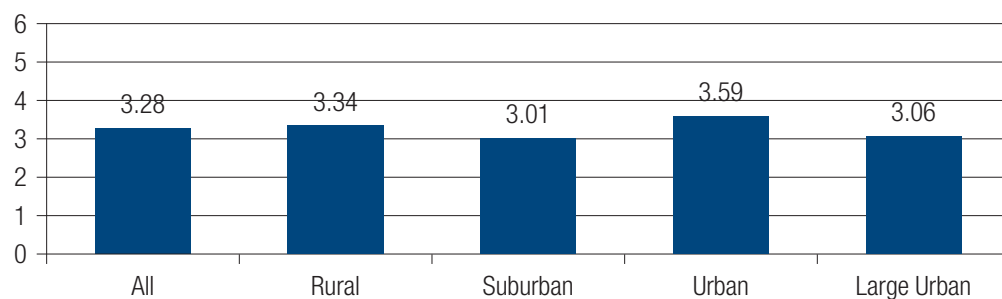
Findings

Most SREB states are doing very little to prepare school boards to set a vision and provide a broad framework of core beliefs and target goals on improving student achievement to guide school principals and teachers in curriculum, school improvement and management. Only two states — Arkansas and Virginia — offer school board training to help districts create policies, services and programs that build the capacity of school principals and school leadership teams to take ownership of problems and implement effective solutions. (See Appendix R.)

State standards and policies in nine of the 16 SREB states (Alabama, Delaware, Georgia, Louisiana, North Carolina, South Carolina, Tennessee, Virginia and West Virginia) convey a vision of principal practice that balances autonomy and accountability. However, no state meets all of the criteria to promote working conditions that sustain principal success. (See Figure 12.)

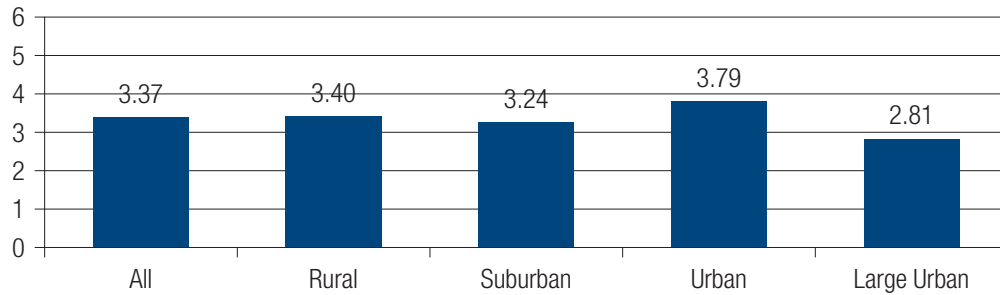
Without the support and buy-in of central office leaders and board members, the current reality for some principals is that they have the accountability, but not the autonomy, to make major decisions. Many principals are not guided by a district vision and a strategic framework of best practices that enable them to make the changes necessary to achieve their goals. **State departments of education offer very little training and guidance on transforming central offices to work in collaboration with principals and teacher-leaders to take ownership to implement proven practices within the context of a board/district strategic plan.** Too often state DOE personnel have made school-level educators a target of their support, rather than developing the capacity of district personnel to work with the school staff.

**Table 3:
The services available in my state to help build the capacity of central offices staff are appropriate for the unique needs of the district.**



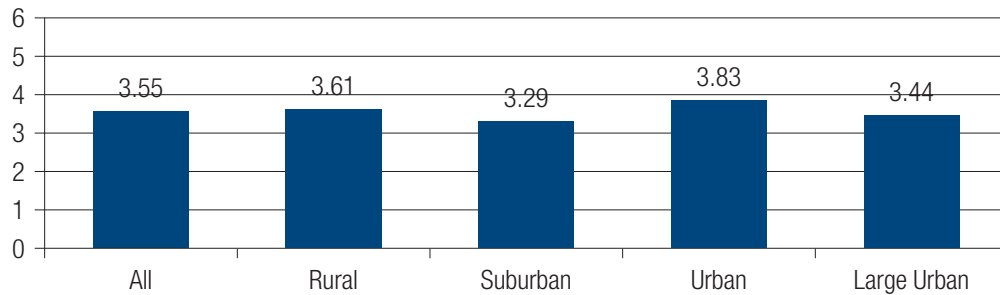
1 = Very strongly disagree 2 = Strongly disagree 3 = Disagree 4 = Agree 5 = Strongly Agree 6 = Very strongly agree.
Source: District superintendent survey, SREB, 2010.

Table 4:
The state has been effective at building the will and capacity of school boards and district offices to advance student learning.



1 = Very strongly disagree 2 = Strongly disagree 3 = Disagree 4 = Agree 5 = Strongly Agree 6 = Very strongly agree.
 Source: District superintendent survey, SREB, 2010.

Table 5:
My district received technical assistance in articulating a framework (including vision, goals and strategies) that gives teachers and principals ownership over improving instruction and learning.



1 = Very strongly disagree 2 = Strongly disagree 3 = Disagree 4 = Agree 5 = Strongly Agree 6 = Very strongly agree.
 Source: District superintendent survey, SREB, 2010.

Superintendents of large urban districts and suburban districts who were surveyed across the SREB region reported that services available in their state to help build the capacity of their central offices staff are not appropriate for the needs of their district. (This is based on a 6.0 scale with 1=very strongly disagree, 2=strongly disagree, 3=disagree, 4=agree, 5=strongly agree, and 6=very strongly agree) Rural and urban superintendents were somewhat more positive. (See Table 3.) Superintendents expressed similar opinions when asked about whether their states have been effective at building the will and capacity of school boards and district offices to advance student learning. Superintendents in large urban and suburban areas were more negative than rural and urban superintendents. (See Table 4.) When it came to articulating a framework that gives teachers and principals ownership over how to improve instruction and learning, once again large urban districts and suburban districts were most in agreement that the state was not helpful. Rural district and urban superintendents' responses were somewhat more favorable.

The results of this district superintendent survey are unsettling, particularly for large urban districts and suburban districts. The complexity of both large urban districts and large suburban districts requires that state education departments have individuals with experience to work successfully with school boards, large district offices and superintendents. These individuals are key in helping to shape a strategic plan — a set of policies — in which the district office staff can work with their principals and teacher-leaders to take ownership of their own customized school improvement plan. Working effectively with such large districts may require a specialized state staff person with certain unique experiences and expertise.

Despite reporting that the state does provide some support, rural districts in SREB states represent a major challenge. While progress in the South has been made in improving graduation rates,⁷² teacher effectiveness, opportunities for students and school resources lag in many rural areas. Rural districts are small, and it will take a different strategy from state education departments to work effectively with them. It means clustering groups of rural schools together to work collaboratively to build their capacity to create the conditions that allow principals and teachers to take ownership and receive support they need to improve student achievement.

Survey responses about states providing support to districts revealed that superintendents in six states were 50 percent or more in agreement: They included Maryland (70 percent), Georgia (57 percent), Alabama (54 percent), South Carolina (53 percent), Florida (52 percent) and Kentucky (51 percent). Maryland's education reform efforts have been pervasive throughout the state, and the Maryland State Department of Education works closely with districts to improve schools with low-performing students. Georgia Department of Education representatives are in the midst of leadership reform, and representatives from GLISI have been most effective in working with districts across the state. Alabama Department of Education leaders have conducted an impressive overhaul of their state leadership standards and school leadership training programs, while Florida offers the William Cecil Golden School Leadership Development Program. The goal is to provide resources to support and enhance the principal's role as the instructional leader. The Kentucky Department of Education has completely revised its principal training criteria and offers assistance to schools with high-needs students.

At a time when dramatic improvements are expected for a range of improved student outcomes, too many districts, central office staff and boards have failed to establish a clear focus and vision with a strategic framework of core beliefs, effective practices and goals for improving student achievement. **If district personnel are dysfunctional in their policies and support of school educators, then school principals and teachers will continue to be dysfunctional as well.** District leaders and school board members need help from state DOE staff to establish a comprehensive vision, strategic plan and system to help principals lead their schools and hold schools accountable for achieving results.

State Call for Action

It's time to shift the focus of state efforts and policy from improving individual schools to building school district and board capacity. This will provide conditions that enable principals and teachers to create and implement a framework of effective school improvement practices. It is critical for SREB states to:

- have policies and resources in place to directly support districts and school boards in their efforts to improve schools. Without knowledgeable, focused and supportive district office staff and school boards, successful schools cannot exist.
- assist districts in fostering a central office environment where personnel see it as their role to create the conditions and support that enable principals and teachers to take ownership of problems and implement proven solutions to improve student achievement.
- work with large districts and clusters of small districts to develop a framework of school improvement practices that can guide their work with schools. The framework should include superintendents and their leadership teams developing new skills for assessing and coaching talented teachers and leaders.
- work collaboratively with school board associations to develop training programs for district leaders and school board members to take ownership of problems and implement proven solutions that increase student achievement.
- assist superintendents and their district leadership teams in developing tools and procedures for an accountability system that assesses effective teaching on an annual basis and has school leadership centered on continued growth of teachers, principals and the school leadership team.

Where are the gaps for state support of school districts?

There are several gaps in SREB states' support of districts. They include building leadership capacity for principals of low-performing schools and developing a distinct curriculum for preparing leaders of low-performing schools. There is also very little being accomplished by SREB states in training central office staff to specifically support principals of low-performing schools. This type of support is essential. Finally, more needs to take place in SREB states in giving principals the appropriate level of autonomy and accountability to be successful in schools. This balance is a key to principal success.

Conclusion

Some SREB states have made more progress on some of the 10 learning-centered leadership indicators than others over the past decade. (See Appendix B.) As a region, SREB states have made outstanding progress in revising and strengthening their leadership policies to reflect the principal as the leader of learning in public schools. It is also evident that there has been strong movement in SREB states in the redesign of leadership preparation programs. These redesigned programs better reflect the principal as the instructional leader of the school. The ISLLC standards are, in most cases, the foundation of new performance-based leadership standards in SREB states.

Most SREB states now require that preparation programs raise their admissions requirements, redesign university courses to reflect the work principals must do, and encourage universities and school districts to work collaboratively in the selection of candidates.

Field-based experiences as a part of leadership preparation programs in SREB states also are more prevalent today than they were at the beginning of the decade. In some states, these experiences take place in diverse settings, and candidates are rigorously assessed. State progress has been made in developing tiered principal licensure systems that denote beginning-to-advanced growth.

State data collection systems are in place with unique identifiers for the various types of leaders (teacher-leaders, department heads) in almost half of the SREB states — but this information is often not linked to principals, their preparation programs, and their schools' efforts to advance student achievement and other significant outcomes.

Several areas of concern remain. New leadership certifications in SREB states — for teacher-leader and school turnaround specialist — are not as prevalent as they should be. There is some, but not enough, state professional development support available for principals of low-performing schools. States are still not promoting principal succession planning, and districts are not anticipating where the future principal vacancies are going to be. Statewide principal evaluation systems need to reflect the state leadership standards, have growth plans for unsuccessful principals and include student achievement as a component. **States also can do a better job of improving principal working conditions, such as giving principals the accountability and autonomy they need to be successful.**

In the coming decade, the pressure will mount for states and districts to adopt all SREB key learning-centered leadership indicators and make the changes necessary to select, produce and support school leaders who can successfully lead the region's public schools and get the necessary results. Continued strengthening of state school leadership policies and fidelity in carrying out the policies are imperative.

Appendix A:

Individual State Progress on the Six Original Leadership Indicators

Alabama	2002	2010
1. The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all students.	The state's leadership standards are aligned to ISLLC standards and the Alabama Professional Education Personnel Evaluation Program.	The state's new leadership standards focus on school leaders leading learning and include performance-based language.
2. The state has developed policies regarding the process and criteria for identifying promising school leaders.	No principal succession planning policy is in place.	University and district select prospective leadership candidates, and rigorous admissions criteria are in place.
3. Principal preparation programs focus on the role of the principal in leading learning that results in student academic success.	Six purposes and nine curriculum guidelines govern leadership preparation programs.	Leadership preparation programs are focused on principals leading instruction.
4. Principal preparation programs include substantive field-based experiences that prepare principals to lead school improvement.	A 300-hour capstone internship requirement is in place.	Ten days of field experiences take place in diverse settings; districts oversee the field experiences; candidate performance is assessed rigorously.
5. There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.	There is a one-tier licensure system serving grades pre-K–12. Licensure is not linked to student achievement.	There is a tiered system of licensure. It includes beginning, instructional and master-level licensure of principals. The master level of licensure calls for compensation but is currently unfunded.
6. There are multiple pathways to school leadership.	Limited alternative certification is available with the Preliminary Certificate.	Alternative certification has not been heavily promoted in the state.

Arkansas	2002	2010
1. The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all.	The ISLLC standards are the basis for the <i>Principles for Licensure of Beginning Administrators in Arkansas</i> .	The state's leadership standards are based on the ISLLC standards.
2. The state has developed policies regarding the process and criteria for identifying promising school practices.	No principal succession planning policy is in place.	A current and projected principal needs policy is being developed.
3. Principal preparation programs focus on the role of the principal in leading learning that results in student academic success.	Preparation programs are required to focus on, among other things, how to implement student achievement action plans.	The university leadership programs in the state have not been redesigned according to SREB definition.
4. Principal preparation programs include substantive field-based experiences that prepare principals to lead school improvement.	A well-planned, integrated and sequential series of field experiences are in place.	Field experiences are required. Districts oversee the field experiences, and these experiences take place in diverse school settings.
5. There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.	There is a two-tiered system of administrator licensure — Initial and Standard.	There is a two-tiered system of administrator licensure — Initial and Standard.
6. There are multiple pathways to school leadership.	Preparation programs may be customized to meet candidates' needs. The state offers an Administrative Licensure Waiver and Licensure Completion Program.	There are school leader licensure options in Arkansas.

APPENDIX A

Delaware	2002	2010
1. The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all students.	The ISLLC standards are in place.	The ISLLC standards are used.
2. The state has developed policies regarding the process and criteria for identifying promising school leaders.	There is not a succession planning process in place.	Universities and districts work together in the selection of aspiring principals, and there is succession planning in place.
3. Principal preparation programs focus on the role of the principal in leading learning that results in student academic achievement.	Preparation programs are being redesigned to reflect principals leading learning.	The leadership preparation program curriculum has been redesigned to reflect principals leading learning.
4. Principal preparation programs include substantial field-based experiences that prepare principals to lead school improvement.	Field experiences must be a part of leadership preparation programs. No measures of performance are in place.	The pre-service internship for aspiring leaders is stringent. During their internships, aspiring principals participate in two school placements, and their performance is assessed.
5. There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.	There are three school leader certificates — School Principal, School Leader I and School Leader II — awaiting board approval.	A three-tiered licensure system from beginning to advanced/exemplary is in place. The National Board leadership certification process is used for advanced/exemplary leadership licensure. There is compensation for the advanced level of licensure.
6. There are multiple pathways to school leadership.	There is no alternative licensure program.	An alternative pathway includes an approved course of study, a master's degree and three years of teaching.

Florida	2002	2010
1. The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all students.	The Florida Principal Competencies and the Competencies and Skills Required for Certification in Educational Leadership in Florida are in place.	The leadership standards have been redesigned twice since 2002. They are currently under revision with a focus on principals leading student instruction.
2. The state has developed policies regarding the process and criteria for identifying promising school leaders.	A succession planning policy is not in place.	Universities are required to partner with districts in the selection of prospective leadership candidates.
3. Principal preparation programs focus on the role of the principal in leading learning that results in student academic achievement.	The state recently reviewed the alignment of institutional programs with the ISLLC standards.	University leadership programs have been redesigned to reflect on principals leading learning.
4. Principal preparation programs include substantial field-based experiences that prepare principals to lead school improvement.	The state does not require an internship as a part of a leadership preparation program.	Internships are required for aspiring leaders, but the program quality varies.
5. There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.	The state has one tier of licensure, and no performance measures are required to attain certification.	The state has a two-tiered licensure system. Level I is for aspiring principals completing an approved district professional development program in which they demonstrate the leadership standards. Level II is for experienced administrators.
6. There are multiple pathways to school leadership.	The state offers no state-level alternative certification route, but it recently passed a law allowing school boards to hire individuals with master's degrees who demonstrate the leadership abilities to lead schools.	The 2002 alternative to the principalship is still in effect. Districts also can develop their own leadership preparation programs.

Georgia	2002	2010
1. The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all students.	The ISLLC standards were recently put into place.	The state includes the ISLLC standards and its own standards. The standards reflect principals leading learning and include performance-based language.
2. The state has developed policies regarding the process and criteria for identifying promising school leaders.	There is no succession planning process in place.	State policy supports states and districts working together in the selection of leadership candidates. This is working best at the regional service centers.
3. Principal preparation programs focus on the role of the principal in leading learning that results in student academic achievement.	The ISLLC standards are in place for preparation programs, and they include instructional leadership, teaching/learning and school improvement components.	University programs of study have been redesigned to reflect principals as the leaders of instruction.
4. Principal preparation programs include substantial field-based experiences that prepare principals to lead school improvement.	Internships are required and are typically a capstone experience.	Field-based experiences take place throughout the leadership program of study.
5. There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.	There is a one-tier licensure system in place — the Georgia Educational Leadership certificate.	There is a two-tiered licensure system in place. The beginning five-year license is the Non-Renewable Performance-Based Educational Leadership certificate. It allows the principal candidate to complete an approved, performance-based leadership program at the specialist or doctoral level. When the educator successfully completes the program, a renewable Performance-Based certificate at the building or district level is issued.
6. There are multiple pathways to school leadership.	The state does not offer a formal alternative certificate beyond a provisional certificate.	There are non-university preparation programs in the state and teacher- leader licensure.

APPENDIX A

Kentucky	2002	2010
1. The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all students.	The ISLLC standards are in place.	The ISLLC standards form the base, but the state has dispositions and activities that are also a part of the standards. The standards include performance-based language.
2. The state has developed policies regarding the process and criteria for identifying promising school leaders.	There is no succession planning policy in place, but there is a program to develop a pipeline of potential leaders experienced at helping low-performing schools.	The state is committed to university-district partnerships, succession planning and rigorous admissions criteria.
3. Principal preparation programs focus on the role of the principal in leading learning that results in student academic achievement.	The ISLLC standards include instructional leadership and school improvement components.	Preparation programs have been redesigned to prepare candidates to become instructional leaders. There are consequences in place for failure to meet program approval.
4. Principal preparation programs include substantial field-based experiences that prepare principals to lead school improvement.	Candidates spend 75–100 hours in a pre-K-12 school.	Field-based experiences occur in diverse school settings, and candidate performance is assessed rigorously. Districts oversee field experiences.
5. There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.	There is a two-tiered licensure system in place — Professional Certificate for Instructional Leadership — Level I (beginning) and Level II (experienced).	There is a two-tiered licensure system in place; license renewal requires evidence.
6. There are multiple pathways to school leadership.	University programs allow a candidate with a bachelor's or master's degree and strong work experience to be an administrator while completing preparatory, internship and assessment requirements within a two-year window.	There are no leadership license and preparation options.

Louisiana	2002	2010
1. The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all students.	The Standards for School Principals in Louisiana are in place. The standards are based on the ISLLC standards and the Educational Leadership Constituent Council Standards for Advanced Programs in Educational Leadership.	The state's leadership standards are aligned with the ISLLC standards. They focus on principals leading learning and are performance based.
2. The state has developed policies regarding the process and criteria for identifying promising school leaders.	The state's new leader certification includes an optional level for teacher-leaders.	There are rigorous criteria for admissions, and there is university-district collaboration in the selection of candidates.
3. Principal preparation programs focus on the role of the principal in leading learning that results in student academic achievement.	The standards focus on leaders developing a vision of students as lifelong learners and on teaching and learning.	Preparation programs focus on instructional leadership and consequences in place for failure to meet program approval.
4. Principal preparation programs include substantial field-based experiences that prepare principals to lead school improvement.	Field experiences are aligned with National Council for Accreditation of Teacher Educators (NCATE) requirements.	Districts oversee field experiences, and candidate performance is assessed rigorously.
5. There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.	The state plans to have the Educational Leader Certificate Level I (beginning) and Level II (experienced) two-tiered licensure system in place in 2003.	The state recognizes beginning and experienced principal licensure. Principal licensure is used to support continued professional growth and includes incentives to retain successful veteran principals.
6. There are multiple pathways to school leadership.	There is an alternative pathway for individuals holding a master's degree who are seeking to add educational leader certification.	Nonprofits such as New Leaders for New Schools and Advanced Innovative Education can be certified as preparation programs without having a connection to a university. There is a teacher-leader certification in place.

Maryland	2002	2010
1. The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all students.	The ISLLC standards are in place.	The state standards are aligned to the ISLLC standards, are performance based and focus on the principal leading learning.
2. The state has developed policies regarding the process and criteria for identifying promising school leaders.	There is no succession planning process in place.	Districts and universities collaborate on the selection of candidates.
3. Principal preparation programs focus on the role of the principal in leading learning that results in student academic achievement.	The ISLLC standards are used for preparation programs, including instructional leadership, teaching/learning and school improvement components.	Preparation program focus is on principals leading instruction; there is university-district collaboration; and there are consequences for failure to meet program approval.
4. Principal preparation programs include substantial field-based experiences that prepare principals to lead school improvement.	An internship is required that is usually 100 days over two semesters.	Districts oversee field experiences; field experiences take place in diverse settings.
5. There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.	There is an Administrator I (beginning) license and an Administrator II (experienced) license, creating a two-tiered licensure system.	There is one level of principal licensure, and renewal requirements include evidence.
6. There are multiple pathways to school leadership.	The state offers an alternative certificate based on an undergraduate degree, professional experience and recommendation by a local school board and superintendent.	The state has opened the preparation provider field to non-universities such as the New Leaders for New Schools program.

APPENDIX A

Mississippi	2002	2010
1. The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all students.	The Mississippi Standards for School Leaders are based on the ISLLC standards.	The state leadership standards are based on the ISLLC standards, focused on principals leading learning and include performance-based language.
2. The state has developed policies regarding the process and criteria for identifying promising school leaders.	There is no succession planning policy in place.	There are no policies in place for succession planning, but there is a sabbatical program that includes a study grant for selected teachers who are interested in becoming principals. There are rigorous criteria for admissions into university leader preparation programs.
3. Principal preparation programs focus on the role of the principal in leading learning that results in student academic achievement.	The standards for preparation programs include principals leading learning.	There is university-district collaboration and consequences for not meeting leadership program approval.
4. Principal preparation programs include substantial field-based experiences that prepare principals to lead school improvement.	Internships are required; take place in multiple settings; and must be competency-based, diverse, clinically focused and problem-based.	Preparation programs must offer internships. The quality of the internship varies from program to program. Districts oversee the field experiences.
5. There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.	The state has a two-tiered license system; it includes the Entry Level Administrator License and the Standard Level Administrator License.	The state has Non-Practicing Administrator, Entry Level Administrator (five-year non-renewable) and Standard Career Administrator licenses. Certificates can be renewed by participating in designated course work or professional development.
6. There are multiple pathways to school leadership.	There is an Alternate Route Entry Level Administrator license for individuals who have not completed an educational leadership program but possess a master's degree in a related field.	Individuals with master's degrees in other areas can receive grants to be alternatively certified through the community college system.

North Carolina	2002	2010
1. The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all students.	The state standards are based on the ISLLC standards.	The state leadership standards focus principals on leading teacher learning and include performance-based language.
2. The state has developed policies regarding the process and criteria for identifying promising school leaders.	There is not a succession planning policy in place.	There is not a succession planning policy in place.
3. Principal preparation programs focus on the role of the principal in leading learning that results in student academic achievement.	The principal develops organizational, instructional and assessment strategies to enhance teaching and learning.	Preparation programs were redesigned in 2007 and are focused on principals leading learning.
4. Principal preparation programs include substantial field-based experiences that prepare principals to lead school improvement.	Preparation programs are required to incorporate a full-time internship as a capstone experience.	Preparation programs are required to provide internships for aspiring principal candidates. Field experiences take place in diverse settings.
5. There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.	There is a one-tier licensure system. It is the renewable, five-year administrator certificate for all grades.	There is a one-tier licensure system for school administrators. Renewal requirements include evidence.
6. There are multiple pathways to school leadership.	There is no alternate preparation route and no alternative or provisional certificate.	New Leaders for New Schools, an organization that helps prepare educators to be principals in high-needs schools, has a presence in North Carolina. The state also offers a teacher-leader license.

Oklahoma	2002	2010
1. The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all students.	The Competencies for Licensure and Certification of Administrative Personnel are the state's standards. They are based on the ISLLC standards and other national leadership standards.	The ISLLC standards are used.
2. The state has developed policies regarding the process and criteria for identifying promising school leaders.	There is no succession planning policy in place.	There is no succession planning policy in place.
3. Principal preparation programs focus on the role of the principal in leading learning that results in student academic achievement.	The preparation programs are based on the ISLLC standards that include instructional leadership, teaching/learning and school improvement components.	Principal preparation programs have not been redesigned and currently do not focus on principals leading learning.
4. Principal preparation programs include substantial field-based experiences that prepare principals to lead school improvement.	The state requires an internship that offers leadership candidates opportunities to synthesize and apply knowledge in the workplace.	The state requires internships, but districts do not oversee them; internships are not in diverse settings; and candidate performance is not assessed.
5. There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.	There is one licensure tier — the Standard Principal certificate.	There is one licensure tier — the Standard Principal certificate.
6. There are multiple pathways to school leadership.	The state does not require an individual to complete an approved administrator preparation program. Individuals who hold a master's degree in any field, have the required educational experience and pass the Oklahoma Subject Area Test (OSAT) for principals can receive a leadership licensure.	Alternative administrator requirements include supervisor/administrative experience and the declaration of intent to earn a standard certification through an approved alternative administrative preparation program.

South Carolina	2002	2010
1. The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all students.	The state recently adopted the NCATE Guidelines and Educational Leader Constituent Council standards for all administrator preparation programs.	The state's leadership standards focus on principals leading learning and use performance-based language.
2. The state has developed policies regarding the process and criteria for identifying promising school leaders.	There is not a succession planning policy in place.	Admissions to school leadership programs are based on district needs.
3. Principal preparation programs focus on the role of the principal in leading learning that results in student academic achievement.	Standards include a shared vision of learning that reflects excellence.	There is a focus on principals leading learning, but formalized university-district collaborations across the state are not in place.
4. Principal preparation programs include substantial field-based experiences that prepare principals to lead school improvement.	The state does not require internships.	Aspiring leaders must participate in internships, and the field experiences take place in diverse settings.
5. There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.	The state has a one-tier licensure system: the Elementary Principal and Supervisor certificate or the Secondary School Principal and Supervisor certificate.	The state has a two-tiered licensure system. Assistant principals and newly licensed principals are Tier 1. Once administrators have successfully completed the state's principal induction program and have had successful evaluations, they move to Tier II.
6. There are multiple pathways to school leadership.	The state does not offer alternative licensure routes.	There are no alternative licensure routes.

APPENDIX A

Tennessee	2002	2010
1. The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all students.	The Tennessee Educational Administrator Licensure Standards incorporate the ISLLC standards.	The Tennessee Instructional Leadership Standards lead teacher learning and include performance-based language.
2. The state has developed policies regarding the process and criteria for identifying promising school leaders.	There is no succession planning policy in place.	The state has rigorous criteria for admission into leadership preparation programs, succession planning is in place, and program admission is based on district needs.
3. Principal preparation programs focus on the role of the principal in leading learning that results in student academic achievement.	The standards for preparation programs include developing and implementing a vision of learning.	There is university-district collaboration, a focus on instructional leadership and consequences for failure to meet preparation program approval.
4. Principal preparation programs include substantial field-based experiences that prepare principals to lead school improvement.	An internship is required. The standard administrator preparation program includes field experiences as a capstone and assignment of a mentor once on the job. The internship program includes a one-semester internship at a school with a mentor principal as part of the beginning administrator preparation.	Districts define and oversee field experiences, the field experiences are in diverse settings, and candidate performance is assessed rigorously.
5. There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.	The state has a two-tiered licensure system — the Beginning Principal K-12 License and Professional Administrator K-12 License.	There is a four-tiered licensure system in place — aspiring, beginning, professional and advanced. There are financial incentives for the advanced tier, but funding is currently not available.
6. There are multiple pathways to school leadership.	There is no alternative certificate.	There are not multiple pathways in place.

Texas	2002	2010
1. The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all students.	The state has the Standards for Principal Development.	The Principal Certificate Standards are in place. These standards focus on the principal leading learning and use performance-based language.
2. The state has developed policies regarding the process and criteria for identifying promising school leaders.	There is not a succession planning policy in place.	There is not a succession planning policy, but rigorous criteria are in place for admission into leadership preparation programs.
3. Principal preparation programs focus on the role of the principal in leading learning that results in student academic achievement.	Standards of leadership include developing a vision of learning and designing curricula that enhances learning.	Leadership preparation programs focus on instructional leadership, and there are consequences for failure to meet program approval.
4. Principal preparation programs include substantial field-based experiences that prepare principals to lead school improvement.	Preparation programs must provide a structured, field-based practicum in diverse school settings.	Internships are required, but they do not take place in diverse settings, and the candidate performance is not assessed.
5. There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.	The state has a one-tier licensure system, the Standard Principal certificate for all grades.	There is a two-tiered licensure system. The initial level is provisional and lasts for five years; Level II is for experienced principals who have met professional development requirements.
6. There are multiple pathways to school leadership.	The Texas Code allows universities, regional Education Service Centers and public school districts or other entities to create administrator preparation programs based on state guidelines.	Nonprofits and Texas Educational Service Centers are able to train aspiring leaders.

Virginia	2002	2010
1. The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all students.	The state uses the ISLLC standards.	The state's Performance Standards for School Leaders are aligned with the ISLLC standards and reflect principals leading learning. Performance-based language is used.
2. The state has developed policies regarding the process and criteria for identifying promising school leaders.	There is not a succession planning policy in place, but there is policy in place that districts collaborate with universities to identify and prepare leaders.	There is not a succession planning policy in place.
3. Principal preparation programs focus on the role of the principal in leading learning that results in student academic achievement.	The ISLLC standards are in place for preparation programs, and there are instructional leadership, teaching/learning and school improvement components.	Preparation programs focus on instructional leadership; there are consequences for failure to meet program approval.
4. Principal preparation programs include substantial field-based experiences that prepare principals to lead school improvement.	Internships are not required.	Field experiences are required and take place in diverse settings.
5. There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.	There is a one-tier licensure system, the Administration and Supervision pre-K-12 License for Principals, all grades.	There is a two-tiered licensing system in Virginia — Level I for assistant principals and principals and Level II for "Principals of Distinction." Renewal requirements include evidence.
6. There are multiple pathways to school leadership.	There are no alternative licensure routes.	There are alternative certification routes available based on course work.

West Virginia	2002	2010
1. The state has a set of leadership standards that are anchored to what successful principals do to improve student achievement for all students.	West Virginia's Qualities, Proficiencies and Leadership Skills for Principals are aligned to the ISLLC standards.	The state's Standards for Professional Practice for Superintendents, Principals and Teacher-Leaders focus on student learning and are performance-based.
2. The state has developed policies regarding the process and criteria for identifying promising school leaders.	There is not a succession planning policy in the state.	There are rigorous criteria for admissions into leadership programs and collaborative selection of candidates.
3. Principal preparation programs focus on the role of the principal in leading learning that results in student academic achievement.	The standards include the ability to advocate, nurture and sustain a school culture and instructional program that is conducive to student learning.	There is university-district collaboration, a focus on instructional leadership and consequences for failing to meet program approval.
4. Principal preparation programs include substantial field-based experiences that prepare principals to lead school improvement.	The state requires that programs offer field experiences that prepare potential administrators to integrate pedagogy and content knowledge effectively.	Districts oversee field experiences, and candidate performance is assessed.
5. There is a performance-based, tiered system of leader licensure consistent with state leadership standards that results in improved student outcomes.	There is a two-tiered licensure system for school leaders — the Provisional Professional Administrative Certificate and the Permanent Professional Administrative Certificate for principals K-8 or 5-12.	There is an Initial Professional Administrative Certificate and a Permanent Administrative Certificate.
6. There are multiple pathways to school leadership.	There is an alternative route that allows the Center for Professional Development to work with institutions or the state to establish credit for professional development courses to add endorsements to an existing teacher license.	There is a Temporary Administrative Certificate that is good for one year.

Data compiled by SREB, 2010.

Appendix B:

2010 Indicators of Progress

	Alabama	Arkansas	Delaware	Florida	Georgia	Kentucky	Louisiana	Maryland	Mississippi	North Carolina	Oklahoma	South Carolina	Tennessee	Texas	Virginia	West Virginia
1. Is there a set of state leadership standards that are anchored to what successful principals do to improve student achievement for all students?	●	⊙	⊙	+	●	⊙	●	●	●	●	⊙	+	●	+	+	●
2. Are there policies regarding the process and criteria for identifying promising school leaders?	+	○	+	⊙	+	●	+	⊙	⊙	⊙	○	⊙	●	⊙	○	●
3. Do principal preparation programs focus on the role of the principal leading learning that results in student academic success?	●	○	●	●	●	●	●	●	+	⊙	○	⊙	●	+	+	●
4. Do principal preparation programs include substantive field-based experiences that prepare principals to lead school improvement?	●	+	●	+	●	●	+	+	⊙	+	○	+	●	⊙	⊙	+
5. Is there a performance-based, tiered licensure system of leader licensure that is consistent with state leadership standards that results in improved student outcomes?	+	●	+	●	●	+	●	+	+	+	○	+	+	+	+	⊙
6. Are there multiple pathways to school leadership?	⊙	⊙	⊙	+	+	○	●	+	⊙	+	⊙	○	○	+	⊙	⊙
7. Are there specialized services and support available to develop high-quality principals for high-needs schools customized around their unique problems?	⊙	⊙	●	⊙	⊙	⊙	+	+	○	+	○	+	○	⊙	○	○
8. Does the state support working conditions that sustain principal success in improving student learning?	⊙	⊙	+	○	+	○	⊙	○	○	⊙	○	+	⊙	○	+	⊙
9. Is principal performance evaluated on effective practice as defined in state standards and is ongoing professional development and other support provided based on the results the evaluation?	+	○	●	○	+	⊙	○	○	+	●	○	●	+	○	+	+
10. Is there a system for collecting and reporting data to improve leader development and succession planning?	●	⊙	○	●	●	⊙	⊙	○	●	⊙	●	●	⊙	●	⊙	⊙

Policy in this state: ● = Meets all SREB criteria + = Meets most criteria ⊙ = Meets some criteria ○ = Meets no criteria.

Data compiled by SREB, 2010.

Appendix C:

Indicator 1: State Leadership Standards			
	Principals Leading Teacher Learning	Leading and Deploying Teams	Performance-Based Language
Alabama	✓	✓	✓
Arkansas	—	—	✓
Delaware	—	—	✓
Florida	✓	—	✓
Georgia	✓	✓	✓
Kentucky	—	—	✓
Louisiana	✓	✓	✓
Maryland	✓	✓	✓
Mississippi	✓	✓	✓
North Carolina	✓	✓	✓
Oklahoma	—	—	✓
South Carolina	✓	—	✓
Tennessee	✓	✓	✓
Texas	✓	—	✓
Virginia	✓	—	✓
West Virginia	✓	✓	✓

Source: State leadership documents, SREB, 2010

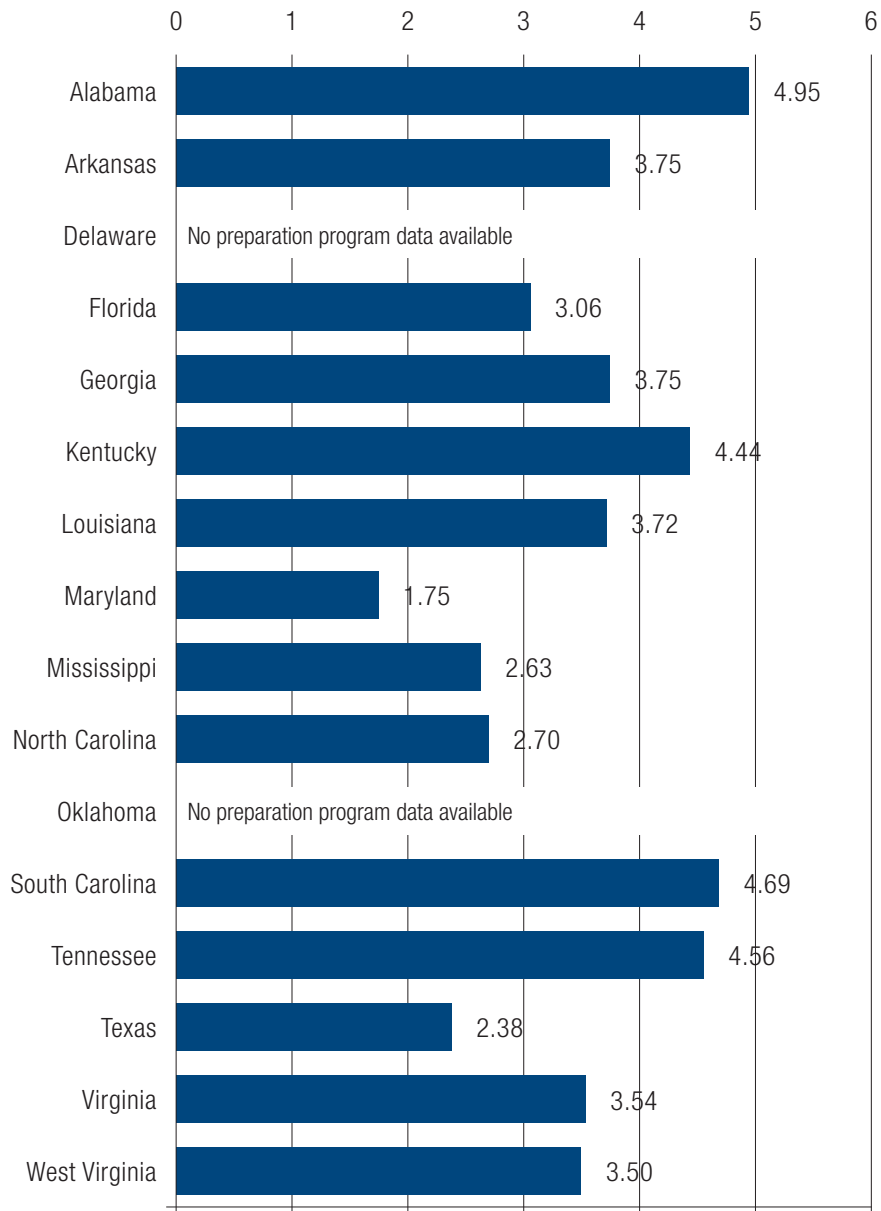
Appendix D:

Indicator 2: Prospective Leader Identification, Admissions and Criteria			
	Rigorous Criteria	Current and Projected Needs	Collaborative Selection
Alabama	✓	—	✓
Arkansas	—	—	—
Delaware	✓	✓	—
Florida	—	—	✓
Georgia	✓	—	✓
Kentucky	✓	✓	✓
Louisiana	✓	—	✓
Maryland	—	✓	—
Mississippi	✓	—	—
North Carolina	—	—	✓
Oklahoma	—	—	—
South Carolina	—	✓	—
Tennessee	✓	✓	✓
Texas	✓	—	—
Virginia	—	—	—
West Virginia	✓	✓	✓

Source: State leadership documents, SREB 2010

Appendix E:

Preparation programs coordinator perceptions: Admission practices are based on district needs.

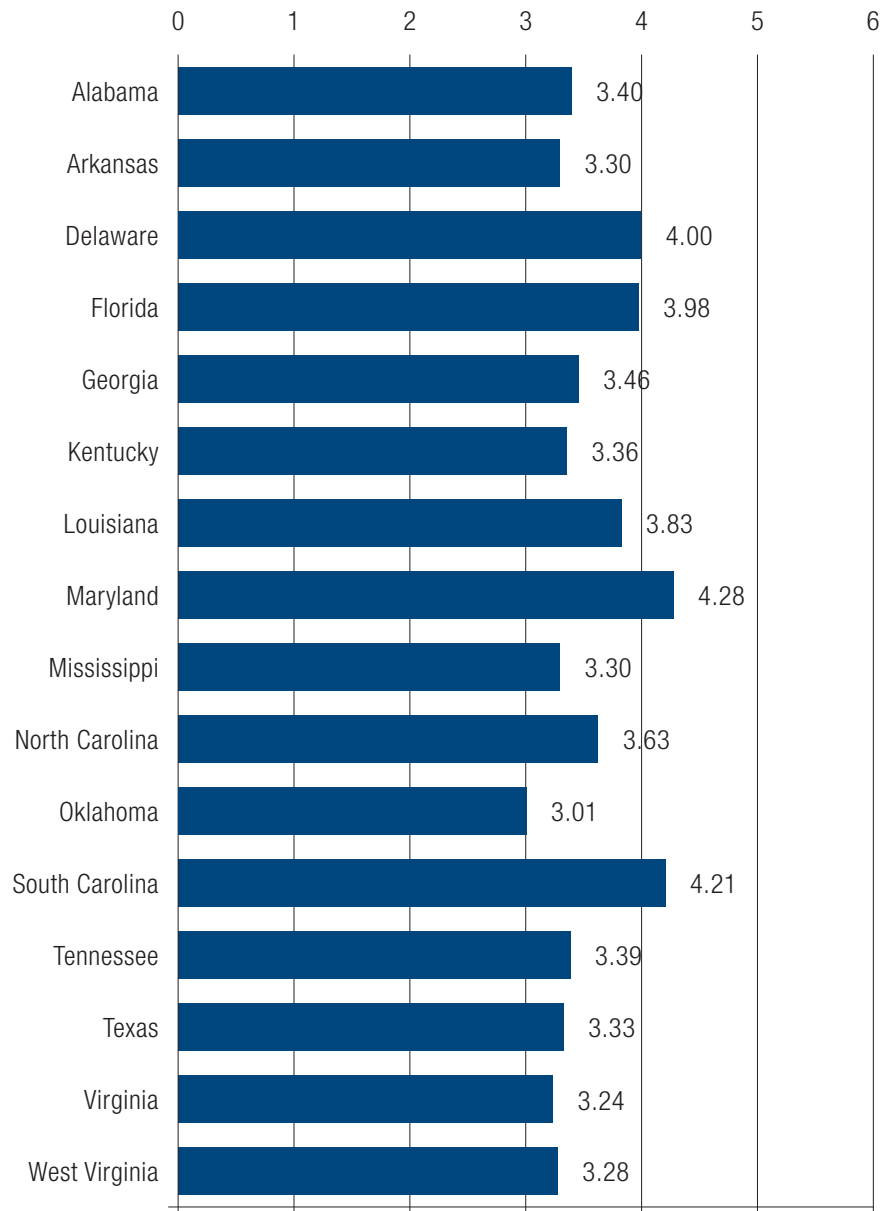


1 = Very strongly disagree 2 = Strongly disagree 3 = Disagree 4 = Agree 5 = Strongly agree 6 = Very strongly agree.

Source: Preparation program coordinator survey, SREB, 2010

Appendix F:

Superintendent perceptions: Districts plan for principal vacancies.



1 = Very strongly disagree 2 = Strongly disagree 3 = Disagree 4 = Agree 5 = Strongly agree 6 = Very strongly agree.

Source: District superintendent survey, SREB, 2010

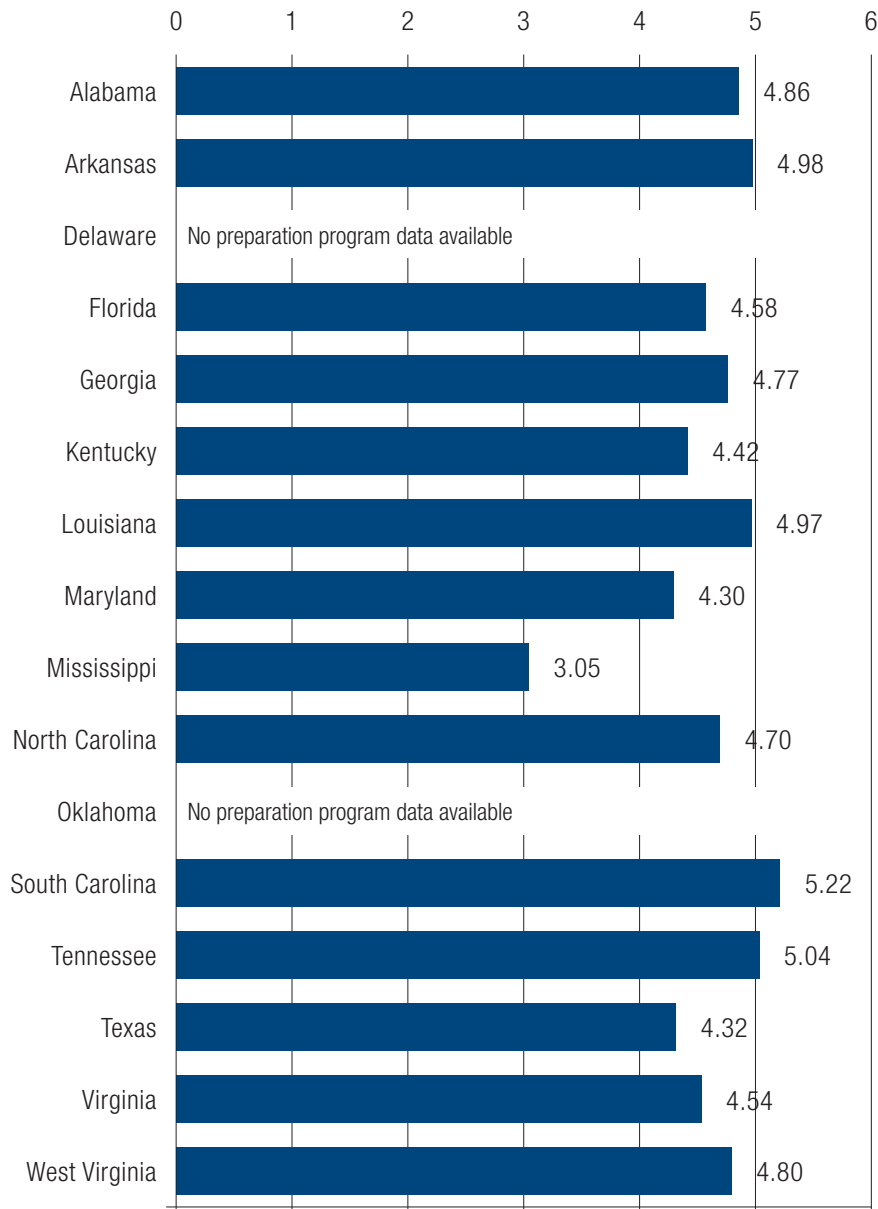
Appendix G:

Indicator 3: University-District Collaboration, Instructional Leadership Focus, Program Consequences			
	University-District Collaboration	Focus on Instructional Leadership	Consequences for Failure to Meet Program Approval
Alabama	✓	✓	✓
Arkansas	—	—	—
Delaware	✓	✓	✓
Florida	✓	✓	✓
Georgia	✓	✓	✓
Kentucky	✓	✓	✓
Louisiana	✓	✓	✓
Maryland	✓	✓	✓
Mississippi	✓	—	✓
North Carolina	—	✓	—
Oklahoma	—	—	—
South Carolina	—	✓	—
Tennessee	✓	✓	✓
Texas	—	✓	✓
Virginia	—	✓	✓
West Virginia	✓	✓	✓

Source: State leadership documents, SREB, 2010

Appendix H:

Preparation program perceptions: Our program content effectively prepares principals to be instructional leaders.

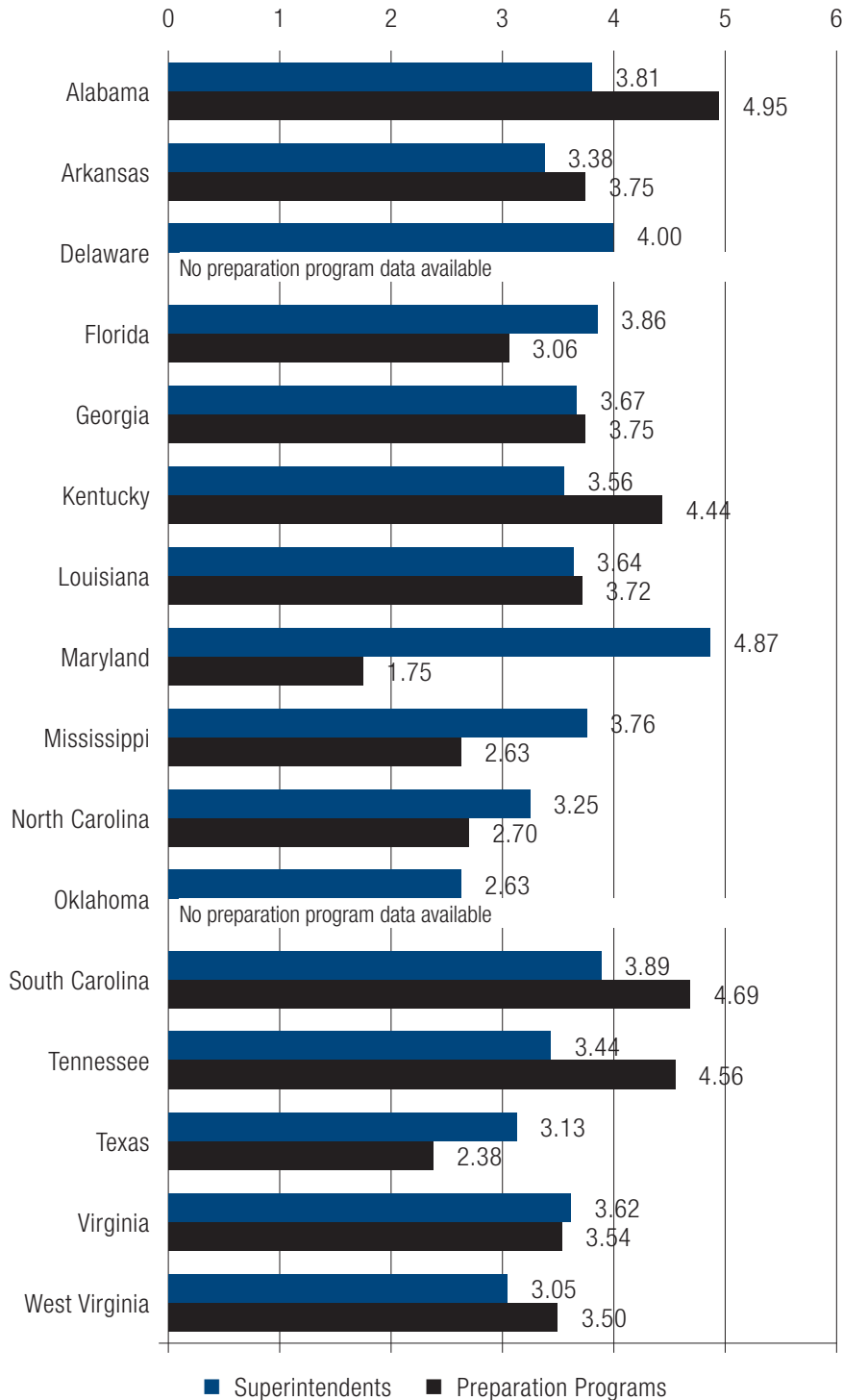


1 = Very strongly disagree 2 = Strongly disagree 3 = Disagree 4 = Agree 5 = Strongly agree 6 = Very strongly agree.

Source: Preparation coordinator program survey, SREB, 2010

Appendix I:

Comparison of preparation program and superintendent perceptions: We have meaningful university-district partnerships to prepare school leaders.

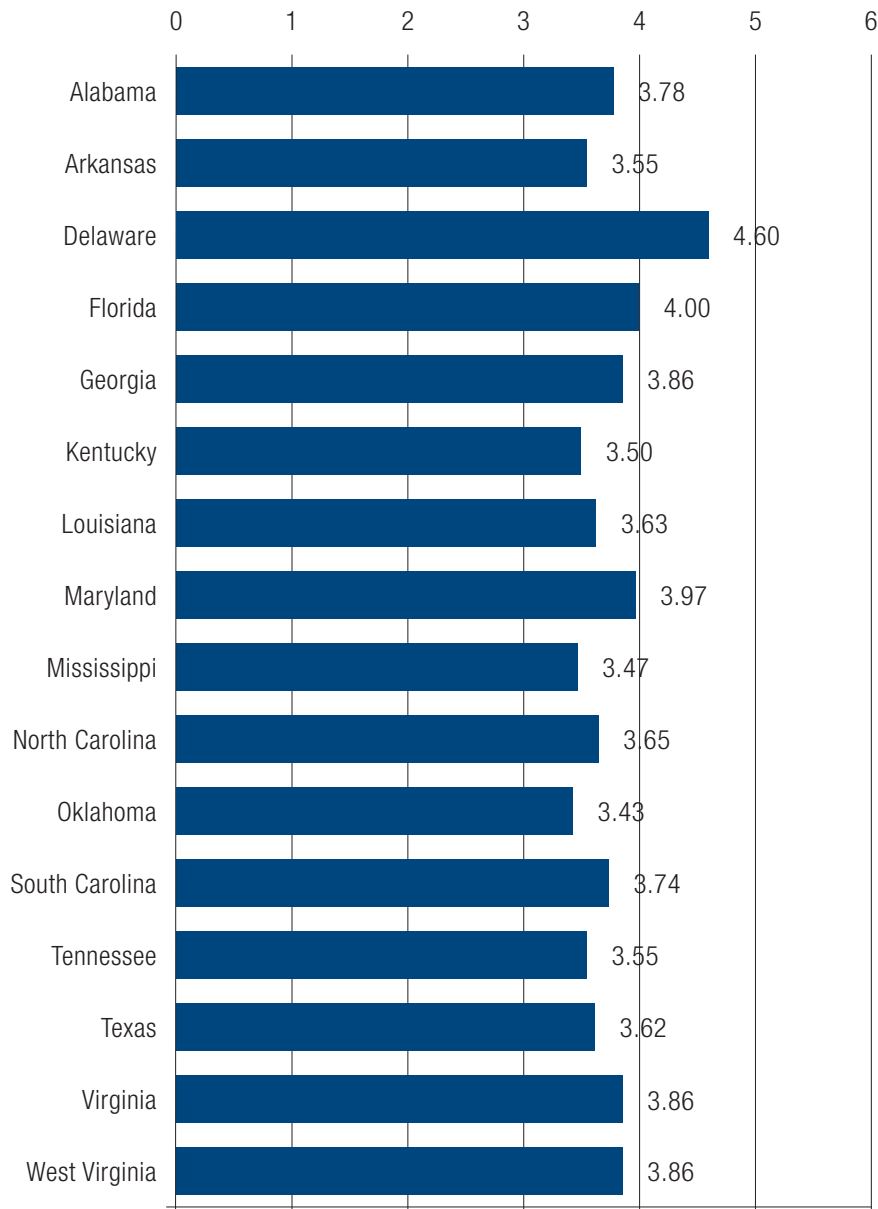


1 = Very strongly disagree 2 = Strongly disagree 3 = Disagree 4 = Agree 5 = Strongly agree 6 = Very strongly agree.

Source: District superintendent survey, SREB, 2010

Appendix J:

Superintendent perceptions: Principals are better prepared now than they were five years ago.



1 = Very strongly disagree 2 = Strongly disagree 3 = Disagree 4 = Agree 5 = Strongly agree 6 = Very strongly agree.

Source: District superintendent survey, SREB, 2010

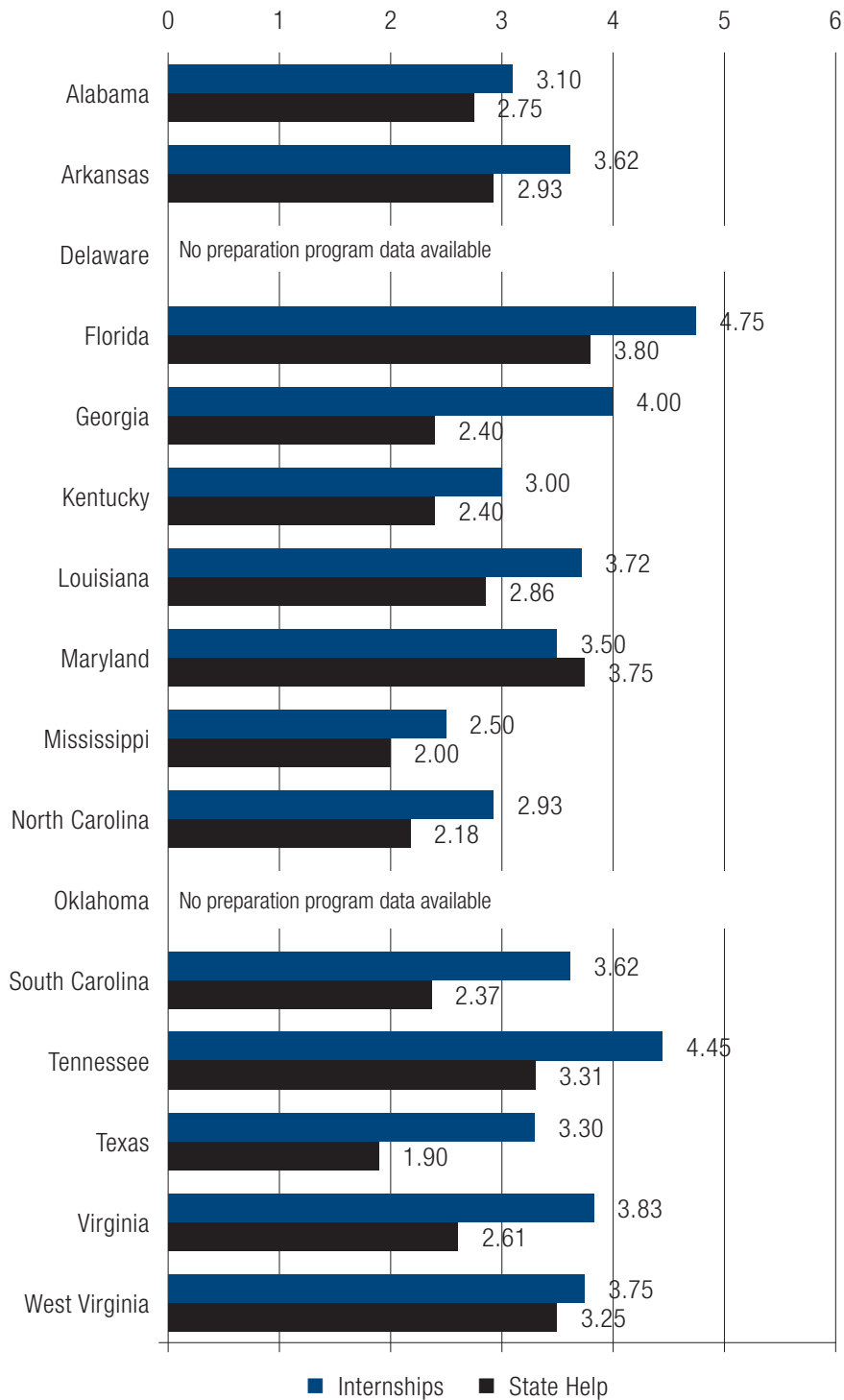
Appendix K:

Indicator 4: Leadership Candidate Field Experiences			
	Districts Define and Oversee Field Experiences	Field Experiences are in Diverse Settings	Candidate Performance is Assessed Rigorously
Alabama	✓	✓	✓
Arkansas	✓	✓	—
Delaware	✓	✓	✓
Florida	✓	—	✓
Georgia	✓	✓	✓
Kentucky	✓	✓	✓
Louisiana	✓	—	✓
Maryland	✓	✓	—
Mississippi	✓	—	—
North Carolina	✓	✓	—
Oklahoma	—	—	—
South Carolina	✓	✓	—
Tennessee	✓	✓	✓
Texas	✓	—	—
Virginia	—	✓	—
West Virginia	✓	—	✓

Source: State leadership documents, SREB, 2010

Appendix L:

Preparation program coordinator perceptions: Quality of field-based experiences and state support for internships

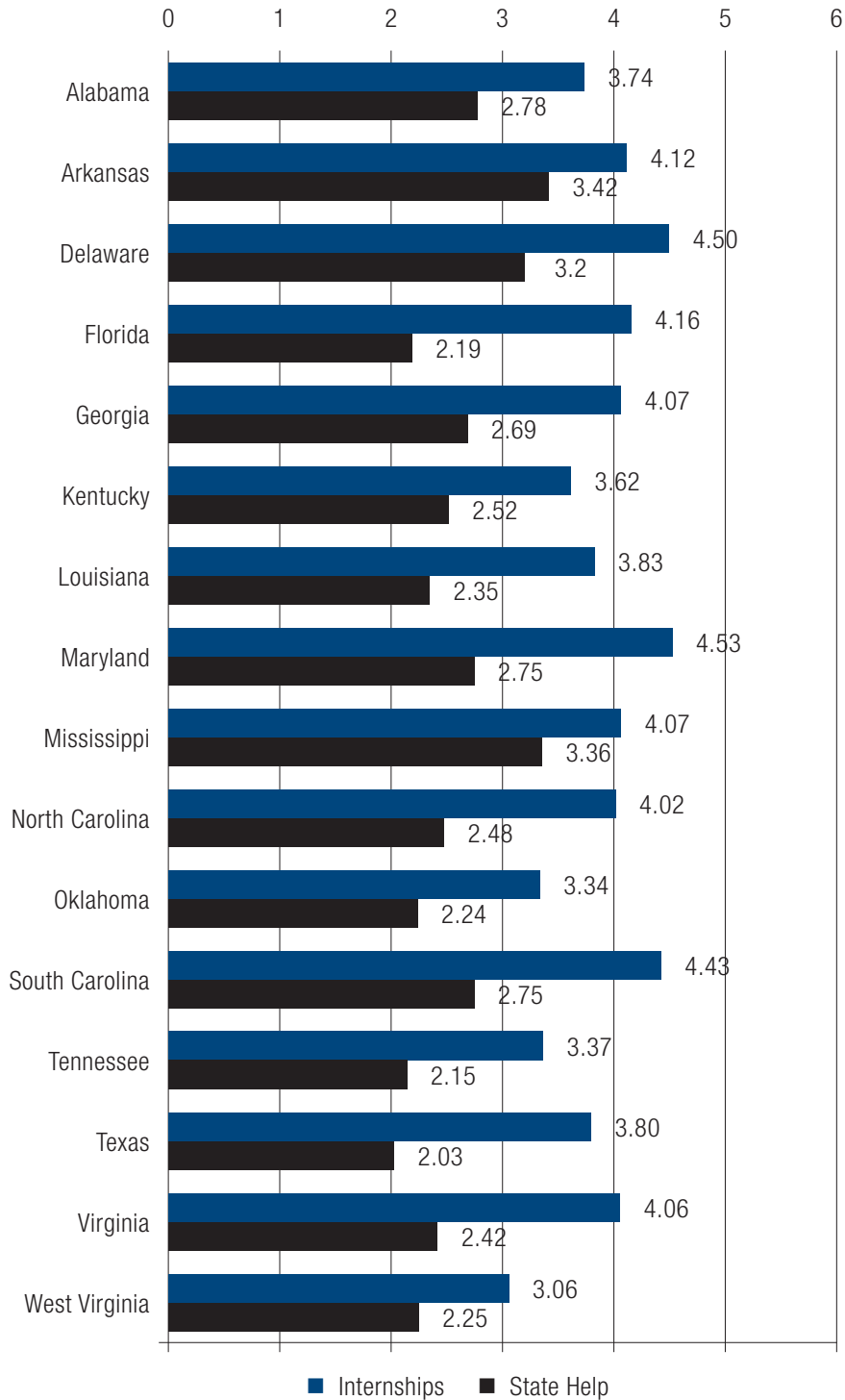


1 = Very strongly disagree 2 = Strongly disagree 3 = Disagree 4 = Agree 5 = Strongly agree 6 = Very strongly agree.

Source: Preparation program coordinator survey, 2010

Appendix M:

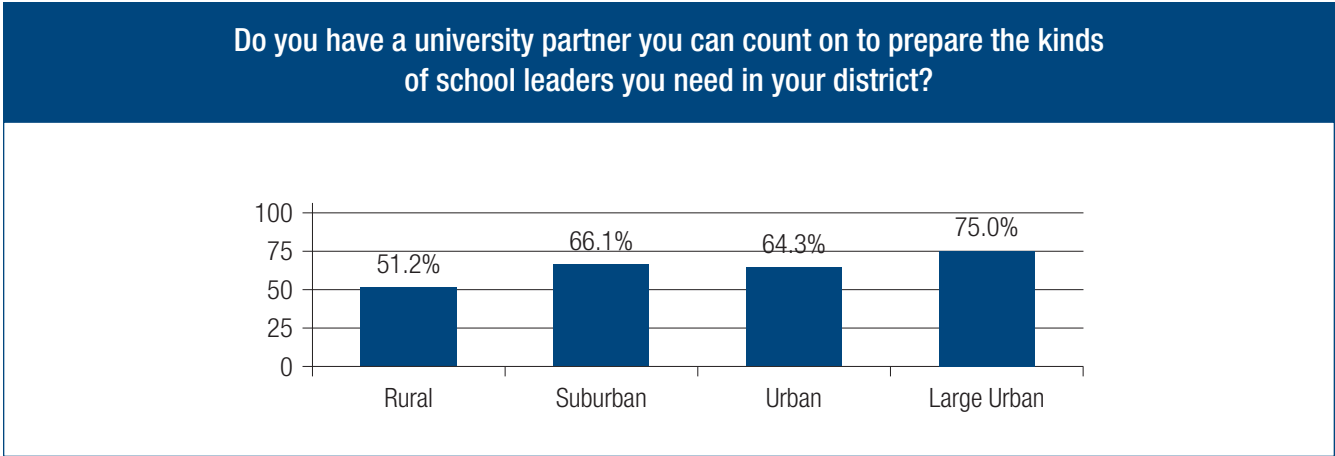
District superintendent perceptions: Quality of field-based experiences and states support for internships



1 = Very strongly disagree 2 = Strongly disagree 3 = Disagree 4 = Agree 5 = Strongly agree 6 = Very strongly agree.

Source: District superintendent survey, SREB, 2010

Appendix N:



Percentages answering yes
Source: District superintendent survey, SREB, 2010

Appendix O:

Indicator 5: School Leadership Licensure			
	Tiered System	Renewal Requirements Include Evidence	Other Leadership Certifications
Alabama	✓	✓	—
Arkansas	✓	✓	✓
Delaware	✓	✓	—
Florida	✓	✓	✓
Georgia	✓	✓	✓
Kentucky	✓	✓	—
Louisiana	✓	✓	✓
Maryland	✓	✓	—
Mississippi	✓	✓	—
North Carolina	—	✓	✓
Oklahoma	—	—	—
South Carolina	✓	✓	—
Tennessee	✓	✓	—
Texas	✓	✓	—
Virginia	✓	✓	—
West Virginia	✓	—	—

Source: State leadership documents, SREB, 2010

Appendix P:

Indicator 6: Leadership Licensure and Preparation Options			
	License Options	Preparation Options	Teacher-Leader Certification
Alabama	✓	—	—
Arkansas	✓	—	—
Delaware	✓	—	—
Florida	✓	✓	—
Georgia	—	✓	✓
Kentucky	—	—	—
Louisiana	✓	✓	✓
Maryland	✓	✓	—
Mississippi	✓	—	—
North Carolina	✓	—	✓
Oklahoma	✓	—	—
South Carolina	—	—	—
Tennessee	—	—	—
Texas	✓	✓	—
Virginia	✓	—	—
West Virginia	✓	—	—

Source: State leadership documents, SREB, 2010

Appendix Q:

Indicator 7: Leadership Development for Struggling Schools			
	Distinct curricula for preparing leaders for struggling schools	Support for central office leaders in struggling schools to do succession planning	Statewide system of support builds leadership capacity in struggling schools
Alabama	—	—	✓
Arkansas	—	—	✓
Delaware	✓	✓	✓
Florida	—	—	✓
Georgia	✓	—	—
Kentucky	—	—	✓
Louisiana	✓	—	✓
Maryland	✓	✓	—
Mississippi	—	—	—
North Carolina	✓	—	✓
Oklahoma	—	—	—
South Carolina	✓	—	✓
Tennessee	—	—	—
Texas	—	—	✓
Virginia	—	—	—
West Virginia	—	—	—

Source: State leadership documents, SREB, 2010

Appendix R:

Indicator 8: Educator Working Conditions			
	School Board Training	Training for Teams of District Leaders	State Vision of Principal Autonomy and Accountability
Alabama	—	—	✓
Arkansas	✓	—	—
Delaware	—	✓	✓
Florida	—	—	—
Georgia	—	✓	✓
Kentucky	—	—	—
Louisiana	—	—	✓
Maryland	—	—	—
Mississippi	—	—	—
North Carolina	—	—	✓
Oklahoma	—	—	—
South Carolina	—	✓	✓
Tennessee	—	—	✓
Texas	—	—	—
Virginia	✓	—	✓
West Virginia	—	—	✓

Source: State leadership documents, SREB, 2010

Appendix S:

Indicator 9: Principal Performance Evaluation			
	Single State-Endorsed Evaluation Instrument	Evaluation is Aligned to Leadership Standards	Training for Principal Performance Evaluation
Alabama	—	✓	✓
Arkansas	—	—	—
Delaware	✓	✓	✓
Florida	—	—	—
Georgia	✓	—	✓
Kentucky	—	—	✓
Louisiana	—	—	—
Maryland	—	—	—
Mississippi	✓	✓	—
North Carolina	✓	✓	✓
Oklahoma	—	—	—
South Carolina	✓	✓	✓
Tennessee	✓	✓	—
Texas	—	—	—
Virginia	✓	✓	—
West Virginia	✓	—	✓

Source: State leadership documents, SREB, 2010

Appendix T:

Does your state system assign educators in these roles a unique identifier?

Preparation Program Attributes				
State	Teacher Leader	Department Head	Assistant Principal	Principal
Alabama	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
Arkansas	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
Delaware	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
Florida	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
Georgia	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
Kentucky	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Louisiana	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
Maryland	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
Mississippi	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
North Carolina	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
Oklahoma	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
South Carolina	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
Tennessee	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
Texas	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
Virginia	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
West Virginia	No Response	No Response	<input checked="" type="radio"/>	<input checked="" type="radio"/>
Total Yes	8	7	15	15

● = Yes ○ = No.

Source: State data system director interviews, SREB, 2010

Appendix U:

Does your state system track preparation programs and their attributes?

Preparation Program Attributes							
State	Unique Identifier	Type	% Virtual	City	Approval Status	Program Review Dates	# Full-Time Faculty
Alabama	●	●	○	○	●	●	○
Arkansas	○	●	○	●	●	○	○
Delaware	○	○	○	●	○	○	○
Florida	●	●	●	●	●	○	●
Georgia	●	○	○	○	●	●	●
Kentucky	●	●	○	○	○	○	○
Louisiana	○	○	○	○	○	○	○
Maryland	●	○	○	○	○	○	○
Mississippi	●	●	○	●	●	○	○
North Carolina	○	○	○	○	○	○	○
Oklahoma	●	●	○	○	●	●	●
South Carolina	●	○	○	●	●	●	●
Tennessee	○	○	○	○	○	○	○
Texas	●	●	○	●	●	○	○
Virginia	○	●	○	○	●	○	○
West Virginia	●	○	○	○	●	●	○
Total Yes	10	8	1	6	10	5	4

● = Yes ○ = No.

Source: State data system director interviews, SREB, 2010

Endnotes

- 1 Leithwood, Kenneth and Carolyn Riehl. *What We Know about Successful School Leadership*. Laboratory for Student Success, 2003.
- 2 Murphy, Joseph and Coby Meyers. *Turning Around Failing Schools*. Corwin Press, 2008.
- 3 Darling-Hammond, Linda, Michelle LaPointe, Debra Meyerson, and Margaret Orr. *Preparing School Leaders for a Changing World: Lessons from Exemplary Leadership Development Programs*. Stanford University, Stanford Educational Leadership Institute, 2007.
Augustine, Catherine, Gabriella Gonzalez, Gina Ikemoto, Jennifer Russell, Gail Zellman, Louay Constant, Jane Armstrong, and Jacob Dembosky. *Improving School Leadership-The Promise of Cohesive Leadership Systems*. RAND Education, 2009.
- 4 Murphy, Joseph, Martha McCarthy, and Hunter Moorman. "A Framework for Rebuilding Initial Certification and Preparation Programs in Educational Leadership: Lessons from Whole Reform Initiatives." *Teachers College Record*, October 2008.
Odden, Allan and James Kelly. *Strategic Management of Human Capital in Public Education*. Consortium for Policy Research in Education, 2008.
- 5 Togneri, Wendy and Stephan Anderson. *Beyond Island of Excellence: What Districts Can Do to Improve Instruction and Achievement in All Schools*. Learning First Alliance, 2003.
Bottoms, Gene and Jon Schmidt-Davis. *The Three Essentials: Improving Schools Requires District Vision, District and State Support, and Principal Leadership*. SREB, 2010.
Bottoms, Gene, and Betty Fry. *The District Leadership Challenge: Empowering Principals to Improve Teaching and Learning*. SREB, 2009.
Odden, Allan and James Kelly. *Strategic Management of Human Capital in Public Education*. Consortium for Policy Research in Education, 2008.
Judy Wurtzel and Rachel Curtis. (Editors) *Teaching Talent: A Visionary Framework for Human Capital in Education*. Harvard Education Press, 2010.
Honig, Meredith, Michael Copland, Lydia Rainey, Juli Ann Lorton, and Morena Newton. *Central Office Transformation for District-wide Teaching and Learning Improvement*. Center for the Study of Teaching and Policy at the University of Washington, 2010.
- 6 Young, Michelle and Andrea Rorrer. *Developing Evaluative Evidence: A Formative and Summative Evaluation Planner for Educational Leadership Preparation Programs*. Utah Education Policy Center, 2010.
Fuller, Ed and Michelle Young. *Tenure and Retention of Newly Hired Principals in Texas*. University Council for Educational Administration, 2009.
- 7 Augustine, Catherine, Gabriella Gonzalez, Gina Ikemoto, Jennifer Russell, Gail Zellman, Louay Constant, Jane Armstrong and Jacob Dembosky. *Improving School Leadership-The Promise of Cohesive Leadership Systems*. RAND Education, 2009.
- 8 Orr, Margaret, Cheryl King and Michelle LaPointe. *Districts Developing Leaders*. The Wallace Foundation, 2010.
- 9 U.S. Department of Education. National Center for Education Statistics, High School Class of 2008.
- 10 U.S. Department of Education. National Center for Education Statistics, College Class of 2008.
- 11 U.S. Bureau of Labor Statistics, July 2010.
- 12 U.S. Department of Education. National Assessment of Adult Literacy, NCES, Conducted in 2003, Reported in 2009.
- 13 Education at a Glance 2010: OECD Indicators. Organization for Economic Co-operation and Development, 2010.
- 14 Suitts, Steve, Vanessa Elkan, and Dorian Woolaston. *A New Diverse Majority: Students of Color in the South's Public Schools*. Southern Education Foundation, 2010.
- 15 *Raising Achievement and Closing Gaps Between Groups: Lessons from Districts on the Reform Frontier*. The Education Trust Power Point, 2011.
- 16 Ibid.

- 17 Ibid.
- 18 Ibid.
- 19 Bottoms, Gene, and Betty Fry. *The District Leadership Challenge: Empowering Principals to Improve Teaching and Learning*. SREB, 2009.
- 20 Bottoms, Gene and Jon Schmidt-Davis. *The Three Essentials: Improving Schools Requires District Vision, District and State Support, and Principal Leadership*. SREB, 2010.
- 21 Leithwood, Kenneth. *How Leadership Influences Learning*. Universities of Minnesota and Toronto, 2004.
- 22 Honig, Meredith, Michael Copland, Lydia Rainey, Juli Ann Lorton, and Morena Newton. *Central Office Transformation for District-wide Teaching and Learning Improvement*. Center for the Study of Teaching and Policy at the University of Washington, 2010.
- 23 *Educational Leadership Standards ISLLC 2008*. Chief States School Officer, 2008.
- 24 Darling-Hammond et al., op cit.
- 25 Printy, Susan and Helen Marks. "Shared Leadership for Teacher and Student Learning." *Theory into Practice*, 2006.
- 26 Bottoms, Gene and Jon Schmidt-Davis. *The Three Essentials: Improving Schools Requires District Vision, District and State Support, and Principal Leadership*. SREB, 2010.
- 27 Rothman, Robert and Linda Darling-Hammond, *Teacher and School Leader Effectiveness: Lessons Learned from Higher-Performing Systems*, 2011.
- 28 Murphy, Joseph, *The Landscape of Leadership Preparation*. Corwin, 1992.
- 29 Darling-Hammond et al., op cit.
- 30 Tozer, Steve. *Introductory Remarks: New Principal Performance on the Job: Evidence from the Field*. Quality Measures Conference, 2009.
- 31 Fuller, Ed and Michelle, Young. *Tenure and Retention of Newly Hired Principals in Texas*. University Council for Educational Administration, 2009.
- 32 Darling-Hammond et al., op cit.
- 33 Murphy, Joseph. *The Landscape of Leadership Preparation: Reframing the Education of School Administrators*. Corwin Press, 1992.
- 34 Darling-Hammond et al., op cit.
- 35 Michael Knapp, et al., *Leading for Learning: Reflective Tools for School and District Leaders*. Center for the Study of Teaching and Policy, University of Washington, 2003.
- 36 Bottoms and Schmidt-Davis op cit.
- 37 Brooks, Jeffrey, Tim Havard, Karen Tatum, and Lynn Patrick. "It Takes More Than a Village: Inviting Complexity in Educational Leadership Preparation Reform." *Journal of Research on Leadership Education*, 2010.
- 38 Ibid.
- 39 *Research Findings to Support Effective Educational Policymaking: Evidence and Action Steps for State, District and Local Policy-makers*. The Wallace Foundation, 2009.
- 40 Usdan, Michael, Barbara McCloud, and Mary Podmostko. *Leadership for Student Learning: Reinventing the Principalship*. Institute for Educational Leadership, 2000.
- 41 *Tennessee Leadership Standards*. Tennessee State Board of Education, 2008.
- 42 West Virginia Collaborative for Leadership and Development. *Student-Centered Learning-Focused Standards for Superintendents, Principals and Teacher Leaders*. State of West Virginia, 2009.
- 43 Darling-Hammond et al., op cit.
- 44 Schmidt-Davis, Jon and Gene Bottoms. *Turning Today's Great Teachers into Tomorrow's Principals: Succession Planning for the School Leaders We Need*. SREB, unpublished.
- 45 Bottoms and Schmidt-Davis op cit.
- 46 Young, Michelle. "From the Director: Why not Use Research to Inform Leadership Certification and Program Approval?" UCEA Review, Vol. 51, No. 2, 2010.

- 47 16 KAR 3:050. *Professional Certificate for Instructional Leadership-School Principal*.
- 48 Darling-Hammond et al., op cit.
- 49 Gray, Cheryl, Betty Fry and Gene Bottoms. *Good Principals Aren't Born — They're Mentored: Are We Investing Enough to Get the School Leaders We Need?* SREB, 2005.
- 50 Tichy, Noel and Nancy Cardwell. *The Cycle of Leadership: How Great Leaders Teach Their Companies to Win*. Harper Paperbacks, 2004.
- 51 Darling-Hammond et al., op cit.
- 52 Ibid.
- 53 Gray et al. op cit.
- 54 Orr et al., op cit.
- 55 Augustine, Catherine and Jennifer Russell. "State of the States: The Search for Ways to Improve Instructional Leadership Zeroes in on Policy Areas." *Journal of the National Staff Development Council*, Vol. 31, No. 2, 2010.
- 56 Darling-Hammond et al., op cit.
- 57 Grummell, Bernie, Dymrna Devine and Kathleen Lynch. "Appointing Senior Managers in Education." *Educational Management Administration Leadership*, Vol. 37, No. 3, 2009.
- Blackmore, Jill, Pat Thompson and Karin Barty. "Homosociability, the Search for Security and the Production of Normalized Principal Identities." *Educational Management Administration Leadership*, Vol. 34, No. 3, 2006.
- Dillon, William. *Public School Principal Selection by Indiana Public School Superintendents*. Dissertation. Ball State University, 1995.
- 58 Bottoms and Schmidt-Davis op cit.
- 59 *New Leaders for New Schools*. Pamphlet. 2009.
- 60 Condon, Christopher and Matthew Clifford. *Measuring Principal Performance — How Rigorous Are Commonly Used Principal Performance Assessment Instruments?* Learning Point, 2012.
- 61 *Using Evaluation Systems to Leverage Change in Principal Practice*. National Association of School Boards of Education, 2010.
- Porter, A., J. Murphy, E. Goldring, S. Elliott and M. Polikoff, *Vanderbilt Assessment of Leadership in Action: Training Manual*. Learning Sciences Institute, Vanderbilt University, 2008.
- 62 Bottoms and Schmidt-Davis op cit.
- 63 Porter, A., J. Murphy, E. Goldring, S. Elliott and M. Polikoff. *Vanderbilt Assessment of Leadership in Action: Training Manual*. Learning Sciences Institute, Vanderbilt University, 2008.
- 64 Condon. op cit.
- 65 LeFloch, Kerstin Carlson, Andrea Boyle, and Susan Bowles Therriault. *State Systems of Support Under No Child Left Behind*. American Institutes for Research, 2008.
- 66 Clotfelter, Charles, Helen Ladd, Jacob Vigdor and Justin Wheeler. *High-Poverty Schools and the Distribution of Teachers and Principals*. CALDER working paper, 2007.
- 67 Branch, G., E. Hanushek, and S. Rivkin. *Principal Turnover and Effectiveness*. Paper presented at meetings of the American Economics Association, 2009.
- 68 Bottoms, Gene, and Jon Schmidt-Davis. *The Three Essentials: Improving Schools Requires District Vision, District and State Support and Principal Leadership*. SREB, 2010.
- 69 Schmidt-Davis, Jon and Gene Bottoms. *Turnaround High School Principals: Recruit, Prepare and Empower Leaders of Change*. SREB, 2012.
- 70 Bottoms and Schmidt-Davis op.cit.
- 71 Ibid.
- 72 Balfanz, Robert, John Bridgeland, Mary Bruce and Joanna Hornig-Fox. *Building a Grad Nation*. Civic Enterprises, Everyone Graduates at Johns Hopkins University, America's Promise Alliance, Alliance for Excellent Education, 2012.

