PRIORITIZING LEADERSHIP:
NEW LEADERS' FEDERAL POLICY PLATFORM

ABOUT NEW LEADERS

Founded in 2000 by a team of social entrepreneurs, New Leaders is a national nonprofit that develops transformational school leaders and designs effective leadership policies and practices for school systems across the country. Research shows—and our experience confirms—that strong school leaders have a powerful multiplier effect, dramatically improving the quality of teaching and raising student achievement in a school. New Leaders now operates in eight regions of the United States. We have developed over 1,000 leaders who are impacting the lives of 300,000 students.

THE IMPORTANCE OF LEADERSHIP

Principals are the leverage point for education reform. They are the primary drivers of school improvement[1] and, quite simply, are the best long-term investment to ensure effective teaching and learning at scale.

School leaders are responsible for ensuring that students receive high-quality instruction across classrooms, year after year. In this way, they yield an even greater influence on student learning than an individual teacher.[2] In fact, principals account for 25 percent of a school's impact on student achievement,[3] not including effects related to their influence over teacher effectiveness.

As talent managers, principals that recruit great teachers, implement new teacher evaluation and support systems, and develop and retain the best educators. Moreover, they use new data systems to make strategic decisions and facilitate data-driven instruction. They also lead the transition to college- and career-ready standards, making sure staff, students and parents understand the new expectations and ensuring teachers adjust their practice accordingly. And principals build cultures of achievement as part of their efforts to turn around our lowest-performing schools.

Increasingly, states and local educational agencies (LEAs) recognize the importance of principals in the successful implementation of new reform efforts. For example, instead of a limited focus on short-term solutions—such as simply providing professional development to teachers on new standards—some states and districts are investing in longer-term strategies to improve teacher effectiveness and increase student achievement by focusing on school leaders to develop and retain great teachers. In Tennessee, Kevin Huffman, the

> **States and LEAs recognize the importance of principals in the successful implementation of new reforms**
>
> "New Leaders is playing a key role in the state's ability to support districts in the selection and hiring of highly effective school leaders. We strongly believe that hiring the right school leader is a critical step in creating conditions that lead to improved student outcomes, and we feel lucky to have New Leaders as a partner in this work."
>
> —Kevin Huffman, Commissioner of the Tennessee Department of Education

New Leaders

Commissioner of the Tennessee Department of Education highlighted this focus, stating, "New Leaders is playing a key role in the state's ability to support districts in the selection and hiring of highly effective school leaders. We strongly believe that hiring the right school leader is a critical step in creating conditions that lead to improved student outcomes, and we feel lucky to have New Leaders as a partner in this work."

Smart federal policies champion the importance of principals, set the conditions for strong state and LEA policies, support innovative models and promising practices, promote accountability for results, and build on-the-ground capacity to support effective leadership. All smart principal policies—including those at the federal level—should be grounded in the actions of effective leaders.

Principals are expected to meet an increasingly complex set of expectations. And the best principals do so by playing three critical roles:

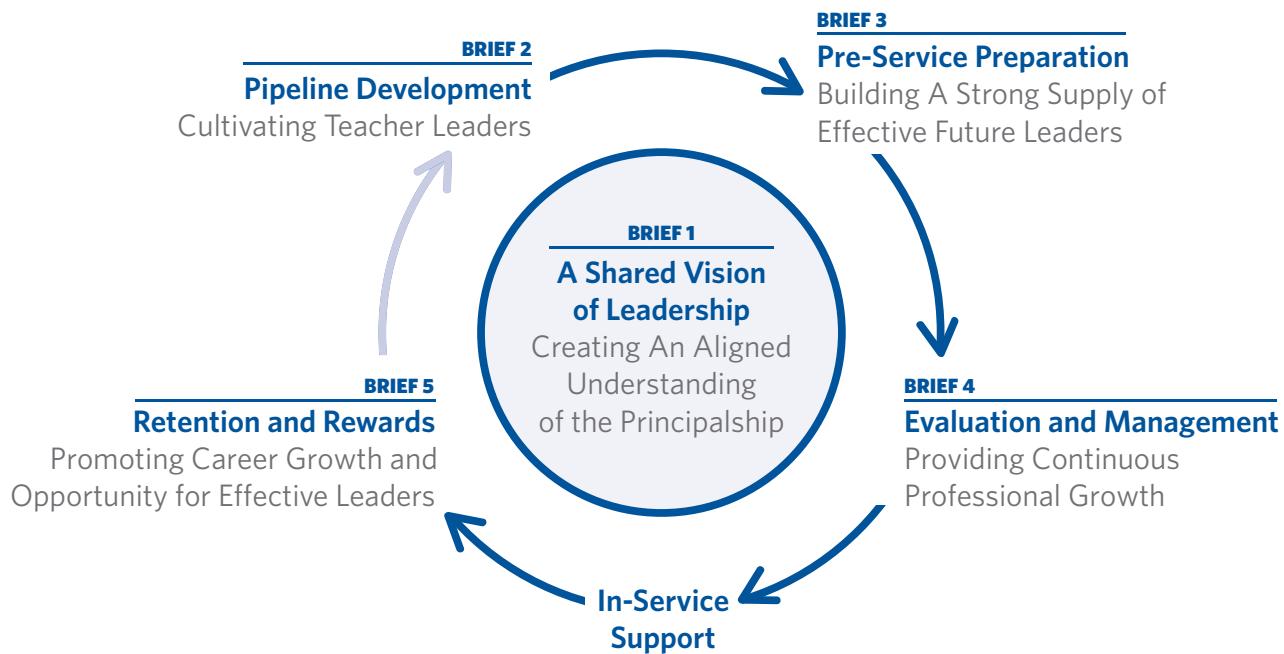| 1	2	3
Instructional Leader	**Talent Manager**	**Culture Builder**
Ensure rigorous, standards-based, goal- and data-driven learning and teaching.	Build and manage a high-quality staff aligned to the school's vision of success for every student.	Develop a school-wide culture of achievement focused on success for every student.

These crucial roles are supported by operations and systems that support learning and are enhanced by a principal's personal leadership characteristics.[5]

In their role as instructional leaders, principals ensure all students have access to rigorous curriculum and use achievement data to inform decision-making. As talent managers, principals hire, support, evaluate, and develop teachers. According to teacher survey data, 97 percent rated principals as very important for retaining teacher talent—more than any other factor.[6] And as culture builders, principals create a learning-centered school culture that helps great teachers thrive.[7] They also work with families and community members to collaboratively develop strategic plans.

New Leaders

FEDERAL POLICY PLATFORM SERIES

In this series, policymakers are encouraged to consider how various policies will impact a principal throughout her career. Policymakers are also asked to reflect on how the policies fit together in a comprehensive school leadership reform agenda. The first paper in the series—"A Shared Vision of Leadership"—discusses how to create alignment across the leadership wheel through a shared understanding of the principalship. The other papers tackle the remaining leadership domains relevant to the federal level, including those that impact a principal before her first day as a school leader—"Pipeline Development" and "Pre-Service Preparation"—and those that make a difference as she continues in the role of principal—"Evaluation and Management" and "Retention and Rewards."

BRIEF 2
Pipeline Development
Cultivating Teacher Leaders

BRIEF 3
Pre-Service Preparation
Building A Strong Supply of Effective Future Leaders

BRIEF 1
A Shared Vision of Leadership
Creating An Aligned Understanding of the Principalship

BRIEF 5
Retention and Rewards
Promoting Career Growth and Opportunity for Effective Leaders

BRIEF 4
Evaluation and Management
Providing Continuous Professional Growth

In-Service Support

New Leaders

VEHICLES FOR FEDERAL ACTION

There are a number of vehicles federal policymakers can use to create or encourage effective leadership policies. Throughout this series we will describe an ideal policy and then suggest potential vehicles policymakers could use to pursue that policy. The vehicle might be **amending authorizing statute**—such as the Elementary and Secondary Education Act (ESEA) or the Higher Education Act (HEA)—**adjusting appropriations priorities**, **rulemaking on existing legislative language**, or **providing guidance and technical assistance** through executive action.

We encourage the Executive and Legislative branches to talk publicly, consistently, and at the highest levels to bring the importance of school leadership to national prominence.
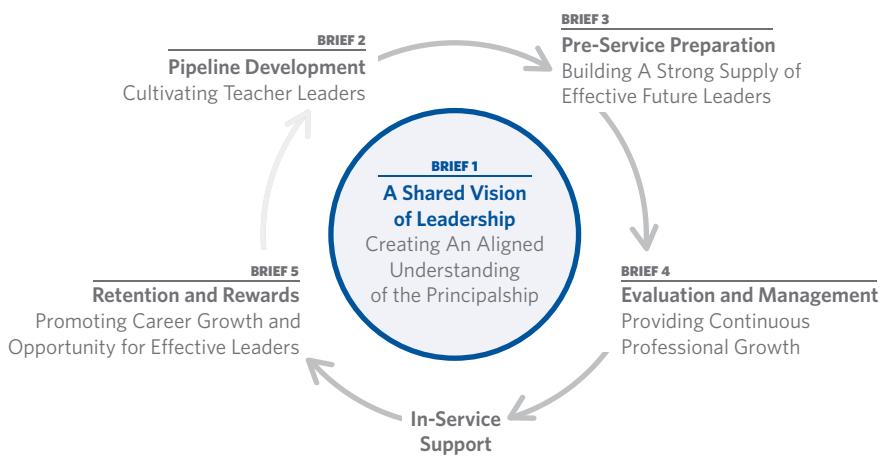
For more information on the types of state policies we believe the federal government should incent, please see New Leaders' publication entitled *Re-Imagining State Policy: A Guide to Building Systems That Support Effective Principals*, which outlines state policy recommendations across the full spectrum of a principal's career.

In addition to the specific actions we recommend in the following briefs, federal policymakers can also do more to champion the importance of school leadership. Through high-profile communications, the bully pulpit, and its convening power, the federal government can help raise the profile of principals and their importance in successfully implementing other reform efforts.

1. Bryk, A.S., Sebring, P., Allensworth, E., Luppescu, S. & Easton, J.Q. (2010). *Organizing Schools for Improvement: Lessons from Chicago*. Chicago, IL: The University of Chicago Press.

2. Branch, G., Hanushek, E. A., & Rivkin, S. G. (2012). *Estimating The Effect of Leaders on Public Sector Productivity: The Case of School Principals*. Washington, D.C.: National Center for Analysis of Longitudinal Data in Education. Retrieved from http://www.caldercenter.org/upload/CALDER-Working-Paper-32_FINAL.pdf.

3. Leithwood, K., Louis, K. S., Anderson, S., & Wahlstrom, K. (2004). *How Leadership Influences Student Learning*. New York, NY: Wallace Foundation. Retrieved from http://www.wallacefoundation.org/knowledge-center/school-leadership/key-research/Pages/How-Leadership-Influences-Student-Learning.aspx. Marzano, R.J., Waters, T., & McNulty, B. (2005). S*chool Leadership That Works: From Research to Results*. Alexandria, VA: Association for Supervision and Curriculum Development.

4. Branch, G., Hanushek, E. A., & Rivkin, S. G. (2012). *Estimating The Effect of Leaders on Public Sector Productivity: The Case of School Principals*. Washington, D.C.: National Center for Analysis of Longitudinal Data in Education. Retrieved from http://www.caldercenter.org/upload/CALDER-Working-Paper-32_FINAL.pdf. Louis, K.S., Leithwood, K., Wahlstrom, K.L., & Anderson, S.E. (2010). *Investigating the Links to Improved Student Learning: Final Report of Research Findings*. Minneapolis, MN: University of Minnesota. Retrieved from http://www.wallacefoundation.org/knowledge-center/school-leadership/key-research/Pages/Investigating-the-Links-to-Improved-Student-Learning.aspx. Supovitz, J., Sirinides, P., & May H. (2010). How Principals and Peers Influence Teaching and Learning. *Educational Administration Quarterly*, 46(1), 31-56.

5. New Leaders (2011). *Urban Excellence Framework*. New York: New Leaders. Retrieved from http://www.newleaders.org/newsreports/publications/uef/.

6. Scholastic Inc. (2012). *Primary Sources: America's Teachers on the Teaching Profession*. New York, NY: Scholastic and the Bill and Melinda Gates Foundation. Retrieved from http://www.scholastic.com/primarysources/pdfs/Gates2012_full.pdf.

7. Adams, E., Ikemoto, G., & Taliaferro, L. (2012). *Playmakers: How Great Principals Build and Lead Great Teams of Teachers*. New York, NY: New Leaders. Retrieved from http://www.newleaders.org/newsreports/publications/playmakers/.

New Leaders

A SHARED VISION OF LEADERSHIP: CREATING AN ALIGNED UNDERSTANDING OF THE PRINCIPALSHIP

Accounting for a quarter of a school's impact on student achievement, principals are the leverage point for education reform and the primary drivers of school improvement. School leaders have a greater influence on all students than teachers and are the best long-term investment in effective teaching at scale.

BRIEF 2
Pipeline Development
Cultivating Teacher Leaders

BRIEF 3
Pre-Service Preparation
Building A Strong Supply of Effective Future Leaders

BRIEF 1
A Shared Vision of Leadership
Creating An Aligned Understanding of the Principalship

BRIEF 5
Retention and Rewards
Promoting Career Growth and Opportunity for Effective Leaders

BRIEF 4
Evaluation and Management
Providing Continuous Professional Growth

In-Service Support

THE CHALLENGE: A CHANGING PRINCIPAL ROLE

The role of the principal is rapidly changing. Once seen as building managers tasked with bus schedules and student discipline, principals now lead a range of school-level reform efforts. According to the National Association of Elementary School Principals and the National Association of Secondary School Principals, "heightened accountability requirements under which schools operate have significantly increased the complexity of the work of the principal."[1]

But not all principals are equipped to lead dramatic student achievement gains or know which actions to prioritize. Research on school leaders in urban areas demonstrated that principals only spent between 8 to 17 percent of their time on instructional leadership activities because they found it difficult to carve out time for improving instruction and they were unsure which actions offered the most promise.[2]

Fortunately, research indicates which principal actions can amplify great teaching and increase student achievement. Through an in-depth analysis of more than 200 public schools, New Leaders found that the most effective principals took action in three intersecting areas: as **instructional leaders**, principals support teachers in improving classroom instruction; as **talent managers**, principals manage staff (such as recruiting, hiring, developing, and retaining exceptional talent), build learning communities, and provide ongoing feedback; and as **culture builders**, principals create great places to work and learn.[3] Together, these three areas define the role of the principal.

For more information on how these roles focus principal actions in supporting great teaching, please see New Leaders' publication entitled *Playmakers: How Great Principals Build and Lead Great Teams of Teachers.*

New Leaders

THE SOLUTION: A SHARED VISION OF GREAT LEADERSHIP

In order to support states and local educational agencies (LEAs) in advancing the principalship—including investing time, focus, and resources in the role—federal policymakers should:

- **Sharpen the focus on leadership;**
- **Improve the use of existing resources;**
- **Encourage alignment of human capital policies to a new vision of leadership;**
- **Support the conditions that allow principals to be effective; and**
- **Invest in a learning agenda.**

SHARPEN THE FOCUS ON LEADERSHIP

1 | Make a clear differentiation between teachers and principals in major federal programs. In order to support a focus on both teachers and principals, create separate priorities in competitive grant programs and differentiate set-asides. Separating teachers and principals will highlight the distinct and important roles that each play and recognize the primary role of principals in supporting teacher effectiveness.

Vehicles:
- **Amend** or initiate a **rulemaking** process on various grant programs—such as the Investing in Innovation Fund (i3), the Supporting Effective Educator Development (SEED) program, the Teacher Incentive Fund (TIF), and the Race to the Top-District (RTT-D) competition—to include separate priorities for programs to train or support principals, including those preparing for principal roles.

- **Amend** Title II of ESEA to increase the state-level reservation of Title II-A funds and set aside at least half of the reservation specifically for principal effectiveness activities.

- **Monitor** the progress of states and LEAs by tracking spending on principal effectiveness as distinct from spending on non-principal related initiatives that also improve teacher effectiveness. By collecting data on how states and LEAs spend their Title II funds separately on both teachers and principals, policymakers can encourage practitioners to reflect on the best use of funds and collect important data to inform future policies.

There are a number of vehicles federal policymakers can use to create or encourage effective leadership policies. Throughout this series we will describe an ideal policy and then suggest potential vehicles policymakers could use to pursue that policy.

Authorizing Statute
The legislative branch can amend current laws—such as the Elementary and Secondary Education Act (ESEA) or the Higher Education Act (HEA)—or pass new laws to establish programs and authorize federal spending levels.

Appropriations Priorities
The legislative branch can set aside federal funds for a specific use and fund priority programs.

Regulations
The executive branch can initiate a rulemaking process based on existing legislative language through an executive authority or regulatory agency.

Executive Actions
The executive branch can provide guidance and technical assistance on problems of practice. And it can (along with the legislative branch) elevate concepts through the bully pulpit.

New Leaders

2 | Use the bully pulpit to speak about the importance of great leadership. Champion the power of the principal through high-profile communications, the bully pulpit, and prominent convenings. As former students, many of us have experienced great teaching—a teacher that put us on a fundamentally different life path. But many of us were unaware of the principal's role in setting the conditions for that teacher to succeed. A great principal provides vision and support that enables all teachers in the building to help children reach their potential. Communications can highlight how an investment in principals is also an investment in great teaching. High-profile conversations also encourage a new generation of professionals to seek school leadership positions.

Vehicles:

- **Speak** often and at the highest levels about the importance of school leadership. Members of Congress, Administration officials, and other high-profile policymakers can find opportunities to share the message with various audiences.

- **Convene** states and LEAs to collaborate on solutions to a variety of principal effectiveness challenges, including recruiting, preparing, and supporting principals for our highest-need schools.

IMPROVE THE USE OF EXISTING RESOURCES

3 | Focus existing federal investments in principals. The current list of allowable activities in ESEA Title II-A does little to focus states and LEAs on the most effective uses of funds. Federal policymakers can encourage better uses of formula funds by updating the list of activities to focus more tightly on effective activities in the following categories: principal pipeline development; preparation and licensure; evaluation and support; and retention and rewards. Funds can also be set aside for competitions that will inform more effective use of formula funds.

Vehicles:

- **Amend** Title II-A of ESEA to streamline the existing allowable activities focused on recruiting, preparing, evaluating, developing, and retaining principals who serve as instructional leaders, talent managers, and culture builders. Then, provide **technical assistance** on how to use the funds most effectively.

- **Amend** Title II-A of ESEA to shift a portion of funds from formula funding to national activities funding for competitive grants to states, LEAs, and their partners, in order to seed innovative practices. Use performance-based funding to drive additional resources to and expand the reach of grantees with strong results while not renewing grants with poor results.

4 | Incent states to revise leadership standards. State leadership standards should focus principals on increasing teacher effectiveness and improving student outcomes. Many current standards lack specificity and focus, are overly complicated, and reflect an outmoded vision for school leadership. New standards must be short, evidence-based, and actionable, as well as define the principal's role as instructional leader, talent manager, and culture builder.

Vehicles:

- **Amend** Title II-A of ESEA to allow states to use funds to revise leadership standards that reflect a new vision for school leadership.

- Provide **technical assistance** on updating standards to focus principals on their important roles.

ENCOURAGE ALIGNMENT OF HUMAN CAPITAL POLICIES TO A NEW VISION FOR LEADERSHIP

5 | Revise human capital policies to reflect alignment of new vision. In order to reinforce the new vision for principals established in revised state leadership standards, states and LEAs must ensure that this vision is reflected across relevant human capital policies. Hiring and selection are often overlooked levers for ensuring great principals. States can create model job descriptions and recruitment practices that reflect new principal expectations and selection tools that incorporate performance tasks to measure candidates' abilities to reach those standards. LEAs would not have to recreate the wheel and could instead voluntarily adopt or adapt model practices.

Vehicle:
- **Invest** in innovative states and LEAs that plan to align human capital policies to strong leadership standards (e.g., the Teacher Incentive Fund (TIF)). Grantees should develop model job descriptions for various positions in a school's leadership team, including teacher leader, assistant principal, and principal. They can also develop strategies for recruiting strong candidates from a diverse talent pool and create performance-based principal hiring tools that match a principal's skills with a school's needs. *(Note: TIF is a competitive grant program that funds the development and implementation of performance-based teacher and principal compensations systems in high-need schools.)*

6 | Ensure alignment to evaluation and support systems. Discussed more fully in the evaluation and management brief, ensure evaluation and support policies reinforce the same vision for effective leadership outlined in state leadership standards.

Vehicle:
- **Invest** in innovative states and LEAs that plan to align principal evaluation and support systems to revised leadership standards. For more information on this topic, please see the brief entitled "Evaluation and Management: Providing Continuous Professional Growth."

SUPPORT THE CONDITIONS THAT ALLOW PRINCIPALS TO BE EFFECTIVE

7 | Encourage a culture of collective responsibility, balanced autonomy, and continuous improvement. At the local-level, school leaders can be more effective in LEAs that promote a culture of collective responsibility in reaching student academic outcomes. This culture fosters balanced autonomy—where principals have discretion to implement local, state, and federal initiatives in a manner that meets the unique needs of their schools without compromising the essential components of the policy or practice. In addition, the most successful LEAs are learning organizations that solicit feedback to improve. Within a culture of balanced autonomy, principals need decision-making authority to effectively manage talent at the school level. This staffing authority—the ability to hire, promote, and dismiss teachers and other school-based staff—is perhaps the most important and commonly lacking condition for principal effectiveness. Federal policies can encourage states and LEAs to establish the necessary conditions for principals to be effective. For more information, please see New Leaders' forthcoming publication entitled *Great Principals at Scale: Creating District Conditions that Enable All Principals to be Effective.*

Vehicles:
- Initiate a **rulemaking** process to provide priority and preference points in competitive grant competitions to entities that provide balanced autonomy to principals, including staffing authority (e.g., LEAs that break down existing central office barriers to provide principals with the authority to effectively manage talent).

- **Amend** or initiate a **rulemaking** process to set eligibility criteria for various state- or LEA-level grant competitions (e.g., Race to the Top (RTT)) such that states must thoughtfully remove barriers to balanced principal autonomy in order to be eligible (e.g., states that remove staffing formulas which regulate the positions for which principals can hire or remove salary limitations based solely on years of experience).

INVEST IN A LEARNING AGENDA

8 | Support research and disseminate best practices. Fund the collection of and research into practices and strategies implemented by principals in high-performing and fast-improving schools. Capture, learn from, and share these effective principal practices. Use these findings to revise existing federal policy.
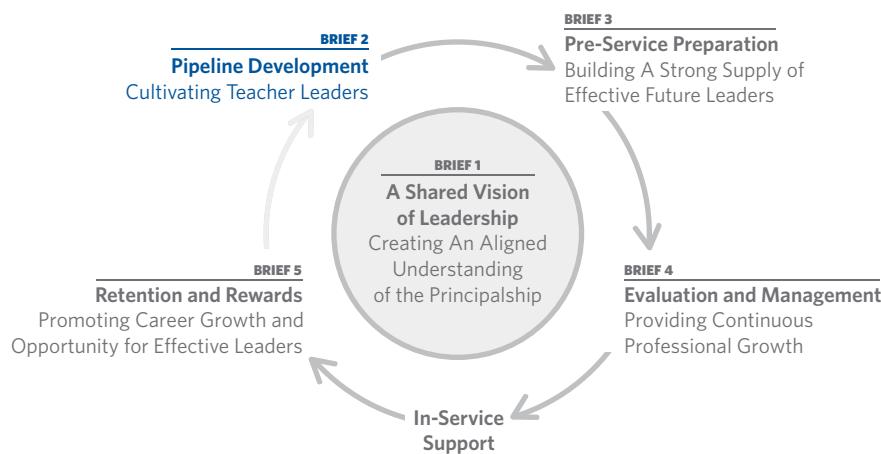
Vehicles:

- **Invest** in a robust research agenda to understand the practices of highly-effective school leaders through the Institute of Education Sciences (IES) or other entities.

- **Research** various ways to structure school leadership in the future, such as models that split the role of the principal (e.g., the School Administration Manager (SAM) project).

- **Disseminate** best practices by developing case studies, tools, and other resources.

1. Clifford, M. & Ross, S. (2012). *Rethinking Principal Evaluation: A New Paradigm Informed by Research and Practice*. Washington, DC: National Association of Elementary School Principals and National Association of Secondary School Principals. Retrieved from http://www.naesp.org/sites/default/files/PrincipalEvaluationReport.pdf

2. Jerald, C. (2012). *Leading for Effective Teaching: How School Systems Can Support Principal Success*. Seattle, WA: Bill & Melinda Gates Foundation. Retrieved from http://depts.washington.edu/uwcel/PSFTK/Jerald-White-Paper-Leading-for-Effective-Teaching.pdf

3. Adams, E., Ikemoto, G., & Taliaferro, L. (2012). *Playmakers: How Great Principals Build and Lead Great Teams of Teachers*. New York, NY: New Leaders. Retrieved from http://www.newleaders.org/newsreports/publications/playmakers/

PIPELINE DEVELOPMENT: CULTIVATING TEACHER LEADERS

Accounting for a quarter of a school's impact on student achievement, principals are the leverage point for education reform and the primary drivers of school improvement. School leaders have a greater influence on all students than teachers and are the best long-term investment in effective teaching at scale.

BRIEF 2
Pipeline Development
Cultivating Teacher Leaders

BRIEF 3
Pre-Service Preparation
Building A Strong Supply of Effective Future Leaders

BRIEF 1
A Shared Vision of Leadership
Creating An Aligned Understanding of the Principalship

BRIEF 5
Retention and Rewards
Promoting Career Growth and Opportunity for Effective Leaders

BRIEF 4
Evaluation and Management
Providing Continuous Professional Growth

In-Service Support

THE CHALLENGE: A WEAK PIPELINE

Like all professionals, teachers, assistant principals, and principals want opportunities to grow over the course of their careers. Successful educators have job opportunities beyond the school, and many leave to pursue other careers within and outside the education sector. According to data from the U.S. Department of Education, 25 years ago the mode of teacher experience was 15 years; by 2007, that number had dropped to only one year of experience.[1] In a study of teachers who left the field of education, 58 percent reported their new profession offered more opportunities for advancement.[2] But this doesn't have to be the case. More than 75 percent of highly effective teachers indicated that they would have stayed at their schools if their main reasons for leaving had been addressed.[3] Many of the strategies to increase teacher retention are practices driven by principals—including providing feedback and development, offering recognition, and providing new responsibilities or advancement opportunities, such as staying in the classroom part-time while taking on additional leadership responsibilities.[4]

Developing a pipeline of future leaders through teacher leadership and assistant principal roles will help address a number of challenges at the local level. It gives potential future leaders hands-on practice with adult leadership. It creates career pathways for teachers to explore expanding their reach while remaining in the classroom. And it helps schools and Local Education Agencies (LEAs) plan for future leadership needs. Despite the number of credentialed administrators, states and LEAs are finding it difficult to recruit the school leaders we need, especially in our highest-need schools. This challenge is driven in part by the limitations of current preparation programs, many of which do not provide authentic residency experiences to prospective leaders. Developing a leadership pipeline will help mitigate those challenges by offering effective teachers the opportunity to develop leadership skills and put them into practice before assuming a principalship.

Finally, principals can't do it alone. Like others in education, principals are being asked to do more with less. Our most effective principals recognize that to be successful in increasing student achievement, they need to cultivate the leadership talent of their staffs.[5] New Leaders has found that great principals in our highest-performing schools build leadership teams and delegate responsibilities in order to manage the school effectively, to engage teachers in decision-making, and to develop future school leaders.[6]

New Leaders

THE SOLUTION: AN ONRAMP TO THE PRINCIPALSHIP

In order to create a robust pipeline of effective future principals, to give teachers opportunities to expand their reach and practice adult leadership, and to provide principals with strong leadership teams to support their work, federal policymakers should:

- **Foster the role of the teacher leader to develop talent already in the system; and**

- **Expand the pipeline to bring new talent into the system.**

FOSTER THE ROLE OF THE TEACHER LEADER TO DEVELOP TALENT ALREADY IN THE SYSTEM

1 | Remove barriers to becoming teacher leaders. Teacher leader roles allow teachers to practice adult leadership skills while providing critical support to principals. Effective teachers can expand their reach by mentoring other teachers. They can also help a principal execute her instructional leadership duties by observing peers or facilitating team meetings.

Vehicle:
- Initiate a **rulemaking** process to set the eligibility criteria for grant competitions such that eligible entities must remove barriers to the development of teacher leaders. These barriers could include state or local laws for collectively bargained agreements that restrict certain leadership responsibilities teachers can take on without receiving additional levels of licensure.

2 | Encourage clear and easy-to-navigate career paths. To help teachers envision a long-term role for themselves in education, states and LEAs need to create career pathways that keep great teachers in the classroom while simultaneously expanding their reach as master teachers, coaches, or teacher leaders. These pathways will also allow LEAs to build their own pipelines of future principals.

Vehicles:
- **Invest** in programs that develop the teacher leader and assistant principal roles and provide career ladders and other opportunities for effective educators to practice adult leadership skills and serve on leadership teams that support their principals.

- **Invest** in pathways for effective educators (as determined by robust educator evaluation systems that accurately and consistently differentiate educator performance based on a pattern of effectiveness over time) that include differentiated compensation for both demonstrated effectiveness on the job and increased responsibilities.

- **Convene** states and LEAs to collaborate and share best practices on incentives and career pathways for great teachers.

There are a number of vehicles federal policymakers can use to create or encourage effective leadership policies. Throughout this series we will describe an ideal policy and then suggest potential vehicles policymakers could use to pursue that policy.

Authorizing Statute
The legislative branch can amend current laws—such as the Elementary and Secondary Education Act (ESEA) or the Higher Education Act (HEA)—or pass new laws to establish programs and authorize federal spending levels.

Appropriations Priorities
The legislative branch can set aside federal funds for a specific use and fund priority programs.

Regulations
The executive branch can initiate a rulemaking process based on existing legislative language through an executive authority or regulatory agency.

Executive Actions
The executive branch can provide guidance and technical assistance on problems of practice. And it can (along with the legislative branch) elevate concepts through the bully pulpit.

New Leaders

3 | Encourage distributive leadership models. A great principal cultivates leadership in his or her building by developing an instructional leadership team that is collectively responsible for curriculum and instruction, by creating space for teacher voice in decisions, by rewarding teachers with increased leadership responsibilities, and by mentoring staff in leadership skills. In return, the leadership team feels more invested in the success of the school and is able to support the principal in executing on the many responsibilities of leading a school.

Vehicles:
- Provide **technical assistance** sessions on structuring the teacher leader and assistant principal roles to support the principal in conducting teacher evaluations and other instructional leadership activities.

- **Convene** states and LEAs to collaborate and share best practices regarding the creation of distributive leadership models.

EXPAND THE PIPELINE TO BRING NEW TALENT INTO THE SYSTEM

4 | Encourage diverse candidates to seek school leadership positions. In order to recruit talent into the principalship, especially into high-need schools, we should not artificially limit pathways into leadership positions. While principals need strong school-based experience to be truly effective instructional leaders, skills from a diverse set of careers can supplement school-based experience and enhance leadership abilities. At New Leaders, we recognize that becoming a great principal requires a mix of skills, including teaching experience and adult leadership. We encourage a competency-based selection process that requires candidates to demonstrate key leadership skills paired with a minimum number of years of effective teaching experience.[7] This practice prevents artificial limitations on the talent pool while also ensuring that candidates have the capacities needed to succeed and a demonstrated record of results.
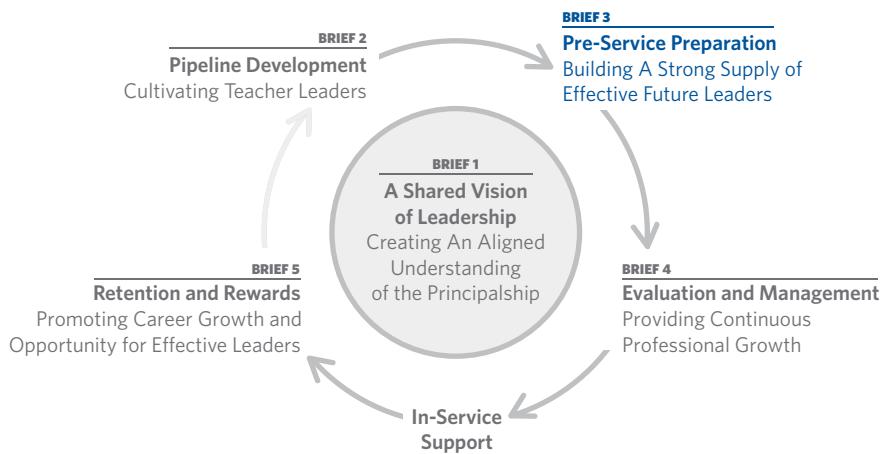
Vehicles:
- Initiate a **rulemaking** process to set the eligibility criteria for grant competitions such that eligible entities must remove barriers to entry into the principalship for candidates whose school-based education experience is not their current occupation, or require eligible entities to allow candidates in principal preparation programs to serve as assistant principals or as other school-based leaders under the supervision and mentorship of a licensed administrator.

- **Invest** in systems to identify highly effective principals for turnaround schools or build specific developmental pathways for turnaround leaders. Only fund grantees that directly address the quality of leaders to carry out turnaround strategies.

---

1. Omer, S. (2011, September 26). *Classroom 'Crisis': Many Teachers Have Little or No Experience.* NBC News. Retrieved from http://www.msnbc.msn.com/id/44505094/ns/us_news-education_nation/t/classroom-crisis-many-teachers-have-little-or-no-experience/#.UG-cfXCAApw

2. Marvel, J., Lyter, D., Peltola, P., Strizek, G., & Morton, B. (2006). *Teacher Attrition and Mobility: Results From the 2004–05 Teacher Follow-up Survey.* (NCES 2007–307). Washington, D.C.: U.S. Department of Education, Institute of Education Sciences, National Center for Education Statistics. Retrieved from http://nces.ed.gov/pubs2007/2007307.pdf

3. The New Teacher Project (2012). *The Irreplaceables: Understanding the Real Retention Crisis in America's Urban Schools.* Brooklyn, NY: The New Teacher Project. Retrieved from http://tntp.org/irreplaceables

4. Ibid.

5. Adams, E., Ikemoto, G., & Taliaferro, L. (2012). *Playmakers: How Great Principals Build and Lead Great Teams of Teachers.* New York, NY: New Leaders. Retrieved from http://www.newleaders.org/newsreports/publications/playmakers/

6. Ibid.

7. New Leaders recommends a strong focus on key skills including those related to pedagogy, instructional strategies, and data driven instruction. We also recommend setting two years of effective teaching as the minimum; while most of our program participants have more than two years teaching experience, our emphasis on competency keeps us from artificially limiting our talent pool while ensuring that candidates have the necessary experience to enter a principal preparation program.

New Leaders

PRE-SERVICE PREPARATION: BUILDING A STRONG SUPPLY OF EFFECTIVE FUTURE LEADERS

Accounting for a quarter of a school's impact on student achievement, principals are the leverage point for education reform and the primary drivers of school improvement. School leaders have a greater influence on all students than teachers and are the best long-term investment in effective teaching at scale.

BRIEF 2
Pipeline Development
Cultivating Teacher Leaders

BRIEF 3
Pre-Service Preparation
Building A Strong Supply of Effective Future Leaders

BRIEF 1
A Shared Vision of Leadership
Creating An Aligned Understanding of the Principalship

BRIEF 5
Retention and Rewards
Promoting Career Growth and Opportunity for Effective Leaders

BRIEF 4
Evaluation and Management
Providing Continuous Professional Growth

In-Service Support

THE CHALLENGE: PRINCIPAL READINESS GAP

The current system of principal preparation needs to be overhauled. Changes to principal preparation will accelerate the pace of improvement and ensure all preparation programs are preparing the candidates we need to deliver on the promise of education reform. State licensure systems should also be revamped to ensure future principals demonstrate readiness before becoming school leaders and ongoing success to retain their licenses.

While we have an abundance of certified administrators, there is a shortage of principals prepared for the complex job of being a school leader. In fact, 41 percent of superintendents report that many principals are not well-prepared for the job[1] and 96 percent of principals said that on-the-job experiences were better training than their graduate programs.[2] There are a growing number of strong principal preparation programs that are exploring promising practices, including recruiting high-caliber candidates, conducting a rigorous selection process, pairing demanding curriculum with a strong practicum component, and using ongoing assessment to tailor learning.[3] However, most preparation programs still lack one or more of these critical elements. Compounding the challenge of inadequate preparation is the variability of state approval processes for principal preparation programs, many of which do not encourage improvement nor do they hold programs accountable for results.[4] State licensure systems often exacerbate this problem with their lack of focus on evidence of readiness for initial licensure and success on the job for renewal decisions.

The recommendations listed below focus on federal policy. For more information on these challenges and how states can prepare and license effective principals, please see New Leaders' publication entitled *Change Agents: How States Can Develop Effective School Leaders*.

NewLeaders

THE SOLUTION:
A STRONG SUPPLY OF EFFECTIVE FUTURE LEADERS

In order to build a pipeline of school leaders ready to lead in this new era of reform, federal policymakers must:

- Support innovative approaches to principal preparation;
- Expect all preparation programs to offer rigorous courses of study with meaningful practice in an authentic setting; and
- Encourage states to adopt outcomes-based licensure systems.

SUPPORT INNOVATIVE APPROACHES TO PRINCIPAL PREPARATION

1 | Invest in innovative principal preparation. Competitive grants can encourage the reform and creation of preparation programs that provide, either directly or through partnerships with local educational agencies (LEAs), the following research-based programmatic elements: a defined competency framework that describes the competencies a principal must have to be successful; proactive recruitment and rigorous selection; a research-based curriculum; clinical practice; participant assessment; and a commitment to program review and improvement.[5]

Vehicles:
- Increase **funding** for and initiate a **rulemaking** process on the School Leadership program (SLP) (Title II of ESEA). Focus the increased funding on both seeding promising principal preparation programs that specifically include research-based programmatic elements (described above) and scaling programs with evidence of results to serve as models for the rest of the country. *(Note: SLP is a competitive grant program that currently funds high-need LEAs to support the recruitment, training, and retention of school leaders).*

- **Amend**, through authorizing statute or through **appropriations** language, Title II-A of ESEA to set aside a portion of funds for national activities, including funding for competitive grants to states and LEAs with cutting-edge strategies to improve principal preparation.

- **Amend** Title IV of HEA to explore new options for recognizing educator preparation programs. Establish a pilot to explore new approaches that raise expectations by allowing programs that are not based at institutions of higher education (IHE) and agree to meet a high bar gain accreditation or other recognition. In order to be eligible for the pilot, non-profit or other organizations (IHE-based or otherwise) must agree to implement research-based best practices and focus on outcomes, including an examination of graduate

---

There are a number of vehicles federal policymakers can use to create or encourage effective leadership policies. Throughout this series we will describe an ideal policy and then suggest potential vehicles policymakers could use to pursue that policy.

Authorizing Statute
The legislative branch can amend current laws—such as the Elementary and Secondary Education Act (ESEA) or the Higher Education Act (HEA)—or pass new laws to establish programs and authorize federal spending levels.

Appropriations Priorities
The legislative branch can set aside federal funds for a specific use and fund priority programs.

Regulations
The executive branch can initiate a rulemaking process based on existing legislative language through an executive authority or regulatory agency.

Executive Actions
The executive branch can provide guidance and technical assistance on problems of practice. And it can (along with the legislative branch) elevate concepts through the bully pulpit.

New Leaders

effectiveness and student learning outcomes. After piloting this approach with educator preparation programs, this innovative model could inform future HEA reauthorizations and the accreditation process generally.

- **Amend** the Teacher Quality Partnership (TQP) grant program (Title II-A of HEA) to fund partnerships among high-performing principal preparation programs (including IHEs and non-profit organizations) and high-need LEAs to create model principal preparation programs (specific recommendations described below). *(Note: TQP is a series of competitive grant programs that currently fund partnerships between IHEs and high-need LEAs to support improvements in educator preparation and support).*

  - **Amend** the Pre-Baccalaureate Preparation program (Title II-A of HEA) to fund teacher leader and principal preparation program reforms at the post-baccalaureate level. The grants should hold these programs accountable for preparing effective teacher leaders and principals and implementing research-based best practices tailored to school leadership. *(Note: The Pre-Baccalaureate Preparation program currently requires grantees to implement programmatic reforms and hold teacher preparation programs accountable for preparing highly-qualified teachers).*

  - **Amend** the Leadership Development program (Title II-A of HEA) to require that funds be used on best practices in program design and activities that build necessary leadership capacities. Require principal candidates to have at least two years of effective school-based experience (such as effectiveness as a teacher where data are available) either directly preceding the program or through prior experience. This will ensure that candidates have the needed instructional expertise while also allowing former teachers to be eligible. Add required uses of funds related to best practices in program design (including the research-based programmatic elements described above) and leadership competencies. To remove artificial barriers that keep some excellent leaders from becoming school principals, remove the requirement for attaining an advanced degree. *(Note: The Leadership Development program currently supports grantees in preparing superintendents, principals, or other school administrators).*

  - **Amend** the Teacher Residency program (Title II-A of HEA) to set aside a portion of funds to provide stipends to prospective school leaders to obtain principal training in exchange for agreeing to serve in a high-need school. *(Note: The Teacher Residency program currently provides stipends to recent college graduates and mid-career professionals to obtain graduate-level teacher training in exchange for a commitment to teach in a high-need school).*

2 | Encourage states to be open to all forms of principal preparation. All programs—whether based at LEAs, IHEs, or non-profit organizations—should be able to prepare principals as long as the programs include research-based programmatic elements and focus on outcomes. Currently 19 states only allow IHE-based programs to offer a pathway to the principalship,[6] artificially limiting the choices for principal preparation based on the category of program instead of its characteristics and outcomes.

Vehicle:
- **Amend** or initiate a **rulemaking** process to set eligibility criteria for various state-level grant competitions (e.g., the Race to the Top Fund (RTT)) such that states must have a system that is open to all forms of principal preparation programs as long as they meet a high bar for eligibility.

New Leaders

EXPECT RIGOROUS PRINCIPAL PREPARATION AND CLINICAL PRACTICE

3 | Require greater transparency of results. Ask states to collect and disaggregate methodologically sound and accurate outcome data[7] by principal preparation program, such as placement rates, retention rates, LEA satisfaction, leadership effectiveness, and impact on student outcomes. While a number of states do not yet collect this data, we believe states should build or modify data systems that can track this information, especially leadership effectiveness and impact on student outcomes data, as many programs do not currently have the capacity or authorization to collect that data.

Vehicles:

- **Amend** Title II-A of HEA to add principal preparation programs to the annual state report card and institutional and program report cards. The outcomes measures that states collect on individual programs should be shared with programs in order to examine the data and make enhancements to program design, operation plan, and curriculum, as necessary.

- **Amend** or initiate a **rulemaking** process to set eligibility criteria for various state-level grant competitions such that states must collect and transparently report impact data (including the measures described above) disaggregated by principal preparation programs in order to be eligible.

4 | Encourage states to hold all preparation programs accountable for results. States should collect and report data on program results and use specified outcomes measures (described above) to differentiate their approach to a comprehensive system of program renewals as well as to inform program improvement. Programs with strong outcomes would be eligible for fast-track renewals and further study to determine replicable best practices. Programs with weaker outcomes would be subject to additional scrutiny and make plans for improvement. At the far end of the spectrum, programs that continue to produce the lowest-performing principals would be subject to consequences.

Vehicle:

- **Amend** Title II of ESEA to increase the state-level reservation of Title II-A funds and set aside at least half of the reservation specifically for principal effectiveness activities, including allowing states to use funds to design and implement a process for reviewing and approving principal preparation programs that is grounded in research-based programmatic elements and differentiated based on outcome data. For more information on how states can build an outcomes-based system, please see New Leaders' publication entitled *Change Agents: How States Can Develop Effective School Leaders*.

New Leaders

SUPPORT OUTCOMES-BASED LICENSURE

5 | Invest in states that want to pilot new approaches to certification and licensure, including differentiating between a preliminary license for new administrators and a professional license based on effectiveness.
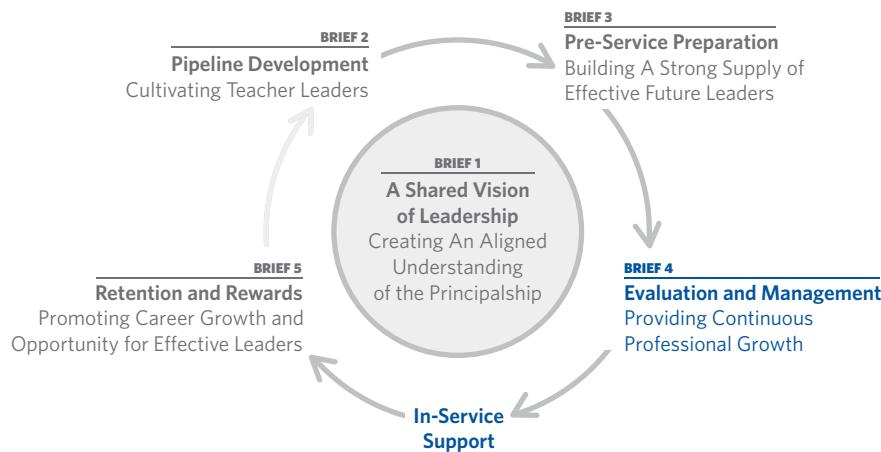
Vehicles:

- **Amend** or initiate a **rulemaking** process to set eligibility criteria for various state-level grant competitions such that states must create a single license for entry into the principalship for candidates that completed any principal preparation program that met a high bar for program approval, be it a traditional or alternative program, in order to be eligible.

- **Amend** Title II-A of ESEA to set aside a portion of funds for national activities, including funding for competitive grants to states and LEAs with innovative strategies to reform principal licensure. Focus initial licensure on demonstrations of the competencies necessary to lead a school. Link renewal decisions to effectiveness data from robust principal evaluations systems that accurately and consistently differentiate principal performance based on a pattern of effectiveness over time. For more information on both the design and implementation of principal evaluation and support systems, please see the brief entitled "Evaluation and Management: Continuous Professional Growth."

- **Fund** state or consortia development of rigorous, competency-based assessments for initial licensure. Require grantees to collect evidence demonstrating the instrument is predictive of effective principal practice.

1. Farkas, S., Johnson, J., Duffett, A., & Foleno, T. with Foley, P. (2001). *Trying to Stay Ahead of the Game: Superintendents and Principals Talk About School Leadership*. New York, NY: Public Agenda. Retrieved from http://www.publicagenda.org/files/ahead_of_the_game.pdf.

2. Farkas, S., Johnson, J., & Duffet, A. with Syat, B. & Vine, J. (2003). *Rolling Up Their Sleeves: Superintendents and Principals Talk About What's Needed to Fix Public Schools*. New York, NY: Public Agenda. Retrieved from http://www.publicagenda.org/files/rolling_up_their_sleeves.pdf.

3. Cheney, G., Davis J., & Holleran, J (2010). *A New Approach to Principal Preparation: Innovative Programs Share Their Best Practices and Lessons Learned*. Fort Worth, TX: Rainwater Leadership Alliance. Retrieved from http://www.anewapproach.org/docs/a_new_approach.pdf. Darling-Hammond, Linda, LaPointe, Michelle, Meyerson, Debra, and Orr, Margaret, (2007). *Preparing School Leaders for a Changing World: Lessons from Exemplary Leadership Development Programs – Final Report*. New York, NY: The Wallace Foundation. Retrieved from http://www.wallacefoundation.org/knowledge-center/school-leadership/key-research/Documents/Preparing-School-Leaders.pdf. Hambrick Hitt, D., Tucker, P., Young, M. (2012). *The Professional Pipeline for Educational Leadership: A White Paper Developed to Inform the Work of the National Policy Board for Educational Administration*. Charlottesville, VA: University Council for Educational Administration (UCEA). Retrieved from http://files.eric.ed.gov/fulltext/ED533487.pdf.

4. Briggs, K, Cheney, G.R., Davis, J. & Moll, K. (2013). *Operating in the Dark: What Outdated State Policies and Data Gaps Mean for Effective School Leadership*. Dallas, TX: George W. Bush Institute. Retrieved from http://www.bushcenter.org/sites/default/files/GWBI-Report_Op_inthe_Dark_v23v-LR_0.PDF.

5. Cheney, G., Davis J., & Holleran, J (2010). *A New Approach to Principal Preparation: Innovative Programs Share Their Best Practices and Lessons Learned*. Fort Worth, TX: Rainwater Leadership Alliance. http://www.anewapproach.org/docs/a_new_approach.pdf.

6. Briggs, K, Cheney, G.R., Davis, J. & Moll, K. (2013). *Operating in the Dark: What Outdated State Policies and Data Gaps Mean for Effective School Leadership*. Dallas, TX: George W. Bush Institute. Retrieved from http://www.bushcenter.org/sites/default/files/GWBI-Report_Op_inthe_Dark_v23v-LR_0.PDF.

7. For more guidance on how to address data challenges relevant to evaluating principal preparation programs, please see the following New Leaders commissioned report by the RAND Corporation. Wiseman, S. (2012). *Evaluating Efforts to Improve School Leadership: Challenges and Recommendations*. Santa Monica, CA: The RAND Corporation. Retrieved from http://www.rand.org/content/dam/rand/pubs/research_briefs/2012/RAND_RB9686.pdf.

EVALUATION AND MANAGEMENT:
CONTINUOUS PROFESSIONAL GROWTH

Accounting for a quarter of a school's impact on student achievement, principals are the leverage point for education reform and the primary drivers of school improvement. School leaders have a greater influence on all students than teachers and are the best long-term investment in effective teaching at scale.

BRIEF 2
Pipeline Development
Cultivating Teacher Leaders

BRIEF 3
Pre-Service Preparation
Building A Strong Supply of Effective Future Leaders

BRIEF 1
A Shared Vision of Leadership
Creating An Aligned Understanding of the Principalship

BRIEF 5
Retention and Rewards
Promoting Career Growth and Opportunity for Effective Leaders

BRIEF 4
Evaluation and Management
Providing Continuous Professional Growth

In-Service Support

THE CHALLENGE: FAILURE TO RECOGNIZE DIFFERENCES IN PRINCIPAL PRACTICE AND PROVIDE TAILORED SUPPORT

Despite the recent push to design and adopt educator evaluation systems, many states and local educational agencies (LEAs) have focused primarily on teacher evaluations and lack the appropriate attention to design and implementation of school leader evaluations and aligned professional development. And, since principals are responsible for carrying out teacher evaluations, investments in principal capacity pay dividends on successful implementation of teacher evaluation and support systems.

Robust measures of principal effectiveness are needed to inform improvements in principal preparation programs, tailor recruitment and placement strategies, and monitor job performance and development opportunities. Yet some states and LEAs still lack robust evaluation systems that accurately and consistently differentiate principal performance based on a pattern of effectiveness over time.[1] In many places professional development is still not connected to specific principal growth areas or aligned with the latest research on adult learning. Despite new evidence that principals play a critical role in developing teachers to improve classroom instruction, principals continue to spend only 8 to 17 percent of their time on essential instructional leadership activities.[2] Principals need continued development and support for the efficient and effective use of their time.

One factor that may drive this cycle is the ineffective use of federal resources to support educator development. According to data from the Center for American Progress, there is little evidence that Title II funds are being used well.[3] Further, only a small margin of these funds are spent on principal effectiveness activities. In a representative sample of 800 LEAs, just four percent of Title II funds were reportedly spent on professional development for administrators compared to 40 percent for teachers and paraprofessionals.[4] The balance of funds was spent on reducing class size (31 percent), recruiting top talent, and retaining great educators. While there are fewer principals than teachers, the current investment in principals fails to recognize a principal's impact on teacher effectiveness and student achievement.

NewLeaders

Additionally, principal managers—such as superintendents and assistant superintendents—are often not equipped to observe principal practice and provide actionable feedback and support aligned to evaluation results. Many managers lack sufficient time to focus on principal evaluation given their myriad other responsibilities or large caseload of principals to manage.[5]

For more information on principal evaluation and support—specifically our recommendations for Principle 3 of the Elementary and Secondary Education Act (ESEA) flexibility—please see New Leaders' publication entitled *Driving Alignment and Implementation: The Role of the Principalship in ESEA Flexibility*. New Leaders believes that states should provide their LEAs with a model evaluation and support system. To support states' and LEAs' focus on implementation, we also developed an open-source evaluation framework, rubric, and training plan — the *Principal Evaluation Handbook.*.

THE SOLUTION: HIGH EXPECTATIONS AND DIFFERENTIATED SUPPORT FOR CURRENT LEADERS

In order to raise expectations for the current principal corps, federal policymakers should:

- **Increase the connection between principal evaluation and continuous professional growth;**
- **Use evaluation results for principal development and distribution;**
- **Raise expectations for the current principal corps;**
- **Redefine expectations for principal managers; and**
- **Align school accountability with educator evaluations.**

INCREASE THE CONNECTION BETWEEN PRINCIPAL EVALUATION AND CONTINUOUS PROFESSIONAL GROWTH

1 | Require the development and implementation of principal evaluations. Principals require a cycle of evaluation and support that recognizes important differences between their role and the role of a teacher. States and LEAs must do more to raise expectations, identify needs for improvement, and develop current principals through evaluation and support systems that measure leadership practice (the actions that principals take to drive increased student achievement, including all three of the critical roles described in the introduction) and student academic outcomes.

There are a number of vehicles federal policymakers can use to create or encourage effective leadership policies. Throughout this series we will describe an ideal policy and then suggest potential vehicles policymakers could use to pursue that policy.

Authorizing Statute

The legislative branch can amend current laws—such as the Elementary and Secondary Education Act (ESEA) or the Higher Education Act (HEA)—or pass new laws to establish programs and authorize federal spending levels.

Appropriations Priorities

The legislative branch can set aside federal funds for a specific use and fund priority programs.

Regulations

The executive branch can initiate a rulemaking process based on existing legislative language through an executive authority or regulatory agency.

Executive Actions

The executive branch can provide guidance and technical assistance on problems of practice. And it can (along with the legislative branch) elevate concepts through the bully pulpit.

New Leaders

Vehicle:

- **Amend** ESEA to require as a condition of receiving Title I funds that states ensure all LEAs that receive subgrants develop and implement (or just implement if the state is developing a model system) an evaluation and support system that: 1) is used for continual improvement; 2) meaningfully differentiates principals by multiple levels of performance;[6] 3) uses multiple measures in determining performance levels, including student academic outcomes (as a significant factor) and professional practice; 4) evaluates principals on an annual basis; 5) provides clear, timely, and useful feedback aligned to professional development; 6) is used to inform personnel decisions; and 7) is developed with stakeholder input. When it comes to using student academic outcomes, we believe evaluation systems should put a particular emphasis on individual student growth and, at the secondary-level, high school graduation rates so as not to penalize educators going into our highest-need schools. Evaluation systems should also include other student academic outcomes, including attainment and gap-closing measures. States could also consider additional outcome measures such as rates of taking advanced-level coursework and grade completion so long as student academic growth and graduation rates have a predominant focus among the student academic outcomes. (*Note: While many states have developed new principal evaluation and support systems through the U.S. Department of Education's ESEA flexibility initiative, we believe ESEA reauthorization should require all states to design and implement robust systems that evaluate principals and encourage ongoing professional growth through tailored support and development activities*).

2 | Support high-quality implementation of evaluation and support systems. In addition to spending time on design and development, states and LEAs need to spend just as much, if not more, time on high-quality implementation of principal evaluation and support systems. To date, more energy has been spent on implementing teacher evaluations. Focusing formula funds on principal systems is critical to both building legitimacy for teacher evaluations and ensuring they are implemented successfully. In addition to improving the use of formula funds, federal policymakers should also make investments in competitive funding to support promising practices that can inform more effective uses of formula funds moving forward.

Vehicles:

- **Amend**, through authorizing statute or through **appropriations** language, Title II of ESEA to increase the state-level reservation of Title II-A and set aside at least half of the reservation specifically for principal effectiveness activities, including the implementation of principal evaluation and support systems.

- **Amend**, through authorizing statute or through **appropriations** language, Title II-A of ESEA to set aside a portion of funds for national activities, including funding for competitive grants to states and LEAs with cutting-edge, evidence-based strategies to improve principal evaluation and support.

- **Amend** ESEA Title II to focus funds on more effective activities such as differentiated approaches to principal professional learning and building LEA capacity and alignment to implement new evaluation and support systems.

- Closely **monitor** the required development—and implementation—of principal evaluation and support systems in ESEA flexibility and Race to the Top (RTT), including the role of the principal manager in carrying out these evaluations. Set the expectation that states demonstrate their evaluation system is effectively differentiating principals through validation checks, such as reporting a comparison of aggregated summative evaluation results and their correlation with student outcomes over several years. Ask states to create a plan for improvement in areas where evaluation results do not map to student growth.

New Leaders

- **Amend** ESEA or other statues to create or extend competitions (like those administered by the Institute of Education Sciences (IES)) that fund development of high-quality, open-source tools for assessing principal practice (e.g., 360° survey instruments, principal manager observational tools, and online evaluation instruments) and outcome measures (*e.g.*, valid and consistent student growth measures). Consider hosting a repository for such tools.

- **Convene** RTT grantees, states that received ESEA flexibility, and other states in order to share best practices regarding principal evaluation and support as well as discuss lessons on high-quality implementation. States grappling with similar implementation challenges can form communities of practice.

USE EVALUATION RESULTS FOR PRINCIPAL DEVELOPMENT AND FOR ENSURING STRONG LEADERSHIP SYSTEM-WIDE

3 | Closely tie principal support to needs identified through evaluation. Ensure that development opportunities are habitual, timely, and specific to principal needs identified by the evaluation.

Vehicle(s):
- Provide **technical assistance** that highlights state and LEA models for using currently authorized ESEA Title II funding more effectively for principal professional development and for training principals on how to be strong talent managers, including implementation of new teacher evaluation and support systems.

- Increase **funding** for and initiate a **rulemaking** process on the School Leadership program (SLP) (Title II of ESEA). Focus the increased funding on effective models of supporting school leaders in the field. Require grantees to collect data on effective professional development practices in order to build a research base that informs future reauthorizations. (*Note: SLP is a competitive grant program that currently funds high-need LEAs to support the recruitment, training, and retention of school leaders*).

- **Monitor** the progress of states and LEAs by tracking spending on principal effectiveness as distinct from teacher effectiveness. By collecting data on how states and LEAs spend their Title II funds separately on both teachers and principals, policymakers can encourage practitioners to reflect on the best use of funds and to collect important data to inform future policies.

- Provide **technical assistance** on how states can use the current statutory authority to limit LEA use of Title II funds to activities that have been shown, through scientifically based research, to improve student achievement.

- **Amend** the Higher Education Act (HEA) to competitively fund institutions of higher education (IHEs) and non-profits to partner with LEAs to provide differentiated professional development based on evaluation data.

NewLeaders

4 | Ensure that high-need schools have great leaders. Our schools in most need should benefit from strategies to attract and retain great talent and a pipeline that will continue delivering great educators. Much can be done at the state and local levels, including building a pipeline of great leaders, providing incentives (such as strategic staffing models that allow principals to bring a team of talented educators into schools with them), sharing messages that encourage great principals to seek out the neediest schools, and making tough personnel decisions based on evaluation results. At the federal level, policymakers can gather data and incent states to take action.

Vehicle:

- **Amend** ESEA Title I to ensure that poor and minority students are not in schools lead by ineffective principals at higher rates than other children. Similar to the current comparability requirement for teachers, require states to report LEA-level data on the distribution of effective and highly effective principals and make plans to address inequitable distribution where it exists. (*Note: ESEA flexibility allows states to use effectiveness data to meet the current law requirement for teachers, but no equivalent requirement currently exists for principals*).

RAISE EXPECTATIONS FOR THE CURRENT PRINCIPAL CORPS

5 | Define a sustainable principal role. As in other professions, principals are being asked to do more with less. In order to focus principals on the most important aspects of the job—instructional leadership, talent management, and culture building—federal policymakers need to find ways to incent states and LEAs to distribute other operational responsibilities.

Vehicle:

- **Invest** in innovative state and LEA strategies for matching principal capacity to the new role by reducing administrative workloads or operational requirements. For example, states might propose to leverage the international model of letting highly-effective principals manage a number of schools, include peer evaluation as part of teacher evaluations, or implement a School Administration Manager (SAM) project[7] to reduce certain operational requirements allowing the principal to focus on other important duties.

6 | Distributed leadership. Discussed more fully in the briefs entitled "Pipeline Development: Cultivating Teacher Leaders" and "Retention and Rewards: Promoting Career Advancement for Effective Leaders," one strategy for making the principal role more sustainable and effective is distributing leadership responsibilities among a school-based leadership team. Research has also shown that this technique improves teacher effectiveness and retention.[8]

Vehicle:

- **Amend** ESEA to allow states and LEAs to use Title II funds to develop the teacher leader and assistant principal roles and provide career ladders and other opportunities for effective educators to practice adult leadership skills and serve on a leadership team that supports the school principal.

New Leaders

REDEFINE EXPECTATIONS FOR PRINCIPAL MANAGERS

7 | Redefine expectations for principal managers from a compliance monitoring approach to a supportive model. Superintendents and other direct principal managers need to know what good principal practice looks like and how those competencies are described in the state or LEA's leadership standards and evaluation rubrics. They also need training on using the evaluation model and tools for both accountability and support, including giving good feedback for professional growth and feedback that helps principals know how they measure up against the standards of practice. Finally, principal managers need to understand how to integrate various data sources (including survey data and student achievement data) into a comprehensive assessment of a principal's effectiveness.

Vehicles:

- **Amend** ESEA to shift the focus and make an explicit use of Title II funds for training LEA leaders to conduct principal evaluations and undertaking aligned performance management activities, such as setting clear goals, conducting school site visits, providing strong coaching and formative feedback, and identifying opportunities for individualized principal growth and development.

- Encourage states and LEAs to redefine the role of the principal and principal manager to align with new expectations, including revising leadership standards, job descriptions, hiring practices, training modules, and evaluation processes. Provide **guidance** on ESEA Title II that encourages LEAs to reflect on the caseload of principals each manager is expected to oversee in order to provide sufficient time for supervision, evaluation, and support. Ask LEAs to report on the principal manager to principal ratio and ask LEAs to describe in their state plan how they will ensure principals get the support they need if the ratio is above a reasonable amount.

- **Amend** ESEA to pilot new approaches to principal manager evaluations, including an evaluation of the principal manager's role in supporting principal development for the implementation of critical initiatives, such as increasing instructional rigor for new college- and career-ready standards and implementing new teacher evaluation and support systems.

New Leaders

8 | Align educator evaluations with other reform goals. Given the many demands of a principal's time, ensure incentives are aligned to encourage principals to focus on the most important actions.
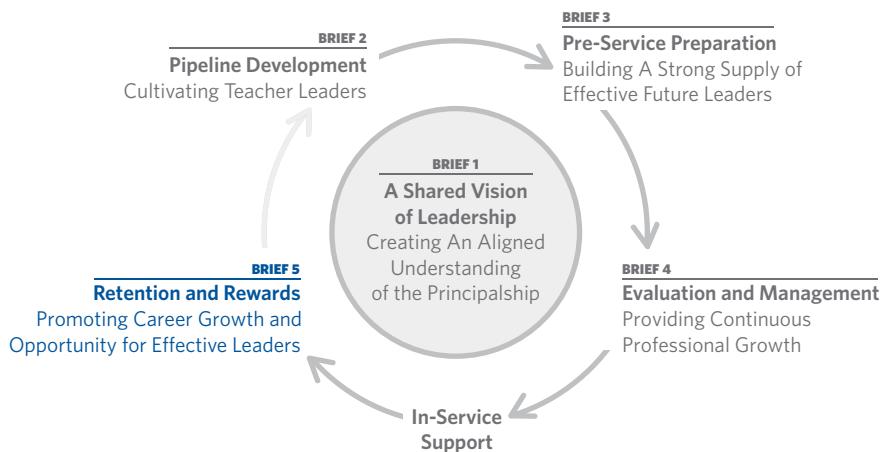
Vehicle:

- **Amend** Title I of ESEA to focus state accountability systems on the outcomes that matter most: school-level attainment (reaching a designated goal), growth for individual students (making progress toward a goal), and gap closing (making faster progress toward a goal for lower-performing students). At the secondary level, it is important to look at other measures like graduation rates. Amend Title II of ESEA to require state-developed evaluation and support system parameters (either statewide systems that LEAs adopt or adapted LEA systems that meet the state requirements) that focus teachers and principals on pushing for the same outcomes. For example, require that annual school performance targets for a principal in his or her evaluation are the same as (or aligned to) the Annual Measureable Objectives (AMOs) for that school. For more information, please see New Leaders' publication entitled *Driving Alignment and Implementation: The Role of the Principalship in ESEA Flexibility*.

1. Aldeman, C. (2013). *The Evergreen Effect: Washington's Poor Evaluation System Revealed*. Washington, DC: Education Sector. Retrieved from http://www.educationsector.org/publications/evergreen-effect-washington%E2%80%99s-poor-evaluation-system-revealed.

2. Horng, L.E., Jlasik, D., & Loeb, S. (2010, August). *Principals' Time Use and School Effectiveness*. American Journal of Education. Supovitz, J.A., & May, H. (2011). *The Scope of Principal Efforts to Improve Instruction*. Educational Administration Quarterly. Supovitz, J.A. & Buckley, P. (2008, March). How Principals Enact Instructional Leadership. Retrieved from http://cepa.stanford.edu/content/principal%E2%80%99s-time-use-and-school-effectiveness.

3. Chait, R. & Miller, R (2009). *Ineffective Uses of ESEA Title II Funds: Funding Doesn't Improve Student Achievement*. Washington, DC: Center for American Progress. Retrieved from http://www.americanprogress.org/issues/2009/08/pdf/titleII_s.pdf.

4. U.S. Department of Education (June 2013). Findings from the 2012-13 Survey on the Use of Funds Under Title II, Part A. *Improving Teacher Quality State Grants.* Retrieved from http://www2.ed.gov/programs/teacherqual/resources.html.

5. Honig, M.I., Copland, M.A., Rainey, L., Lorton, J.A., & Newton, M. (2010). *Central Office Transformation for District-wide Teaching and Learning Improvement*. Seattle, WA: Center for the Study of Teaching Policy, University of Washington. Retrieved from http://depts.washington.edu/ctpmail/PDFs/S2-CentralAdmin-04-2010.pdf.

6. We ideally recommend four levels of performance because it is the fewest number that allows the kind of differentiation that we believe is needed for a successful system. Having no middle choice forces a more clear distinction between proficient performance and the level below proficient. However, we understand that many states have already moved forward with systems that use three levels, which we believe is the minimum number necessary for meaningful differentiation.

7. The National SAM Innovation Project: Helping Principals Make Time to Focus on Instructional Leadership. New York, NY: The Wallace Foundation. http://www.samsconnect.com.

8. Adams, E., Ikemoto, G., & Taliaferro, L. (2012). *Playmakers: How Great Principals Build and Lead Great Teams of Teachers*. New York, NY: New Leaders. Retrieved from http://www.newleaders.org/newsreports/publications/playmakers/.

RETENTION AND REWARDS: PROMOTING CAREER ADVANCEMENT FOR EFFECTIVE LEADERS

Accounting for a quarter of a school's impact on student achievement, principals are the leverage point for education reform and the primary drivers of school improvement. School leaders have a greater influence on all students than teachers and are the best long-term investment in effective teaching at scale.

BRIEF 2
Pipeline Development
Cultivating Teacher Leaders

BRIEF 3
Pre-Service Preparation
Building A Strong Supply of Effective Future Leaders

BRIEF 1
A Shared Vision of Leadership
Creating An Aligned Understanding of the Principalship

BRIEF 5
Retention and Rewards
Promoting Career Growth and Opportunity for Effective Leaders

BRIEF 4
Evaluation and Management
Providing Continuous Professional Growth

In-Service Support

THE CHALLENGE: FAILURE TO RECOGNIZE GREAT LEADERSHIP

Principals are the leverage point for education reforms and the primary drivers of school improvement.[1] A critical part of maintaining a corps of effective principals is rewarding and retaining the best school leaders. Unfortunately, few systems systematically identify principals that make important contributions to student learning or celebrate that success.

Despite the importance and demands of the principalship, most state and local educational agency (LEA) salary structures promote lockstep compensation based on years of experience and degree attainment. These systems ignore performance on the job, differences in school conditions, and variance in leadership responsibilities. The failure to recognize the hard work of great principals—through both a lack of recognition and singular compensation structures—and lack of meaningful growth opportunities make it difficult to recruit new talent and retain existing principals.

Finally, research has shown that high-poverty and high-minority schools are more frequently led by principals with weaker job ratings than lower-poverty schools.[2] And turnover in high-poverty schools is approximately ten percent higher than in low-poverty schools.[3] A RAND Corporation report commissioned by New Leaders found that only 77.5 percent of all new principals across six urban districts were still in the role after three years.[4] Principal turnover has been shown to be detrimental to school performance, especially in low-achieving schools.[5] Given the turnover rates of principals across the country—especially in our hardest-to-staff schools—we must do more to encourage our best principals to stay in the schools where they are needed the most.

New Leaders

THE SOLUTION: OPPORTUNITIES TO GROW

In order to promote career advancement and retain the most talented leaders, federal policymakers should:

- **Recognize and reward great leaders;**
- **Support continued growth of school leaders; and**
- **Connect evaluation results and personnel decisions.**

RECOGNIZE AND REWARD GREAT LEADERS

1 | Publically recognize talented school leaders. One of the best ways to acknowledge the hard work of great principals is through public recognition. Although it costs very little, public appreciation increases respect for the importance of the principal's role—recognizing that leadership matters—and celebrates the contributions of individual principals.

Vehicles:

- Host high-profile events in which you recognize the important contributions of talented school leaders. Ask teachers to speak to how a principal made his or her contributions to student success possible.

- Bridge the policy and practitioner divide by asking principals to review and contribute to federal policies to build understanding of how policies will play out at the school level. Principals can testify at committee hearings, speak on panels, and review and contribute to policy documents.

- Continue the U.S. Department of Education's (the Department's) Principal Ambassador Fellowship (PAF) program and expand it to include full-time principal fellows located in Washington, DC. Fellows in DC will bring expertise to the federal level, obtain hands-on experience with policymaking, and be recognized for their contributions to student learning. *(Note: The PAF program, initially launched in school year 2013-2014, is modeled after the successful Teacher Ambassador Fellowship (TAF) program and provides opportunities for excellent principals to engage in policymaking by advising Department staff on a part-time basis from the field.)*

There are a number of vehicles federal policymakers can use to create or encourage effective leadership policies. Throughout this series we will describe an ideal policy and then suggest potential vehicles policymakers could use to pursue that policy.

Authorizing Statute

The legislative branch can amend current laws—such as the Elementary and Secondary Education Act (ESEA) or the Higher Education Act (HEA)—or pass new laws to establish programs and authorize federal spending levels.

Appropriations Priorities

The legislative branch can set aside federal funds for a specific use and fund priority programs.

Regulations

The executive branch can initiate a rulemaking process based on existing legislative language through an executive authority or regulatory agency.

Executive Actions

The executive branch can provide guidance and technical assistance on problems of practice. And it can (along with the legislative branch) elevate concepts through the bully pulpit.

New Leaders

2 | Encourage non-financial rewards. Beyond public recognition and financial incentives, there are other ways to reward principals that get results for their students. These rewards will not only recognize great leadership, they will also aid in retaining the best principals.

Vehicles:

- Through rulemaking to provide priority and preference points, or through requirements in amended statute, encourage states and LEAs to reward their best principals serving high-need students and encourage them to move to or stay in the highest-need schools through incentives such as a strategic staffing model and balanced autonomy. These rewards do double duty by recognizing leader accomplishments and allowing great principals to be even better at their jobs. For more information, please see the brief entitled "A Shared Vision of Leadership: Creating an Aligned Understanding of the Principalship." *(Note: The strategic staffing initiative, implemented by the Charlotte-Mecklenburg Schools (CMS), is a model which allows great principals to pick a team of talented teachers to bring with them to a turnaround school.)*

- Initiate a rulemaking process to provide priority and preference points in competitive grant competitions to entities that provide balanced autonomy—including staffing authority—to principals selected to lead chronically under-performing schools.

- Through executive action or statute, codify methods to learn from great principals and share their successes. Identify and disseminate information on promising principal practices through the What Works Clearinghouse (WWC). Ask principals participating in the PAF program to record their practices for an online database of promising practices. One example of an online library is America Achieves' *Spotlight on Promising Practices* video series. Videos such as "Great Principals: Building A Culture for Success," "Great Principals: Making Data Useful," and "Great Principals: Developing Every Teacher" provide a look at effective principal practices accompanied by policy recommendations for scaling these practices. *(Note: The WWC is administered by the Institute for Education Sciences (IES) at the Department; the WWC studies evidence of effectiveness and disseminates information on credible practices, programs, or policies.)*

SUPPORT CONTINUED GROWTH OF SCHOOL LEADERS

3 | Incent states and LEAs to improve human capital management systems. Comprehensive human capital management systems (HCMS) cover the entire spectrum of human capital management—including recruitment and hiring; compensation, development, and promotion; and retention and dismissal. When designed well, an HCMS can help educators envision a long-term role for themselves, instead of simply providing isolated bonuses. If a comprehensive HCMS is not feasible, states and LEAs should, at a minimum, find opportunities for principals to grow in their jobs. As states and LEAs reimagine the role of the principal manager in supporting principals, school leaders can be given opportunities to grow into those positions. Excellent principals can run communities of practice in their LEA and mentor aspiring principals in their schools. LEAs could also adopt the international model of letting highly-effective principals manage a number of schools.

Vehicles:

- Through rulemaking to provide priority and preference points or through requirements in amended statute, encourage states and districts to pilot new performance-based compensation and HCMS that pair salary bumps with increased leadership responsibilities and a pattern of effectiveness in the job.

- Continue to invest in the Teacher Incentive Fund (TIF) program and recognize the importance of school leadership in comprehensive human capital management by adding "leader" to the program name.

New Leaders

Grantees from TIF-4 are required to "make public" their efforts and we encourage new salary schedules and HCMS to become open source and easily accessible. Moving forward, TIF-5 should include a heavier focus on promoting opportunities for principals to grow in their jobs. *(Note: TIF is a competitive grant program that funds the development and implementation of performance-based teacher and principal compensations systems in high-need schools.)*

- Authorize or fund a Race to the Top-Transforming Educational Leadership (RTT-TEL) competition. Similar to the Race to the Top-Early Learning Challenge (RTT-ELC) or the Race to the Top-District (RTT-D) competition, fund states or LEAs with comprehensive plans to transform educational leadership—from teacher leadership to assistant principals to principals to principal managers.

CONNECT EVALUATION RESULTS AND PERSONNEL DECISIONS

4 | Require states to codify the link between principal evaluation results and personnel decisions. As part of making new evaluation and support systems meaningful, states need LEAs to link the whole range of personnel decisions to effectiveness data from robust principal evaluations systems that accurately and consistently differentiate principal performance based on a pattern of effectiveness over time. Making personnel decisions—retaining and rewarding great principals and dismissing low-performing ones—based on effectiveness data reinforces the legitimacy of evaluation and support systems. For more information, please see the brief entitled "Evaluation and Management: Continuous Professional Growth."

Vehicle:
- Amend ESEA to require—as a condition of receiving Title I funds—states to ensure that all LEAs that receive subgrant funds develop and implement an evaluation and support system that, among other requirements, is used to inform personnel decisions. *(Note: While many states have developed new principal evaluation and support systems through the Department's ESEA flexibility initiative, we believe ESEA reauthorization should require all states to design and implement robust systems that evaluate principals and encourage ongoing professional growth through tailored support and development activities.)*

1. Bryk, A.S., Sebring, P., Allensworth, E., Luppescu, S. & Easton, J.Q. (2010). Organizing Schools for Improvement: Lessons from Chicago. Chicago, IL: The University of Chicago Press.

2. Clotfelter, C., Ladd, H., Vigdor, J., & Wheeler, J. (2007). *High-Poverty Schools and the Distribution of Teachers and Principals* (Working Paper No. 1). Washington, D.C.: National Center for Analysis of Longitudinal Data in Education Research (CALDER), Urban Institute. Horng, E., Kalogrides, D. & Loeb, S. (2009). Retrieved from http://www.caldercenter.org/PDF/1001057_High_Poverty.pdf. *Principal Preferences and the Unequal Distribution of Principals Across Schools*. CALDER Working Paper No. 36. Washington, D.C.: National Center for Analysis of Longitudinal Data in Education Research. Retrieved from http://files.eric.ed.gov/fulltext/ED509692.pdf.

3. Battle, D. (2010). *Principal Attrition and Mobility: Results from the 2008-9 Principal-Follow-up Survey* (NCES 2010-337). U.S. Department of Education, National Center for Education Statistics. Washington, DC: U.S. Government Printing Office. Retrieved from http://nces.ed.gov/pubs2010/2010337.pdf.

4. Burkhauser, S., Gates, S., Hamilton, L., & Ikemoto, G. (2012). *First-Year Principals in Urban School Districts: How Actions and Working Conditions Relate to Outcomes.* Santa Monica, CA: The RAND Corporation. Retrieved from http://www.rand.org/content/dam/rand/pubs/technical_reports/2012/RAND_TR1191.pdf.

5. Beteille, T., Kalogrides, D. & Loeb, S (2012). *Stepping Stones: Principal Career Paths and School Outcomes. Social Science Research*, 41(4), 904-919.