

Using State-Level Policy Levers to Promote Principal Quality

Appendix B—State Profiles Overview

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Preface

States play a role in fostering an environment that develops and supports effective school leaders. Prior research has highlighted opportunities to enhance state involvement in supporting school leadership through a range of policy levers, especially by promoting improvements to principal preparation (Manna, 2015; Davis, 2016). The Wallace Foundation launched the University Principal Preparation Initiative (UPPI) in July 2016. The four-year, \$48.5 million initiative supports seven universities, their district and state partners, and mentor programs to redesign the universities' principal preparation programs according to evidence-based practices. State partners to the seven universities committed to reviewing their policies that affect university-based principal preparation and work with stakeholders to consider policy change.

RAND Corporation researchers are analyzing the implementation of UPPI and changes to the design and delivery of preparation programs. RAND's first report on UPPI (Wang et al., 2018) documented findings from the first year of UPPI implementation. The final report for the project, on UPPI implementation and program change, is scheduled for publication in 2022.

This document is an appendix to a report (available at www.rand.org/t/RRA413-1) that examines the role of state policy efforts to improve the principalship. In that report, we focus on cross-site themes distilled from an in-depth look at how each state partner uses state policy levers described by Manna (2015). This appendix contains state-specific profiles about the use of policy levers for each of the seven UPPI states. Leaders from each of the seven states provided fact checks and, in some cases, corrections, where appropriate.

This research was undertaken by RAND Education and Labor, a division within the RAND Corporation that conducts research on early childhood through postsecondary education programs, workforce development, and programs and policies affecting workers, entrepreneurship, and financial literacy and decisionmaking. The study was funded by The Wallace Foundation, which seeks to foster improvements in learning and enrichment for young people and the vitality of the arts for everyone.

More information about RAND can be found at www.rand.org. Questions about this report should be directed to sgates@rand.org and questions about RAND Education and Labor should be directed to educationandlabor@rand.org.

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Appendix B1. California State Profile

California is one of four University Principal Preparation Initiative (UPPI) states that have a two-tiered licensure structure; the first tier leads to a preliminary administrative services credential, and the second tier leads to a clear credential. Like Florida, California has two tiers of principal preparation, although California requires candidates to complete a state-approved program in both tiers, while completion of the second tier in Florida is not mandated by the state. Also similar to Florida, programs located within institutions of higher education are more prevalent in the first tier, and district programs are more prevalent in the second tier. The state's licensure structure requires candidates to receive on-the-job training as they enter an administrative position.

California is one of three UPPI states with an independent or semi-independent professional standards board, the California Commission on Teacher Credentialing (CTC). Although none of the stakeholders we interviewed flagged school leadership as a high priority within the state, the CTC has nevertheless enacted a number of policy changes aimed at improving school leader preparation within the state since about 2014. One salient example of such policy change lies in the implementation of the California Administrator Performance Assessment (CalAPA), which became consequential in the 2019–2020 school year.

Among the UPPI states, California has, by far, the greatest number of districts and also the greatest number of students enrolled. However, in terms of the average size of each district, California was ranked roughly in the middle in comparison to other UPPI states, as a relatively high proportion of districts in the state are small, serving fewer than 10,000 students. These numbers underlie the state's size and diversity and illustrate one of the challenges expressed by stakeholders: that it is difficult to craft state policy that addresses a wide range of diverse settings.

State Context

Key Players and Roles

Table B1.1. California Key Players and Roles

| Agency | Organization Name | Role |
|--------------------------------|---|--|
| Governor | N/A | <ul style="list-style-type: none"> The governor approves the budget, which describes how funds will be allocated toward education. |
| Legislature | N/A | <ul style="list-style-type: none"> Besides passing laws, the legislature gives the CTC authority to create policies and regulations. |
| State superintendent | N/A | <ul style="list-style-type: none"> The state superintendent, who is elected, sponsors legislation to be passed by the legislature. |
| State department of education | <ul style="list-style-type: none"> California Department of Education (CDE) California State Board of Education (SBE) | <ul style="list-style-type: none"> The CDE implements policy at the state level, except on education topics within the purview of the CTC. The CDE can be called on to help others craft policy. The SBE is the policymaking body of the CDE and is composed of 11 governor-appointed members. |
| Professional standards board | <ul style="list-style-type: none"> California Commission on Teacher Credentialing (CTC) | <ul style="list-style-type: none"> The CTC is responsible for setting the requirements for the preparation and licensure of credentialed school professionals and for the preparation programs that lead to a credential. The CTC is responsible for licensing aspiring administrators and approving programs based on the criteria established. The CTC may initiate policy change working together with the legislature and the governor to develop solutions and secure funding. |
| Cooperatives or county offices | <ul style="list-style-type: none"> California Collaborative for Educational Excellence (CCEE) County Offices of Education (CoEs) | <ul style="list-style-type: none"> The CCEE is a statewide agency that works with other statewide agencies, CoEs, and other stakeholders. It will be working with the CDE to establish the 21st Century California School Leadership Academy. The 58 county offices assist the CDE in implementing policy by providing a wide range of services to California's school districts. These include principal professional development.^a |
| Nonstate entities | <p>Professional associations</p> <ul style="list-style-type: none"> California Association of Professors of Education Administration (CAPEA) Association of California School Administrators California School Boards Association (CSBA) <p>Higher education systems and organizations</p> <ul style="list-style-type: none"> University and college systems (e.g., California State University [CSU] system) Research centers and institutes <p>Unions</p> <ul style="list-style-type: none"> California Federation of Teachers California Teachers Association | <p>These nonstate entities</p> <ul style="list-style-type: none"> influence policymaking by providing input to state agencies and advocating for change provide professional development to school leaders support policy implementation. |

^a California Department of Education, 2020b.

The Role of Nonstate Entities in California

In our conversations with stakeholders, certain nonstate entities were seen as especially influential in the crafting of state policy. In particular, the CTC called out certain organizations as being part of the “Big 8,” a group of institutions that regularly engage with the CTC on policy issues. These organizations included professional associations, such as the California School Boards Association (CSBA) and the Association of California School Administrators (ACSA); unions, such as the California Teachers Association and the California Federation of Teachers; and institutions of higher education, such as California community colleges, the UC system, the CSU system, and private colleges and universities. This stakeholder engagement was also seen through the creation of the CalAPA. Members from these organizations, and others, such as county offices of education, local education agencies, and the California Association of Professors of Education Administration, contributed to the design of the CalAPA (CTC, undated, 2019b).

Nonstate entities also provide professional development to principals. ACSA provides professional learning, including a principal academy and other conferences, trainings, and workshops (Association of California School Administrators, 2020), and CAPEA holds two conferences annually providing professional development to its members (California Association of Professors of Education Administration, 2019).

Agenda Status of School Leadership

School leadership was not explicitly named as a state priority by any interviewee participating in our stakeholder interviews. Instead, the most commonly named priorities were building the capacity of the state education system to support equitable student outcomes, school funding, and managing the teacher shortage.

However, stakeholders agreed that school leadership is essential to making progress on statewide priorities, especially for the following reasons:

- The Local Control Funding Formula, whose implementation began in 2013–2014, was designed to shift discretion and authority to those closer to students. This new system confers greater responsibility to school site administrators as they now have more decisionmaking power around school funding. In addition, decisions on resource allocation include a community engagement element, and principals need to be able to translate these new mandated processes into the development and implementation of plans at the school-site level.
- The state has also adopted new academic standards, which come with updated curriculum frameworks, instructional shifts for educators, and a new assessment system. These shifts similarly require school leaders to translate these policy changes into a tangible plan for the school community.

Interviewees noted the following barriers to raising the agenda status of school leadership:

- Administrator unions and professional associations do not necessarily wield the same political power that teacher unions do, so they perhaps are less likely to be an impetus for change or be powerful in the political process.
- Although there is a need for school leadership and an interest in school leadership issues, there may not be as much “passion” around the topic, especially if other needs are perceived as more pressing and acute for local actors. In particular, teacher issues, which are closer to the student and classroom level, are regarded as more pressing.
- Some may see school administration as being more removed from the classroom, and therefore more part of a bureaucracy or overhead that does not directly benefit students like teachers do.
- An implicit barrier to state-level action might be the size and diversity of California; effective, state-level initiatives would need to address an array of different contexts.

However, there have been a few indicators that the narrative around the role of school leadership is beginning to shift. Investments in school leadership have traditionally been seen as a lower priority than investments in classroom teachers, as administration is seen more as bureaucracy, overhead, and more removed from students in the classroom. But, in discussions around the approval of the Every Student Succeeds Act (ESSA) 3-percent set-aside, interviewees noted that there was extensive stakeholder engagement and consensus around the need for more state-level support for school leaders, even though that entailed less money flowing to districts. Overall, stakeholders felt that the state might be able to use the money for good to provide more state-level support for administrators. One interviewee noted that many responsibilities around continuous improvement in the state have been shifted from the CDE at the state level to the CoEs at the county level, which may be considered more effective because they have local relationships with their school districts. Another example lies in the additional funding provided in the governor’s budget for school leader professional development.

As for entities pushing to elevate the agenda status of school leadership, the CTC has been working on various regulatory reforms around school leadership, such as the introduction of the performance assessment, the overhaul of the program accreditation process, and the various updates of the leadership standards and expectations. The CTC, through the broad authority given to it by the legislature, is able to create policies and agendas relating to the preparation and licensure of administrators, responding to either concerns voiced by the legislature or needs identified in the field.

School Leadership in the California Every Student Succeeds Act Plan

California’s state ESSA plan was approved in 2018 and mentions school leadership in Title II, Part A. ESSA Title II, Part A, is intended to promote “student academic achievement by improving teacher and principal quality, and increasing the number of highly qualified teachers in the classroom and highly qualified principals and assistant principals in schools” (U.S. Department of Education, undated). In 2018, California was expected to receive about \$230,422,543 in Title II, Part A, funds, and the funds are largely subgranted to local education

agencies (LEAs). ESSA then provides California with the option to reserve 3 percent of those Title II, Part A, LEA subgrant funds to support the growth and development of principals and school leaders.

The SBE approved California's ESSA state plan, which stated that California would indeed leverage this 3-percent optional reservation in Part A funding. It constitutes \$6.5 million per year, which California will use toward supporting principals and other school leaders consistent with ESSA, through, for example, statewide professional development activities for administrators (California School Boards Association, 2018).

Policy Levers Summary

The sections that follow provide an overview of how California is using various policy levers to promote high-quality school leadership within the state. The policy levers are the use of standards, recruitment of aspiring leaders, principal licensure, the program approval and oversight process, evaluation, professional development, and leader tracking. After analyzing 15 interviews with responses about the use of policy levers in California, we found that a majority of stakeholders, defined as half or more of our interviewees, agreed that state efforts related to using leadership standards, approving and overseeing principal preparation programs, and licensing principals were effective.

Standards

California has a set of standards called the California Professional Standards for Education Leaders (CPSEL). They were originally based on the national Interstate School Leader Licensure Consortium (ISLLC) Standards for School Leaders but were adapted to match the context in California.

The CPSEL encompass six broad standards (CTC, 2014):

1. Development and Implementation of a Shared Vision
2. Instructional Leadership
3. Management and Learning Environment
4. Family and Community Engagement
5. Ethics and Integrity
6. External Context and Policy.

The CPSEL also form the basis of the California Administrator Performance Expectations (CAPE) and the California Administrator Content Expectations (CACE), which were introduced by the CTC in 2013. The CACE describe the content new administrators should know, while the CAPE describe the skills and abilities new administrators should have. The CACE and CAPE are embedded in coursework, with the CAPE then assessed in the CalAPA. These sets of performance and content expectations were born out of the recognition that there was a need to

differentiate between (1) skills and knowledge that administrators generally should have and (2) those that beginning administrators should acquire and demonstrate.

Development of the State Leadership Standards

The CPSEL were drafted with the input of various stakeholders, including representatives from the California School Leadership Academy at WestEd, ACSA, the CTC, the CDE, California public and private universities, and county offices of education. They were drafted and approved in 2001, added to licensure programs in 2004, and adopted as the foundation for the state's administrator induction program in 2011. In 2013, the CTC and the CDE convened a panel to update the CPSEL. This CPSEL Update Panel reviewed "the original CPSEL, research studies, professional literature, examples of national, state and district standards for administrators, as well as the newly adopted content and performance expectations for preliminary administrator certification" in order to do its work (CTC, 2014, p. 2). The panel's draft update was reviewed by the CTC and was also subject to public comments. After this process, the refreshed CPSEL were approved by the CTC in 2014. According to the CTC, the standards were updated to "better reflect the 21st century leader expectations, the current context for schooling, and the needs of CA's widely diverse students" (CTC, 2014, p. 2).

Following the update of the CPSEL, the CAPE were then revised in 2016, and the CACE in 2017, to bring them into greater alignment with the CPSEL. There were no substantive changes, but they were reorganized to "clarify the alignment and coherence" between the three sets (CTC, 2017b).

Use of the State Leadership Standards

The state leadership standards are used for several purposes. Stakeholders felt that the standards help to articulate the state's framework and vision around school leadership. They form the basis of the state's preliminary and clear level preparation programs, as the program standards for each explicitly state that preliminary and clear induction programs should be aligned to the CAPE or CPSEL, respectively. Standards also form the basis of the state's two assessments, the CalAPA and the California Preliminary Administrative Credential Examination (CPACE), as both are aligned with the CAPE and CACE (California Educator Credentialing Assessments, 2014, 2019a), which are then aligned with CPSEL. Indeed, the CalAPA is seen by stakeholders as driving broader use of the state leadership standards by programs and districts.

While it is clear that the standards are directly used in the pre-service and induction contexts, how they are used in the post-preparation context appears to be up to districts' discretion. The CTC contends that many districts have "adopted or adapted the CPSEL for administrative induction programs, professional learning structures, and evaluation" (CTC, 2014). Districts can use the standards in crafting their principal evaluations, interviews, and job descriptions, but there does not appear to be any requirement to do so, although legislation passed in 2012 set the

expectation that principal evaluations should be consistent with or based upon the CPSEL (California Senate, 2012).

Recruitment

California does not appear to have any statewide efforts related to the recruitment of school leaders. Instead, stakeholders noted that districts generally fulfill this function. Lack of state involvement was not described as a problem or limitation given the large number and varied contexts of California districts, although some interviewees suggested that potential areas for state intervention could include efforts to enhance racial and gender diversity, particularly in higher levels of leadership, or providing financial incentives to recruit candidates.

Principal Licensure and Program Approval and Oversight

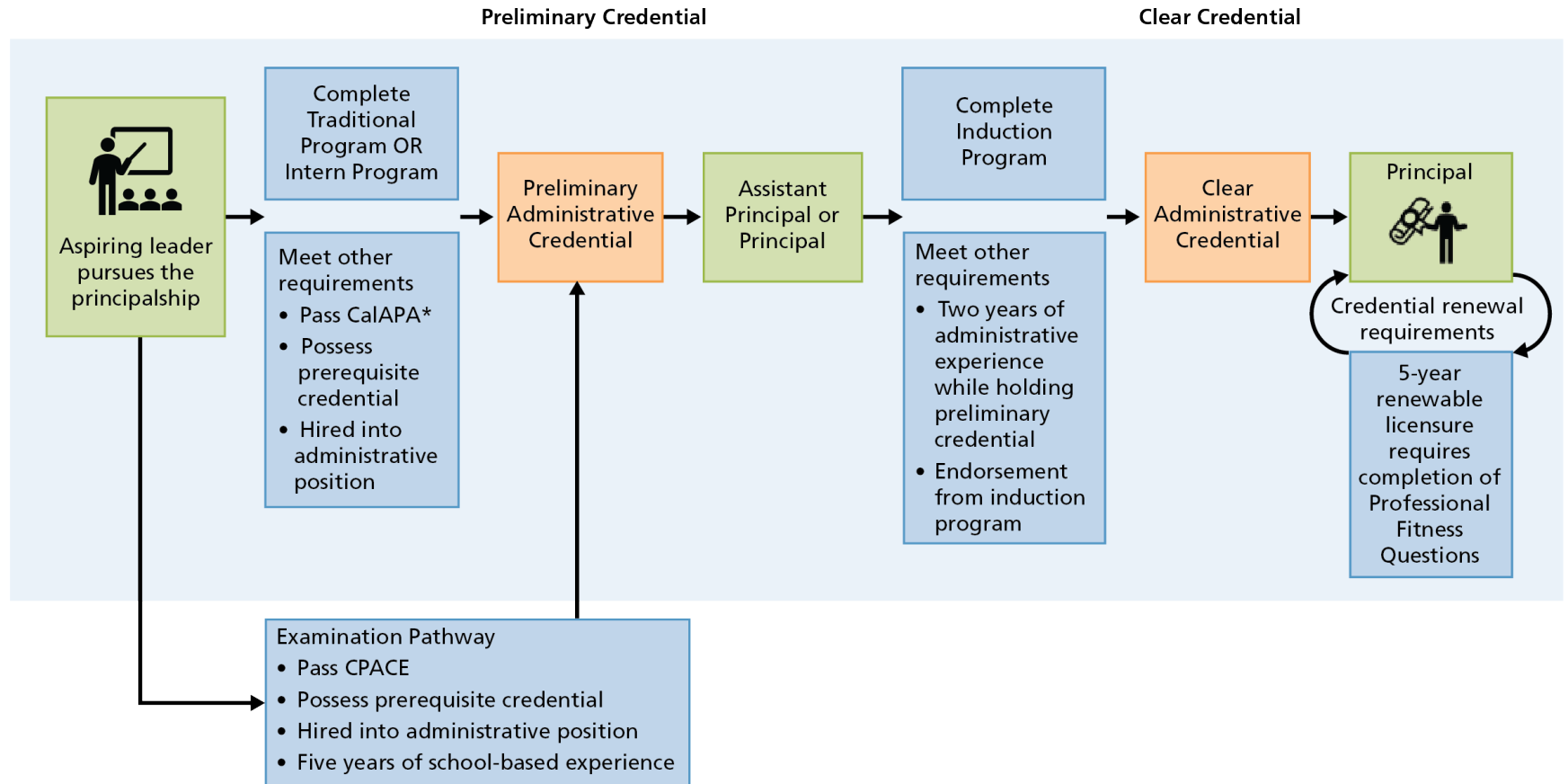
Pathway to the Principalship

Figure B1.1 describes the pathway to the principalship in California.

California has a two-tiered pathway to the principalship. Completion of requirements in the first tier lead to a five-year preliminary credential. Within one year of activating the preliminary credential, candidates must then enroll in a clear administrative induction program. After completing a state-approved induction program and two years of successful administrative service and receiving the program's endorsement, candidates can then acquire their clear credential. Because this two-tiered structure requires candidates to receive additional job-embedded training beyond their initial preparation, this clear induction model was seen by stakeholders as a strength in the state.

The administrative services credential in California has general application for all education administrators. The credential does not specify the role to be played by the credential holder, but it instead names the duties that an administrator is allowed to perform, such as the evaluation of instructional services and personnel at school sites and the discipline of students and certified personnel employees (CTC, 2017c). The preliminary credential preparation program is focused primarily on the preparation to become a site administrator, whereas the clear induction preparation program differentiates and provides specified preparation based on the administrative position held (e.g., site administrator, Special Education Local Plan Area [SELPA] director, district office program administrator).

Figure B1.1. California's Pathways to the Principalship



*For participants who enroll after June 2019.

Alternative Pathways

Candidates can bypass a pre-service program in the first tier by taking a computer-based exam called the California Preliminary Administrative Credential Examination (CPACE) (CTC, 2017c). The CPACE consists of two subtests: one related to content, which is 3 hours and 15 minutes long, and the other related to performance, which is 4 hours long. The content portion consists of 70 multiple-choice questions and three written assignments. The next subset, the performance portion, consists of two modules in which candidates have to (1) review exhibits and analyze and evaluate a teacher's effectiveness, and (2) review school-related exhibits and "provide a written analysis regarding the school leadership" (California Educator Credentialing Assessments, 2019b).

While interviewees agreed that the state plays an effective role in licensing principals, some variation in perspectives on this point stemmed from concerns about the test-only route to licensing and the extent to which implementation of CalAPA would drive candidates to the test-only route.

Prerequisites

To earn a preliminary administrative credential, candidates must have a valid prerequisite credential, which includes a California clear or life teaching credential, as well as various other types of student service credentials. Candidates must also complete a basic skills requirement and five years of full-time experience in schools. However, these requirements are generally listed by the CTC as requirements to licensure rather than prerequisites to program entry. The exception is that candidates entering the intern program route must possess the prerequisite credential, verify the basic skills requirement, and complete the experience requirement prior to assuming any intern administrative responsibilities (CTC, 2018b).

Licensure Requirements

Beyond the above requirements, candidates can choose one of three options: to complete a CTC-approved preparation program, to complete a CTC-approved intern program that also involves "supervised in-service training," or to take the examination route and pass the state assessment, the CPACE. When taking the program-based route, candidates must receive the formal recommendation of their program sponsor and, for those enrolling after June 2019, also pass the CalAPA; these additional requirements can be bypassed for candidates who seek licensure through the CPACE route. Finally, candidates must also verify employment in an administration position, or instead receive a Certificate of Eligibility, which allows them to seek employment in an administrative position in perpetuity (CTC, 2018b).

Once candidates acquire their preliminary administrative credential, they can then enter a clear induction program, which includes two years of successful service in a full-time administrative role. Upon completion of these two years, as well as a CTC-approved induction

program and receipt of the program's recommendation, the candidate can then acquire their clear credential. The term of the clear credential is five years (CTC, 2017c) and is renewable online through an application and fee (CTC, 2018b).

Implementation of the CalAPA

The implementation of the CalAPA occurred in multiple phases over the course of several years. The CTC began development of the CalAPA in 2016, resulting in a pilot study during the 2016–2017 academic year and a field test in the following year, in which only a subset of programs and candidates participated. In the 2018–2019 school year, the CTC implemented a statewide, nonconsequential administration of the performance assessment, which culminated in a state, consequential administration in the 2019–2020 school year (CTC, 2017a, 2018a).

In a document dated September 2019, the CTC provided notice that it had set the passing standard for the 2019–2020 administration of the CalAPA (CTC, 2019c). A document issued by the CTC in August 2019 presents its recommendations for the passing score standard, and states that the CTC staff actually recommended a slightly lower passing score than the standard recommended by its expert panel because of concerns that perhaps all programs had not been able to develop the capacity necessary to meet the CalAPA requirements. The CTC staff further recommended that the assessment data be analyzed again over the course of the first consequential year in preparation for another standard-setting panel in spring 2020, although, because of the COVID-19 pandemic, this passing standard study may be postponed for another year; after this data analysis, the CTC might then recommend a different passing score standard for the future (CTC, 2019a).

The implementation of the CalAPA had several important implications. It was seen by stakeholders as a potential game-changer by setting a common set of expectations about the competencies aspiring principals must demonstrate in order to be licensed. In addition, implementation of CalAPA was seen as an indirect policy lever for influencing program quality because pass rates for programs will be made public, and data drawn from the CalAPA will help the CTC identify programs' areas of growth.

Approval of State Programs

The CTC is responsible for program approval and oversight over preparation program providers. Interviewees generally agreed that the state plays an effective role in approving and overseeing principal preparation programs. Programs are reviewed in a seven-year accreditation cycle, which includes activities such as data collection and analysis, a preconditions review, a Common Standards review, a program review, a site visit, and any required follow-up after the site visit. Although the entire process occurs over seven years, all credential programs are expected to collect, analyze, and submit data to the CTC annually through its Accreditation Data System (CTC, 2020a).

State-Approved Preparation Programs

Table B1.2 describes the types of institutions that administer programs resulting in a preliminary or clear administrative services credential. The categories listed are public universities, which include California State Universities (CSUs) and University of California schools (UCs). Private or independent institutions are made up of private universities and colleges, and local education agencies are made up of mostly school districts or county offices of education, as well as some schools. The one institution in the “other” category is ACSA (CTC, 2020c).

Table B1.2. Types of Institutions That Administer Programs Resulting in a Preliminary or Clear Administrative Services Credential

| Credential Type | Public Universities (CSUs and UCs) | Private/ Independent Institutions | Local Education Agencies | Other | Total # of Approved Institutions |
|--------------------------------------|---|--|---------------------------------|--------------|---|
| Preliminary Credential (Traditional) | 24 | 24 | 18 | 0 | 66 |
| Preliminary Credential (Intern) | 15 | 14 | 0 | 0 | 29 |
| Clear Credential | 7 | 9 | 36 | 1 | 53 |

A glance at Table B1.2 shows that the university route is dominant for the preliminary credential, while local education agencies are dominant for the clear credential. The preliminary credential has two program-based pathways: a traditional pathway and an internship pathway. Many more institutions offer the traditional pathway, but, in both cases, the credential is largely offered by institutions of higher education. In contrast, the clear credential is largely offered by local education agencies, likely because the clear induction program is a job-embedded experience.

Program Approval Standards and Their Relation to State Leadership Standards

The CTC has two sets of program standards for the administrative services credential: the preliminary program standards, which were adopted in 2013 and revised in 2018, and the clear induction program standards, which were adopted in 2014 and revised in 2017. The preliminary credential program standards are composed of nine standards, which are grouped into four categories: program design and coordination, curriculum, field experiences in the program, and candidate competence and performance. The clear induction program standards are composed of five standards, which are grouped into three categories: program design and coordination, the nature of induction, and performance expectations for leaders.

The program approval standards are tied to the state leadership standards; specifically, the preliminary administrative services credential is to introduce candidates to the CAPE, whereas the clear credential program is intended to ensure beginning mastery of the CPSEL. The

standards for the preliminary program explicitly state that the program should be aligned to the CAPE, with formative and summative assessments based on the CAPE, and that it should prepare candidates to master the CAPE. Similarly, the standards for the clear induction program explicitly state that the program should be aligned to the CPSEL, and that candidates must document their development and growth in at least one component of each CPSEL.

Requirements for Approval

There are nine preliminary administrative services credential program standards. They describe the various requirements that programs must meet in order to obtain approval. Topics touched on in these program requirements include the partnerships that programs must form and the responsibilities of these partnerships, the development of leadership, interpersonal skills, and an equity lens, a curriculum that addresses the state's performance expectations, the nature of the program's field experiences, the responsibility of supervisors to provide feedback, and administration of the CalAPA.

The clear induction program standards similarly require partnership agreements and the delineation of responsibilities between partners. Given the emphasis on coaching, assessment, and professional learning in the induction process, the other program standards focus on topics such as the selection and training of coaches, professional learning opportunities, goal setting, and assessments as documented through each candidate's Individual Induction Plan, and candidates' documented growth in at least one component of each of the six CPSEL standards.

Professional Development

State-Supported Professional Development

The 2019–2020 state budget allocated \$13.8 million in ongoing federal funds to form the 21st Century California School Leadership Academy (21 CSLA), which will provide professional learning opportunities to K–12 school leaders in alignment with the statewide system of support (California Department of Finance, 2020). The 21 CSLA will establish a process for professional development providers, which could include local education agencies, institutions of higher education, or nonprofits, to compete for grants and is scheduled to start in May 2020 (California Department of Education, 2020a). While stakeholders expressed the opinion that responsibilities around professional development post-induction have generally fallen to districts or individuals, they acknowledged that the creation of the 21 CSLA and the state's leveraging of the 3-percent set-aside could promote school leader professional learning in the state.

Professional Development in the Licensure Process

The two-tiered nature of the system in California involves districts in the certification and professional development process. Upon receiving the preliminary credential and then being placed in an administrative role, candidates are expected to enroll in the clear administrative

induction program and have one year from activation of the preliminary credential to do so (CTC, 2017c). The clear induction process includes a “two-year job-embedded individualized induction program focused on the candidate’s employment position” which “involves extensive support for, and mentoring of new administrators.” (CTC, 2020b).

In contrast to the preliminary program, for which the majority of program providers are universities and colleges, the induction program is largely offered by local education agencies—school districts or county offices of education. Local education agencies account for 35 out of the 52 institutions; the remaining institutions are either the ACSA, CSUs, UCs, or private universities (CTC, 2017d).

The induction program is designed to provide individualized, job-embedded, ongoing support through both one-on-one coaching to each candidate (40–60 hours annually) and professional development (20–30 hours annually). Ultimately, induction programs are responsible for the selection, preparation, assignment, support, and supervision of coaches, although the CTC also notes that the candidate’s employer can also be responsible for these elements through a partnership agreement (CTC, 2017e). As a result, the coaching format may differ depending on the program provider itself. For example, a university may provide a university-based coach while candidates also select a coach from their school district, with the district-based coach providing feedback on the candidate’s progress and the university coach providing guidance to both the candidate and the district coach. In addition, the district coach provides feedback to not only the candidate, but also to the university-based induction program (University of California Irvine, undated). Professional development is individualized and selected for each candidate through an agreement process between the candidate and the program or coach. Criteria for selection include the needs of the candidate’s administrative position and the CPSEL the candidate has identified for growth.

According to the CTC’s “Learning to Lead” system overview, which describes the process of becoming an administrator, “professional growth beyond the clear [credential] is the responsibility of the employer.” (CTC, 2018b). Therefore, once an administrator has completed the clear induction program and acquired their clear credential, there do not appear to be any additional state-level professional development requirements tied to credential renewal.

Evaluation

As noted by the district partners during their interviews, there is no statewide evaluation tool after earning the clear administrative services credential, although the CPSEL provide guidance for evaluation purposes.

SB 1292 (California Senate, 2012), which passed in 2012, also provides guidance to districts on evaluation. The legislation authorizes school districts to “evaluate a principal annually for the principal’s first and second year of employment as a new principal” and to decide on the frequency of evaluations thereafter. The bill further authorizes that the criteria for school principal evaluations be based on the CPSEL and to “include evidence of, among other things,

pupil academic growth, effective and comprehensive teacher evaluations, culturally responsive instructional strategies, the ability to analyze quality instructional strategies and provide effective feedback, and effective school management.”

The notion of uniformity or standardization across the state in principal evaluations also appears in the bill. It states that the legislature’s intent is “that the governing boards of school districts establish a uniform system of evaluations” and that all evaluators should eventually receive training to calibrate evaluations.

Ultimately, the bill appears to provide suggestions, rather than mandates, around principal evaluations. According to our conversations with stakeholders, in practice, districts are fairly autonomous in how they manage principal evaluations, as evaluation is considered a district rather than state responsibility.

Leader Tracking Systems

There have not been statewide efforts to create a leader tracking system. Instead, stakeholders have expressed that leader tracking is a district choice. However, the CTC does have various databases that contain information relating to school leaders and preparation programs. For instance, the CTC has an educator database, which includes school administrators, and allows members of the public to view the certification history of individual educators (CTC, 2020d). In addition, as of January 2020, the CTC opened its Accreditation Data System for the 2019–2020 school year, where preparation programs can submit data to the CTC for the purposes of accreditation. Data submission was planned to begin in the spring and summer of 2020. It appears that the data submitted will include information on candidate demographics and candidate performance, as well as information related to the program itself, such as admission standards and program requirements.

Appendix B2. Connecticut State Profile

Among the seven UPPI states, Connecticut is the only state to have a three-tiered licensure structure. Yet, unlike the licensure structures of several other states with multi-tiered systems, Connecticut only requires candidates to complete a state-approved program including at least 18 graduate credits beyond the master's degree at the first stage. Subsequently, licensed principals progress toward the second stage, the provisional credential, after ten months of successful service, and the third stage, the professional credential, after completing an additional 12 semester hours of graduate credit and an additional 30 months of successful service.

In addition, while most other UPPI states have adopted the national leadership standards (the Professional Standards for Educational Leaders [PSEL]), adapted their leadership standards to align to the PSEL, or are in the process of either completing or recommending that alignment, in Connecticut, there has been no such movement toward adoption or adaption of the national leadership standards.

Connecticut is also one of the three states that require education preparation programs to obtain accreditation from the Council for the Accreditation of Educator Preparation (CAEP) and, indeed, that relies heavily on CAEP accreditation for its program approval process. In addition, to aid the accreditation process, the Connecticut State Department of Education has been working on an educator preparation program dashboard, consisting of data on various quality control indicators, such as enrollment and completion rates, licensure test pass rates, and employment data.

Among all UPPI states, Connecticut has the lowest student enrollment, at just over half a million students throughout the state. It also has the smallest average number of students per district. Accordingly, the vast majority of its districts have enrollment below 10,000 students (95 percent), and even enrollment below 5,000 students (85 percent).

State Context

Key Players and Roles

Table B2.1. Connecticut Key Players and Roles

| Agency | Organization Name | Role |
|---------------------------------------|---|---|
| Governor | N/A | <ul style="list-style-type: none"> The governor approves the budget and appoints members to the State Board of Education and the Commissioner of Education. The governor is responsible for appointing the Commissioner of Education. A new commissioner was instated in August 2019. |
| Legislature | N/A | <ul style="list-style-type: none"> The Legislature passes legislation and appropriates funds. This influences whether principal preparation efforts can be scaled. |
| State department of education | <ul style="list-style-type: none"> Connecticut State Department of Education (CSDE) CSDE Talent Office Connecticut State Board of Education (SBE) | <ul style="list-style-type: none"> CSDE is responsible for establishing and enforcing policies for the accreditation of principal preparation programs and principal licensing in the state. The CSDE Talent Office consists of the Bureau of Educator Effectiveness and the Bureau of Certification, which oversee the accreditation and certification processes. The SBE is part of the executive structure, so its work is often reflective of the governor's education priorities. Much of the SBE's work is also directed by statute, so the legislature also plays a role. |
| Professional educator standards board | N/A | N/A |
| Cooperatives or county offices | <ul style="list-style-type: none"> Regional Education Service Centers (RESCs) | <ul style="list-style-type: none"> RESCs, created by Connecticut statute, are "nonprofit, fee-for-service public education agencies." They provide an array of education resources and services.^a |
| Nonstate entities | <p>Professional associations</p> <ul style="list-style-type: none"> Connecticut Association of Schools (CAS) Connecticut Association of Public School Superintendents (CAPSS) Connecticut Association of Boards of Education (CABE) <p>Nonprofits</p> <ul style="list-style-type: none"> Connecticut Center for School Change State Education Resource Center (SERC) | <p>These professional associations</p> <ul style="list-style-type: none"> provide professional development to administrators advocate for the administrator perspective on issues of legislation and policy. <ul style="list-style-type: none"> The Connecticut Center for School Change is a statewide organization aimed at improving teaching and learning. SERC is a quasi-public agency that was established under statute to serve the SBE by supporting educational equity and excellence. |

^a RESC Alliance, 2018.

The Role of Nonstate Entities in Connecticut

A number of nonstate entities in Connecticut provide professional learning to administrators, including the Connecticut Association of Schools through its Center for Leadership and Innovation, the Connecticut Association of Public School Superintendents, LEAD Connecticut, RESCs, SERC, and the Connecticut Center for School Change. In addition, the mission of several of these organizations is to represent the interests of administrators on legislative and public policy issues, influencing legislation and appropriations.

Agenda Status of School Leadership

When asked about Connecticut’s statewide education priorities, interviewees had several different responses. Two respondents mentioned regional efficiency, or combining smaller school districts in order to reduce costs, as a top priority in Connecticut. Two respondents also mentioned minority teacher recruitment as an ongoing statewide effort. Otherwise, respondents had varying answers to the question of statewide education priorities, suggesting some discrepancy in how stakeholders view priorities. For example, one respondent answered the question by listing both the governor’s top three priorities—regional efficiencies, computer science learning, and minority teacher recruitment—and the State Board of Education’s top four priorities—the non-academic needs of students, high academic standards for students, safe schools and school climate, and talent development of teachers and leaders. In general, stakeholders did not link top priorities to school leadership but noted the importance of school leadership for school performance. Ultimately, all interviewees agreed that school leadership is not a statewide priority in Connecticut, but that it should be of higher importance in the state.

School Leadership in the Connecticut Every Student Succeeds Act Plan

According to a document issued by CSDE summarizing components of its ESSA Consolidated State Plan, Connecticut estimated losing several million dollars in Title II funding over six years. Therefore, with regard to the state’s ESSA plan, CSDE stated that it “will continue to utilize the minimum allowable funds to administer the grant and conduct critical statewide activities” but “will not invest in any additional statewide programming allowed under ESSA because it would further reduce Title II funding levels to districts” (Connecticut State Department of Education, 2017c). The focus of the state’s activities under Title II relate to recruitment of diverse workforce, recruitment into subject shortage areas, and the “modernization” of the state’s certification system. These statements appear to indicate that school leadership was not a significant focus of Connecticut’s ESSA plan.

Specifically, the state’s ESSA plan indicates that it does not intend to use Title II, Part A, funds for certification and licensure systems, to improve or support educator preparation programs, or to support systems of professional development. Additionally, Connecticut’s ESSA

plan does not explicitly address the use of the Title II 3-percent set-aside for school leadership (University Council for Educational Administration, 2018a).

When noting efforts related to educator preparation, Connecticut’s ESSA plan mentions that the state implemented the Educator Preparation Advisory Council’s (EPAC) recommendation to adopt the CAEP standards for the purposes of program approval in Connecticut, and also mentions the creation of a data dashboard that would provide information about Educator Preparation Providers (EPPs) to the public, including data on educational leaders.

Policy Levers Summary

The sections that follow provide an overview of how Connecticut is using various policy levers to promote high-quality school leadership within the state. The policy levers are the use of standards, recruitment of aspiring leaders, principal licensure, the program approval and oversight process, evaluation, professional development, and leader tracking. After analyzing four interviews with responses about use of policy levers in Connecticut, we found that a majority of stakeholders, defined as half or more of our interviewees, agreed that state efforts related to using leadership standards, approving and overseeing principal preparation programs, and supporting professional development for principals were effective.

Standards

The state’s leadership standards are called the Common Core of Leading—Connecticut School Leadership Standards (CCL-CSLS). They are composed of six performance expectations, with elements and indicators for each. Together, they describe the “knowledge, skills, and dispositions necessary in key areas of leadership practice” (Connecticut State Department of Education, 2017b). They are as follows (Connecticut State Board of Education, 2012):

1. vision, mission, and goals
2. teaching and learning
3. organizational systems and safety
4. families and stakeholders
5. ethics and integrity
6. the education system.

The Connecticut school leadership standards are aligned to the PSEL’s predecessor, the national Interstate School Leadership Licensure Consortium (ISLLC) Standards (Connecticut State Board of Education, 2012). Although the state standards are not formally aligned to PSEL, state leaders have decided to remain with the Connecticut school leadership standards because they view their existing leadership standards as relatively similar to the PSELs.

Development of the State Leadership Standards

The Connecticut leadership standards were first formally adopted in 1999. Twelve years later, they were revised based on the national ISLLC Standards, and the new iteration of

standards, the CCL-CSLS, was then adopted in 2012 (Connecticut State Department of Education, 2017b).

Use of the State Leadership Standards

According to the CSDE, the leadership standards serve as “the foundation for a variety of state functions, including leadership preparation program accreditation, licensure assessment, and administrator evaluation and support through an administrator’s professional career” (Connecticut State Department of Education, 2017b).

For example, they are used in the Leader Evaluation Rubric, which is aligned with the Connecticut Guidelines for Educator Evaluation and the state leadership standards as they “operationalize the six performance expectations” outlined in the standards. Districts are required to use the state leadership standards in the evaluation process. The use of the leadership standards is woven into different pieces of the evaluation process, such as goal-setting, obtaining feedback from stakeholders, and supervisor ratings. For example, according to the Guidelines for Educator Evaluation, “ten percent of administrator’s summative rating shall be based on feedback from stakeholders on areas of principal and/or school practice described in the Connecticut Leadership Standards” (Connecticut State Department of Education, 2017a, p. 19). It is up to the district’s discretion as to which elements and indicators are used in this portion of the evaluation. In addition, when being rated by the district superintendent or their designee, these ratings “must be based on evidence collected about leadership practice as described in the Common Core of Leading: Connecticut School Leadership Standards using a rubric aligned to those standards” (Connecticut State Department of Education, 2017a, p. 18). Again, districts have some discretion about how they want to weight these standards in the evaluation process and develop their rubric, as long as their evaluation procedure falls within the requirements outlined by the state. For example, districts can change the weighting of standards but are required to weight the teaching and learning standards, at a minimum, two times more than the other standards.

However, because Connecticut relies largely on CAEP for its accreditation process and also uses an administrator assessment for licensure that is not state-specific, there are levers within the state that are not aligned to Connecticut’s own state leadership standards and are instead aligned to national standards. For example, licensure appears to be more aligned to the PSEL than to Connecticut’s own leadership standards, as programs are accredited by CAEP, which uses the National Educational Leadership Preparation (NELP) standards—which are then aligned to the PSEL—in its review process. In addition, the licensure assessment, the Educational Leadership: Administration and Supervision (ELAS), is also aligned to the PSEL, rather than the state leadership standards. As a result, stakeholders stated that greater alignment between the state standards and the PSEL would help to boost the standards’ effectiveness.

Recruitment

Local and regional school boards are responsible for hiring principals in Connecticut.

Principal Licensure and Program Approval and Oversight

Pathway to the Principalship

Figure B.2.1 describes the pathway to the principalship in Connecticut.

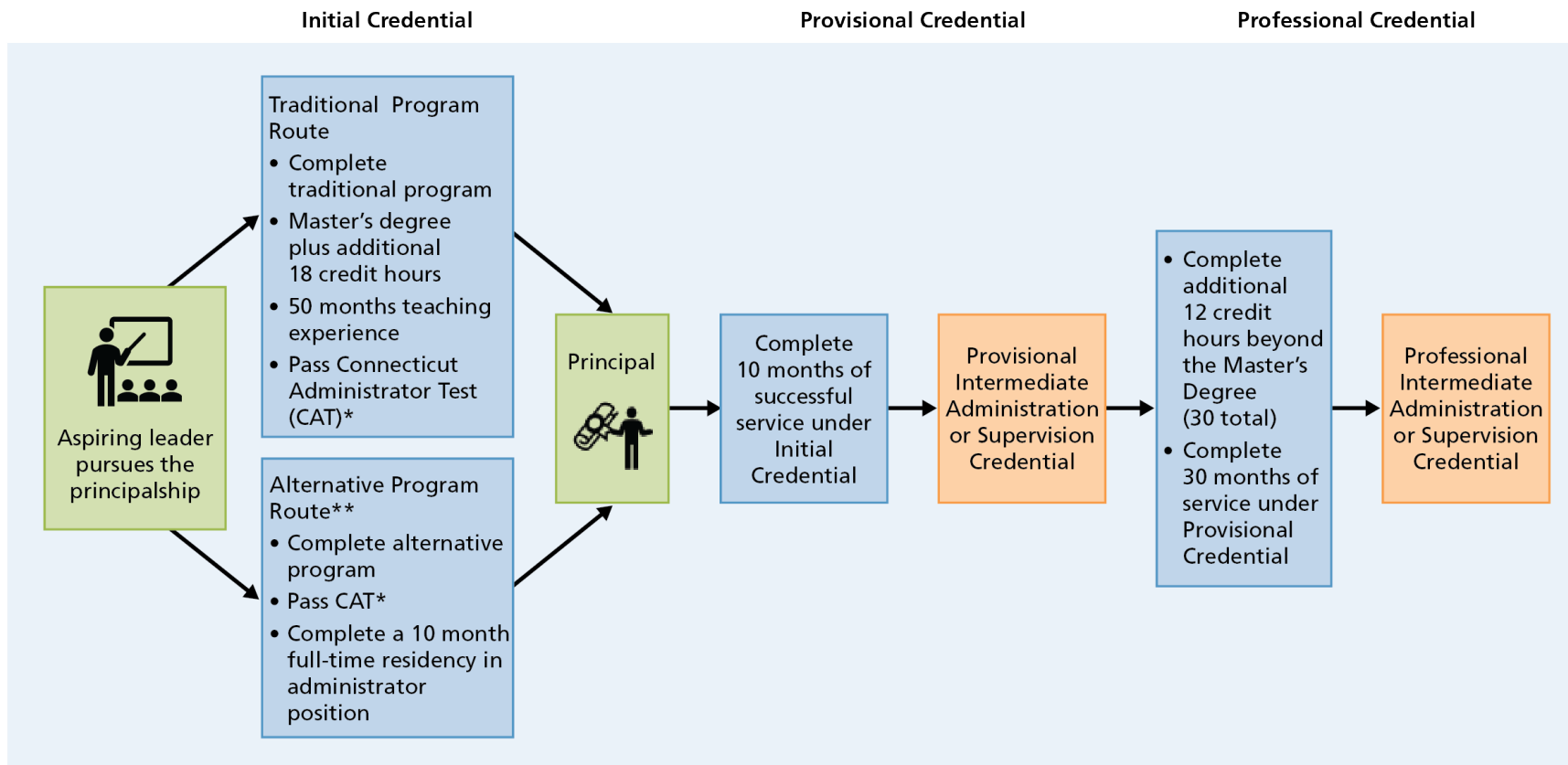
Connecticut has a three-tiered continuum of certification for school administrators (including principals) that includes an initial, provisional, and professional stage, although license holders can take on the role of principal after completing the first stage. However, the licensure process includes the completion of testing and a state-approved program at the first stage. In order to advance to subsequent stages, candidates must complete a certain amount of successful service and additional coursework, depending on the stage.

The CSDE issues five types of administrative endorsements:

- Intermediate Administration or Supervision (#092)
- Superintendent of Schools (#093)
- Reading and Language Arts Consultant (#097)
- School Business Administration (#085)
- Department Chairperson (#105).

The administrative endorsement most relevant to the principalship is the Intermediate Administration or Supervision endorsement. This certificate authorizes service in a leadership capacity at all levels beneath a superintendent such as deputy superintendent, assistant superintendent, principal, assistant principal, curriculum coordinator, supervisor of instruction, or any other type of role that “has the primary responsibility for directing or coordinat[ing] or managing certified staff and resources, or any person responsible for summative evaluation of certified staff” (Connecticut Department of Education, 2020).

Figure B2.1. Connecticut's Pathways to the Principalship



*In 2018, the CSDE transitioned from the CAT to a new assessment called the Educational Leadership: Administration and Supervision (ELAS) test, which was developed by the Educational Testing Service (ETS).

**Although state law provides Alternative Route to Certification (ARC) programs, as of September 2020 there are no active programs approved by the state. Candidates for an ARC program must hold a bachelor's degree, have at least 40 months of teaching experience, and be recommended by their immediate supervisor. ARC initial certificate is valid for three years.

Alternative Pathways

The state has also issued guidelines around the creation of alternate route to certification (ARC) programs. Public Act No. 10-111 states that ARC programs must be provided by an institution of higher education, a local or regional board of education, a regional educational service center, or a nonprofit teacher or administrator training organization approved by the State Board of Education. The guidelines also state certain admissions requirements for candidates. For example, upon admission, candidates must hold a bachelor's degree, have at least 40 months of teaching experience as well as the recommendation of their immediate supervisor or district administrator. Candidates must then complete a yearlong residency serving as an administrator and in a full-time position at a local or regional board of education in the state. Instead of the residency, candidates may have ten months of experience as an administrator in another state. Upon completion of these requirements, candidates are issued an initial certificate, which is valid for three years. They must acquire a master's degree and complete an additional 30 semester hours of coursework to advance to the professional level, and complete 30 months of successful services under their provisional certificate. However, as of spring 2020, there were no ARC programs being offered.

Prerequisites

To obtain an initial certificate, candidates must complete at least 50 school months of teaching or service in a public or approved non-public setting. However, this requirement is listed by the CSDE as a requirement to licensure rather than as a prerequisite to program entry, although some programs may have experience requirements or a master's degree requirement prior to admissions.

Licensure Requirements

There are several requirements to acquire an initial certificate for intermediate administrator or supervisor. As noted earlier, candidates must have completed 50 school months of service under an appropriate certificate or authorization. They must also hold a master's degree from an approved institution and have completed 18 semester hours of graduate credit in addition to their master's degree. Candidates must also complete a preparation program for administrative and supervisory personnel and receive the recommendation of that program. There are also certain coursework requirements that must be met, which include study on topics such as the foundations of learning, curriculum development, school administration, personnel evaluation and supervision, education policymaking, and special education (Connecticut State Board of Education, 1998).

Finally, candidates must also pass the state assessment. Since 2001, the CSDE has required administrative candidates to take an assessment in order to be recommended by their preparation program for certification. The original assessment was called the Connecticut Administrator Test

(CAT). In 2018, the CSDE transitioned from the CAT to a new assessment called the Educational Leadership: Administration and Supervision (ELAS) test, which was developed by the Educational Testing Service (ETS). This new assessment is aligned with the PSEL and the NELP standards (Connecticut State Department of Education, 2018) and considered to be more reflective of what prepared and effective leaders must know and be able to do. In comparison, the previous assessment was considered more fact-based and memorization-heavy.

After receiving an initial license, candidates can receive their provisional license by completing ten months of successful service under their initial license. Finally, to move from a provisional license to a professional license, candidates must possess a master's degree, complete 30 semester hours of graduate coursework, and complete 30 school months of successful service under their provisional license.

Approval of State Programs

There are various entities within and outside of CSDE that are responsible for program approval and oversight. For the purposes of continuing approval, all Connecticut Educator Preparation Providers (EPPs) must be accredited through CAEP. Stakeholders generally viewed the involvement of CAEP as a positive component of Connecticut's program approval and oversight process. Every seven years, CAEP conducts an on-site visit to determine the accreditation status of a given EPP. Then, based upon the findings from CAEP, the CSDE Review Committee, which includes Connecticut EPPs, K–12 schools, and community members, makes recommendations to the SBE. The SBE is ultimately responsible for approval of EPPs.

For the purposes of approving new programs, the CSDE Review Committee and an evaluation team is involved in making a recommendation to the Commissioner of Education, who can then send the proposal for a new program to the SBE Policy and Legislative Subcommittee. Finally, program proposals are sent to the full SBE for final approval.

State-Approved Preparation Programs

According to the CSDE's "Guide to Approved Educator Preparation Programs in Connecticut," last updated in March 2020, there are seven programs in the state that are approved to issue the Intermediate Administration or Supervision certification (Connecticut State Department of Education, 2020b):

1. Central Connecticut State University
2. Quinnipiac University
3. Sacred Heart University
4. Southern Connecticut State University
5. University of Bridgeport
6. University of Connecticut
7. Western Connecticut State University.

Program Approval Standards and Their Relation to State Leadership Standards

The program approval process, in alignment with the EPAC's recommendations, relies largely on CAEP. For the purposes of accrediting administrator preparation programs, CAEP's review process uses the NELP standards, which are aligned to the PSEL and "provide specificity around performance expectations for beginning level building and district leaders" (National Policy Board for Educational Administration, 2020).

The NELP Building Standards are composed of eight standards (National Policy Board for Educational Administration, 2018):

1. mission, vision, and improvement
2. ethics and professional norms
3. equity, inclusiveness, and cultural responsiveness
4. learning and instruction
5. community and external leadership
6. operations and management
7. building professional capacity
8. internship.

The NELP standards were "developed by a committee comprised of essential stakeholder communities from across the country" (National Policy Board for Educational Administration, 2020). In addition, the NELP committee, in writing the standards, "consulted research on preparation and practice, as well as school and district leaders, state education officials, researchers, higher-education leaders and faculty and other policy-oriented constituents" (University Council for Educational Administration, 2018b).

The National Policy Board for Educational Administration (NPBEA), which issued the NELP standards, has also created a review evaluation rubric to be used for program evaluation. Through this process, programs are required to show how they are assessing the various NELP standards.

In addition, the documentation that programs are required to send in to the CSDE also provides additional information about the standards to which programs are held. For example, new programs applying for approval must first submit a pre-proposal application and then a proposal application. Next, programs are evaluated by the EPP Proposal Evaluation Instrument; if they pass muster, they move on to the Connecticut Review Committee, which sends its recommendations to the Commissioner of Education, who can then pass it on to the SBE for final approval. As shown by these documents, beyond demonstrating alignment with the national standards, programs must also show alignment between their program courses and the Connecticut certification regulations (Connecticut State Board of Education, 1998) and Connecticut educator preparation statutory requirements (Connecticut General Statutes, 2012). However, while these documents note that programs should align to state and national content standards, they do not explicitly name the Connecticut leadership standards.

Requirements for Approval

The NELP standards outline what program completers should know at the conclusion of their preparation program. Overall, the standards seem more focused on what candidates should know and be able to do rather than the actions that programs should take. Programs are required to submit assessments that measure the content knowledge and educational leadership skills described in the NELP standards, but it appears that they have some discretion in how they design their program components to meet the NELP standards. The exception appears to lie in standard 8, which provides guidance around the supervised clinical experience that program completers should have. Specifically, standard 8 states that candidates should have clinical internship experiences “within multiple school environments” that allow them to apply the knowledge outlined in standards one through seven. It also outlines the amount of time that candidates should spend on their clinical experiences and notes that candidates should be provided a mentor as well as guidelines around criteria that the mentor should meet (National Policy Board for Educational Administration, 2018).

Professional Development

State-Supported Professional Development

Connecticut does not require new school administrators to receive mentoring support in their first position. The CSDE is supportive of LEAD Connecticut, SERC, CAS, CAPSS, the Center for School Change, and RESCs in providing support for new administrators. Because of limited budgets, the CSDE utilizes grant opportunities to support partnerships with various organizations. LEAD Connecticut is a partnership between the state and national organizations that supports new administrators. One program provided by LEAD Connecticut is the Turnaround Principal Program (TPP), which includes support for principals in low-achieving schools through coaching and intensive training. While LEAD Connecticut was viewed positively by stakeholders for its positive impact on the professional development environment in Connecticut, some also expressed concern about its level of funding.

Connecticut also provides a definition and resources for professional learning (Connecticut State Department of Education, 2020a, 2020c). The Connecticut Guidelines for Educator Evaluation summarizes the General Statutes for Required Professional Development Programs (Connecticut General Statutes, 2012), stating that professional development has to be offered by local and regional boards of education, along with other requirements on number of hours and topics. In July 2017, Public Act 17-37, Sections 1–3, “An Act Implementing the Recommendations of the Task Force on Professional Development and In-Service Training Requirements for Educators,” was updated to require professional development to be aligned with the goals identified by employees and the local and regional boards of education (Connecticut State Senate, 2017).

Professional Development in the Licensure Process

Connecticut does not require continuing education units for administrators to maintain their Connecticut Professional Educator Certificate, but administrators are provided with tailored professional learning through the district-developed evaluation plans.

Evaluation

CSDE approves district evaluation and support system plans, which include a district's definition of administrator effectiveness and ineffectiveness. CSDE also provides a model administrator evaluation and support system called Connecticut's System for Educator Evaluation and Development (SEED). Districts can use the model and guidelines to propose variations to the SEED model as long as they are consistent with the Connecticut Guidelines for Educator Evaluation. Additionally, CSDE outlines the components for the annual evaluation of administrators, which are based on Connecticut's Common Core of Leading: Connecticut School Leadership Standards. The guidelines require "administrators [to be] evaluated based on student learning indicators (45% of an administrator's rating), standards-based observations of practice and performance (40%), stakeholder feedback, including parents and teachers (10%), and whole-school measures of student performance (5%)" (Connecticut State Department of Education, undated).

Leader Tracking Systems

Connecticut does not have a statewide database for leader tracking.

Appendix B3. Florida State Profile

Florida is one of four UPPI states that has a two-tiered licensure process. For the first tier, a candidate is required to serve as an assistant principal or principal. The second tier is not required by the state, but districts may require it for principals. Both Tier I and Tier II programs must be approved by the state. All but two of the state-approved Tier I programs are housed in institutions of higher education, while all of the tier two programs are offered by school districts. For districts that require a Tier II certification, this licensure structure effectively requires new administrators within the state to obtain job-embedded training as they move into a more senior administrative role.

Florida has the fewest school districts of all UPPI states and the highest average district enrollment. Still, one-quarter of districts in the state serve fewer than 5,000 students.

School leadership issues have had relatively high agenda status in the state in recent years. In 2018, the Florida Commissioner of Education created a task force, the School Educational Leadership Enhancement Committee Task Force (SELECT). SELECT convened stakeholders across various organizations in the state, ranging from universities and school districts to foundations and professional associations, and ultimately presented a set of state policy recommendations that could set the stage for future policy change in Florida. A second SELECT has continued the work of the first task force under a new Commissioner of Education, who was instated in January 2019.

State Context

Key Players and Roles

Table B3.1. Florida Key Players and Roles

| Agency | Organization Name | Role |
|---------------------------------------|--|---|
| Governor | N/A | <ul style="list-style-type: none"> The governor appoints the Commissioner of Education, who has authority over Florida Department of Education (FLDOE) staffing and organizational structure. |
| Legislature | N/A | <ul style="list-style-type: none"> The Florida Legislature is the primary source of new laws and policies in principal preparation. Changes or new laws have to be initiated by the legislature. |
| State department of education | <ul style="list-style-type: none"> FLDOE Bureau of Educator Recruitment, Development and Retention: Educator Preparation and Educator Retention Units Bureau of Educator Certification Division of Accountability, Research, and Measurement State Board of Education | <ul style="list-style-type: none"> The Education Commissioner oversees the FLDOE. A new commissioner took office in January of 2019 after the election of the new governor. FLDOE has rulemaking authority and is tasked with implementing legislation and operationalizing changes within the parameters established by law. FLDOE can make recommendations to the legislature about new or modified legislation. FLDOE consults with other actors to support the implementation of laws and operationalization of change. The Bureau of Educator Recruitment, Development and Retention within the FLDOE is responsible for the initial and continued approval of educator preparation programs that lead to certification in Florida. The Bureau of Educator Certification within the FLDOE is responsible for certification in Florida. The Division of Accountability, Research, and Measurement^b within the FLDOE is responsible for the development, administration, and scoring of educator assessments, especially in the teacher and principal licensure ecosystem. The State Board of Education can receive a mandate from the legislature to make changes to existing laws. |
| Professional educator standards board | <ul style="list-style-type: none"> Office of Professional Practice Services^a | <ul style="list-style-type: none"> Office in the FLDOE investigates allegations of misconduct by certified educators and takes disciplinary action as needed. |
| Cooperatives or county offices | N/A | N/A |
| Nonstate entities | <ul style="list-style-type: none"> Florida Association of Professors of Educational Leadership (FAPEL) Florida Association of School Administrators (FASA) Florida Association of District School Superintendents (FADSS) Florida Atlantic University (FAU) | <p>These nonstate entities</p> <ul style="list-style-type: none"> influence laws and their implementation provide professional development for principals provide expertise to inform policymakers serve on task forces and committees. |

^a FLDOE, 2020e.

^b FLDOE, 2020a.

The Role of Nonstate Entities in Florida

The efforts of nonstate entities can shape state education priorities, inform new legislation, advocate for legislation, support policy implementation, or support the development of resources. Nonstate entities in Florida, namely FAPEL, FADSS, and FASA, act as conduits between the groups they represent and state actors, whether those actors are legislators or FLDOE. For example, FAPEL, which represents education leadership faculty in the state, plays such a role between the FLDOE and education leadership programs, in response to the needs of membership to have current information regarding state policies. FAPEL invites the state to speak at its gatherings and brief its membership on policy changes. Similarly, FASA handles policy and professional development issues related to school administrators in the state and releases an annual fall agenda around school administrator issues in an effort to communicate districts' needs to legislators. FASA and FADSS work regularly with the state to promote school leadership as a priority, and FASA also works with the state to design content for its members.

Nonstate actors are also involved in crafting policy recommendations and new legislation. For example, various professional associations, universities, and local education agencies are involved in Florida's SELECT, which has presented a set of recommendations through its first report and has also written legislation around leadership development.

Agenda Status of School Leadership

When asked about Florida's top education priorities, stakeholders most commonly mentioned topics such as career and technical education, the revision of K–12 education standards, school safety, and addressing the teacher shortage through teacher recruitment and retention. While leadership development did arise as a priority for one stakeholder, most other interviewees articulated that school leadership is connected to the state's top education priorities in that it is a critical component of school success in general. They expressed that the state's initiatives, whether focused on school turnaround or school safety, could not successfully move forward without strong leadership, as school leaders have an “exponential impact.”

The Florida Commissioner of Education created an ad hoc task force, the School Educational Leadership Enhancement Committee Task Force (SELECT), to address professional standards, among other school leadership issues. The SELECT included a wide variety of state actors with potential interest or expertise in school leadership issues, such as various staff from the FLDOE, as well as members and personnel from nonstate organizations, such as professional associations, universities, and local education agencies, including FAPEL and Florida Atlantic University.

SELECT has been one vehicle used to shape state policy around school leadership and to apply the lessons learned from UPPI to the state context. The task force has three main goals: (1) develop a vision for educational leadership development in the state, (2) review the Florida Leadership Standards to see how well they align with that vision, and (3) influence policy around educational leadership. The team presented a report with recommendations to the commissioner

from the previous administration in December 2018, and the team plans to make some changes to the original report and present it to the new commissioner.

With regard to the 2019 changes in state leadership, an interviewee stated that the new Education Commissioner understands the importance of school leadership, and that there will likely be an emphasis on school leadership in the future.

School Leadership in the Florida Every Student Succeeds Act Plan

Florida's ESSA plan, approved in September of 2018, mentions school leadership in Title II, Part A, but does not express an intent to reserve 3 percent of the state's Title II, Part A, funding to support state-level activities focused on school leaders (Reedy and Doiron, 2018). In other states that did not take the 3-percent set-aside, some state leaders expressed concern about reducing funds flowing to school districts and were therefore hesitant to commit to the 3-percent set-aside. However, in Florida, the state was using other Title II funds for school leadership beyond the 3-percent set-aside regardless. The plan notes that the state will provide high-quality professional learning for school leaders by supporting the use of data in providing professional learning opportunities and building "statewide communities of practice to engage in meaningful job-embedded and actionable professional learning with clearly articulated and measurable outcomes" (FLDOE, 2018b). The ESSA plan also notes that the state is considering some additional actions in the arena of principal preparation, including improved admission requirements to school leader preparation programs, ways to "build an effective principal pipeline in Florida," and "a more rigorous review process for . . . school leader preparation programs" (FLDOE, 2018b).

Policy Levers Summary

The sections that follow provide an overview of how Florida is using various policy levers to promote high-quality school leadership within the state. The policy levers are the use of standards, recruitment of aspiring leaders, principal licensure, the program approval and oversight process, evaluation, professional development, and leader tracking. After analyzing eight interviews with responses about use of policy levers in Florida, we found that a majority of stakeholders, defined as half or more of our interviewees, agreed that state efforts related to using leadership standards and evaluating principals were effective.

Standards

Florida uses the Florida Principal Leadership Standards (FPLS), which represent its "core expectations for effective school administrators" (FLDOE, 2012a). The FPLS are comprised of ten standards within 4 broader domains—student achievement, instructional leadership, organizational leadership, and professional and ethical behavior. The standards are as follows (FLDOE, 2012a):

1. Student Learning Results
2. Student Learning as a Priority
3. Instructional Plan Implementation
4. Faculty Development
5. Learning Environment
6. Decision Making
7. Leadership Development
8. School Management
9. Communication
10. Professional and Ethical Behaviors.

The FPLS do not appear to be aligned to any other national sets of leadership standards. Specifically, the SELECT report states that “standards and expectations expressed in FPLS and FELE are not comprehensively aligned with current literature, national trends, and national standards (e.g., the Professional Standards for Education Leadership, or PSELs)” (SELECT, 2018). Although the FPLS and PSELs are not intentionally aligned, stakeholders have expressed the opinion that the FPLS and PSELs are similar across the board, but that, regardless, the state should revise the FPLS to explicitly align with the PSELs in accordance with SELECT’s recommendations.

Development of the State Leadership Standards

The previous iteration of the FPLS became effective in 2005 and included only three domains: instructional leadership, operational leadership, and school leadership. The review of the then-existing standards began in April 2011, and the final set of revised leadership standards became effective in December 2011 (Florida Department of State, 2018). The notices of the development of rulemaking suggest that rule development workshops were held, such that individuals could call in or attend in person at FLDOE, presumably to provide input. Once notice of the proposed rule was issued, then a hearing was held. The proposed rule originated from the Interim Chancellor of the K–12 Public Schools and was approved by the Commissioner at the Department of Education (Florida Department of State, 2018).

Use of the State Leadership Standards

According to the FLDOE, the standards “form the foundation for school leader personnel evaluations and professional development systems, school leadership preparation programs, and educator certification requirements” (FLDOE, 2011a). The FLDOE also goes on to state that the standards “may be developed further into leadership curricula and proficiency assessments in fulfillment of their purposes” (FLDOE, 2011a).

For instance, the FPLS form the basis of the training provided by leadership preparation programs, as they are used in the program approval process. Their usage is operationalized in the FPLS Matrix Template, which allows educational leadership programs to describe how their program aligns to each standard in the FPLS. Programs are instructed to list the course as well as

assessments or activities, including coursework and field experiences, that address each indicator of the standards (FLDOE, 2012a). The state assessment that candidates are required to pass for licensure, the FELE, is aligned to the FPLS, as well. Districts providing a Level II program must also provide training aligned to the leadership standards (FLDOE, 2017c).

In addition, according to Florida statute, the standards are an integral component of one portion of the administrator evaluation and are embedded into the state's school leader evaluation template (FLDOE, 2017c; Florida Legislature, 2019a).

Finally, the state's professional development system for school leaders, the William Cecil Golden School Leadership Development Program, is "aligned with and supports" the FPLS (FLDOE, 2020f).

As a result, stakeholders noted that the standards allow the state to raise the floor on principal quality.

Recruitment

Florida does not appear to have any statewide efforts related to the recruitment of school leaders, and stakeholders also noted that recruitment efforts reside largely at the local or district level rather than the state level.

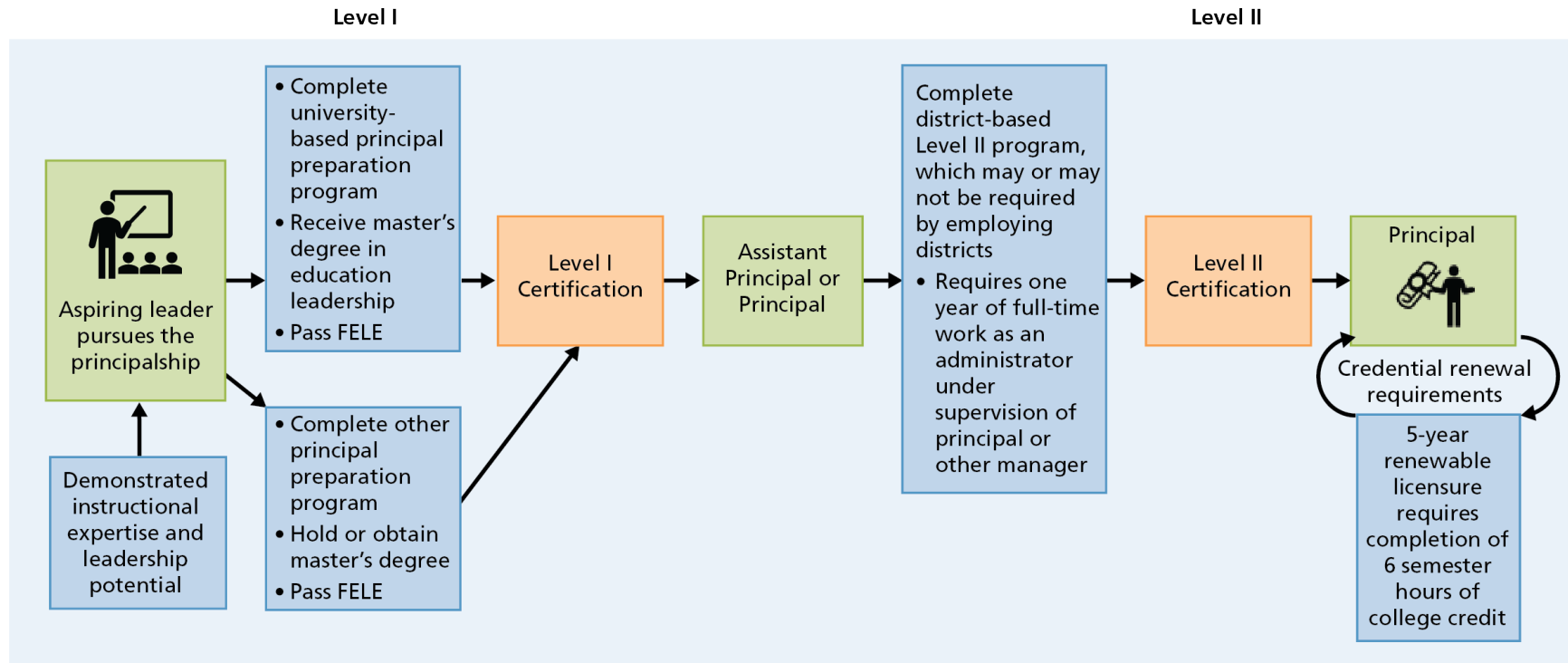
Principal Licensure and Program Approval and Oversight

Pathway to the Principalship

Figure B3.1 describes the pathways to the principalship in Florida.

Florida has a two-tiered pathway to the principalship. According to the Education Code, "Level I programs lead to initial certification in educational leadership for the purpose of preparing individuals to serve as school administrators. Level II programs build upon Level I training and lead to renewal certification as a school principal" (Florida Legislature, 2019c). In short, the Level I certification is designed to prepare candidates for the assistant principalship, while the Level II certification is designed to prepare candidates for the principalship (Teaching Certification, 2020). However, in reality, districts can hire individuals with only a Level I certification to become a principal, and there is no state requirement mandating that school principals must have a Level II certification.

Figure B3.1. Florida's Pathways to the Principalship



NOTE: FELE = Florida Educational Leadership Examination.

Alternative Pathways

There does appear to be one pathway to the Level I certification outside the state-approved programs. Through the passage of the Don Hahnfeldt Veteran and Military Family Opportunity Act, effective July 1, 2018, “U.S. military veterans hired to serve as a school leader or administrator may be eligible for issuance of a special Temporary Certificate in Educational Leadership if he or she . . . received an honorable discharge or retired from the U.S. Armed Forces, . . . served at least three years as a commissioned, non-commissioned, or warrant officer,” and passed the FELE (FLDOE, 2018a). Beyond allowing veterans to take this alternative pathway, Florida also provides a larger group of individuals—veterans, active duty service members, and their spouses—with the ability to request fee waivers for initial certification and certification examination fees.

Prerequisites

To qualify for entry into a Level I program, candidates must demonstrate “instructional expertise” and “leadership potential.” Instructional expertise is operationalized as the “documented demonstration of Florida Educator Accomplished Practices (FEAPs)” as well as “evidence of achieving student learning gains.” Candidates also must have been rated as “effective or higher on the performance of students and instructional practice sections of the candidate’s two most recent performance evaluations.” Leadership potential is defined as “the analysis of candidate’s relentless focus on improving student achievement and contributing to demonstrable improvement of teaching effectiveness in classroom of colleagues not their own” (FLDOE, 2017a). In addition, institutions must set a minimum grade point average for admission. These requirements were mandated by the state as of the beginning of 2017, but institutions are also able to add local admissions requirements as they see fit.

Licensure Requirements

To receive a Level I certification, candidates must hold a master’s or higher degree and must successfully complete the Florida Educational Leadership Core Curriculum. The latter can be achieved through various state-approved programs, including those that award graduate degrees and those that do not (FLDOE, 2007).

After completion of their program, candidates must then pass the Florida Educational Leadership Examination (FELE). The FELE is a computer-based test, aligned to the FPLS (FLDOE, 2014), composed of multiple-choice questions and an essay component (Pearson Education, 2020). After passing the FELE and completing the program, candidates will then receive the Florida Educational Leadership Certification, which is the Level I certification (Florida Atlantic University, 2020).

After receiving a Level I certification, candidates can go on to receive certification as a school principal (Level II) by completing an FLDOE-approved district Level II program. In the

Level II program, candidates are employed as a full-time administrator in a Florida public school and are expected to demonstrate the competencies outlined in the FPLS under the supervision of a practicing administrator approved by the district (FLDOE, 2008). Lastly, the FLDOE is in the process of piloting Level II assessments, which can be voluntarily adopted by districts and may potentially be scaled to the state in the future. However, this is not yet an official state requirement. The test development team anticipated finalizing performance items by spring 2020.

Approval of State Programs

The FLDOE’s Bureau of Educator Recruitment, Development and Retention is responsible for the review and approval of all Level I and Level II certification programs (FLDOE, 2020c). Initial and continued approval lasts for five years (FLDOE, 2016a, 2016b, 2017b), but programs must report certain data to the FLDOE annually, including the percentage of candidates who complete the program, state assessment passage rates, the results of personnel evaluations, the percentage of candidates placed in administrative positions in Florida public schools, and continuous improvement strategies (FLDOE, 2017a).

State-Approved Preparation Programs

According to the FLDOE, there are 25 programs approved to issue the Level I certification. These institutions include institutions of higher education as well as two school districts (FLDOE, 2020b). Florida statute also indicates that charter schools and charter management organizations are also allowed to submit applications to the FLDOE to establish school leader preparation programs. In contrast, the state authorizes only school districts, charter schools, and charter management organizations to offer Level II (FLDOE, 2017a). As of mid-2020, no charter schools or charter management organizations offered Level II programs.

Table B3.2 describes the number of providers offering Level I and Level II programs.

Table B3.2. Number of Providers Offering Level I and Level II Programs

| Credential Type | Institutions of Higher Education | School Districts | Total # of Approved Institutions |
|------------------------|---|-------------------------|---|
| Level I Program | 23 | 2 | 25 |
| Level II Program | 0 | 66 | 66 |

Program Approval Standards and Their Relation to State Leadership Standards

Program approval is based on three standards. Standard one is “program candidate and completer quality,” which relates to programs’ admission requirements; standard two is “field experiences”; and standard three is “program effectiveness,” which relates to “candidate and completer performance and impact.” The program approval standards were updated in late 2016

(FLDOE, 2017b), although stakeholders noted that it may be too early still to see the impact of these changes.

Florida statute indicates that, in order to be approved by the FLDOE, Level I and Level II programs must provide training aligned to the FPLS. The FLDOE provides a matrix to Level I programs so that they can note, in the approval process, how their courses, course activities, and field experiences align to the standards.

Requirements for Approval

There are several requirements for approval outlined in Florida statutes. As noted earlier, programs must provide training aligned to the state's leadership standards and to the state's personnel evaluation criteria. They must also meet the three program standards outlined earlier: program candidate and completer quality, field experiences, and program effectiveness. If the program is an institution of higher education, it must partner with at least one school district (FLDOE, 2017c). Then, the school district and institutional program must then work together to “determine program admission standards, and identify and select candidates,” “provide job-embedded field experiences for program candidates,” “identify strategies for continuous improvement of the program,” and ensure that key program faculty have experience as high-performing principals (FLDOE, 2017a).

Professional Development

State-Supported Professional Development

Stakeholders expressed the opinion that, once candidates achieve their Level II certification, professional development largely becomes a district responsibility. However, the state does have some activities related to school leader development. It has a statewide professional development system called the William Cecil Golden School Leadership Development Program. There is also a professional leadership academy, the Brian Dassler Leadership Academy (FLDOE, 2020d), that admits two principals from each district to participate in a year-long academy. Stakeholders were favorable about the program overall, but some expressed a view that the overall impact of the program on the quality of school leadership was limited by the current size of the program. According to interviewees, the state also has an instructional leadership grant that provides funds for districts to use on leadership development.

Besides these state initiatives, Florida Statute 1012.98 outlines the elements that must be included in districts' professional development systems. These professional development systems, which must be approved by the FLDOE, “include in-service activities for school administrative personnel that address updated skills necessary for instructional leadership and effective school management” (Florida Legislature, 2019b).

Professional Development in the Licensure Process

Florida's two-tiered system requires districts to take responsibility for the training of administrators in the Level II phase of their certification process. Level II programs can also be offered by charter schools or charter management organizations. According to Florida statute, in order to be approved, Level II programs must provide "competency-based training aligned to the principal leadership standards adopted by the State Board of Education," "training aligned to the personnel evaluation criteria," and "individualized instruction using a customized learning plan for each person enrolled in the program that is based on data from self-assessment, selection, and appraisal instruments" (Florida Legislature, 2019c).

There is also one administrative certification requirement that relates to professional development after the issuance of the certification, although the burden instead falls back on the program rather than the district. One of the requirements for Level I programs is that they must "guarantee the high quality of personnel who complete the program" (Florida Legislature, 2019c). If one of their graduates is rated as less than highly effective or effective, then the district can request additional training, requiring the Level I program to provide training to the graduate at no cost.

Evaluation

Districts have autonomy to create their principal evaluation tools, but the state provides a framework that districts have to comply with. Stakeholders, in general, seemed to appreciate that there is indeed a statewide system of evaluation that is aligned to state leadership standards, which can help districts understand whether their principals are effective or not.

Evaluations must be conducted at least once a year. Additionally, the Florida statute states that a third of the evaluation must be based on student performance, and a third must be based on instructional leadership, the criteria for which must include indicators derived from the FPLS. The remainder of the evaluation may include an evaluation of professional responsibilities (FLDOE, 2011b; Florida Legislature, 2019a).

Beyond the state requirements outlined above, the FLDOE also has a template for districts' school leader evaluation systems, consisting of observation and evaluation forms and procedures. It is dated effective July 1, 2012 (FLDOE, 2012b).

Leader Tracking Systems

There is no statewide database of school leaders. However, districts are required to submit their employee statistics three times a year to a statewide staff information system. Currently, the FLDOE provides data to preparation programs regarding the employment of their program completers if the candidate has taken on an instructional position, but the FLDOE is considering expanding this process to educational leadership positions in the future.

Beyond this potential for data-sharing in the future, leader tracking occurs within a handful of districts, and interviewees stated that creating a leader tracking system is largely left to

districts. However, SELECT did recommend in its report that the state “incentivize and support the development of district- or consortia-based database management systems that collect and aggregate data on leader preparation, leadership development, and leadership performance outcomes to support placement, planning, and decision-making at the school district level” (SELECT, 2018).

Appendix B4. Georgia State Profile

Georgia is one of four UPPI states that has a two-tiered licensure process. Most state-approved Tier I and Tier II programs are housed in institutions of higher education, with some programs being offered by Regional Educational Service Agencies (RESAs). The licensure structure requires candidates seeking an administrator credential to complete a state-approved program in Tier I and Tier II, in addition to other requirements, such as the Georgia Assessments for the Certification of Educators (GACE), and employment by a Local Unit of Administration (or district). Tier II programs, leading to principalship or district-level leadership credentials, are “intensive, performance-based programs” (Georgia Professional Standards Commission, 2019d), exemplified by admission rules that stipulate that aspiring principals must be employed in a leadership position, such as the assistant principalship, so they can successfully complete the required 750 hours of clinical experience. Georgia has 180 school districts, with 80 percent of districts serving 10,000 or fewer students.

Georgia utilizes strong partnerships among government, state professional organizations, regional organizations, department of education offices, and universities to provide support and resources to teachers and principals. For example, the Governor’s School Leadership Academy (GSLA) has four programs, with two focused on principal development: the Aspiring Principal Program and the Principal Support Program. Through a partnership with the Georgia Department of Education (GaDOE), school improvement efforts in chronically low-performing schools have been coordinated and enriched through cohort-based professional learning in which principals and their GaDOE support personnel learn and work together on identified goals. GSLA has also developed partnerships with state universities to coordinate learning opportunities for candidates who are interested in pursuing advanced leadership degrees. In addition to formal partnerships, the GSLA engaged with all 16 RESAs in 2019 to learn about district needs, supports, and challenges and created a report with their findings (Georgia Governor’s Office of Student Achievement, 2019).

State Context

Key Players and Roles

Table B4.1. Georgia Key Players and Roles

| Agency | Organization Name | Role |
|---------------------------------------|---|--|
| Governor | <ul style="list-style-type: none"> Governor Governor's School Leadership Academy (GSLA) (part of the Governor's Office of Student Achievement [GOSA]) | <ul style="list-style-type: none"> The governor approves the budget, which describes how funds will be allocated toward education. GSLA is a program that offers professional development to educators who aspire to school leadership. |
| Legislature | <ul style="list-style-type: none"> Georgia General Assembly | <ul style="list-style-type: none"> The Georgia General Assembly is a source of new laws and policies in principal preparation. It creates and approves education laws and reviews amendments. |
| State department of education | <ul style="list-style-type: none"> State Superintendent of Education Georgia Department of Education (GaDOE) State Board of Education | <ul style="list-style-type: none"> The Superintendent of Schools is the administrative head of the GaDOE and is popularly elected. GaDOE oversees public education and ensures that education laws and regulations are followed. It also monitors the allocation of funds to local school systems. The State Board of Education and the School Superintendent review policies and conduct budget reviews to provide recommendations and approvals on education policy. |
| Professional educator standards board | <ul style="list-style-type: none"> Georgia Professional Standards Commission (GaPSC) | <ul style="list-style-type: none"> GaPSC was created by the Georgia General Assembly to be responsible for the certification and licensure of school administrators, and approval and oversight of principal preparation programs and other pathways to school administration. |
| Cooperatives or county offices | <ul style="list-style-type: none"> Regional Educational Service Agencies (RESAs) P–20 Regional Collaboratives | <ul style="list-style-type: none"> RESAs receive funding from the state and member local education agencies (LEAs) to offer support to LEAs. They are governed by local boards including a superintendent from each district, a president or administrator from each member postsecondary institution, and a director of a local or regional public library.^a GaPSC, GaDOE, and the University System of Georgia (USG) established nine regional P–20 Collaboratives to support the preparation and retention of educators. They include 212 school districts, 16 RESAs, 64 public and private colleges and universities, and nontraditional providers. |

| Agency | Organization Name | Role |
|-------------------|--|--|
| Nonstate entities | <ul style="list-style-type: none"> Professional associations Georgia Association of Educational Leaders (GAEL) Georgia Educational Leadership Faculty Association (GELFA) (Affiliate) Georgia Association of School Personnel Administrators (GASPA) (Affiliate) Georgia Partnership for Excellence in Education (GPEE) | <ul style="list-style-type: none"> GAEL is an umbrella organization that unifies school leadership groups in Georgia. GELFA participates in leadership development and advocacy. It is a source for resources and networking for educational leadership preparation program faculty and their district partners. GASPA provides support for public schools in Georgia K–12 and holds two conferences per year. It provides professional development and resources for human resources/human capital professionals across the state. GPEE is a public policy advocacy group in the state, supported by the Georgia Chamber of Commerce. It influences legislation on topics in education. |
| | <ul style="list-style-type: none"> Institutions of education University System of Georgia (USG) Gwinnett County Public Schools (GCPS) | <ul style="list-style-type: none"> USG, governed by the Board of Regents, acts as a liaison to GaPSC and GaDOE on behalf of the 26 institutions of higher education in the state. Its primary role is to support institutions of higher education in meeting the requirements set out by GaPSC and GaDOE. USG mostly deals with providing program status data, but it interacts with GaPSC and GaDOE. USG will serve as the “broker” between a university and GaPSC program approval policies. Conversations with GaDOE are around program induction and mentoring as well as ESSA and higher education. GCPS is the largest district in the state. District officials provide guidance to state policymakers and are involved in state initiatives. |

^a Georgia Professional Standards Commission, 2018a.

The Role of Nonstate Entities in Georgia

Nonstate entities in Georgia serve as a channel to state organizations and a representative for their members, in addition to providing support and resources. For example, GAEL serves as the unifying organization for school leader groups, including GELFA and GASPA. GAEL, GELFA, and GASPA are well positioned to provide resources and trainings, such as professional development, to districts, in addition to advocating for their members on education legislation. GAEL and their affiliates collaborate with GaPSC by providing feedback and insight on proposed policy. The Governor’s Office of Student Achievement (GOSA), through the GLSA, has also partnered with GAEL to share resources and facilitate cooperation between their Aspiring Principal Programs. GLSA has a very strong working relationship with the GaDOE School Improvement Division and has provided the Principal Support Program to all federally identified schools it serves. GOSA routinely coordinates with the GaDOE School and District Effectiveness staff, and GOSA representatives attend GLSA-facilitated principal support sessions with their principals. Additionally, state officials tap nonstate entities to provide input and other supports on state initiatives. For example, when the Governor’s School Leadership was established, Gwinnett County Public Schools (GCPS) served as a developmental partner to provide technical assistance because of GCPS’s nationally recognized successes in leadership

development. GCPS remains a strong partner to the GSLA Principal Support and Aspiring Principal Programs.

Agenda Status of School Leadership

School leadership was explicitly named as one of the top three state priorities by two of the four interviewees participating in our stakeholder interviews. Other state priorities included early learning, whole child/school climate, teacher retention, school safety, and literacy. School leadership also garners attention at the state level through state and local initiatives. GaPSC and GaDOE have departments focused on school leadership. These departments hold conferences and meetings throughout the year to convey updates to universities and districts, including rule changes, requirements, and question and answer sessions. They also provide technical assistance on program or rule implementation. Both agencies, along with the USG, have regular conversations to encourage alignment, which was not the case about a decade ago, when there was less communication and official collaboration between the organizations. The agencies are part of the Alliance of Education Agency Heads, working to align their initiatives, but are not required to work together. Another organization that contributes to the state's agenda of school leadership is GAEL. GAEL is an umbrella organization for several other nonprofits, including GELFA and GASPA. GAEL works with GaPSC, GADOE, and its affiliates to disseminate information about leadership in Georgia, such as professional development and working with principal preparation programs.

School Leadership in the Georgia Every Student Succeeds Act Plan

Georgia's State ESSA plan was approved January 2018 and mentions school leadership in Title II, Part A. ESSA Title II, Part A, acknowledges that leadership is vital to improving school performance and GADOE will work with preparation programs to ensure leaders are prepared to support their school's needs (Georgia Department of Education, 2017). GADOE developed the Georgia Systems for Continuous Improvement and uses the framework to assess school capacity and provide tailored trainings and professional learning resources to schools.

Georgia did not take the 3-percent set-aside under ESSA. A potential reason that it did not was that, with the regulation changes, private school allocations would have dropped smaller districts' funding to a nominal level.

Policy Levers Summary

The sections that follow provide an overview of how Georgia is using various policy levers to promote high-quality school leadership within the state. The policy levers are the use of standards, recruitment of aspiring leaders, principal licensure, the program approval and oversight process, evaluation, professional development, and leader tracking. After analyzing

four interviews with responses about use of policy levers in Georgia, we found that a majority of stakeholders, defined as half or more of our interviewees, agreed that state efforts related to using leadership standards, approving and overseeing principal preparation programs, and licensing principals were effective.

Standards

Georgia leadership standards are the Georgia Education Leadership Standards and Elements (GELS), approved in July 2018. The GELS are adapted from, and closely aligned with, the Professional Standards for Educational Leaders (PSEL) and encompass ten standards (Georgia Professional Standards Commission, 2019d):

1. Develop, advocate, and enact a shared mission, vision, and core values of high-quality education and academic success and well-being of each student.
2. Act ethically and according to professional norms to promote each student's academic success and well-being.
3. Strive for equity of educational opportunity and culturally responsive practices to promote each student's academic success and well-being.
4. Develop and support intellectually rigorous and coherent systems of curriculum, instruction, and assessment to promote each student's academic success and well-being.
5. Cultivate an inclusive, caring, and supportive school community that promotes the academic success and well-being of each student.
6. Develop the professional capacity and practice of school personnel to promote each student's academic success and well-being.
7. Foster a professional community of teachers and other professional staff to promote each student's academic success and well-being.
8. Engage families and the community in meaningful, reciprocal, and mutually beneficial ways to promote each student's academic success and well-being.
9. Manage school operations and resources to promote each student's academic success and well-being.
10. Act as agents of continuous improvement to promote each student's academic success and well-being.

Development of the State Leadership Standards

The Georgia Educational Leadership Standards (GELS) were adapted from and aligned with the PSEL with the input of a group of stakeholders representative of educational leadership preparation programs, Regional Educational Service Agencies, and school districts.

Use of State Leadership Standards

Standards and elements of the GELS, adapted from PSEL, are to be incorporated in Tier I and II programs in order to create a framework designed to prepare school and district leaders to have a deep understanding of teaching and learning, the ability to use formative and summative assessment data to inform school improvement work, and the skills to build a supportive school culture that promotes a high quality of standards for all students. The state expects that, for both

Tier I and Tier II programs, key program materials and activities, such as planning forms, catalogs, syllabi, key assessments, and website information, will reflect these standards.

Recruitment

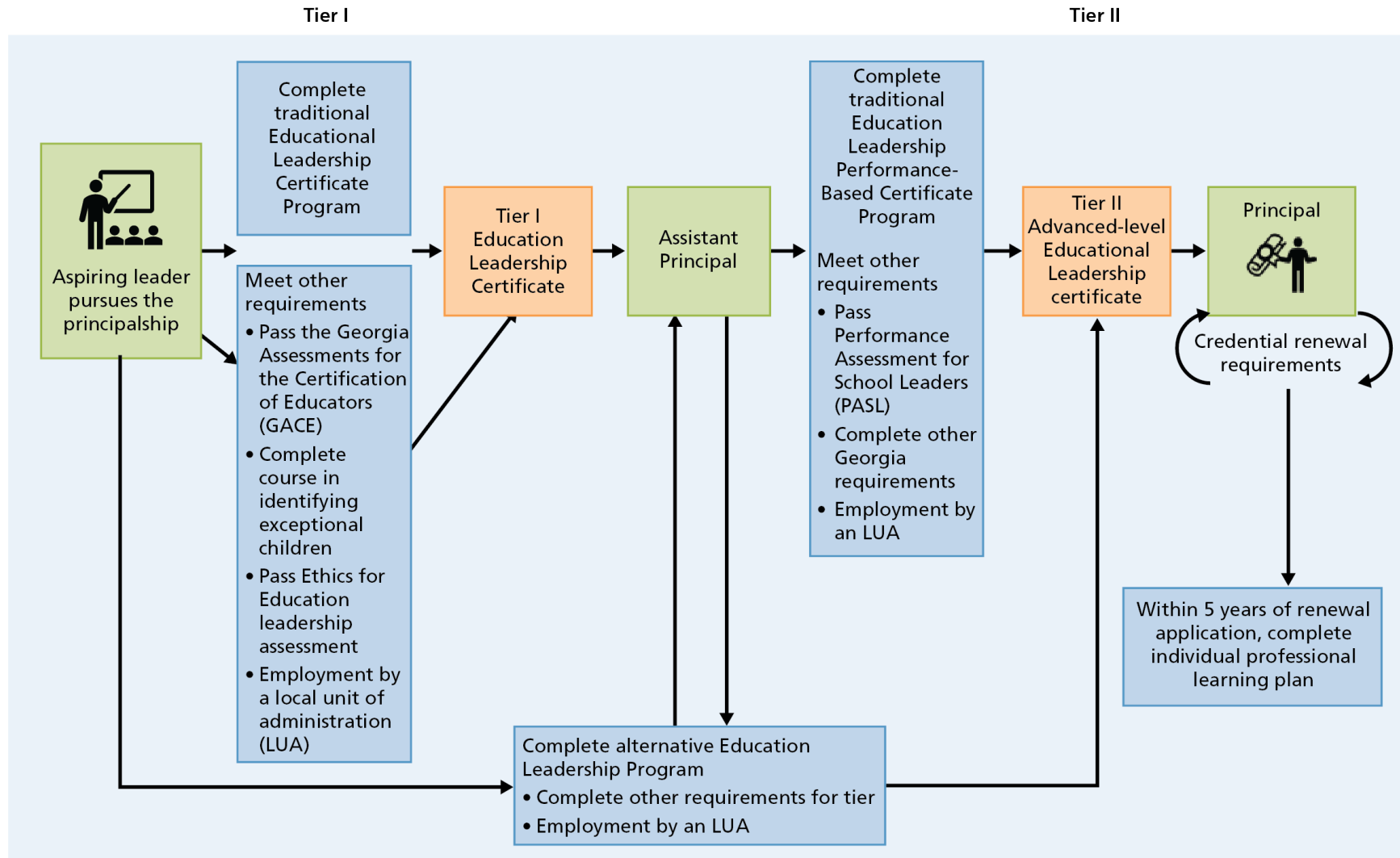
Georgia supports school leader recruitment through state-supported programs. The Governor's School Leadership Academy (GSLA) provides statewide leadership preparation and support for principals and aspiring school leaders through four independent programs (Georgia Governor's Office of Student Achievement, 2020b). The GSLA has established partnerships with GCPS, GaDOE Office of School Improvement, Georgia Southern University College of Education, Georgia State University, GaPSC, and the 16 RESAs in the state, and each of GSLA's four programs strategically and systematically contribute to the establishment and development of Georgia's teacher and leader pipeline. The Principal Support Program serves current principals of federally identified schools; the Aspiring Principal Program serves educators from districts that include a federally identified school who have an expressed desire to become a principal. All the GSLA programs have a similar structure, including in-person cohort meetings based on current research and best practices, experiences using data-driven decisionmaking in job-embedded assignments, and mentoring and coaching from former principals with proven success.

Principal Licensure and Program Approval and Oversight

Pathway to the Principalship

Figure B4.1 describes the pathway to the principalship in Georgia. In addition to these pathways, Georgia offers reciprocity provisions to streamline attainment of licensure in Georgia for those who already hold licensure in another state (Georgia Professional Standards Commission, 2020a). We do not discuss those options in this profile.

Figure B4.1 Georgia's Pathways to the Principalship



GaPSC is responsible for issuing certification for educators. In 2016, GaPSC replaced its certification system with a two-tier Educational Leadership certification structure: Standard Professional Tier I, Standard Professional Tier II, and Performance-Based Professional Tier II. The previous structure had three field options: Educational Leadership (field 704), Educational Leadership—Building Level (field 706), and Educational Leadership—System Level (field 707) (Georgia Professional Standards Commission, 2019a). Tier I is an entry-level position, such as an assistant principal or a district-level position that does not supervise other leaders. Tier II certification is for supervisory leadership positions, such as principal, principal supervisor, or superintendent. Tier I and Tier II have legacy options to meet requirements. For example, candidates who enrolled in an obsolete GaPSC building or system level program prior to May 2017 do not need a Tier I certificate to be eligible for Tier II certification because the previous program content met or exceeded Tier I program requirements. Also, if the candidate is in a Tier I or Tier II position prior to meeting the Tier I or Tier II requirements, then the LUA where they are employed can request a three-year nonrenewable certificate if the candidate (1) holds a bachelor's degree or higher from a GaPSC accredited institution for Tier I or a master's degree or higher for Tier II and (2) completes the Ethics for Educational Leadership assessment.

Alternative Pathways

Aspiring principals can bypass a university-based program and complete a non-degree preparation program that is also approved by the state. Regulations state that the number of approved alternative preparation programs will be limited until there is sufficient data to determine effectiveness (Georgia Professional Standards Commission, 2018b). Currently, all of the approved alternative preparation programs are provided by RESAs. There are more approved alternative programs for Tier I than for Tier II. To attain state approval, alternative preparation programs must be aligned with the GELS. Alternative preparation program admission is more restrictive than a traditional program route is. Admission to an alternative program requires employment in a leadership position, a recommendation from the employer (and assurance of support), level 5 or higher Standard Professional Educational Leadership (Tier I) certificate, and references that show evidence of successful performance in a leadership position. Candidates who pursue the alternative programs must also meet the other requirements for licensure for the respective licensure tier.

Prerequisites

Admission and selection to preparation programs in Georgia is based on regulation and program admission requirements (Georgia Professional Standards Commission, 2019d). Candidates who hold a Tier I certificate and are employed in a leadership position are eligible for a Tier II program. In cases where the candidate is not employed in a leadership position, an official Partnership Agreement between the preparation program and the employer outlines the

agreed-upon plan on how school-day time will allow the candidate to complete 750 hours of clinical residency experiences featuring job-embedded leadership performances.

GaPSC advises programs to verify employment and incorporate all admission requirements into its Partnership Agreements with P–12 schools. Additionally, Tier II programs are required to work with partnering schools to construct admission requirements that ensure only qualified candidates are admitted to programs.

Licensure Requirements

To receive initial leadership certification, or a Tier I Educational Leadership certificate, candidates must complete a GaPSC-approved Tier I certificate program at the master’s level, complete applicable Special Georgia Requirements (e.g., pass the Georgia Assessments for the Certification of Educators [GACE] Educational Leadership Assessment, complete a course in identifying and educating exceptional children, pass the Ethics for Educational Leadership assessment), and meet standards of conduct (Georgia Professional Standards Commission, 2019a). Tier I certification is for entry-level leadership positions below principal at the building level and for district-level positions that do not supervise principals.

Once candidates have their Tier I credential, they can pursue a Tier II Advanced-Level Educational Leadership certificate. Tier II certification is for educators who work in any leadership position, including school-level principal, superintendent, or another type of position that supervises other leaders. To obtain Tier II certification, candidates must possess a Tier I certificate, complete a Tier II certificate program, complete applicable Special Georgia Requirements, pass the Performance-Based Assessment for School Leaders (PASL), and meet standards of conduct. The PASL was added as a requirement for candidates completing a Tier II program after July 1, 2017 (Georgia Professional Standards Commission, 2020b).

Georgia renewal certificates are valid for five years. Individuals must complete outlined requirements within the five years to renew their license. An educator who works in a school, agencies, or other education organization must complete a criminal record check, engage in professional learning, and complete professional learning requirements outlined in renewal requirement regulations.

Additionally, GaPSC recently updated its regulation that outlines the number of assessments required by principal preparation programs for program approval process (Georgia Professional Standards Commission, 2020f). Previously GaPSC required six key assessments but updated the regulation to require four key assessments.

Approval of State Programs

GaPSC is responsible for reviewing and approving preparation programs (Georgia Professional Standards Commission, 2020a, 2020d). The Educator Preparation Provider (EPP) is required to have approval from its governing board prior to submitting documentation for approval to GaPSC. Additionally, all GaPSC-approved EPPs require accreditation by the

Southern Association of Colleges and Schools (SACS). GaPSC approval standards are adapted from the most recent version of the Council for the Accreditation of Educator Preparation (CAEP), and the approval cycle includes a Developmental Approval that is valid for three years and a Continuing Approval that is valid for seven years. Regulation also states that CAEP accreditation is optional and that GaPSC accepts CAEP accreditation for state approval for EPPs. GaPSC reviews and approves all programs leading to certification, and program approval is contingent upon EPP approval. EPPs are also required to follow annual reporting requirements by submitting Title II information and candidate-level data to the Traditional Program Management System (TPMS) or Nontraditional Reporting System (NTRS). In addition to the seven-year approval (and summative) review, GaPSC recommends a formative review in year 3 or 4 (of the seven-year cycle).

Using *Guidance for Interpreting and Implementing Educational Leadership Preparation Program Rules 505-3-.76 and 505-3-.77* (Georgia Professional Standards Commission, 2019d) and *Guidance for Georgia Standards 2016* (Georgia Professional Standards Commission, 2020f), EPPs upload evidence and information to the Program Reporting System (PRS-II) for approval review. Following review of documentation, site visits are conducted on a seven-year cycle.

Georgia developed a system for assessing educator preparation program effectiveness, called the Preparation Program Effectiveness Measure (PPEM). PPEMs include the Teacher Preparation Program Effectiveness Measures (TPPEMs) and the Leader Preparation Program Effectiveness Measures (LLEPMs) for Tier I and Tier II programs. TPPEMs became consequential in 2018–2019 and will be more so “once sufficient data” are available (Georgia Professional Standards Commission, 2019c). If there are sufficient data, GaPSC will also provide aggregate annual data to approved EPPs.

State-Approved Preparation Programs

According to GaPSC, there are 22 Tier I programs and 17 Tier II programs. The programs are offered by institutions of higher education and by RESAs. Table B4.2 describes the types of institutions that administer programs resulting in an entry-level leadership certificate (Tier I) and advanced leadership certificate (Tier II). The categories listed are public universities, which include the University of Georgia; private universities and colleges; and RESAs. A glance at the table shows that the university route is dominant for the Tier I and Tier II credential. However, RESAs offer both Tier I and Tier II alternative routes. More RESAs offer Tier I than Tier II, and the Tier I pathway is more common than Tier II.

Table B4.2. Types of Institutions That Administer Programs Resulting in a Tier I or Tier II Credential

| Credential Type | Public Universities | Private/ Independent Institutions | RESAs | Other | Total # of Approved Institutions |
|------------------------|----------------------------|--|--------------|--------------|---|
| Tier I | 11 | 7 | 4 | 0 | 22 |
| Tier II | 11 | 4 | 2 | 0 | 17 |

Program Approval Standards and Their Relation to State Leadership Standards

Beginning in fall 2020, per regulations updated in July 2018 (Georgia Professional Standards Commission, 2019d), EPPs will be required to use GELS as the basis for program curricula, and the GELS should be present in planning forms, catalogs, syllabi, key assessments, and website information for both Tier I and Tier II programs. Program design, implementation, and assessment should also be based on the GELS. EPPs are also advised to consider additional standards (national and state) in developing and implementing program curricula and clinical experiences at the appropriate levels.

Requirements for Approval

GaPSC adopted standards for approving EPPs in May 2014. The standards, based on “evidence, continuous improvement, innovation, and clinical practice,” were implemented in September 2016 (Georgia Professional Standards Commission, 2020f). The standards required institutions to follow admission requirements, pre-service certificates for candidates, program content and curriculum requirements, partnerships for field experiences and clinical practice, assessments, and program completion outlined in the Georgia Standards. GaPSC outlines six standards for approval in the *Georgia Standards for the Approval of Educator Preparation Providers and Educator Preparation Programs* (Georgia Professional Standards Commission, 2016):

- Standard 1: Content and Pedagogical Knowledge
- Standard 2: Clinical Partnerships and Practice
- Standard 3: Candidate Quality, Recruitment, and Selectivity
- Standard 4: Program Impact
- Standard 5: Provider Quality Assurance and Continuous Improvement
- Standard 6: Georgia Requirements for Educator Preparation Providers and Educator Preparation Programs.

According to Standard 6, all EPPs approved by GaPSC must meet the applicable requirements (Georgia Professional Standards Commission, 2020e). The GaPSC reporting year is September 1 through August 31.

GaPSC encourages EPPs to conduct a formative assessment of educational leadership programs at the mid-point of the seven-year approval cycle to help EPPs identify weaknesses in their program that might hinder their approval status. Until the 2020–2021 academic year,

GaPSC can provide funding to EPPs to participate in the Quality Measures (QM) program evaluation process (Education Development Center, 2020). If a program does not use the QM process, it is encouraged to conduct a valid and reliable alternative formative program assessment.

Professional Development

There appears to be state support for ongoing professional development, primarily through the Governor's School Leadership Academy, GaDOE, and GaPSC. There are also resources and support through the RESAs and affiliates with GELFA.

State-Supported Professional Development

The GSLA Principal Support Program (Georgia Governor's Office of Student Achievement, 2020c) for "sitting principals in turnaround schools" provides job-embedded experiences to apply lessons learned and school improvement processes to their specific context. The state also promotes professional development through Leader Induction Plans (Georgia Department of Education, 2018b), which were part of Georgia's Race to the Top Initiative. When a principal is hired, they develop a Leader Induction Plan that sets the foundation for the principal's professional learning. The plan uses the district's teaching and learning goals along with assessment results from the school to guide the plan. GaDOE also provides guidance, technical assistance, and support to districts as they develop their professional development plans and offerings. Additionally, RESAs have the opportunity to collaborate with districts to create a professional learning plan.

Professional Development in the Licensure Process

An employed principal is required to engage in professional learning throughout their position at a LUA (Georgia Professional Standards Commission, 2020c). If a principal is not employed during the time they are seeking licensure renewal, they can fulfill a certain number of Professional Learning Units (PLUs), Continuing Education Units (CEUs), college work, or approved trainings.

Evaluation

GaDOE is responsible for developing and ensuring compliance with principal evaluation systems, by which all principals in the state are evaluated. Official Code of Georgia 20-2-210 requires LEAs to annually "provide written notice in advance of each school year to each assistant principal or principal of the evaluation measures and any specific indicators that will be used for evaluation purposes."

GaDOE developed and adopted the Leader Keys Effectiveness System (LKES), a state-mandated evaluation tool (Georgia Department of Education, 2018a). The tool measures domains of performance to generate an overall Leader Effectiveness Measure (LEM). The four

domains are Leader Assessment on Performance Standards (LAPS), Student Growth, College and Career Ready Performance Index (CCRPI) School Climate Star Rating, and a combination of additional data (Achievement Gap Reduction, Beating the Odds, and other CCRPI data). LAPS consisted of eight performance standards that outline the major duties performed by a leader in each domain and serve as the basis for the evaluation:

- Instructional Leadership
- School Climate
- Planning and Assessment
- Organizational Management
- Human Resources Management
- Teacher/Staff Evaluation
- Professionalism
- Communication and Community Relations.

LKES performance standards are aligned with GELS, which are aligned with PSEL. The LKES standards are also associated with principal evaluation, staffing, and professional development.

Leader Tracking Systems

Although there is no statewide leader tracking system in Georgia, UPPI funding is supporting the development of a tracking system for the southwest region of the state, where Albany State University and its partner school districts are located.

Appendix B5. Kentucky State Profile

In Kentucky, all state-approved programs are housed in institutions of higher education. The licensure structure requires aspiring principals to complete both a state-approved Level I and Level II program to become a principal. Kentucky has 173 school districts, and most of the districts serve fewer than 10,000 students. Most school districts are members of educational cooperatives. There are nine educational cooperatives focused on providing support for improving services in member districts and working with the Kentucky Department of Education (KDE) to promote their work and support the needs of districts.

Kentucky has a professional standards board: the Education Professional Standards Board (EPSB). In 2017, a new executive order reconfigured the EPSB agency, transferring the administrative functions from EPSB to KDE. EPSB remains an independent organization, and the Commissioner of Education serves as the executive secretary of the EPSB (Professional Educator Standards Boards Association, 2017). As of 2018, the new Office of Educator Licensure and Effectiveness (OELE) within the KDE serves as the administrative arm of the EPSB, which was previously housed under the Education and Workforce Development Cabinet.

State Context

Key Players and Roles

Table B5.1. Kentucky Key Players and Roles

| Agency | Organization Name | Role |
|-------------------------------|--|---|
| Governor | <ul style="list-style-type: none"> Governor | <ul style="list-style-type: none"> The governor appoints 11 of the 14 members to the Kentucky Board of Education. |
| Legislature | <ul style="list-style-type: none"> Kentucky General Assembly | <ul style="list-style-type: none"> The Kentucky General Assembly reviews and approves education legislation. |
| State department of education | <ul style="list-style-type: none"> Kentucky Department of Education (KDE) Kentucky Board of Education Commissioner of Education | <ul style="list-style-type: none"> KDE provides continual support and training for practicing principals. The KDE Office of Educator Licensure and Effectiveness (OELE) (formerly the agency arm of the Education and Professional Standards Board) relocated in December 2019 to KDE's offices. The Kentucky Board of Education develops and adopts regulations that govern school districts and activities in the KDE. 11 members are appointed by the governor and confirmed by the state House of Representatives and Senate, but not considered political appointments. The 3 other members are nonvoting members: the president of the Council of Postsecondary Education, the Secretary of the Education and Workforce Development Cabinet, and an active elementary or secondary school teacher. The board appoints the Commissioner of Education. The Commissioner of Education administers, structures, and organizes the KDE. |
| Professional standards board | <ul style="list-style-type: none"> Education Professional Standards Board (EPSB) | <ul style="list-style-type: none"> As of mid-2020, Kentucky is one of only 13 states with an independent professional standards board, EPSB. EPSB oversees accreditation of education preparation programs. EPSB still exists in its role. EPSB still operates as an independent board and has authority to promulgate, execute, and monitor policies and regulations for preparation programs in the state. |
| Cooperatives | <ul style="list-style-type: none"> Educational cooperatives | <ul style="list-style-type: none"> Provide assistance and expertise to member school districts. |
| Nonstate entities | <ul style="list-style-type: none"> Kentucky Association of Elementary School Principals (KAESP) Kentucky Association of School Administrators (KASA) Kentucky Association of Secondary School Principals (KASSP) Kentucky Association of School Superintendents (KASS) | <ul style="list-style-type: none"> KAESP works with elementary and middle school principals. It is an affiliate of KASA. KASA provides advocacy, resources, and support to school administrators. It led the implementation of the state's Professional Growth and Effectiveness System (PGES) for school superintendents, principals (not complete yet), and teachers (complete). KASSP supports middle and high school principals through resources and support. KASS works with all school superintendents in the state, providing advocacy, resources, and support. |

The Role of Nonstate Entities in Kentucky

Kentucky has nine regional cooperatives that span the entire state. Each cooperative provides support, services, programs, and expertise to its members. Cooperatives also work with the member districts to leverage purchasing power. For example, the Green River Regional Educational Cooperative provides data collection support and analysis to districts looking to improve their school culture and works to purchase school supplies for member districts. Cooperatives also partner with universities to provide programming, such as the Ohio Valley Educational Cooperative and University of Louisville partnership that provides professional development to districts.

Agenda Status of School Leadership

School leadership was not explicitly mentioned as a state priority by any interviewee participating in our stakeholder interviews. However, interviewees did acknowledge that quality leaders are important and that neglecting this topic may contribute to challenges in the future (e.g., shortage of principals). Instead, the common priorities mentioned by interviewees were academic standards, school safety and mental health issues, charter schools, and pensions.

The state has invested resources in leadership development through the Kentucky Department of Education (KDE) principal education and support programs:

- The Principal Partnership Project (P3) offers assistance to principals within their assigned school district.
- The Aspiring Principal Preparation Project (AP3) was implemented in the 2017–18 school year.
- The Kentucky Principal Internship Program (KPIP) is a one-year internship that is required by the state to receive a Level II School Principal Certificate, but the program is suspended due to lack of available funds (Kentucky Education Professional Standards Board, 2020).

School Leadership in Kentucky Every Student Succeeds Act Plan

Kentucky's ESSA Plan, the Kentucky Consolidated State Plan, was approved in September 2019 and mentions school leadership in Title II, Part A. ESSA Title II, Part A, allows 95 percent of the state grant to be dispersed to Local Education Agencies (LEAs), and the LEAs were provided the option to reserve the additional 3-percent of the set-aside for 2018. Ultimately, KDE decided not to reserve the funds due to local-level needs. KDE received \$31.9 million in Title II, Part A, funds for fiscal year 2018 and \$30.3 million of the total was sub-granted to 173 LEAs based on a formula that includes population and poverty level. A proportion was also used for state-level activities, including providing professional learning services to Kentucky's nonprofit, private school teachers and administrators.

Kentucky's Consolidated State Plan for using the ESSA funds emphasizes the state's focus on improving student achievement through effective educators. To meet this need, Kentucky will

provide “supplemental professional learning support for [the] implementation of Kentucky’s Academic Standards, educator effectiveness and improved student achievement through strong investment in educators, especially principals who are well-prepared and supported to lead the professional learning of other educators” (Commonwealth of Kentucky, 2017). The Consolidated Plan states that principal professional development is “focused on the four performance measures of the Kentucky Framework for Personnel Evaluation that include planning, environment, instruction and professionalism” (Commonwealth of Kentucky, 2017).

Policy Levers Summary

The sections that follow provide an overview of how Kentucky is using various policy levers to promote high-quality school leadership within the state. The policy levers are the use of standards, recruitment of aspiring leaders, principal licensure, the program approval and oversight process, evaluation, professional development, and leader tracking. After analyzing ten interviews with responses about use of policy levers in Kentucky, we found that a majority of stakeholders, defined as half or more of our interviewees, agreed that state efforts related to using leadership standards and approving and overseeing principal preparation programs were effective.

Standards

As of July 1, 2020, Kentucky’s standards are the national Professional Standards for Education Leaders (PSEL). These replaced the Kentucky Principal Standards, which consisted of Instructional Leadership, School Culture, Human Resource Management, Organizational Management, Communication and Community Relations, and Professionalism. The Kentucky Principal Standards were aligned with ISLLC 2008 and Technology Standards for School Administrators 2001.

Use of the State Leadership Standards

The PSEL standards outline the criteria expected of principals to perform and fulfill their duties and responsibilities. The standards also informed professional development planning, observations, feedback, and assessments. The PSEL, which have already been adopted by principal preparation programs at Kentucky colleges and universities, will require districts to revise their Certified Evaluation Plan (CEP) using the PSEL to guide the principal performance criteria and evaluations.

Recruitment

Kentucky does not appear to have any statewide efforts related to the recruitment of school leaders. There have been several past efforts, such as the Minority Recruitment Initiative.

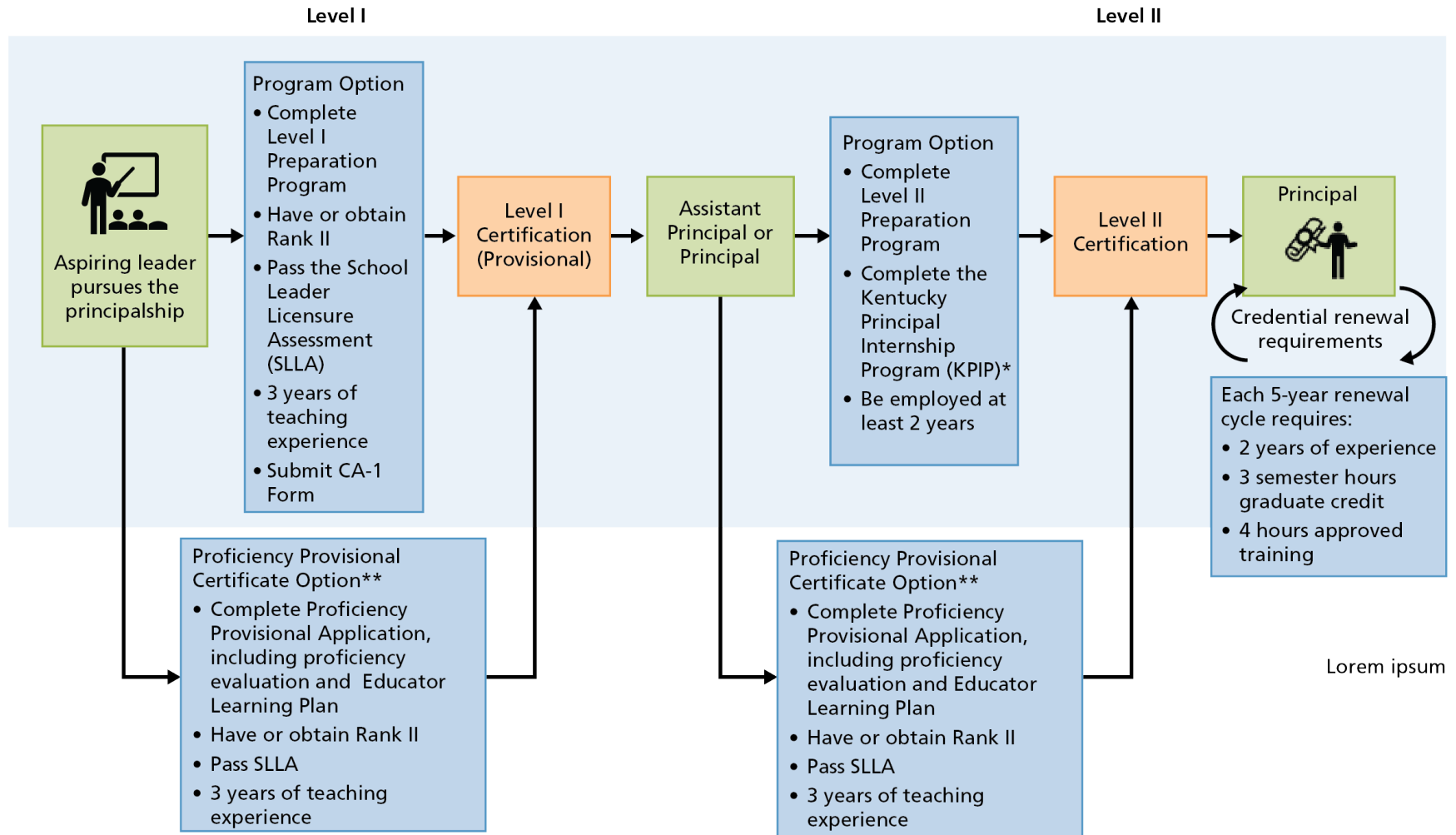
Principal Licensure and Program Approval and Oversight

Pathway to the Principalship

Figure B5.1 describes the pathway to the principalship in Kentucky.

Kentucky has a two-tiered pathway to the principalship. Level I and II programs are standards-based. Level I programs provide minimal preparation, and Level II programs serve to meet the requirements for the first five-year renewal for the position of principal or assistant principal. Basically, the Level I license is an initial or provisional license, and a candidate must complete Level II within five years to retain and renew their license.

Figure B5.1 Kentucky's Pathways to the Principalship



Lorem ipsum

*KPIP is suspended indefinitely.

** EPSB-approved EPPs can conduct a Proficiency Evaluation. Certification is renewable for up to two years.

Alternative Pathways

Aspiring principals can pursue Level I and Level II certification without completing a principal preparation program through the Proficiency Evaluation pathway. Under this option, an approved EPP can certify that an individual meets education and experience requirements for licensure. EPPs must be separately approved by the EPSB to perform these proficiency evaluations based on the EPP's plan for conducting the evaluations. The evaluations must include a process for evaluating candidate proficiency on performance-based standards. Using the proficiency assessment, the EPP will develop an Education Learning Plan outlining the requirements that must be completed to fulfill the licensure requirements. The candidate must submit a Proficiency Provisional Application Form, which includes the Education Learning Plan (ELP). Then, the EPP recommends the candidate for certification to EPSB, and once the candidate completes the ELP, they can request a CA-1, "Application for a Professional Certificate." The Proficiency Provisional Certification is renewable for up to two years.

Prerequisites

Kentucky outlines the standards for admission to educator preparation programs that must be followed in addition to the program admission requirements (Kentucky Legislature, 2020c). The requirements are set out by the Kentucky EPSB as identified in 16 KAR3:090. Accompanying regulations state that candidates must complete the School Leader Licensure Assessment (SLLA) (Kentucky Legislature, 2020a). This regulation change went into effect July 15, 2020. The candidate has the option to take SLLA 6011 or 6990 until December 1, 2020. Candidates are exempted if they have taken the SLLA, have two years of experience in another state, or have completed another national test (must be equivalent of the SLLA 6990).

Licensure Requirements

To receive an initial provisional five-year certification for a principal position, candidates must complete the CA-1 Form, complete the requirements from a Level I preparation program, and receive a passing score on the SLLA. After achieving Level I certification, candidates in principal positions have five years to complete an approved Level II program to renew their certification and receive Level II certification. If a Level I certificate expires and the principal has completed one-third of the Level II requirements or takes six hours of Level II coursework, a one-year extension can be granted. For every five-year renewal following the first renewal (for Level I and Level II), individuals are required to complete two years of experience in a principal or assistant principal position, three hours of graduate credit, or 42 hours of approved training from programs approved for Effective Instructional Leadership Act (EILA) credit by KDE.

Approval of State Programs

The Education Professional Standards Board (EPSB), Division of Educator Preparation and Certification, is responsible for educator program approval and oversight. The regulation

(Kentucky Legislature, 2020b) requires programs to be accredited by the state and also be accredited by the Council for the Accreditation of Educator Preparation (CAEP). However, there is a distinction between accreditation and approval. EPSB approves the programs and CAEP provides accreditation, or unit, approval. EPSB standards are built on CAEP standards; therefore, programs are required to include CAEP standards. State accreditation is based on CAEP standards and includes

- Advanced Standard A.1. Content and Pedagogical Knowledge
- Advanced Standard A.2. Clinical Partnerships and Practice
- Advanced Standard A.3. Candidate Quality and Selectivity
- Advanced Standard A.4. Program Impact
- Advanced Standard A.5. Provider Quality Assurance and Continuous Improvement.

EPSB provides an annual accreditation and approval schedule on the EPSB website and identifies the accreditation schedule for each educator preparation institution. The EPSB has adopted a seven-year cycle for institution accreditation. Each institution is also required to report data annually to EPSB.

State-Approved Preparation Programs

According to the KDE, there are 14 programs approved to issue Level II certification. Of the 14 approved programs, there is an almost even split between public and private institutions. Though this is not noted in Table B5.2, online and in-person programs can operate within the state, and there is one online program counted in the Other category. Additionally, the 14 programs listed in the table provide Certification Only degree options, Rank I and Rank II master's programs, and Level I and II certifications.

Table B5.2 describes the number of providers offering Level I and Level II programs:

Table B5.2. Number of Providers Offering Level I and Level II Programs

| Credential Type | Public Universities | Private/ Independent Institutions | Local Education Agencies | Other | Total # of Approved Institutions |
|--------------------------------|----------------------------|--|---------------------------------|--------------|---|
| School principal certification | 6 | 7 | 0 | 1 | 14 |

Program Approval Standards and Their Relation to State Leadership Standards

State accreditation is based on the Professional Standards for the Accreditation of Teacher Preparation Institutions established by CAEP standards. Since the standards outlined by EPSB are grounded in the CAEP, standards programs must exemplify how they meet the CAEP standards and EPSB standards. As mentioned above, EPSB and Kentucky preparation programs have adopted PSEL, prior to the approval or change in regulation in KDE.

Requirements for Approval

New preparation providers that are requesting approval from EPSB must follow a four-stage process: submitting an official letter of intent to begin the process of developing a program and documentation on the program description, a continuous assessment plan, evidence that they fulfilled preconditions set out by EPSB, and a site visit by EPSB. Following the accreditation of the provider, there are continuing review and annual reporting requirements that the program must follow to maintain operation and accept students. EPSB gives providers 18 months to prepare for their first accreditation and 12 months for continuing accreditation in advance of the on-site evaluation. The annual reporting regulation requires institutions to report on the number of faculty and students, progress made to address improvement areas defined during the previous accreditation evaluation, and major developments in each CAEP standard.

Professional Development

Kentucky has a few programs to support principal professional development. The state provides a definition (Kentucky Department of Education, 2020) of professional development and a policy to guide districts as they design their professional development plans (Kentucky Legislature, 2020e). Professional development includes submission for Effective Instructional Leadership Act (EILA) credit for administrators to KDE (Kentucky Revised Statute 156.101).

State-Supported Professional Development

KDE supports and runs three principal education and support programs:

- The Principal Partnership Project (P3) offers assistance to principals and is operated within local districts.
- The Assistant Principal Preparation Project (AP3) was implemented in the 2017–18 school year.
- The Kentucky Principal Internship Program (KPIP) is a one-year internship that is required by the state to receive a Level II School Principal Certificate, but the program is suspended due to lack of available funds (Kentucky Education Professional Standards Board, 2020).

Professional Development in the Licensure Process

The state does not require professional credits to maintain an active Level I or Level II license as 21 hours of approved EILA credit must be submitted to KDE annually if serving as a principal or assistant principal. Kentucky has a rank system that establishes classification for all educators—teachers and principals. The rank system is from IV to I, with I being the highest option. As mentioned above, an applicant must have Rank II to enter a principal preparation program unless the individual preparation program admits them with the Rank I. Typically, a candidate will obtain Rank I once they complete their master’s degree or the principal preparation program.

Evaluation

KDE requires districts to provide a local Certified Evaluation Plan (CEP) that outlines the procedures for evaluating personnel below the superintendent level (Kentucky Legislature, 2020f). The local CEP is developed by an evaluation committee and submitted to the local board of education and KDE for approval. CEPs should meet requirements outlined in Kentucky regulations (Kentucky Legislature, 2010, 2020f), which include a formative and summative evaluation, and be aligned with the statewide framework for teaching (e.g., measures of effectiveness). The statewide framework is the Kentucky Framework for Personnel Evaluation and includes the following performance measures: planning, environment, instruction, and professionalism (Kentucky Legislature, 2017).

KDE introduced an amendment to the Kentucky Framework for Personnel Evaluation in October 2019 to update the CEP evaluation standards for principals and assistant principals to be the PSEL. The proposed amendment replaced the Principal and Assistant Principal Performance Standards with PSEL.

Leader Tracking Systems

Kentucky does not appear to have leader tracking systems.

Appendix B6. North Carolina State Profile

Of the seven UPPI states, North Carolina is the only state to have a license that focuses on the school building leader (assistant principal and principal). This is in contrast to other states that offer an administrator license allowing holders to take on a range of administrative roles, including, for example, superintendent, assistant superintendent, instructional supervisor, director, and other central office roles (with the exception of the superintendent position). North Carolina is also only one of two UPPI states to have a one-stage structure for licensure.

North Carolina also has two statewide programs, Principal Fellows and the Transforming Principal Preparation Program, which stakeholders viewed as supporting the state's efforts in recruiting aspiring leaders because the programs provide financial support to candidates and/or university programs preparing principal candidates. Recent legislation combines these two programs under the North Carolina Principal Fellows Program (NC PFP; see Box 3.5 in the main report).

Among all of the UPPI states, North Carolina has the largest percentage of rural districts, 63 percent. Accordingly, the original Northeast Leadership Academy (NELA) is a school leadership program operated by North Carolina State University designed to address the needs of rural schools (Center for American Progress, 2014). North Carolina State University has since expanded this original program under the program title North Carolina State University's Education Leadership Academy. This expanded program includes different component programs, including the original Northeast Leadership Academy focused on rural districts in the northeast portion of the state, as well as other programs focused on suburban and urban districts (North Carolina State University, 2020).

State Context

Key Players and Roles

Table B6.1. North Carolina Key Players and Roles

| Agency | Organization Name | Role |
|---------------------------------------|---|---|
| Governor | N/A | <ul style="list-style-type: none"> The governor's influence is mainly through the budget process. |
| Legislature | N/A | <ul style="list-style-type: none"> The North Carolina General Assembly was described by interviewees as powerful in creating change with education issues. |
| State department of education | <ul style="list-style-type: none"> North Carolina Department of Public Instruction (NCDPI) District and Regional Support State Superintendent's Office State Board of Education North Carolina State Education Assistance Authority (NCSEAA) | <ul style="list-style-type: none"> The NCDPI is charged with the implementation of education laws.^a Though the NCDPI carries out policy formally set by the North Carolina General Assembly, there are informal mechanisms by which NCDPI influences policy—for example, through its subcommittees. Principal preparation responsibilities are housed within the Departments of District and Regional Support and Educator Recruitment and Support. The State Superintendent leads the North Carolina State Board of Education (NCBOE) as its secretary. The State Superintendent is an elected position. The North Carolina State Board of Education is the policymaking body charged with setting the policies and procedures for public schools that are administered through NCDPI. The NCSEAA is a state agency. It selected the North Carolina Alliance for School Leadership Development (NCASLD) to oversee the Transforming Principal Preparation Program (TP3). NCASLD reports to NCSEAA, which has "final authority over all grant awards and renewals."^b |
| Professional educator standards board | <ul style="list-style-type: none"> The Professional Educator Preparation and Standards Commission (PEPSC) Professional Standards Committee (PSC) | <ul style="list-style-type: none"> The PEPSC advises the North Carolina State Board of Education (NCSBE) on matters relating to educator standards, preparation, licensure, continuing education, and standards of conduct. PEPSC makes recommendations to the NCSBE, which then makes rule recommendations. PEPSC created the Professional Standards Committee (PSC), which is working to create greater alignment between the state's leadership standards and the national school leader standards, the PSELs. This could inform efforts by NCDPI to consider changes to the state's principal standards. |
| Cooperatives or county offices | N/A | N/A |

| Agency | Organization Name | Role |
|-------------------|--|---|
| Nonstate entities | Professional associations | |
| | <ul style="list-style-type: none"> North Carolina Alliance for School Leadership Development (NCASLD) North Carolina Principal and Assistant Principal Association (NCPAPA) North Carolina Administrator and Superintendent Association (NCASA) | These organizations <ul style="list-style-type: none"> provide professional development to school leaders provide oversight over statewide programs supporting principal preparation |
| | Nonprofits | |
| | <ul style="list-style-type: none"> The Belk Foundation Business for Educational Success and Transformation (BEST NC) The Hunt Institute | <ul style="list-style-type: none"> identify and communicate priorities and administrators' perspectives to legislative leaders and state education agencies convene state education leaders and legislators in sessions focusing on school leadership operate regional preparation programs through statewide grant initiatives. |
| | Higher Education organizations | |
| | <ul style="list-style-type: none"> North Carolina State University High Point University University of North Carolina System Western Carolina University Sandhills Leadership Academy | |

^a North Carolina Department of Public Instruction, 2019a.

^b BEST NC, 2018.

The Role of Nonstate Entities in North Carolina

Nonstate entities in North Carolina provide professional learning to school leaders, advocate for policy change, provide forums for stakeholders to convene and contribute to the implementation of statewide programs. For example, NCASLD, NCPAPA, and NCASA provide professional development for leaders throughout the state. When naming statewide initiatives around principal professional development, the stakeholders that we interviewed often pointed to NCPAPA's Distinguished Leadership in Practice and Future-Ready Leadership programs, which are both year-long cohort programs created for principals and assistant principals, respectively. BEST NC, a nonprofit coalition of businesses, also plays a role in influencing the agenda status of school leadership in the state and the creation of policy. Notably, the organization was involved in the policy change around both principal pay and principal preparation through the Transforming Principal Preparation Program (TP3). In 2015, BEST NC worked with state legislators to craft and fund this initiative (BEST NC, 2018). It was also involved in working with state leaders to support the implementation of the state's new principal salary schedule and, in particular, to "correct unintended consequences" (BEST NC, 2017). Other nonstate entities, such as NCPAPA and NCASA, have similarly worked to communicate priorities to legislative leaders. The Hunt Institute, another nonprofit, holds an annual convening for North Carolina

legislators and other education leaders and experts to discuss education policy (Hunt Institute, 2019).

Additionally, several organizations also contribute to the implementation of state programs. NCASLD, a nonprofit, was tasked with overseeing TP3 and had the responsibility of making the grant awards for the program (BEST NC, 2018). In addition, as of fall 2019, TP3 is operated by four universities (North Carolina State, High Point University, Western Carolina University, and University of North Carolina Greensboro), in addition to the Sandhills Regional Education Consortium Leadership Academy (BEST NC, 2019b).

It is worth noting that these state entities often overlap to some extent in organization and operations. For example, NCASLD was originally established by NCPAPA to provide oversight of the TP3. NCPAPA, as a lobbying organization, was not eligible to serve in an oversight role for TP3. In the case of NCPAPA and NCASA, membership of the individual organizations' governing boards overlap.

Agenda Status of School Leadership

In our interviews with stakeholders across the state, several interviewees mentioned that they believe school leadership is a priority within the state, mostly in the context of increasing principal pay, and, less commonly, within the context of strengthening principal preparation or principal competency. Other commonly noted priorities included issues related to the teacher pipeline, such as teacher retention and teacher shortages, teacher pay, increasing funding for education, closing the achievement gap, postsecondary preparedness, and school choice.

Interviewees often made a connection between school leadership and state priorities, noting that effective school leaders are integral to student outcomes, as well as the recruitment and retention of teachers. However, generally, principal initiatives are seen as less of a focus than teacher initiatives are. The focus on teachers is partly a function of the number of teachers, more powerful teacher lobbies, and state budget constraints. However, emphasis on teacher initiatives can open the door for related principal issues. One interviewee stated that the issue of teacher pay receives far more attention and consideration but that principal pay, at present, is a corollary issue in North Carolina. According to this respondent, an informed, well-developed principal initiative has an easier path to getting approved compared with more hot-button issues in other parts of education. Regardless, stakeholders noted that concerns around principal preparation are now starting to surface at the State Board of Education.

In North Carolina, influence from lobbyists and others is critical to setting an emerging agenda. For example, BEST NC lobbies to keep principal preparation on the policy agenda.

School Leadership in the North Carolina Every Student Succeeds Act Plan

In Title II, Part A, North Carolina's ESSA plan notes that the state intends to strengthen school leadership through its Principal READY (PREADY) and Assistant Principal READY

(APREADY) programs. The programs include learning sessions held statewide for sitting school leaders in the fall and spring, which address the skills school leaders need to provide high-quality feedback to teachers. The issues addressed are aligned to the state’s professional teaching and school executive standards.

The state’s ESSA plan also notes that future strategies in school leadership include the “development of online learning modules within the NCEES PD [Professional Development] System and the creation of a Professional Learning Network for new administrators in partnership with RESAs” (North Carolina Department of Public Instruction, 2017).

In addition, the NCDPI did choose to reserve the 3-percent set-aside (North Carolina Department of Public Instruction, 2017), and stakeholders stated that most of the money will go to their Principal READY program.

Policy Levers Summary

The sections that follow provide an overview of how North Carolina is using various policy levers to promote high-quality school leadership within the state. The policy levers are the use of standards, recruitment of aspiring leaders, principal licensure, the program approval and oversight process, evaluation, professional development, and leader tracking. After analyzing 11 interviews with responses about use of policy levers in North Carolina, we found that a majority of stakeholders, defined as half or more of our interviewees, agreed that state efforts related to using leadership standards, and recruiting aspiring principals were effective.

Standards

The state’s standards are the *North Carolina Standards for School Executives* (North Carolina Department of Public Instruction, 2013). There are eight standards:

1. Strategic Leadership
2. Instructional Leadership
3. Cultural Leadership
4. Human Resource Leadership
5. Managerial Leadership
6. External Development Leadership
7. Micropolitical Leadership
8. Academic Achievement Leadership.

Development of the State Leadership Standards

The standards were approved by the NCSBE in 2006 and again in 2011. They were last revised in 2013. In developing its leadership standards, the state consulted various reports and research in the field as well as solicited input from stakeholders and leaders. In particular, the North Carolina standards borrow a framework from a Center on Reinventing Public Education

study, *Making Sense of Leading Schools: A Practical Look at School Leadership* (Portin et al., 2003).

The Principal Preparation Standards subcommittee is working now to revise the leadership standards to align more closely to the PSEL, and stakeholders viewed the convening of this committee positively since it is focused on improving the standards. As of spring 2020, it appeared to be still a work in progress.

Use of the State Leadership Standards

Per North Carolina Department of Public Instruction (2013), the standards are intended to

- “Inform higher education programs in developing the content and requirements of school executive degree programs;
- Focus the goals and objectives of districts as they support, monitor and evaluate their school executives;
- Guide professional development for school executives;
- Serve as a tool in developing coaching and mentoring programs for school executives.”

As a result, the standards manifest in several other levers. For example, the North Carolina ESSA plan states that “all teacher and leader (principal) education licensure areas must have NCSBE-approved programs which are aligned to the NC Professional Teaching Standards and the NC School Executive Standards (Masters of School Administration programs)” (North Carolina Department of Public Instruction, 2017). The North Carolina State Board of Education similarly states that school administrator preparation programs should offer curricula in alignment with these standards.

The standards are also operationalized through North Carolina’s principal evaluation process, in which principals are scored as developing, proficient, accomplished, distinguished, or not demonstrated based upon their performance on elements within the state’s leadership standards. The state’s rubric for the principal evaluation process is based heavily on the state’s leadership standards (North Carolina Department of Public Instruction, 2020b).

In addition, in the realm of professional development, as noted in the state’s ESSA plan, the NC PREADY and APREADY programs are intended to provide professional development aligned to the standards. As noted earlier, school administrator license renewal also requires continuing education credits in alignment to the state leadership standards.

Ultimately, stakeholders described the standards as “comprehensive” and effective because they found them useful for other levers promoting school leader quality, such as the evaluation process. However, caveats to this perspective were that implementation and application of the standards really occurred more at the district level than at the state level.

Recruitment

A majority of stakeholders believe that state-level efforts with respect to recruiting aspiring principals are effectively promoting principal quality. Stakeholders largely cited the success of

Principal Fellows and TP3, although some caveats to this perspective were that TP3 is still relatively new, the initiatives are not necessarily statewide, and the pay for Principal Fellows is relatively low. In noting statewide efforts to recruit aspiring principals, stakeholders also pointed to entities besides the state department of education, such as NCPAPA, a professional association for principals and assistant principals.

As described earlier, there have been many changes relating to the state's TP3 and Principal Fellows initiatives, which are cited by stakeholders as effective state-level efforts in promoting the recruitment of aspiring principals as these initiatives provide funding to universities so that they are able to subsidize candidates' tuition and paid residency, in the case of TP3, or provide forgivable scholarship loans to principal candidates, in the case of Principal Fellows.

Changes Around Principal Pay

There has been ongoing policy change around principal pay, which is one way that the state can influence incentives to become and remain a principal. Among all UPPI states, North Carolina is the only state to have a state salary schedule, meaning this is a recruitment and retention lever that other UPPI states are currently not using.

In 2018, with the passage of SB718 (North Carolina General Assembly, 2018b), North Carolina restructured its statewide salary schedule such that principals received performance-based compensation. With the new legislation, principals' salary was based on the magnitude of student growth in standardized test scores at the end of a given academic year and how many students attended their school, whereas, before, compensation was based on "school size, their level of education, and years of experience" (BEST NC, 2019a).

Stakeholders have noted that educator pay is a priority in the state. This new legislation aimed to reward turnaround performance rather than simply years of experience, but there were concerns about the consequences, including a lack of recognition of experience or working in large schools. Some districts made up for the gap, but poor districts could not. According to stakeholders, the pay schedule was then perceived as a disincentive to become principal and work in the neediest schools.

SB170, a bill relating to principal bonuses, was introduced in March 2019. It is "an act to expand eligibility for principal bonuses provided in the 2018–2019 fiscal year and to provide additional payments in accordance with that expanded eligibility" (North Carolina General Assembly, 2019a). The bill instructs the NCDPI to administer a bonus to principals who had supervised a school that was in the top 50 percent of school growth in the previous year.

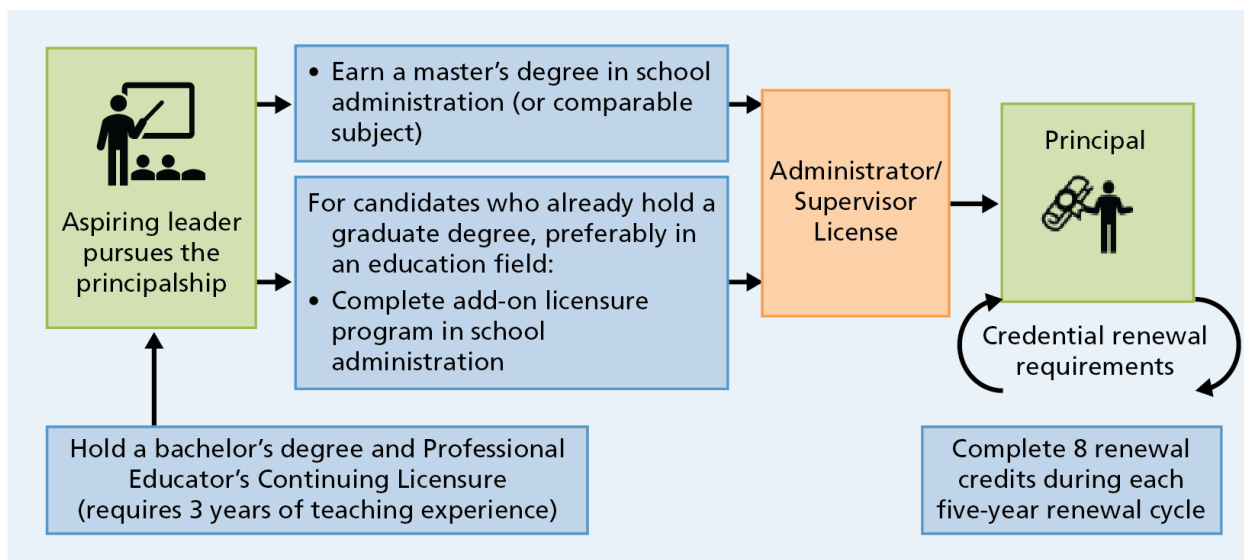
However, it also appears that the state may be attempting to address its aforementioned concerns through budget legislation. The governor's proposed 2019–2021 budget "includes an experience-based salary schedule for principals that addresses stakeholder concerns about the schedule implemented in FY 2017–18." In short, it takes into account both experience and the size of the student population (North Carolina Office of the Governor, 2019a, 2019b). However, as of December 2019, North Carolina still had no approved state budget (Vaughan, 2019).

Principal Licensure and Program Approval and Oversight

Pathway to the Principalship

Figure B6.1 describes the pathway to the principalship in North Carolina.

Figure B6.1 North Carolina's Pathways to the Principalship



NCDPI issues a school administrator's license in three categories: assistant principal, principal, and superintendent (North Carolina Department of Public Instruction, 2020a). However, licensure as a superintendent has additional requirements, such as a doctoral license in school administration and five years of relevant leadership experience (North Carolina Department of Public Instruction, 2020a). Additionally, individuals must complete three years of teaching *by completion of the master's in school administration or a comparable degree*. This means that a teacher may begin a master's in school administration before having accrued three years of teaching experience, allowing for some overlap between the teaching prerequisite and entering a master's program in school administration.

Alternative Pathways

There do not appear to be pathways to the principalship outside of universities. While North Carolina had in place a policy allowing for the creation of "innovative" and "experimental" programs in administrator preparation, it appears that this policy is no longer in effect. These programs were meant to act as alternatives to more traditional programs and would involve public schools. For example, the original Northeast Leadership Academy was established as an innovation program; see the introduction to this profile above for more details about this and other leadership academies offered by North Carolina State University. However, the policy

states that, beginning in July 2017, new programs could no longer be approved for this purpose (North Carolina State Board of Education, 2018b).

Prerequisites

To acquire certification as a school administrator, candidates must fulfill certain requirements: They must hold a bachelor's degree from an accredited institution of higher education and a Professional Educator's Continuing Licensure, which requires, at the minimum, three years of teaching experience (Education Commission of the States, 2018). However, these requirements are listed by North Carolina statute as requirements to licensure rather than prerequisites to program entry (North Carolina General Assembly, 2020).

North Carolina also supports one regional and one statewide principal preparation initiative to enhance the quality of school leadership in the state: the Northeast Leadership Academy (NELA) and the Transforming Principal Preparation Program (TP3). Specifically, NELA is operated through North Carolina State University and is a licensure program focused specifically on serving rural, high-need districts in northeast North Carolina. Admitted students receive a full scholarship and commit three years, post-graduation, to serve in one of the program's district partners (Hunt Institute, 2018). TP3 has similar elements: It is university-based, requires the implementation of evidence-based elements associated with successful school leader preparation, and also provides a full-time, paid residency. The state created TP3 to bolster school leadership, and the initiative "makes state funds available to principal preparation programs through a competitive grant program" based on how the preparation programs incorporate research-based elements that are linked to successful principal preparation. The programs are operated by three public universities, one private university, and one partnership between a public university and a local school district (BEST NC, 2018).

Licensure Requirements

After fulfilling the above requirements, candidates can acquire a graduate degree from a public school administration program that meets the State Board of Education's approval standards, acquire a master's degree from an accredited institution of higher education and complete a public school administration program that meets the NCSBE's program approval standards, or otherwise complete education and training that has been determined as equivalent.

In practice, candidates can complete either a master's degree in a school administration program or, in some cases, a similar master's degree, such as a M.Ed. in educational leadership (High Point University, 2016). Alternatively, they can complete an "add-on" principal licensure program. These "add-on" programs are generally designed for aspiring administrators who have already earned a graduate degree in an education-related field and are also designed to fulfill the requirements outlined by the state legislation (Gardner-Webb University, 2020; UNC Charlotte, 2020; UNC Greensboro, 2015; UNC Greensboro, 2020; UNC Wilmington, 2019; Western Carolina University, 2020). According to interviewees, there is also an option in which

candidates can attend a TP3 at a university, not receive a master's degree, and still be recommended for licensure.

The legislation also notes that candidates must pass the exam that has been adopted by the NCSBE, but no exam is currently in place in North Carolina (North Carolina General Assembly, 2020).

Once candidates receive their license, they must complete eight renewal credits during each five-year renewal cycle. Three of these credits must align with the state's leadership standards and focus on the school executive's role, two credits must address digital learning competencies, and three credits are at the discretion of the employing LEA.

Approval of State Programs

The NCSBE is responsible for approving school leader preparation programs (Education Commission of the States, 2018; North Carolina State Board of Education, 2018a). Existing programs must undergo the approval process every five years in order to receive renewal.

The proposal and approval process requires that programs submit information through an online platform. Programs are to submit information about the identification of the program, such as the institution, the licensure area, and the level of the program. Programs are also supposed to respond yes or no to "affirmation statements" related to the state's program requirements; these statements are intended to "remind all proposers of the requirements of their programs as outlined by policy" and also to give programs a chance to "acknowledge that these requirements are in place in the program" (North Carolina Department of Public Instruction, 2018). Lastly, programs must also submit their program curriculum, which includes information such as course titles and course descriptions. Although program approval is valid for five years, NCDPI also notes that programs can receive sanctions or have their approval retracted if they are not producing quality candidates (North Carolina Department of Public Instruction, 2018).

In addition, in accordance with S.L. 2017-189, the NCSBE also requires all EPPs to submit annual performance reports containing various pieces of data, such as performance data, information about program applicants and program completers, information about the EPP's compliance with requirements, graduation rates, and more. The NCSBE is then to create "EPP report cards" that summarize the information collected in the aforementioned annual performance reports and are available to the public (North Carolina General Assembly, 2017).

State-Approved Preparation Programs

As of October 2019, there are 21 EPPs. All are housed in institutions of higher education and offer the master's level school administrator (principal) program (North Carolina Department of Public Instruction, 2019b). Some also offer the add-on program described above. They are as follows:

1. Appalachian State University (also has add-on program)
2. Barton College (also has add-on program)

3. Campbell University
4. East Carolina University
5. Elizabeth City State University
6. Fayetteville State University (Sandhills Leadership Academy)
7. Gardner-Webb University (also has add-on program)
8. High Point University (also has add-on program)
9. Lenoir-Rhyne University
10. NC Agricultural and Technical State University (also has add-on program)
11. NC Central University (also has add-on program)
12. NC State University
13. Queens University of Charlotte (also has add-on program)
14. UNC-Chapel Hill (also has add-on program)
15. UNC-Charlotte (also has add-on program)
16. UNC-Greensboro (also has add-on program)
17. UNC-Pembroke (also has add-on program)
18. UNC-Wilmington (also has add-on program)
19. Western Carolina University (also has add-on program)
20. Western Governor's University
21. Wingate University (also has add-on program).

Program Approval Standards and Their Relation to State Leadership Standards

According to the state ESSA plan, principal preparation programs should be aligned to the North Carolina school leadership standards. In addition, the State Board of Education's policy manual, in naming the program requirements of school administrator preparation programs, states that each program should "offer curricula that address student learning and school improvement aligned with the North Carolina School Executive Standards" (North Carolina State Board of Education, 2018c).

Requirements for Approval

The 2018 program standards require the implementation of some key features. For example, they require that programs partner with a local education agency or non-public school to design and administer the program; the partners are required to collaborate on the process for selection and assessment of candidates, the creation of internship experiences, the training of mentors and faculty supervisors, and the evaluation of the program and partnership itself. The standards also outline various requirements for the supervised internship experience, including the requirement that candidates are exposed to diverse economic and cultural settings, requirements that internship sites must meet, and the responsibilities of preparation programs regarding candidates' internship experiences. In addition, the standards list the topics that program coursework must cover and provide requirements around programs' candidate selection process (North Carolina State Board of Education, 2018c).

The program standards described above are applied generally to administrator preparation programs, but the Transforming Principal Preparation Program (TP3), which grants state funds to

principal preparation programs through a competitive process, places a particularly strong emphasis on implementing the key features of successful programs, as it selects grantees based on their alignment with certain research-based elements. These elements include (BEST NC, 2018)

- “An aggressive and intentional recruitment strategy;
- Rigorous selection criteria based on competencies that are predictive of success as a school leader;
- Rigorous coursework that effectively links theory with practice;
- Full-time paid clinical practice of at least five months and 750 hours in duration;
- Multiple opportunities for school leader candidates to be observed and coached by program faculty;
- A process for continuous program improvement based on feedback from partnering districts and data from program completers, including student achievement data; and
- Dynamic partnerships with districts that are used to inform and improve the program.”

Principal Fellows and the Transforming Principal Preparation Program

There has been significant policy movement regarding North Carolina’s Principal Fellows Program and TP3, which are avenues through which aspiring principals can obtain their credential. In this section, we describe the history of and ongoing legislation relating to these two programs.

North Carolina has two major state-funded initiatives related to improving and supporting principal preparation, the TP3 and the Principal Fellows Program. TP3 “makes state funds available to principal preparation programs through a competitive grant program” if they integrate certain research-based components (BEST NC, 2018). This funding subsidizes program candidates’ tuition and their paid residency, thereby allowing programs to enact a rigorous and selective recruitment process as they no longer have to “chase tuition dollars” (BEST NC, 2018). In comparison, the Principal Fellows Program provides merit-based, forgivable scholarship loans to principal candidates as they complete their Master of School Administration programs. In order to repay the loan, participants of the Principal Fellows Program must act as a principal or assistant principal in a North Carolina public school for four years (UNC System, 2020).

There have been two sources of change for these programs, one relating to where the programs are housed and another relating to their consolidation. With regard to the first major change, the former president of the University of North Carolina system had initially moved the Principal Fellows Program to North Carolina State University so that the program could be housed in a research university with expertise in principal preparation; the idea was that the Principal Fellows administrative team could draw best practices and ideas from research experts in the state rather than work in isolation in the system office. Regardless, the program was then moved back to the UNC system.

As for the second major change, in 2018, through the passage of Senate Bill 469, the General Assembly took the first step toward consolidating TP3 and the Principal Fellows Program (North

Carolina General Assembly, 2018a). Under the new, merged initiative, the North Carolina Principal Fellows and TP3 Commission will be responsible for determining institutional programs that will select and prepare aspiring principal candidates, and be responsible for the disbursement of scholarship loans. Then, the State Education Assistance Authority, rather than NCASLD, will be responsible for managing and implementing the forgivable loan process. In addition, the commission will continue to run its competitive grant program by awarding grants to preparation programs that incorporate research-based elements. Under the merged initiative, it also appears recipients of the forgivable loans will have to attend preparation programs that have received the TP3 grant.

This consolidation effort has several implications. According to one interviewee, one of the reasons for the move stemmed from the fact that decisions in the Principal Fellows Program are made by a commission, whereas TP3 is operated by a nonprofit organization and lacks a commission. Thus, decisionmaking in TP3 is perceived to be more “unilateral,” and this merger would ameliorate that issue, as the Principal Fellows Program had a commission, and the merged North Carolina Principal Fellows and TP3 initiative will have a commission as well. With this merger, there are several significant changes in the composition of the commission, indicating a shift in decisionmaking power. While there used to be two public university deans, there is now only one, with the addition of a private university dean. While there also used to be a parent sitting on the commission, that member has now been replaced by a human resources expert, and there are also now three additional members to the commission, including the executive director of NCPAPA, the president of the Personnel Administrators of North Carolina, and the president and CEO of BEST NC (2019b).

There have been several pieces of recent or pending legislation around the merger:

- SB521 was introduced in April 2019 and also appears to still be pending. It is an “act to make changes to the membership of the Principal Fellows Commission, to clarify the authority of the commission over the Transforming Principal Preparation Program and various other changes to the program, and to transfer the funds and administration of individual forgivable scholarship loans from the Principal Fellows Program to the Principal Fellows and Transforming Principal Preparation grant program” (North Carolina General Assembly, 2019c). In other words, SB521 proposes to increase the number of high-quality, actively recruited principal candidates by pooling the funds from NC PFP and TP3 into a single fund. These funds will be distributed through a competitive grants process to ensure that funding supports the highest-quality programs and that the impact of these programs is measured and sustained.
- In June 2019, SB227 passed, which delayed the merger. The bill “maintains the existing administration of the Transforming Principal Preparation Program (TP3) for current grant recipients until 2021” as, “previously, the TP3 program was to be transferred to the control of the Principal Fellows Commission on July 1, 2019.” Then, the legislation “merges the TP3 and the Principal Fellows Program on July 1, 2021 to become the North Carolina Principal Fellows and TP3 Commission” (North Carolina General Assembly, 2019b; North Carolina School Boards Association, 2019).

Professional Development

State-Supported Professional Development

As noted earlier, North Carolina did choose to reserve the ESSA 3-percent set-aside. In Title II, Part A, North Carolina's ESSA plan notes that the state intends to strengthen school leadership through its Principal READY (PREADY) and Assistant Principal READY (APREADY) programs, which include statewide learning sessions for sitting principals. These sessions intend to address the skills school leaders need to provide high-quality feedback to teachers and are aligned to the state's professional teaching and school executive standards.

Although not a part of the NCDPI, the NCPAPA provides optional professional development for sitting principals through its Distinguished Leadership in Practice as well as for assistant principals through its Future-Ready Leadership program (North Carolina Principals and Assistant Principals' Association, 2020). There is no required on-going professional development for principals. Current sitting (assistant) principals complete programs on a voluntary basis.

Professional Development in the Licensure Process

Although the licensure process may not necessarily encourage districts to support ongoing professional development, it does provide districts with some discretion over the type of professional development that principals receive. For example, the licensure renewal process requires school administrators to "earn at least 8.0 renewal credits during each five-year renewal cycle." Depending on when the license expired, the requirements are slightly different. For licenses expiring between June 30, 2016, and June 30, 2018, school administrators had to earn three renewal credits that are aligned with the state leadership standards and focused on "the school executive's role as instructional, human resources, and managerial leader." The additional five credits were at the discretion of the employing LEA. However, for administrators with licenses expiring on or after June 30, 2019, school administrators have to earn three renewal credits, again, aligned with the state leadership standards and focused on the school executive's role: two renewal credits addressing Digital Learning Competencies; and three credits at the discretion of the employing LEA (North Carolina State Board of Education, 2019).

Evaluation

According to the NCDPI's website,

Effective with the 2010–2011 school year, Principals and Assistant Principals are to be evaluated annually using the North Carolina School Executive Evaluation Rubric. The intended purpose of the principal evaluation process is to focus on formative professional development in a collegial way to assess the principal's performance in relation to the Standards for School Executives. (North Carolina Department of Public Instruction, 2019c)

There are various steps required in the evaluation process, including an orientation by the superintendent, the pre-evaluation planning process in which a principal completes a self-assessment and identifies goals, meetings between the principal and superintendent, data collection conducted by the principal as well as observations conducted by the superintendent, a mid-year evaluation, and the creation of a performance summary (North Carolina Department of Public Instruction, 2020b).

Leader Tracking Systems

North Carolina has an education directory, which includes principals (North Carolina Department of Public Instruction, 2019d; North Carolina Department of Public Instruction, 2020c). The state superintendent also announced that the North Carolina Leadership Dashboard should be launching for the 2019–2020 school year (Granados, 2019). As of fall 2019, the state vendor, SAS, had developed the dashboard and associated databases and, by the beginning of 2020, had early mockups of the dashboard available for feedback. The state planned to present the dashboard to districts in February 2020.

Appendix B7. Virginia State Profile

Virginia is one of two UPPI states that has a one-tier licensure process. To become an administrator, a candidate must obtain a Level I endorsement, typically through a state-approved principal preparation program housed at a university. Virginia does offer one alternative: A district can authorize a candidate to bypass approved programs (although coursework is still required) to work in that district only. Virginia has 130 school districts, with 80 percent of the districts serving 10,000 or fewer students. While school leadership was not directly mentioned by stakeholders, Virginia has a focus on preparing students with the skills and knowledge they need to be “life-ready” (Virginia Department of Education, 2020c), as is clearly prioritized in Virginia’s “Profile of a Virginia Graduate” (Virginia Department of Education, 2020c). The state supported an effort, unique to Virginia, to create an aspirational “Profile of a Virginia Leader” aligned to the “Profile of a Virginia Graduate.” Additionally, Virginia has supported principal professional development by dedicating Title II funds to and using UPPI resources for the William and Mary School University Research Network (SURN) Principal Academy and requiring leaders to take substantial professional development, 270 hours, to renew their license (every ten years).

State Context

Key Players and Roles

Table B7.1. Virginia Key Players and Roles

| Agency | Organization Name | Role |
|---------------------------------------|--|--|
| Governor | N/A | <ul style="list-style-type: none"> The governor approves or vetoes laws and presents budget proposals for education to the Joint Money Committees of the General Assembly (budget is approved by the General Assembly). The governor appoints the State Superintendent of Public Instruction and the 9 members on the Board of Education (members are confirmed by the General Assembly). |
| Legislature | <ul style="list-style-type: none"> Virginia General Assembly | <ul style="list-style-type: none"> The legislature makes and approves laws. |
| State department of education | <ul style="list-style-type: none"> State Superintendent of Public Instruction Virginia Department of Education (VDOE) Board of Education | <ul style="list-style-type: none"> This is the executive officer for the Virginia Department of Education and secretary of the state Board of Education. VDOE oversees and implements state funds and school outcomes and quality, and assists the governor, Board of Education, and General Assembly in developing legislation, regulations, and policies. The Board of Education sets curriculum standards, determines qualifications for education personnel, establishes state testing and assessment programs, establishes standards for accreditation, is responsible for implementing ESSA, and develops rules and regulations for administration of state programs. |
| Professional educator standards board | <ul style="list-style-type: none"> Advisory Board for Teacher Education and Licensure (ABTEL) State Council of Higher Education for Virginia (SCHEV) | <ul style="list-style-type: none"> ABTEL is a legislatively mandated board that provides recommendations on educator licensure and program approval regulations to VDOE. SCHEV is Virginia's coordinating body for higher education. SCHEV makes recommendations about higher education policy to the governor and General Assembly. SCHEV approves public institutions' new degree programs, instructional sites, degree escalations, and mission statements. It also coordinates state policy on transfer, student learning assessment, military-related students, and other topics. |
| Cooperatives or county offices | N/A | N/A |
| Nonstate entities | <p>Professional associations</p> <ul style="list-style-type: none"> Virginia Association of Secondary School Principals (VASSP) Virginia Association of Elementary School Principals (VAESP) <p>Institutions of higher education</p> <ul style="list-style-type: none"> School-University Research Network (SURN) | <ul style="list-style-type: none"> VASSP is an affiliate of the National Association of Secondary School Principals. Governed by 16-member Board of Directors. VASSP offers professional development, and its representatives attend Board of Education and General Assembly meetings. VAESP is a professional organization serving elementary and middle school principals. It advocates for children and youth, promotes and maintains professional standards for leaders, and serves as a local representative to state agencies. Operated by the College of William and Mary, SURN provides principal training and an opportunity for university leaders to provide advice and coaching to districts. |

Role of Nonstate Entities in Virginia

There are associations that support principals in Virginia, including the Virginia Association of Secondary School Principals (VASSP) and the Virginia Association of Elementary School Principals (VAESP). Every summer, VASSP, VDOE, and the Virginia Foundation of Educational Leaders host a conference for middle and high school principals. The 2020 theme was Principal Leadership. The VDOE presents learning labs that address instructional and administrative needs, and there are networking events for attendees. Additionally, VASSP conducts an annual principal needs assessment, with the support from the VDOE.

Virginia is also host to William and Mary School-University Research Network (SURN), which conducts research and professional learning for educators and leaders. SURN collaborates with districts across Virginia to design professional development programs. SURN was also tasked with developing the “Profile of a Virginia Leader and Educator,” and it has a Principal Academy that mentors a cohort of principals and provides them with valuable instructional knowledge.

Agenda Status of School Leadership

School leadership was not named by interviewees as a priority for the state policy agenda. The most commonly named priorities were student performance, equity, and highly qualified teachers. The Virginia Board of Education includes, as part of its three top priorities, “encourage and support the recruitment, development, and retention of well-prepared and skilled teachers and school leaders” (Virginia Board of Education, 2020).

The VDOE has coupled a school leadership effort to its student-focused initiative. In April 2019, the governor announced the “Virginia for Learners” campaign. The focus of the campaign is to prepare students with the knowledge and skills they need for new jobs. Along with the “Profile of a Virginia Graduate” and the governor’s “Virginia Is for Learners” campaign, the VDOE led the development of profiles for a Virginia Classroom, Virginia Educator, and Virginia Leader.

School Leadership in the Virginia Every Student Succeeds Act Plan

The Virginia ESSA plan, approved in May 2018, does not mention school leadership in Title II, Part A, and Virginia did not take the 3-percent set-aside, because

stakeholders were not in favor of reducing LEA funding in order for the state to apply the optional set aside of up to three percent to implement activities for principals and other school leaders. Instead stakeholders indicated that they would best be able to develop specific activities based on local needs and preferred to maintain access to the full amount of available funding. (Virginia Department of Education, 2017)

However, the ESSA plan does mention Virginia State University’s involvement in the University Principal Preparation Initiative and states that Virginia is considering building on the electronic leadership tracking tool and convening “a summit of university and school leaders to highlight effective leadership development practices.” The ESSA plan amendments include the work Virginia is doing to develop the profiles of a Virginia Classroom, Educator, and Education Leader to support Local Education Agency (LEA) implementation of teacher evaluation guidelines, but they do not mention specifically if or how it will be used for leaders.

Policy Levers Summary

The sections that follow provide an overview of how Virginia is using various policy levers to promote high-quality school leadership within the state. The policy levers are the use of standards, recruitment of aspiring leaders, principal licensure, the program approval and oversight process, evaluation, professional development, and leader tracking. After analyzing eight interviews with responses about use of policy levers in Virginia, we found that a majority of stakeholders, defined as half or more of our interviewees, agreed that state efforts related to using leadership standards, approving and overseeing principal preparation programs, licensing principals, supporting principal development, and evaluating principals were effective.

Standards

Virginia uses the Uniform Performance Standards for Principals (Virginia Department of Education, 2020a). The standards went into effect on July 1, 2013, and were subsequently revised on July 23, 2015. There are seven performance standards:

1. Instructional Leadership
2. School Climate
3. Human Resources Management
4. Organizational Management
5. Communication and Community Relations
6. Professionalism
7. Student Academic Progress.

The standards are designed to collect, analyze, and present data on the performance and growth of principals. Each standard provides examples of skills or knowledge that can be observed and used to gauge job expectations and performance.

Development of the State Leadership Standards

VDOE received a grant from The Wallace Foundation in 2007 to support the VDOE initiative, “Advancing Virginia’s Leadership Agenda” (Virginia Department of Education, 2012a). Using the funds to support its work, VDOE and the ABTEL developed recommendations for the Level I administration and supervision endorsement and the Level II Principal of Distinction that the Board of Education promulgated in its Licensure Regulations for

School Personnel. Along with these changes, the VDOE conducted a major statewide initiative in 2010 to revise the uniform performance standards and evaluation criteria for principals. In February 2012, the updated standards were approved by the Board of Education. A work group (Virginia Department of Education, 2012b) consisting of principals, teachers, superintendents, a human resources representative, higher education representatives, a parent representative, a consultant, and representatives from professional organizations provided recommendations to the Board of Education that served as the basis for the guidelines.

Use of State Leadership Standards

The standards provide examples and specify the performance standards for principals. The VDOE intends for the standards to serve as a growth and development tool for principals. The seven standards are used to evaluate the performance of a principal and assess strengths and weaknesses. The evaluation criteria and standards are guidelines for school divisions to develop and implement their own educator evaluation systems.

Recruitment

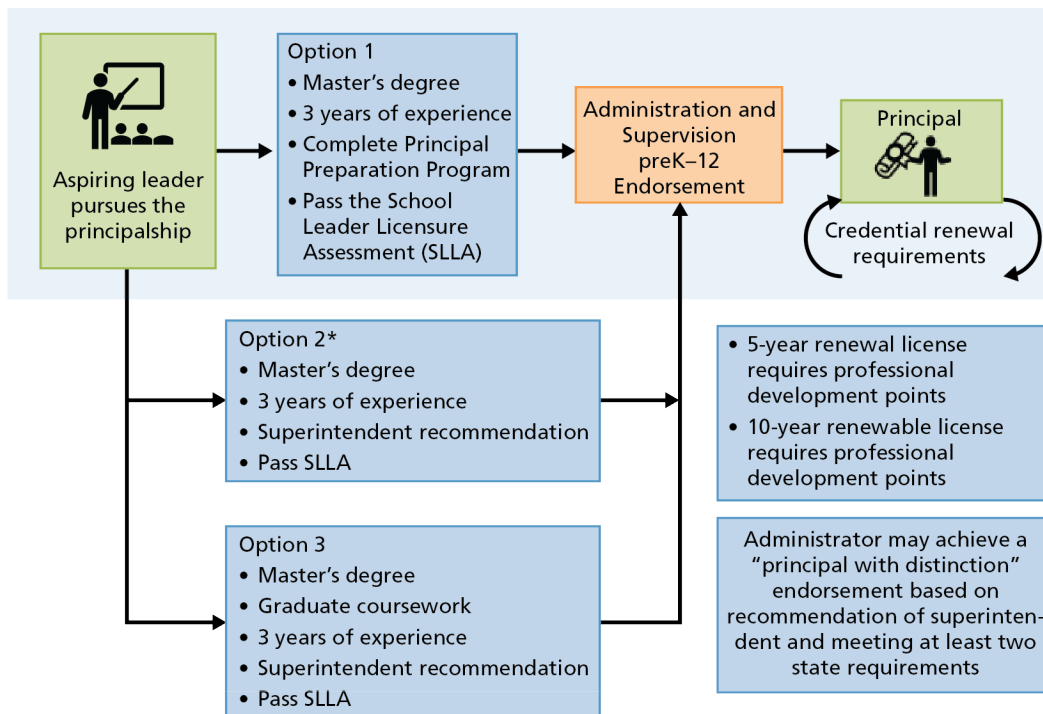
Virginia does not appear to have any statewide efforts related to the recruitment of school leaders. Colleges and universities recruit candidates for their programs.

Principal Licensure and Program Approval and Oversight

Pathway to the Principalship

Figure B7.1 describes the pathways to the principalship in Virginia. Detailed requirements for licensure are available in the Licensure Regulations for School Personnel (Virginia Board of Education, 2018a).

Figure B7.1 Virginia's Pathways to the Principalship



*Restricted to the Virginia school division from which the superintendent recommendation was submitted.

An endorsement in administration and supervision PreK–12 consists of Level I, which is required to serve as a building-level administrator or central office instructional supervisor, and Level II, which is an optional endorsement to which an experienced building-level administrator may aspire (Virginia Board of Education, 2018a). Level I includes three options for obtaining the Level I administration and supervision PreK–12 endorsement. Option I is the approved program route, and Options II and III are non-program routes. After the candidate serves as building-level administrator for at least five years and successfully completes a formal induction program as a principal or assistant principal, they may pursue the Level II certification, Principal of Distinction endorsement.

After the candidate serves as building-level administrator for at least five years and successfully completes a formal induction program as a principal or assistant principal, they may pursue the Level II Principal of Distinction endorsement.

Alternative Pathways

Options II and III are non-program routes to obtaining a Level I endorsement. The non-program routes rely on a recommendation from the superintendent in the employing district. Option II is restricted to the Virginia school division that submitted the recommendation for the candidate. Both Options II and III, require the candidate to have a master's degree, three years of experience, met requirements for the school leaders licensure assessment, a recommendation by

the superintendent where the candidate is employed, and specific coursework. To obtain Level II, the candidate can be recommended by their superintendent once they complete two or more of the following criteria: evidence of improved student achievement, effective instructional leadership, positive effect on school climate or culture, completion of a high-quality professional development project, or a doctorate in educational leadership (or equivalent coursework).

Prerequisites

According to Virginia regulations for approving preparation programs, there are no standards for programs to follow in the selection of candidates. However, the program must ensure that the candidate completes three years of successful, full-time experience in a public school or accredited non-public school in an institution personnel position that required licensure in Virginia and is eligible for a Postgraduate Professional License.

Licensure Requirements

The State Board of Education has the authority to license instructional personnel. The VDOE issues licenses on behalf of the Board of Education, and the Advisory Board on Teacher Education and Licensure makes recommendations to the Board of Education regarding licensure and approved programs. Applications for licensure can be submitted to VDOE following instructions outlined in the application form (Virginia Department of Education, 2019a). An application for submission of an initial license requires the individual to demonstrate and provide documentation that they have completed a state-approved preparation program, hold an active valid licensure, and have full-time employment in a Virginia school division. To renew a licensure, individuals need to complete 270 professional development points, as well as conditions of licensure that include specific statutory training requirements (Virginia Department of Education, 2019c). In response to 2018 General Assembly legislation (House Bill 1125 and Senate Bill 349), effective July 1, 2018, the Board of Education issues ten-year renewable licenses. Five-year renewable licenses are no longer issued (Virginia Department of Education, 2019c).

Approval of State Programs

Requests for new education endorsement programs must be submitted to the VDOE, reviewed by ABTEL, and approved by the Board of Education. Requests must be submitted in a format outlined by the VDOE. New programs are required to provide rationale for the program, demonstrate capacity, provide a list of requirements for the program, and provide a description of the field experiences. Approved endorsement programs must provide evidence of their achievement biennially using accountability measures outlined in the VDOE Standards for Biennial Approval of Education Endorsement Programs (Virginia Board of Education, 2018d). The measures include candidate progress and performance on licensure assessments, basic skills, field experiences, evidence opportunities in diverse settings for candidates, contributions to

PreK–12 student achievement, employer job satisfaction, and partnerships based on PreK–12 school needs. Programs submit documentation outlined in the standards and ABTEL advises the Board of Education and submits recommendations on policies. The final authority for approval of education programs remains with the Board of Education (Virginia Board of Education, 2018b). In August 23, 2018, changes to state regulations required educator programs to be accredited through the Council for the Accreditation of Educator Preparation (CAEP) and meet CAEP standards for principal preparation.

State-Approved Preparation Programs

There are 36 programs approved for the Level I credential in Virginia. More than half of the programs are housed in private institutions. Table B7.2 describes the number of providers offering Level I programs.

Table B7.2. Number of Providers Offering Level I Programs

| Credential Type | Public Universities | Private/ Independent Institutions | Local Education Agencies | Other Institutions | Total # of Approved |
|------------------------|----------------------------|--|---------------------------------|---------------------------|----------------------------|
| Level I credential | 14 | 22 | 0 | 0 | 36 |

Program Approval Standards and Their Relation to State Leadership Standards

Under Virginia Law, administration and supervision programs must ensure that their candidates know and can use the state standards and evaluation criteria for principals (Guidelines for Uniform Performance Standards and Evaluation Criteria for Principals), as well as demonstrate competency in a number of specific areas such as understanding principles of student motivation, analyzing data, and working with standards-based curricula (Virginia Administrative Code, 8VAC20-543-570, 2018).

Requirements for Approval

New programs are approved by the Board of Education. New education endorsement programs must submit a statement explaining the rationale for a new program, the capacity of the institution to offer the program, the list of requirements, a matrix that demonstrates and incorporates the competencies set out by regulation (which are focused on the area where candidates intend to study and practice), and descriptions of the field experiences and partnerships (Virginia Board of Education, 2018c). All approved education programs are required to demonstrate achievement and present evidence to the Board of Education in the accountability measures outlined by regulation biennially (Virginia Board of Education, 2018d). The components include evidence of a candidate passing rate above 80 percent, candidate progress on the required assessments, structured and integrated field experiences, candidate participation in diverse school setting opportunities, candidate contributions to PreK–12 student

achievement, employer job satisfaction following completion of the program, and partnerships with PreK–12 schools.

Professional Development

Virginia provides opportunities for professional development along with state and regional networks to support professional development.

State-Supported Professional Development

The VDOE provides resources and recommendations for educators and administrators and support to personnel. The resources include a calendar of professional learning opportunities, presented by VDOE and other organizations, and a professional learning network (Virginia Department of Education, 2020b).

Professional Development in the Licensure Process

Licensure renewal requires professionals to complete 180 to 270 approved professional development points, depending on whether the individual holds a five- or ten-year license, as well as trainings required by statute.

Evaluation

VDOE provides guidance for the evaluation of principals in the same document as the standards, titled *Guidelines for Uniform Performance Standards and Evaluation Criteria for Principals* (Virginia Department of Education, 2020a). The evaluation guidelines provide examples and descriptions that align to each of the seven standards. The standards serve as guidance for school divisions to develop their unique evaluation system. The Board of Education is responsible for establishing standards, and the Code of Virginia requires that principal evaluations be consistent with the performance objectives (standards) set forth in the Board of Education's *Guidelines for Uniform Performance Standards and Evaluation Criteria for Teachers, Administrators, and Superintendents*. Each district is required to develop a process to evaluate principals, assistant principals, and supervisors.

Leader Tracking Systems

Virginia does not appear to have a state leader tracking system.

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