



TO: Higher Education Committee
FROM: John L. D'Agati *John L. D'Agati*
SUBJECT: Principal Preparation Project Update
DATE: May 3, 2017
AUTHORIZATION(S): *MaryEllen Eis*

SUMMARY

Issue for Discussion

To update the Board of Regents on the Principal Preparation Project.

Reason(s) for Consideration

For Information

Proposed Handling

This item will be presented to the Higher Education Committee for discussion at its May 2017 meeting.

Background Information

On September 12, 2016, the Department updated the New York State Board of Regents on an initiative that is designed to improve the preparation of aspiring school building leaders and to enhance the development and support for current principals in New York State. All materials related to the project may be found on the Department's web site at <http://www.nysed.gov/principal-project-advisory-team/schools/principal-project-advisory-team>.

Funded by the Wallace Foundation, the project aims to engage stakeholders in efforts to:

1. Review requirements related to preparation of school building leaders in the State.
2. Identify if improvements are needed related to certification and/or program requirements, professional development, supervision, and/or evaluation.
3. Forward recommendations to the Commissioner and Board of Regents for consideration and action, if warranted.
4. Develop a tool to help districts identify, select, and place school building leaders (leader tracking tool).

Principal Project Advisory Team

To accomplish this work, Commissioner Elia created a Principal Project Advisory Team that includes 37 members (Appendix A).

On September 21, 2016, this Advisory Team convened for the first time. Since then it has met six times. Upon completion of the work, the Advisory Team will forward recommendations to the Commissioner and the Board of Regents.

The Advisory Team was organized into the following five working groups (Appendix B).

1) P-12/Higher Education Partnership

Enhance the productivity and healthy interdependency of the P-12/Higher Education relationship.

2) Authentic Experiences and Internship

Expand and improve opportunities for School Building Leader candidates to apply newly acquired knowledge and skills under real conditions.

3) Standards

Replace the current 2008 (Interstate School Leaders Licensure Consortium or ISLLC) standards that are used in NYS for Initial School Building Leader certification with the 2015 *Professional Standards for Educational Leaders* or *PSEL* (Appendix C and Appendix D).

4) Diversity

Produce leaders from varied backgrounds, especially from historically under-represented populations, and prepare them with the skills, knowledge, and dispositions that enable them to meet varied student learning needs.

5) Professional Learning and Support

Improve support beyond appointment as school building leader (principal) in ways that foster situational awareness, system thinking, shared leadership, and comprehensive stakeholder engagement.

Belief Statements

Belief statements that the Advisory Team has adopted by consensus follow (Appendix E). Accompanying these beliefs is a pair of graphs that summarize feedback received from stakeholders participating in 22 focus group meetings that took place between March 3, and April 10, 2017 (Appendix F):

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

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

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

Shared Decision-Making and Shared-Leadership: Well prepared school building leader candidates have the willingness and ability to share decision-making and distribute leadership.

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

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

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

Belief statements that are still being developed and are under consideration by the Advisory Team follow (Appendix E). A summary of stakeholder feedback to these proposed belief statements appears in a pair of graphs (Appendix F):

Innovation: Well-prepared school leader candidates embrace innovation.

Reflective Practice: Well-prepared building leader candidates rely on collegial feedback, student evidence, and current research to guide practice and inform decisions.

Shared Responsibility for Feedback: Effective school building leader preparation programs work with districts to pair each aspiring principal with a trained mentor who is a successful administrator, who provides mentoring advice to the leader candidate (on how to improve) and feedback to university faculty (on how to refine the preparation program).

Skillful Practice under Authentic Conditions: Effective school building leader preparation programs produce aspiring principals who demonstrate their readiness for school leadership by successfully applying the skills and knowledge they acquired in the university setting during the course of an internship.

Program Admissions: Effective school building leader preparation programs enhance the quality of aspiring building leaders by raising the expectations used to admit candidates and, through the use of a richer array of evidence, that provides a better picture of candidate fitness for the position and readiness for admission.

Possible Recommendations of the Advisory Team

Advisory Team members will finalize work with a series of possible recommendations to the Board of Regents (Appendix G). The Advisory Team will be aided in this work by feedback from stakeholders participating in 22 focus groups (Appendix H and Appendix I), by feedback from an online survey of the deans of Schools of Education at higher education institutions that offer School Building Leader preparation programs (Appendix J), and by feedback received from an online survey of the NYS Board of Regents.

The draft list of possible recommendations to the Board of Regents follows (a more complete description of each recommendation appears in Appendix G):

1. Base initial principal certification on the most current national standards for educational leaders.
2. If New York State adopts the 2015 *Professional Standards for Educational Leaders* for new principal certification, translate these into competencies that become the basis for determining candidate readiness for certification.
3. If New York State elects to base initial certification of school building leaders on the 2015 *Professional Standards for Educational Leaders*, then use the results of alignment studies to decide whether to eliminate, revise, or replace the current School Building Leader exam (SBL). If alignment studies show the exam now used for initial

certification is obsolete, or if the Board of Regents embraces a recommendation from the Advisory Team to substantially improve on the current SBL exam, consider augmenting the current SBL exam, revising it, or replacing it with a competency-based assessment.

4. Revise the basis for determining candidate readiness for initial SBL certification so it is competency-based by calling upon aspiring school building leaders to take what they learn in university-based programs and apply it successfully in an authentic school-based setting to improve staff functioning, student learning, or school performance.
5. Create pathways, options, and/or opportunities leading to full-time, year-long, school-based internships for aspiring school building leaders.
6. Take steps to ensure that high-quality coaching and mentoring support to principals extends through their first full year that a principal is on the job and in ways that builds skill with respect to situational awareness, system thinking, shared leadership, comprehensive stakeholder engagement, and other areas of identified need.
7. Expect principals to acquire the knowledge and skill to meet the learning needs of an increasingly diverse student population.
8. Base the approval that the New York State Education Department grants to institutions of higher education (enabling the institution to enroll candidates in School Building Leader programs) on the expectation that the institution set goals, targets, and milestones that call for increasing the number and percent of School Building Leader candidates from historically under-represented populations who enroll and successfully complete the program on time. As well, put in motion an expectation that local school districts begin to set goals to recruit, select, develop, and place individuals from historically under-represented populations within the ranks of school building leaders, so that the racial and ethnic mix of the principal corps in the district matches the mix of the student population within the district at large.
9. If the Board of Regents elects to base initial principal certification on the 2015 *Professional Standards for Educational Leaders* and subsequently to develop competencies that are linked to these standards and to shift initial certification so it is competency-based, then set a schedule for phasing in implementation of the changes.

Stakeholder Feedback

While work continues in May 2017 on all of these possibilities, due largely to the feedback received from stakeholders in the field in March and April, it is anticipated that the Advisory Team will at least recommend adoption of some form of the 2015 *Professional Standards for Educational Leaders*.

In this context, “feedback received from stakeholders” includes input from institutions of higher education in New York State. For instance, deans of the schools of education at institutions that offer School Building Leader preparation programs were

invited to participate in an online survey that asked them to provide their reaction to the 2015 *Professional Standards for Educational Leaders*. Feedback from deans showed that 100 percent of respondents say it is of “great or very great importance” to organize certification around the most current national standards; further, all respondents say the *Professional Standards for Educational Leaders* are of “great or very great importance.”

A more-fine-grained breakdown of dean response to the online survey follows (Appendix J):

- 100% “strongly support” standard 1 (ethics and professional norms).
- 92% “strongly support” standard 1 (mission, vision, and core values) and standard 3 (equity and cultural responsiveness).
- 85% “strongly support” standard 4 (curriculum, instruction, assessment), standard 5 (community of care and support for students), standard 6 (professional capacity of school personnel), and standard 9 (operations and management).
- 77% “strongly support” standard 8 (meaningful engagement of families and community).
- 62% “strongly support” standard 7 (professional community for teachers and staff) and standard 10 (school improvement).

This support is reflected in feedback received from participants in 22 integrated focus group meetings that took place between March 3 and April 10, 2017. Among all respondents, 82% expressed “moderate or great” support for the statement “Base initial certification on the current national standards for educational leaders.”

Unlike the round of focus groups conducted in August 2016 that included “job alike” participants (i.e., teachers met in one focus group, principals met in another focus group, etc.), in the current round of focus groups each session included a mix of parents, teachers, principals (or those holding school building leader certification), superintendents, local school board members (or Community Education Councils in the case of New York City), and deans (or designees) of schools of education at institutions of higher education.

Progress Made Since September 2016

The following describes progress made since the September 12, 2016 meeting of the NYS Board of Regents:

- The Advisory Team was organized into five working groups.
- Web site developed to house documents related to the project which is located on the Department’s web site at <http://www.nysed.gov/schools/principal-project-advisory-team>.

- A review of literature related to this topic was completed (Appendix K and Appendix L or click on the following links)

<http://www.nysed.gov/common/nysed/files/summary-of-the-literature-on-principal-preparation.pdf>

<http://www.nysed.gov/common/nysed/files/summary-of-the-literature-on-principal-preparation-part-two.pdf>

<http://www.nysed.gov/common/nysed/files/principal-project-summary-of-the-literature-on-principal-preparation-part-three.pdf>

- An online survey was completed by local school board members, P-12 educators, and schools of education faculty from higher education institutions between October 11 and November 2, 2016; 676 individuals replied to questions asking respondents to gauge the adequacy of the current system of principal preparation and support in New York State (Appendix M or click on the following link)

<http://www.nysed.gov/common/nysed/files/principal-project-graphs-from-the-surveys-conducted-oct-11-to-nov-2-2016-nov-8-2016.pdf>

- The Advisory Team has identified a small set of belief statements to guide work.
- Two urban school districts (Buffalo and Syracuse) agreed to serve as a test-bed for the design and development of a leader tracking tool.
- In February 2017, members of the Board of Regents were invited to provide their thoughts on the 2015 *Professional Standards for Educational Leaders*.
- Via an online survey that was disseminated in March 2017, the deans of schools of education that have registered School Building Leader preparation programs in New York State were asked to provide their reactions to the 2015 *Professional Standards for Educational Leader*.
- In February and March 2017, a Request for Bid was disseminated to providers of technology services seeking a firm to assist the State in designing, developing, and implementing a leader tracking tool.
- Beginning March 3, 2017, and extending to April 10, 2017, a series of 22 integrated focus groups was completed in New York State. The purpose of these focus group meetings was to gather feedback from stakeholders concerning a list of possible recommendations that the Advisory Team may advance for the Board of Regents to consider. Participants included parents, teachers, educators who hold the School Building Leader certificate (Principals, Assistant Principals, etc.), superintendents and District Superintendents, local school board members (or members of Community Education Councils in the case of NYC), and deans (or their designees) from the schools of education at institutions of higher education in NYS.

- The 235 individuals who participated in the 22 focus groups in March and April 2017 completed a survey related to the belief statements and recommendations that are emerging from the Advisory Team. This survey gauged respondents' reactions to proposals that are being considered by the Advisory Team.
- Two separate alignment studies have been organized to determine the extent to which the content standards and elements in the 2015 *Professional Standards for Educational Leaders* are represented in the SBL exam (which was designed to conform to the 2008 ISLLC standards). If the Board of Regents considers and approves the 2015 *Professional Standards for Educational Leaders*, then the results of these alignment studies will inform discussions about necessary changes to the SBL certification exam.
- A set of foundational belief statements and possible recommendations to the Board of Regents has emerged.

Extension of the Principal Preparation Project

On December 13, 2016, the Board approved a \$500,000 grant from the Wallace Foundation to the University of the State of New York Regents Research Fund. The grant extends the research currently taking place as part of the restructuring of the school building leader preparation program in New York State. The goals of this work follow:

- Better define the relationship between university-based programs to prepare school building leaders and school districts that host the internships for aspiring school building leaders.
- Study whether, how, and under what conditions Title II Part A funds may be used to advance school building leader preparation in New York State.
- Create a case study documenting the New York State approach to ESSA planning.
- Investigate the merits of adding competency-based tasks to initial certification of school building leaders.
- Provide leadership, guidance, and support for the proposition that aspiring school building leaders will apply what they know in authentic settings prior to initial certification.

Related Regents Items

<https://www.regents.nysed.gov/common/regents/files/Principal%20Preparation%20Project%20-%20Full%20Board%20Monday.pdf>

Timetable for Implementation

The Principal Project Advisory Team will complete its work on May 31, 2017. At that time, recommendations will be ready for consideration by the Commissioner and the Board of Regents.

The following Appendices are attached for your information, but are not referenced in the item.

- N: Summary of themes emerging from 21 focus groups conducted August 15-29, 2016
- O: Graph of Changes in the Composition of non-White Students, Staff, and Principals in NYS (2003-2012)
- P: Graphs Comparing Change over Time in Test-Taking Population and SBL Pass Rates by Race/Ethnicity
- Q: Schedule and Location of Focus Group Meetings that Occurred from March 3-April 10, 2017
- R: High-Concept Paper Provided to ESSA Think Tank, January 25, 2017
- S: Day-to-Day Schedule for Focus Groups that Occurred in August, 2016
- T: Letter from *Metropolitan Council of Educational Administration Programs* Expressing Support for adoption of *Professional Standards for Educational Leaders*
- U: Letter Apprising NYS Board of Regents about March-April 2017 Focus Group Meetings (Feb. 23, 2017)
- V: Context for a Discussion of Competency-Based Approaches to Initial SBL Certification
- W: Chronology of Activity Related to the Principal Preparation Project
- X: Graphic display of School Building Leader (SBL) Certification
- Y: Table of laws, regulations, and standards related to school building leader preparation
- Z: School Building Leader certification and requirements pertaining to institutions, programs, and individuals

APPENDIX A: 37 Members of the Principal Preparation Project Advisory Team

Name	Category	Location	Position
Stephen Todd	BOCES DS	Jeff-Lewis-Hamilton-Herk-Oneida BOCES	District Superintendent
Kevin MacDonald	BOCES DS	Genesee Valley BOCES	District Superintendent
Carron Staple	NYC-Supt	Districts 7, 8, 9, 10, and 11 - NYCDOE	Superintendent of Schools
David Flatley	NYSCOSS	Carle Place School District	Superintendent of Schools
Colleen Taggerty	NYSCOSS	Olean School District	Superintendent of Schools
Edwin M. Quezada	Big 4-Supt	Yonkers Public Schools	Superintendent of Schools
David T. Cantaffa	SUNY	University of Buffalo	SUNY Provost for Teacher Ed.
Lynn Lisy-Macan	SUNY	University at Albany	Visiting Asst. Prof. in Ed Admin.
Hazel Carter	CUNY	CUNY: City College	Chair Department of Leadership
Helen Nell Scharff-Panero	CUNY	CUNY: Baruch College	College Professor & Director, Ctr for Educational Leadership
James N. Mills	clcu	Niagara University	Supervisor of Educational Leadership
Sr. Remigia Kushner	clcu	Manhattan College	Director of Masters Program: SBL
John McKenna	SAANYS	Fletcher Elementary School	ES Principal
Bergre Escorbores	SAANYS	South Middle School	MS Principal
Pamela Odom	SAANYS	Grant Middle School	MS Principal
Marie Guillaume	CSA	High School for Energy and Technology	Principal
Moses Ojeda	NYSFSA	Thomas A. Edison Career & Technical Ed HS	Principal
Marc Baiocco	ESSAA	Alexander Hamilton Jr/Sr High School	Principal
Shireen Fasciglione	ESSAA	Hillsdale Elementary School	Principal
Greg Mott	NYSFSA	Pfc. William J. Grabiarz School of Excellence	Principal
Soribel Genao	NYSUT	Queens College	Educational Leadership
Maria Pacheco	NYSUT	Rotterdam-Mohonasen	MS Spanish Teacher
Howard Schoor	NYSUT	United Federation of Teachers	Secretary, UFT
Annette Romano	Elem Teacher	Niskayuna Central Schools	ES-2nd Grade Teacher
Grace Barrett	MS Teacher	Commack Central School District	MS-Art Teacher
David Babikian	HS Teacher	North Syracuse Central School District	HS-Social Studies Teacher
John Blowers	NYS School Board Association	Burnt Hills-Ballston Lake	President
Larry Woodbridge	NYS School Board Association	NYC Department of Education	Executive Director, Principal Preparation Programs
Erika Hunt	External Expert	Illinois State University	Ctr, Study of Ed. Policy (Sr. Policy Analyst & Researcher)
Michelle Young	External Expert	Curry School: University of Virginia	Executive Director of UCEA
Kathleen Feeley	Long Island Center for Inclusion	LIU Post: Center for Community Inclusion	Director
Omar Tabb	Every Person Influences Children	Buffalo School District	Educational Partnership Organization Superintendent
Adrienne Gliha-Bell	NYS Parent Teacher Association	Parent/Rural Specialist	Rural Specialist
Cecilia Golden	NYS Regents recommendation	Hillside Children's Center	Executive Director of Education
Allen Williams	NYS Regents recommendation	City of Rochester	Director of Special Projects & Education Initiatives
William Clark	NYS Regents recommendation	Urban League of Rochester	Executive Director
Tracey Johnson	Commissioner Appointment	NYSED	Summit Coordinator, Office of K-16 Initiative and Access Programs

Staff associated with the Principal Preparation Project

Name	Category	Location	Position
John D'Agati	NYSED Liaison	New York State Education Department	Deputy Commissioner for Higher Education
Ken Turner	Regents Research Fund	University of the State of New York	Director, Principal Preparation Project

Appendix B: Advisory Team Organization

Belief Statement (still under construction)

Shared Responsibility for Feedback that Promotes Improvement: Effective principal preparation programs work with districts to pair each aspiring principal candidate with a practiced administrator who provides mentoring advice to the leader candidate (on how to improve) and feedback to university faculty (on how to refine the prep program).

Breakout Group:

- David Flatley (leader)
- David Babician
- Hazel Carter
- David Cantaffa
- Annette Romano
- John Blowers
- John D'Agati
- Jim Mills
- Stephen Todd

Breakout Group:

- Erika Hunt (leader)
- Pamela Odom
- Adrienne Gliha-Bell
- Omar Tabb
- Bergre Escobores
- Grace Barrett
- Howard Schoor

Belief Statements:

Shared Decision-Making and Shared Leadership (adopted by consensus): Well-prepared school building leader candidates have the willingness and ability to share decision-making and distribute leadership.

Collaborative Partnership (adopted by consensus): Well prepared school building leaders have the skill, ability, and desire to collaborate so students, staff, and parents feel they belong and community members are valued and appreciated as respected partners.

Belief Statement (still under construction)

Skillful Practice under Authentic Conditions: Effective principal preparation programs produce aspiring principals who demonstrate their readiness for school leadership by successfully applying the skills and knowledge they acquired in the university setting during the course of an internship.

Breakout Group:

- Nell Scharff-Panero (leader)
- Shireen Fasciglione
- Lynn Lisy-Macan
- John McKenna
- Kevin McDonald
- Greg Mott
- Colleen Taggerty
- Marc Baiocco
- Sister Remigia Kushner

Belief Statement (adopted by consensus)

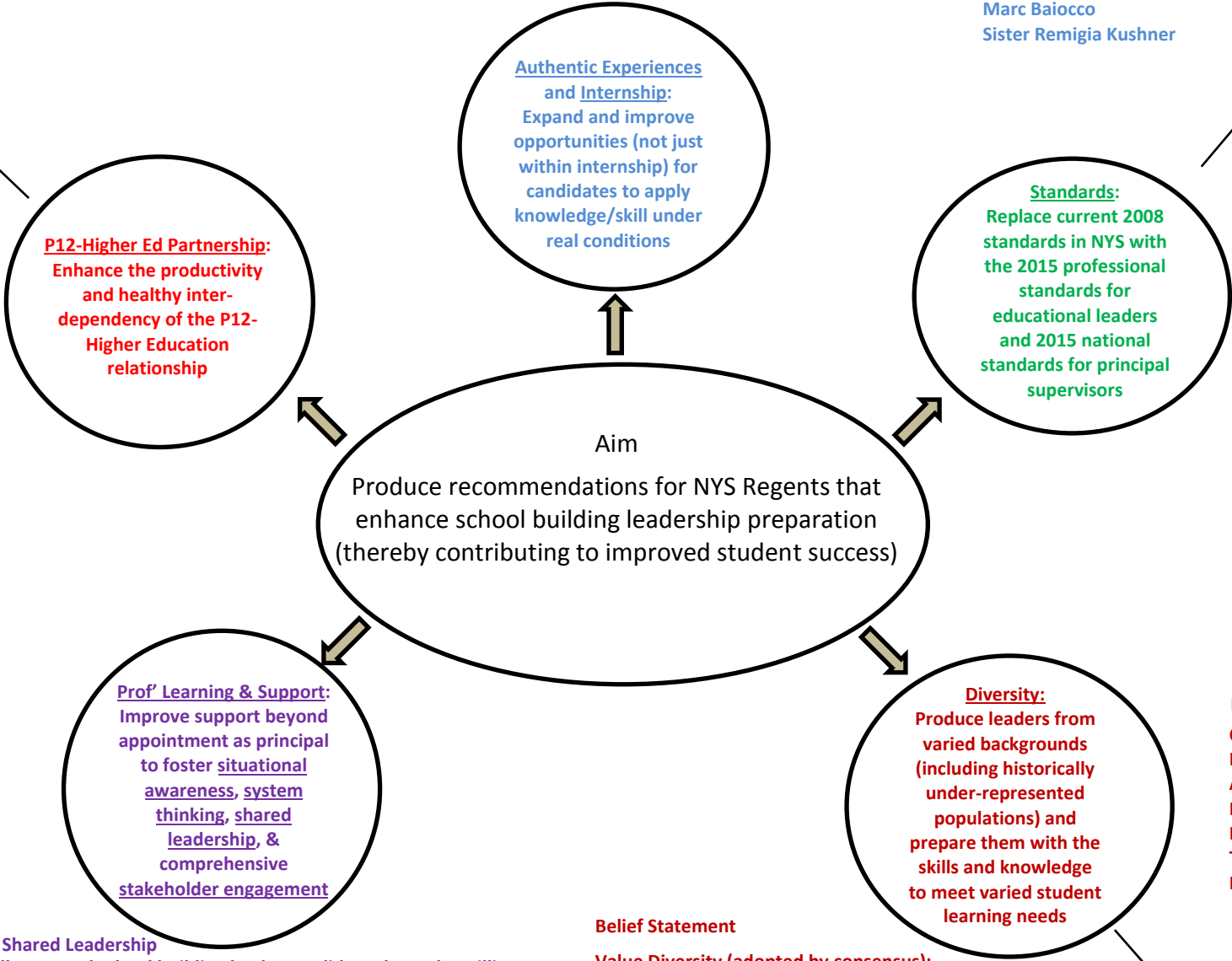
Instruction: Well-prepared school building leader candidates have the knowledge and skill to improve teacher instruction and student learning.

Breakout Group:

- Larry Woodbridge (leader)
- Soribel Genao
- Moses Ojeda
- Maria Pacheco
- Michelle Young
- Cecilia Golden
- Marie Guillaume

Breakout Group:

- Carron Staple (leader)
- Kathleen Feeley
- Allen Williams
- Bill Clark
- Edwin Quezada
- Tracey Johnson
- Ken Turner



Belief Statement

Value Diversity (adopted by consensus): Effective principal preparation programs recruit and produce aspiring leaders from varied backgrounds and historically-under-represented populations who are committed to the success of every student, who value different learning styles, who promote instructional practices that capitalize on a range of cultural traditions, and who strive to eliminate prejudice, stereotype, bias, and favoritism.

APPENDIX C: Professional Standards for Educational Leaders
Produced by the National Policy Board for Educational Administration
(CCSSO, copyright 2015)

Standard 1: Mission, Vision, and Core Values: Effective educational leaders develop, advocate, and enact a shared mission, vision, and core values of high-quality education and academic success and well-being of each student.

- a. Develop an educational mission for the school to promote the academic success and well-being of each student.
- b. In collaboration with members of the school and the community and using relevant data, develop and promote a vision for the school on the successful learning and development of each child and on instructional and organizational practices that promote such success.
- c. Articulate, advocate, and cultivate core values that define the school's culture and stress the imperative of child-centered education; high expectations and student support; equity, inclusiveness, and social justice; openness, caring, and trust; and continuous improvement.
- d. Strategically develop, implement, and evaluate actions to achieve the vision for the school.
- e. Review the school's mission and vision and adjust them to changing expectations and opportunities for the school, and changing needs and situations of students.
- f. Develop shared understanding of and commitment to mission, vision, and core values within the school and the community.
- g. Model and pursue the school's mission, vision, and core values in all aspects of leadership

Standard 2: Ethics and Professional Norms: Effective educational leaders act ethically and according to professional norms to promote each student's academic success and well-being.

- a. Act ethically and professionally in personal conduct, relationships with others, decision-making, stewardship of the school's resources, and all aspects of school leadership.
- b. Act according to and promote the professional norms of integrity, fairness, transparency, trust, collaboration, perseverance, learning, and continuous improvement.
- c. Place children at the center of education and accept responsibility for each student's academic success and well-being.
- d. Safeguard and promote the values of democracy, individual freedom and responsibility, equity, social justice, community, and diversity.
- e. Lead with interpersonal and communication skill, social-emotional insight, and understanding of all students' and staff members' backgrounds and cultures.
- f. Provide moral direction for the school and promote ethical and professional behavior among faculty and staff.

Standard 3: Equity and Cultural Responsiveness: Effective educational leaders strive for equity of educational opportunity and culturally responsive practices to promote each student's academic success and well-being.

- a. Ensure that each student is treated fairly, respectfully, and with an understanding of each student's culture and context.
- b. Recognize, respect, and employ each student's strengths, diversity, and culture as assets for teaching and learning.
- c. Ensure that each student has equitable access to effective teachers, learning opportunities, academic and social support, and other resources necessary for success.
- d. Develop student policies and address student misconduct in a positive, fair, and unbiased manner.
- e. Confront and alter institutional biases of student marginalization, deficit-based schooling, and low expectations associated with race, class, culture and language, gender and sexual orientation, and disability or special status.

- f. Promote the preparation of students to live productively in and contribute to the diverse cultural contexts of a global society.
- g. Act with cultural competence and responsiveness in their interactions, decision making, and practice.
- h. Address matters of equity and cultural responsiveness in all aspects of leadership

Standard 4: Curriculum, Instruction, and Assessment: Effective educational leaders develop and support intellectually rigorous and coherent systems of curriculum, instruction, and assessment to promote each student's academic success and well-being.

- a. Implement coherent systems of curriculum, instruction, and assessment that promote the mission, vision, and core values of the school, embody high expectations for student learning, align with academic standards, and are culturally responsive.
- b. Align and focus systems of curriculum, instruction, and assessment within and across grade levels to promote student academic success, love of learning, the identities and habits of learners, and healthy sense of self.
- c. Promote instructional practice that is consistent with knowledge of child learning and development, effective pedagogy, and the needs of each student.
- d. Ensure instructional practice that is intellectually challenging, authentic to student experiences, recognizes student strengths, and is differentiated and personalized.
- e. Promote the effective use of technology in the service of teaching and learning.
- f. Employ valid assessments that are consistent with knowledge of child learning and development and technical standards of measurement.
- g. Use assessment data appropriately and within technical limitations to monitor student progress and improve instruction.

Standard 5: Community of Care and Support for Students: Effective educational leaders cultivate an inclusive, caring, and supportive school community that promotes the academic success and well-being of each student.

- a. Build and maintain a safe, caring, and healthy school environment that meets that the academic, social, emotional, and physical needs of each student.
- b. Create and sustain a school environment in which each student is known, accepted and valued, trusted and respected, cared for, and encouraged to be an active and responsible member of the school community.
- c. Provide coherent systems of academic and social supports, services, extracurricular activities, and accommodations to meet the range of learning needs of each student
- d. Promote adult-student, student-peer, and school-community relationships that value and support academic learning and positive social and emotional development.
- e. Cultivate and reinforce student engagement in school and positive student conduct.
- f. Infuse the school's learning environment with the cultures and languages of the school's community.

Standard 6: Professional Capacity of School Personnel: Effective educational leaders develop the professional capacity and practice of school personnel to promote each student's academic success and well-being.

- a. Recruit, hire, support, develop, and retain effective and caring teachers and other professional staff and form them into an educationally effective faculty.
- b. Plan for and manage staff turnover and succession, providing opportunities for effective induction and mentoring of new personnel.
- c. Develop teachers' and staff members' professional knowledge, skills, and practice through differentiated opportunities for learning and growth, guided by understanding of professional and adult learning and development.
- d. Foster continuous improvement of individual and collective instructional capacity to achieve outcomes envisioned for each student.
- e. Deliver actionable feedback about instruction and other professional practice through valid, research-anchored systems of supervision and evaluation to support the development of teachers' and staff members' knowledge, skills, and practice.
- f. Empower and motivate teachers and staff to the highest levels of professional practice and to

continuous learning and improvement.

- g. Develop the capacity, opportunities, and support for teacher leadership and leadership from other members of the school community.
- h. Promote the personal and professional health, well-being, and work-life balance of faculty and staff.
- i. Tend to their own learning and effectiveness through reflection, study, and improvement, maintaining a healthy work-life balance.

Standard 7: Professional Community for Teachers and Staff: Effective educational leaders foster a professional community of teachers and other professional staff to promote each student's academic success and well-being.

- a. Develop workplace conditions for teachers and other professional staff that promote effective professional development, practice, and student learning.
- b. Empower and entrust teachers and staff with collective responsibility for meeting the academic, social, emotional, and physical needs of each student, pursuant to the mission, vision, and core values of the school.
- c. Establish and sustain a professional culture of engagement and commitment to shared vision, goals, and objectives pertaining to the education of the whole child; high expectations for professional work; ethical and equitable practice; trust and open communication; collaboration, collective efficacy, and continuous individual and organizational learning and improvement.
- d. Promote mutual accountability among teachers and other professional staff for each student's success and the effectiveness of the school as a whole.
- e. Develop and support open, productive, caring, and trusting working relationships among leaders, faculty, and staff to promote professional capacity and the improvement of practice.
- f. Design and implement job-embedded and other opportunities for professional learning collaboratively with faculty and staff.
- g. Provide opportunities for collaborative examination of practice, collegial feedback, and collective learning.
- h. Encourage faculty-initiated improvement of programs and practices.

Standard 8: Meaningful Engagement of Families and Community: Effective educational leaders engage families and the community in meaningful, reciprocal, and mutually beneficial ways to promote each student's academic success and well-being.

- a. Are approachable, accessible, and welcoming to families and members of the community.
- b. Create and sustain positive, collaborative, and productive relationships with families and the community for the benefit of students.
- c. Engage in regular and open two-way communication with families and the community about the school, students, needs, problems, and accomplishments.
- d. Maintain a presence in the community to understand its strengths and needs, develop productive relationships, and engage its resources for the school.
- e. Create means for the school community to partner with families to support student learning in and out of school.
- f. Understand, value, and employ the community's cultural, social, intellectual, and political resources to promote student learning and school improvement.
- g. Develop and provide the school as a resource for families and the community.
- h. Advocate for the school and district, and for the importance of education and student needs and priorities to families and the community.
- i. Advocate publicly for the needs and priorities of students, families, and the community.
- j. Build and sustain productive partnerships with public and private sectors to promote school improvement and student learning.

Standard 9: Operations and Management: Effective educational leaders manage school operations and resources to promote each student's academic success and well-being.

- a. Institute, manage, and monitor operations and administrative systems that promote the mission and vision of

the school.

- b. Strategically manage staff resources, assigning and scheduling teachers and staff to roles and responsibilities that optimize their professional capacity to address each student's learning needs.
- c. Seek, acquire, and manage fiscal, physical, and other resources to support curriculum, instruction, and assessment; student learning community; professional capacity and community; and family and community engagement.
- d. Are responsible, ethical, and accountable stewards of the school's monetary and non-monetary resources, engaging in effective budgeting and accounting practices.
- e. Protect teachers' and other staff members' work and learning from disruption.
- f. Employ technology to improve the quality and efficiency of operations and management.
- g. Develop and maintain data and communication systems to deliver actionable information for classroom and school improvement.
- h. Know, comply with, and help the school community understand local, state, and federal laws, rights, policies, and regulations so as to promote student success.
- i. Develop and manage relationships with feeder and connecting schools for enrollment management and curricular and instructional articulation.
- j. Develop and manage productive relationships with the central office and school board.
- k. Develop and administer systems for fair and equitable management of conflict among students, faculty and staff, leaders, families, and community.
- l. Manage governance processes and internal and external politics toward achieving the school's mission and vision.

Standard 10: School Improvement: Effective educational leaders act as agents of continuous improvement to promote each student's academic success and well-being.

- a. Seek to make school more effective for each student, teachers and staff, families, and the community.
- b. Use methods of continuous improvement to achieve the vision, fulfill the mission, and promote the core values of the school.
- c. Prepare the school and the community for improvement, promoting readiness, an imperative for improvement, instilling mutual commitment and accountability, and developing the knowledge, skills, and motivation to succeed in improvement.
- d. Engage others in an ongoing process of evidence-based inquiry, learning, strategic goal setting, planning, implementation, and evaluation for continuous school and classroom improvement.
- e. Employ situationally-appropriate strategies for improvement, including transformational and incremental, adaptive approaches and attention to different phases of implementation.
- f. Assess and develop the capacity of staff to assess the value and applicability of emerging educational trends and the findings of research for the school and its improvement.
- g. Develop technically appropriate systems of data collection, management, analysis, and use, connecting as needed to the district office and external partners for support in planning, implementation, monitoring, feedback, and evaluation.
- h. Adopt a systems perspective and promote coherence among improvement efforts and all aspects of school organization, programs, and services.
- i. Manage uncertainty, risk, competing initiatives, and politics of change with courage and perseverance, providing support and encouragement, and openly communicating the need for, process for, and outcomes of improvement efforts.
- j. Develop and promote leadership among teachers and staff for inquiry, experimentation and innovation, and initiating and implementing improvement.

APPENDIX D: Crosswalk Comparing 2015 Professional Standards for Educational Leaders (PSEL) and 2008 Interstate School Leaders Licensure Consortium Standards (ISLLC), Dec. 16, 2016

2015 Professional Standards for Educational Leaders (PSEL)	2008 ISLLC Standards (basis of NYS certification standards)
<p>PSEL Standard 1. Mission, Vision, and Core Values Effective educational leaders develop, advocate, and enact a shared mission, vision, and core values of high-quality education and academic success and well-being of each student.</p> <p>Effective leaders:</p> <ul style="list-style-type: none"> a) Develop an educational mission for the school to promote the academic success and well-being of each student. b) In collaboration with members of the school and the community and using relevant data, develop and promote a vision for the school on the successful learning and development of each child and on instructional and organizational practices that promote such success. c) Articulate, advocate, and cultivate core values that define the school’s culture and stress the imperative of child-centered education; high expectations and student support; equity, inclusiveness, and social justice; openness, caring, and trust; and continuous improvement. d) Strategically develop, implement, and evaluate actions to achieve the vision for the school. e) Review the school’s mission and vision and adjust them to changing expectations and opportunities for the school, and changing needs and situations of students. f) Develop shared understanding of and commitment to mission, vision, and core values within the school and the community. g) Model and pursue the school’s mission, vision, and core values in all aspects of leadership. <p>PSEL Standard 10 – School Improvement Effective educational leaders act as agents of continuous improvement to promote each student’s academic success and well-being.</p> <p>Effective leaders:</p> <ul style="list-style-type: none"> a) Seek to make school more effective for each student, teachers and staff, families, and the community. b) Use methods of continuous improvement to achieve the vision, fulfill the mission, and promote the core values of the school. c) Prepare the school and the community for improvement, promoting readiness, an imperative for improvement, instilling mutual commitment and accountability, and developing the knowledge, skills, and motivation to succeed in improvement. d) Engage others in an ongoing process of evidence-based inquiry, learning, strategic goal setting, planning, implementation, and evaluation for continuous school and classroom improvement. e) Employ situationally-appropriate strategies for improvement, including transformational and incremental, adaptive approaches and attention to different phases of implementation. f) Assess and develop the capacity of staff to assess the value and applicability of emerging educational trends and the findings of research for the school and its improvement. g) Develop technically appropriate systems of data collection, management, analysis, and use, connecting as needed to the district office and external partners for support in planning, implementation, monitoring, feedback, and evaluation. h) Adopt a systems perspective and promote coherence among improvement efforts and all aspects of school organization, programs, and services. i) Manage uncertainty, risk, competing initiatives, and politics of change with courage and perseverance, providing support and encouragement, and openly communicating the need for, process for, and outcomes of improvement efforts. j) Develop and promote leadership among teachers and staff for inquiry, experimentation and innovation, and initiating and implementing improvement. 	<p>ISLLC 1. Develops, articulates, implements, and stewards a vision of learning, shared and supported by all stakeholders</p> <ul style="list-style-type: none"> a) Collaboratively develop and implement a shared vision b) Collect and use data to identify goals, assess organizational effectiveness, and promote organizational learning c) Create and implement plans to achieve goals d) Promote continuous and sustainable improvement e) Monitor and evaluate progress and revise plans

PSEL Standard 3. Equity and Cultural Responsiveness.

Effective educational leaders strive for equity of educational opportunity and culturally responsive practices to promote each student’s academic success and well-being.

Effective leaders:

- a) Ensure that each student is treated fairly, respectfully, and with an understanding of each student’s culture and context.
- b) Recognize, respect, and employ each student’s strengths, diversity, and culture as assets for teaching and learning.
- c) Ensure that each student has equitable access to effective teachers, learning opportunities, academic and social support, and other resources necessary for success.
- d) Develop student policies and address student misconduct in a positive, fair, and unbiased manner.
- e) Confront and alter institutional biases of student marginalization, deficit-based schooling, and low expectations associated with race, class, culture and language, gender and sexual orientation, and disability or special status.
- f) Promote the preparation of students to live productively in and contribute to the diverse cultural contexts of a global society.
- g) Act with cultural competence and responsiveness in their interactions, decision making, and practice.
- h) Address matters of equity and cultural responsiveness in all aspects of leadership.

PSEL Standard 4 – Curriculum, Instruction, and Assessment

Effective educational leaders develop and support intellectually rigorous and coherent systems of curriculum, instruction, and assessment to promote each student’s academic success and well-being.

Effective leaders:

- a) Implement coherent systems of curriculum, instruction, and assessment that promote the mission, vision, and core values of the school, embody high expectations for student learning, align with academic standards, and are culturally responsive.
- b) Align and focus systems of curriculum, instruction, and assessment within and across grade levels to promote student academic success, love of learning, the identities and habits of learners, and healthy sense of self.
- c) Promote instructional practice that is consistent with knowledge of child learning and development, effective pedagogy, and the needs of each student.
- d) Ensure instructional practice that is intellectually challenging, authentic to student experiences, recognizes student strengths, and is differentiated and personalized.
- e) Promote the effective use of technology in the service of teaching and learning.
- f) Employ valid assessments that are consistent with knowledge of child learning and development and technical standards of measurement.
- g) Use assessment data appropriately and within technical limitations to monitor student progress and improve instruction.

ISLLC 2. Advocates, nurtures, and sustains a school culture and instructional program conducive to student learning and staff professional growth

- a) Nurture and sustain a culture of collaboration, trust, learning, and high expectations
- b) Create a comprehensive, rigorous and coherent curricular program
- c) Create a personalized and motivating learning environment for students
- d) Supervise instruction
- e) Develop assessment and accountability systems to monitor student progress
- f) Develop the instructional and leadership capacity of staff
- g) Maximize time spent on quality instruction
- h) Promote the use of the most effective and appropriate technologies to support teaching and learning
- i) Monitor and evaluate the impact of the instructional program.

PSEL Standard 9 – Operations and Management

Effective educational leaders manage school operations and resources to promote each student’s academic success and well-being.

Effective leaders:

- a) Institute, manage, and monitor operations and administrative systems that promote the mission and vision of the school.
- b) Strategically manage staff resources, assigning and scheduling teachers and staff to roles and responsibilities that optimize their professional capacity to address each student’s learning needs.
- c) Seek, acquire, and manage fiscal, physical, and other resources to support curriculum, instruction, and assessment; student learning community; professional capacity and community; and family and community engagement.
- d) Are responsible, ethical, and accountable stewards of the school’s monetary and non-monetary resources, engaging in effective budgeting and accounting practices.
- e) Protect teachers’ and other staff members’ work and learning from disruption.
- f) Employ technology to improve the quality and efficiency of operations and management.
- g) Develop and maintain data and communication systems to deliver actionable information for classroom and school improvement.
- h) Know, comply with, and help the school community understand local, state, and federal laws, rights, policies, and regulations so as to promote student success.
- i) Develop and manage relationships with feeder and connecting schools for enrollment management and curricular and instructional articulation.
- j) Develop and manage productive relationships with the central office and school board.
- k) Develop and administer systems for fair and equitable management of conflict among students, faculty and staff, leaders, families, and community.
- l) Manage governance processes and internal and external politics toward achieving the school’s mission and vision.

PSEL Standard 6 – Professional Capacity of School Personnel

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

Effective leaders:

- a) Recruit, hire, support, develop, and retain effective and caring teachers and other professional staff and form them into educationally effective faculty.
- b) Plan for and manage staff turnover and succession, providing opportunities for effective induction and mentoring of new personnel.
- c) Develop teachers’ and staff members’ professional knowledge, skills, and practice through differentiated opportunities for learning and growth, guided by understanding of professional and adult learning and development.
- d) Foster continuous improvement of individual and collective instructional capacity to achieve outcomes envisioned for each student.
- e) Deliver actionable feedback about instruction and other professional practice through valid, research-anchored systems of supervision and evaluation to support the development of teachers’ and staff members’ knowledge, skills, and practice.
- f) Empower and motivate teachers and staff to the highest levels of professional practice and to continuous learning and improvement.
- g) Develop the capacity, opportunities, and support for teacher leadership and leadership from other members of the school community.
- h) Promote the personal and professional health, well-being, and work-life balance of faculty and staff.
- i) Tend to their own learning and effectiveness through reflection, study, and improvement, maintaining a healthy work-life balance.

ISLLC 3. Manages the school, its operations and resources for a safe, efficient, and effective learning environment

- a) Monitor and evaluate the management and operational systems
- b) Obtain, allocate, align, and efficiently utilize human, fiscal, and technological resources
- c) Promote and protect the welfare and safety of students and staff
- d) Develop the capacity for distributed leadership
- e) Ensure teacher and organizational time is focused to support quality instruction and student learning

PSEL Standard 5 – Community of Care and Support for Students

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

Effective leaders:

- a) Build and maintain a safe, caring, and healthy school environment that meets that the academic, social, emotional, and physical needs of each student.
- b) Create and sustain a school environment in which each student is known, accepted and valued, trusted and respected, cared for, and encouraged to be an active and responsible member of the school community.
- c) Provide coherent systems of academic and social supports, services, extracurricular activities, and accommodations to meet the range of learning needs of each student.
- d) Promote adult-student, student-peer, and school-community relationships that value and support academic learning and positive social and emotional development.
- e) Cultivate and reinforce student engagement in school and positive student conduct.
- f) Infuse the school’s learning environment with the cultures and languages of the school’s community.

PSEL Standard 7 – Professional Community for Teachers and Staff

Effective educational leaders foster a professional community of teachers and other professional staff to promote each student’s academic success and well-being.

Effective leaders:

- a) Develop workplace conditions for teachers and other professional staff that promote effective professional development, practice, and student learning.
- b) Empower and entrust teachers and staff with collective responsibility for meeting the academic, social, emotional, and physical needs of each student, pursuant to the mission, vision, and core values of the school.
- c) Establish and sustain a professional culture of engagement and commitment to shared vision, goals, and objectives pertaining to the education of the whole child; high expectations for professional work; ethical and equitable practice; trust and open communication; collaboration, collective efficacy, and continuous individual and organizational learning and improvement.
- d) Promote mutual accountability among teachers and other professional staff for each student’s success and the effectiveness of the school as a whole.
- e) Develop and support open, productive, caring, and trusting working relationships among leaders, faculty, and staff to promote professional capacity and the improvement of practice.
- f) Design and implement job-embedded and other opportunities for professional learning collaboratively with faculty and staff.
- g) Provide opportunities for collaborative examination of practice, collegial feedback, and collective learning.
- h) Encourage faculty-initiated improvement of programs and practices.

ISLLC 4. Collaborates with faculty and community members, responds to diverse community interests and needs, and mobilizes community resources

- a) Collect and analyze data and information pertinent to the educational environment
- b) Promote understanding, appreciation, and use of the community’s diverse, cultural, social, and intellectual resources
- c) Build and sustain positive relationships with families and caregivers
- d) Build and sustain productive relationships with community partners

<p>Standard 2 – Ethics and Professional Norms Effective educational leaders act ethically and according to professional norms to promote each student’s academic success and well-being.</p> <p>Effective leaders:</p> <ul style="list-style-type: none"> a) Act ethically and professionally in personal conduct, relationships with others, decision-making, stewardship of the school’s resources, and all aspects of school leadership. b) Act according to and promote the professional norms of integrity, fairness, transparency, trust, collaboration, perseverance, learning, and continuous improvement. c) Place children at the center of education and accept responsibility for each student’s academic success and well-being. d) Safeguard and promote the values of democracy, individual freedom and responsibility, equity, social justice, community, and diversity. e) Lead with interpersonal and communication skill, social-emotional insight, and understanding of all students’ and staff members’ backgrounds and cultures. f) Provide moral direction for the school and promote ethical and professional behavior among faculty and staff 	<p>ISLLC 5. Acts with integrity, fairness, and in ethical manner</p> <ul style="list-style-type: none"> a) Ensure accountability for every student’s academic/social success b) Model principals of self-awareness, reflective practice, transparency, and ethical behavior c) Safeguard the values of democracy, equity, and diversity d) Consider and evaluate the potential moral and legal consequences of decision-making e) Promote social justice and ensure that individual student needs inform all aspects of schooling
<p>Standard 8 – Meaningful Engagement of Families and Communities Effective educational leaders engage families and the community in meaningful, reciprocal, and mutually beneficial ways to promote each student’s academic success and well-being.</p> <p>Effective leaders:</p> <ul style="list-style-type: none"> a) Are approachable, accessible, and welcoming to families and members of the community. b) Create and sustain positive, collaborative, and productive relationships with families and the community for the benefit of students. c) Engage in regular and open two-way communication with families and the community about the school, students, needs, problems, and accomplishments. d) Maintain a presence in the community to understand its strengths and needs, develop productive relationships, and engage its resources for the school. e) Create means for the school community to partner with families to support student learning in and out of school. f) Understand, value, and employ the community’s cultural, social, intellectual, and political resources to promote student learning and school improvement. g) Develop and provide the school as a resource for families and the community. h) Advocate for the school and district, and for the importance of education and student needs and priorities to families and the community. i) Advocate publicly for the needs and priorities of students, families, and the community. j) Build and sustain productive partnerships with public and private sectors to promote school improvement and student learning. 	<p>ISLLC 6. Understands, responds to, and influences the larger political, social, economic, legal, and cultural context</p> <ul style="list-style-type: none"> a) Advocate for children, families and caregivers b) Act to influence local, district, state, and national decisions affecting student learning c) Assess, analyze, and anticipate emerging trends and initiatives in order to adapt leadership strategies

APPENDIX E: Belief Statements
(List of Seven Beliefs Approved by a Consensus of the Advisory Team)

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

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

Shared Decision-Making and Shared-Leadership: Well prepared school building leader candidates have the willingness and ability to share decision-making and distribute leadership.

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

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

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

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

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List of Five Belief Statements Still Under Construction

Innovation: Well-prepared school building leader candidates embrace innovation.

Reflective Practice: Well-prepared building leader candidates rely on collegial feedback, student evidence, and current research to guide practice and inform decisions.

Shared Responsibility for Feedback: Effective school building leader preparation programs work with districts to pair each aspiring principal with a trained mentor who is a successful administrator who provides mentoring advice to the leader candidate (on how to improve) and feedback to university faculty (on how to refine the preparation program).

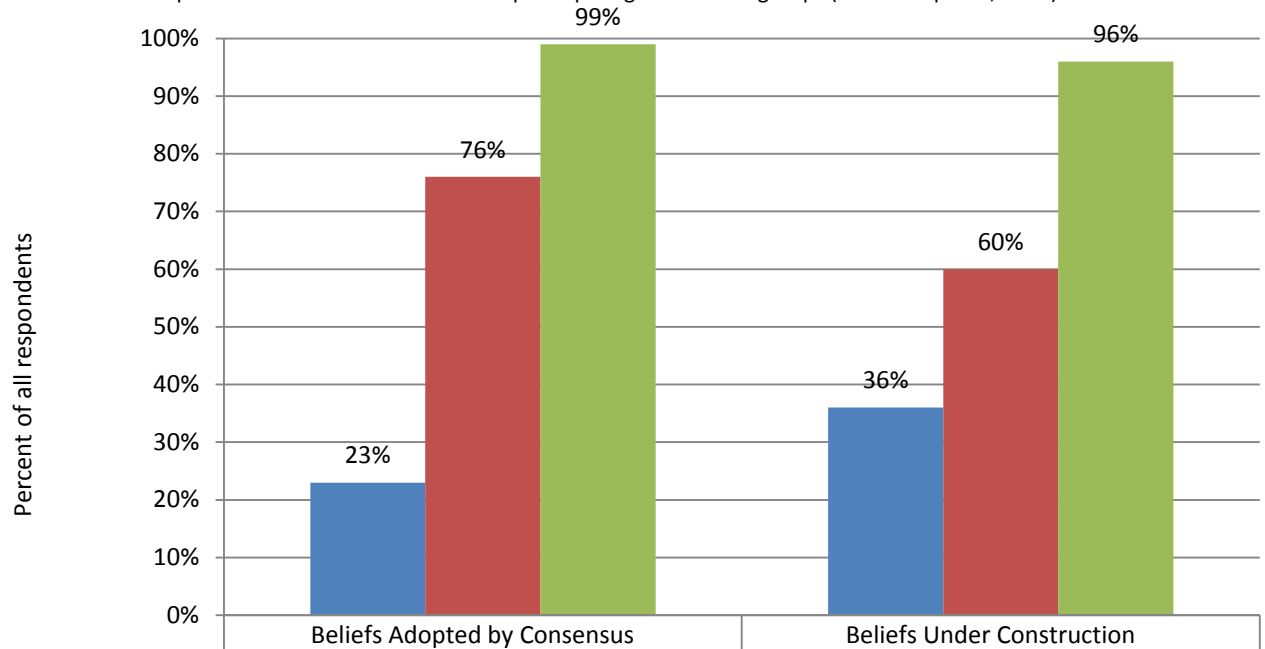
Skillful Practice under Authentic Conditions: Effective school building leader preparation programs produce aspiring principals who demonstrate their readiness for school leadership by successfully applying the skills and knowledge they acquired in the university setting during the course of an internship.

Program Admissions: Effective school building leader preparation programs enhance the quality of aspiring building leaders by raising the expectations used to admit candidates and through the use of a richer array of evidence that provides a better picture of candidate fitness for the position and readiness for admission.

APPENDIX F: GRAPHIC SUMMARY OF FOCUS GROUP FEEDBACK CONCERNING BELIEF STATEMENTS (April 12, 2017)

Figure 1: Replies to a prompt "These beliefs are an important foundation for principal certification."

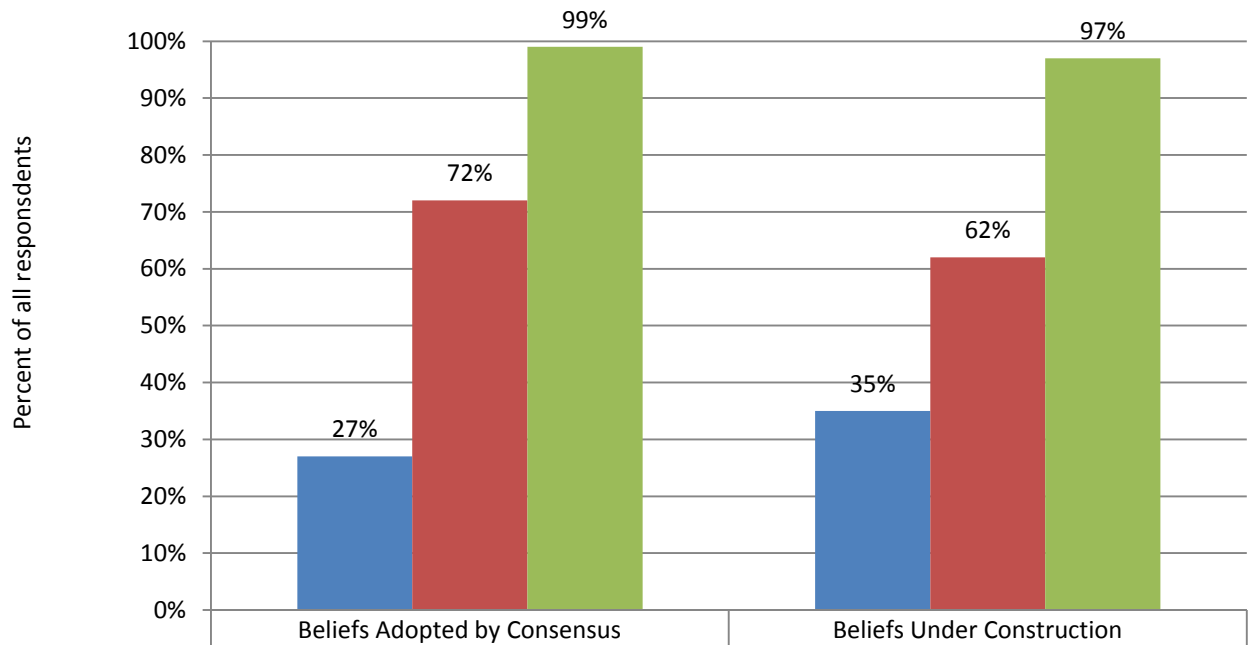
Note: Responses are from 235 stakeholders participating in 22 focus groups (Mar. 3 - Apr. 10, 2017)



	Beliefs Adopted by Consensus	Beliefs Under Construction
Agreed	23%	36%
Strongly Agreed	76%	60%
Agreed or Strongly Agreed	99%	96%

Figure 2: Summary of replies to the prompt "I support these beliefs in concept."

Note: Responses are from 235 stakeholders participating in 22 focus groups (Mar. 3 - Apr. 10, 2017)



	Beliefs Adopted by Consensus	Beliefs Under Construction
Agreed	27%	35%
Strongly Agreed	72%	62%
Agreed or Strongly Agreed	99%	97%

APPENDIX G: Possible Recommendations Under Consideration by Members of the Advisory Team

1. Base initial principal certification on the most current national standards for educational leaders.

Description: While current efforts to prepare school building leaders in New York State are organized around national standards issued in 2008 by the Interstate School Leaders Licensure Consortium (or ISLLC), the Advisory Team is considering whether to recommend that New York State modernize the standards used to initially certify principals by adopting the *Professional Standards for Educational Leaders* that were developed in 2015 by the National Policy Board for Educational Administration.

Rationale: Feedback from stakeholders and findings from recent research suggest that demands of principals look different than a decade ago. In part, this is due to changing laws that heightening accountability, changing demography and an increasingly-diverse student population (growing poverty, expanding numbers of English language learners, etc.), and advances in technology that have impacted learning by expanding internet access and sparking the rise of social media. In other areas, changes that affect the work of principals have occurred which involve the expansion of school-based educational services for early learners and the growth of school choice.

The 2015 *Professional Standards for Educational Leaders* were developed to account for the evolving requirements of principals. As an example, they accomplish that by providing greater emphasis on culturally-responsive practices, on ways principals can better support the professional growth of teachers, on methods that foster sound instructional practice, better community engagement, and on the importance of plans and practices to advance equity.

2. If New York State adopts the 2015 *Professional Standards for Educational Leaders* for new principal certification, translate these into competencies that become the basis for determining candidate readiness for certification.

Description: Some say standards are important but enacted competencies matter more. The argument has been made that standards may be useful because they describe desired knowledge and skills; however, competencies built on standards go farther. By describing how much, how well, and in what way, competencies are more relevant operationally.

If a decision is made in New York State to revise the standards for initial certification, and if these standards are translated into competencies, then the readiness of a candidate for initial principal certification can be determined through a performance assessment based on competencies. Candidates might demonstrate desired leadership knowledge and skills by showing how they led school-level efforts to set the direction for school improvement. Or candidates might demonstrate a working grasp of leadership knowledge and skills by leading efforts at a school to create an environment where professional learning thrives. Alternatively, candidates might demonstrate readiness by providing the professional development needed by a team of struggling teachers at a school, or by engaging families in a school community and enlisting their support in ways that enhances collaboration and student learning. These examples are drawn from a system in a state that has altered initial principal certification so it is competency-based.

Rationale: Competencies that emerge can be used to create a rubric to guide principal professional development as well as a rubric for the purpose of principal evaluation.

3. If New York State elects to base initial certification of school building leaders on the 2015 *Professional Standards for Educational Leaders*, then use the results of alignment studies to decide whether to eliminate, revise, or replace the current School Building Leader exam (SBL). If alignment studies show the exam now used for initial certification is obsolete, or if the NYS Board of Regents embraces a recommendation from the Advisory Team to substantially improve on the current SBL exam, consider augmenting it or replacing it with a competency-based assessment.

Description: These alignment studies gauge the extent to which expectations within the 2015 *Professional Standards for Educational Leaders* represent knowledge and skills not now represented by the current School Building Leader exam (an exam that is currently based on the 2008 standards developed by the Interstate School Leaders Licensure Consortium).

Rationale: Staff members at the New York State Education Department have conducted one of these alignment studies (with logistical support from the vendor under contract to provide test services). The other study was conducted by an independent researcher from an institution of higher education in NYS who has specialized expertise in studies of this nature. The results of these studies will be available to the Advisory Team during their May, 2017 meetings (but are not available at this printing).

4. Revise the basis for determining candidate readiness for initial SBL certification so it is competency-based by calling upon aspiring school building leaders to take what they learn in university-based programs and apply it successfully in an authentic school-based setting to improve staff functioning, student learning, or school performance.

Description: Adding a competency-based expectation to initial certification has the potential to enhance the partnership between P12 and Higher Education. In this scenario, before a university attests that an aspiring school building leader who has completed its SBL program is “certification ready”, the Superintendent or field-based mentor that is sponsoring the aspiring leader’s internship must verify that the candidate has demonstrated readiness for certification by successfully completing a set of projects that illustrate competency with respect to the state-adopted certification standards. If New York State elects to move in this direction, work will need to be done on the mechanics to ensure that field-based mentors or Superintendents apply the same standard of scrutiny across settings and individuals. A paramount concern will be that field-based determinations of readiness are defensible and valid for their purpose.

Rationale: At present, to earn SBL certification in New York State candidates must have:

- a. A statement from an SBL program attesting that the candidate completed a program that included an internship
- b. A satisfactory score on the state-approved SBL exam that is externally administered by Pearson
- c. Three years of teaching experience (or three years in pupil personnel services)

What is absent is a formal expectation that aspiring principals take what they learn in an SBL program and apply it in an authentic setting to improve staff, student, or school performance.

Before a university attests that a student who completed its SBL program is “certification-ready,” individuals from the District that is sponsoring the internship sign off saying that the aspiring school building leader demonstrated the desired competencies while engaged in leading real projects under real conditions. By making the judgment about when a candidate is ready for certification a joint responsibility of the institution of higher education and the internship sponsors (District superintendent and/or highly-skilled and successful administrator who serves as mentor) the internship becomes a responsibility that is truly shared. A change of this nature creates greater incentives for university-district communication and collaboration related to the expectations of aspiring leaders and the capacities they need to be “certification-ready”.

The importance of competency-based demonstrations of knowledge and skill is growing given requirements for the accreditation of institutions of higher education that are outlined by the Council for the Accreditation of Educator Preparation (CAEP). Standard 4 within CAEP emphasizes that institutions of higher education must provide outcome-based evidence showing that program graduates provide leadership that contributes to the improvement of students, staff, and schools.

5. Create pathways, options and/or opportunities leading to full-time, year-long, school-based internships for aspiring principals.

- Description: The Advisory Team has investigated a series of programs within New York State that have included year-long, full-time (often paid) internships for fledgling educators. Three are cited here.
- A. The first is a partnership that formerly involved a State university and four surrounding districts. While changes have subsequently been made to this program, when it was in place it was titled *Leadership Initiative for Tomorrow's Schools* or *LIFTS*. Then under the direction of a University of Buffalo professor, when the program was active it provided aspiring principals with high-quality, year-long internships. The record of graduate placement and success of *LIFTS* graduates suggest the experience better prepared candidates for the demands of the job.
 - B. Within the Ossining Union Free School District, funds from a "Strengthening Teacher and Leader Effectiveness" grant (STLE) were used to create year-long paid internships for aspiring principals. While STLE funds are no longer available, feedback from the Superintendent describes a program that now pays for itself in terms of enhanced preparation of school leaders and subsequent benefits to school performance. In part, this is due to lower turnover rate among principals and as a result greater continuity in teaching staff and educational programming.
 - C. An example also comes from comparable efforts within the state to make year-long paid internships (multi-year in length) a component of teacher preparation. A partnership that arose under the leadership of a SUNY Dean and former school district teacher is one such effort. It involved SUNY Plattsburgh at the Adirondack campus and Cambridge Central School District. While this particular example applies to teacher preparation, the structures and precedent potentially provide a viable pathway for state efforts to enhance the development of aspiring school building leaders.

Rationale: Among stakeholders who participated in focus groups in March and April, 2017 (and who responded to a survey), there is wide agreement about the advantages of a longer internship. This is especially the case when the internship includes explicit expectations that define the scope of experiences and the range of competencies involved. The Advisory Team understands the challenge of funding such an arrangement but believes the potential value of this approach justifies exploring the possibility.

6. Take steps to ensure that high-quality coaching and mentoring support to principals extends through their first full year that a principal is on the job and in ways that builds skill with respect to situational awareness, system thinking, shared leadership, comprehensive stakeholder engagement, and other areas of identified need.

Description: Under consideration is a proposal to revise current first-year mentoring expectations so they call for a full school year of formal mentoring. This would pair institutions of higher education with mentoring organizations so formal mentoring is a continuation of the formal training received in principal preparation. To allow this, promote the use of a process within principal preparation that enables a portfolio to follow a candidate into the job. Such a portfolio might include results from competency-based assessments (including both self-assessment and assessment by a third-party) that begin during the candidate preparation phase but which logically build into and connect with aspects from on-the-job evaluation. A set of assessments like this could provide insight into a candidate's strengths and weaknesses in a way that makes it possible to focus mentoring on target areas of growth and development.

Rationale: Feedback from stakeholders in focus groups points to the importance of on-the-job training. Focus group feedback suggests that too frequently the support that is provided to a new school building principal varies widely from district to district and from school to school within some districts. Many focus group participants point to the importance and power of mentoring, but calls for mentoring ring hollow unless they are backed by clearer expectations, improved structures, better tools, and proven processes that can build quality into the experience and drive out the unwanted inconsistency that now exists.

7. Expect principals to acquire the knowledge and skill to meet the learning needs of an increasingly-diverse student population.

Description: Public schools in New York State are diverse settings that are becoming more so every day. Census data show that more than half of all students in NYS public schools are non-White, and the share of students in poverty and/or who are English learners is increasing.

Rationale: In part, the Advisory Team is considering how to use the machinery of the Continuing Teacher and Leader Education (CTLE) requirements to address this need. As well, the Advisory Team is approaching this through recommended changes to the standards that form the basis for initial principal certification.

8. Add an expectation that the annual approval that the New York State Education Department grants to institutions of higher education that enable School Building Leader programs to enroll students begin to set goals, targets, and milestones that call for increasing the number and percent of School Building Leader candidates from historically-under-represented populations who enroll and successfully complete the program on time. As well, consider an expectation that local school districts begin to set goals to recruit, select, develop, and place individuals from historically under-represented populations within the ranks of school building leaders (so that the racial and ethnic mix of the principal corps matches the mix of the student population within the district at large).

Description: In the most-recent four-year period for which census data are available (from 2007-2008 to 2011-2012), the share of non-White public school students increased in NYS to 50.5 percent, but the share of non-White principals in NYS declined from 26.1 percent to 21.3 percent.

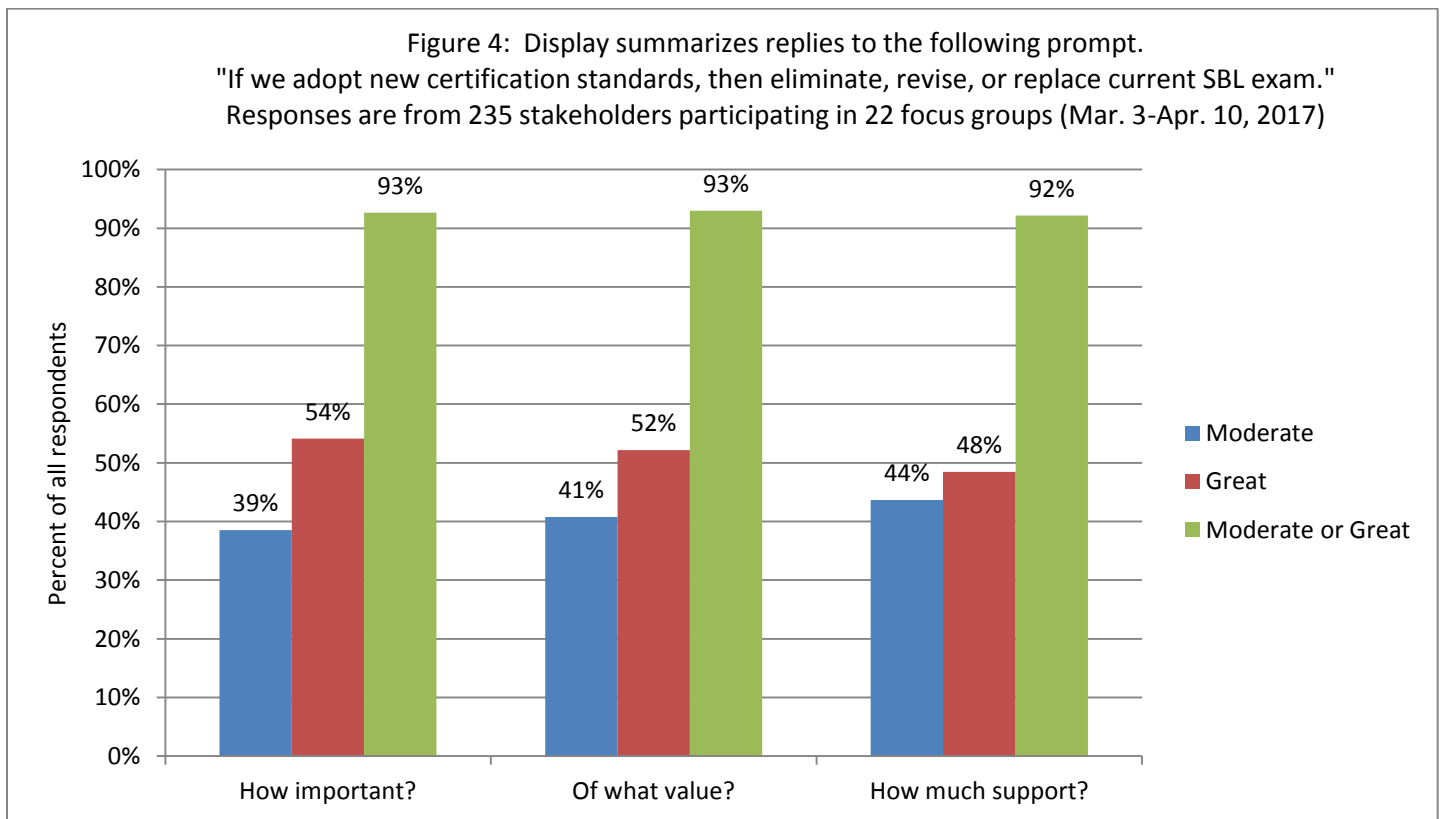
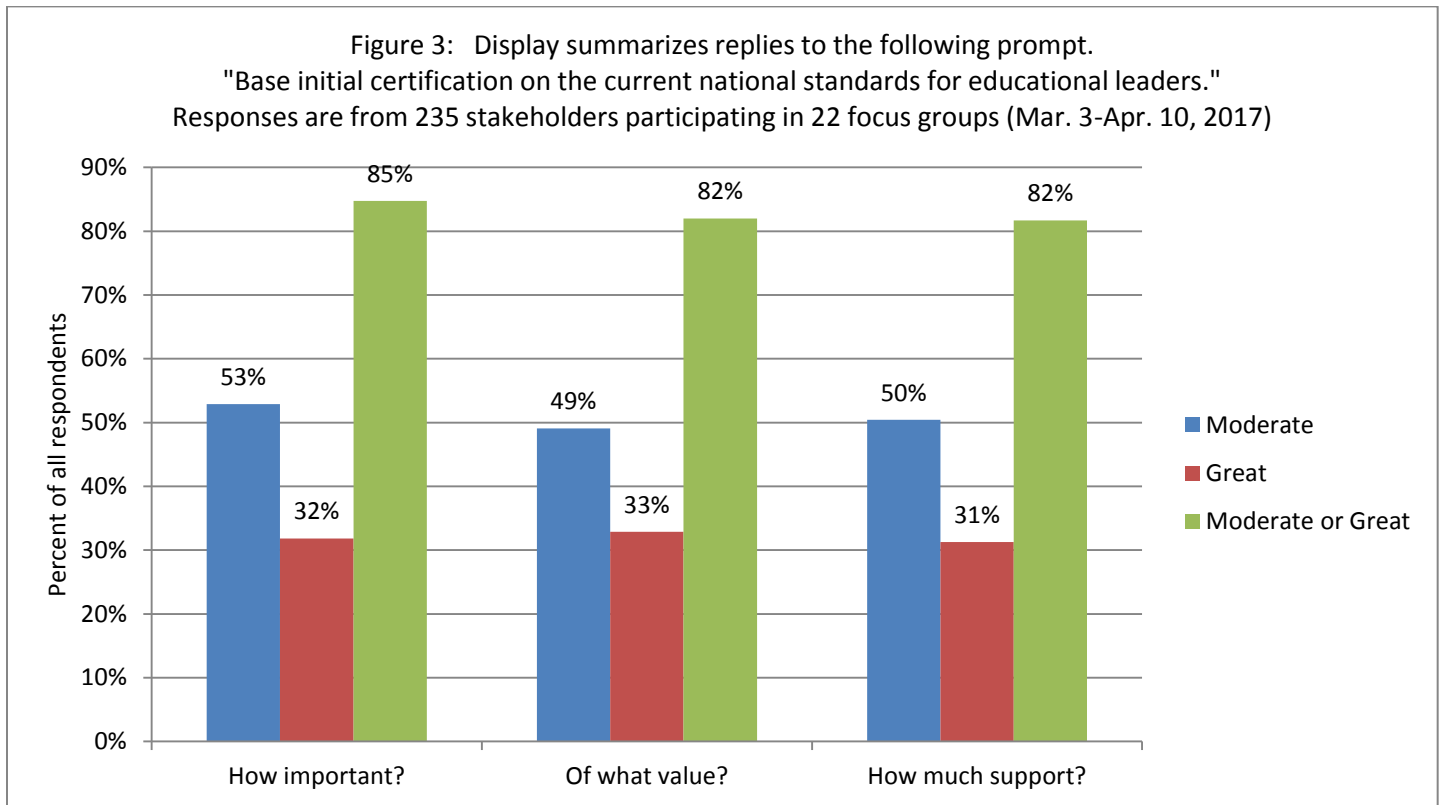
Rationale: An expectation of this nature reinforces a requirement now in place through the accreditation process within higher education. The entity that oversees the accreditation of institutions of higher education and the programs within these institutions is the Council for the Accreditation of Educator Preparation or CAEP. A particular CAEP standard (3.1) states that programs “present goals and plans to recruit and support to completion high quality-candidates from a broad range of backgrounds and diverse populations”.

9. If the NYS Board of Regents elects to base initial principal certification on the 2015 *Professional Standards for Educational Leaders* and subsequently to develop competencies that are linked to these standards and to shift initial certification so it is competency-based, then set a schedule for phasing in implementation of the changes.

Description: Providing time to phase in changes related to SBL certification can help ensure institutions of higher education make the necessary adaptations in a way that promotes program quality by ensuring a smooth transition.

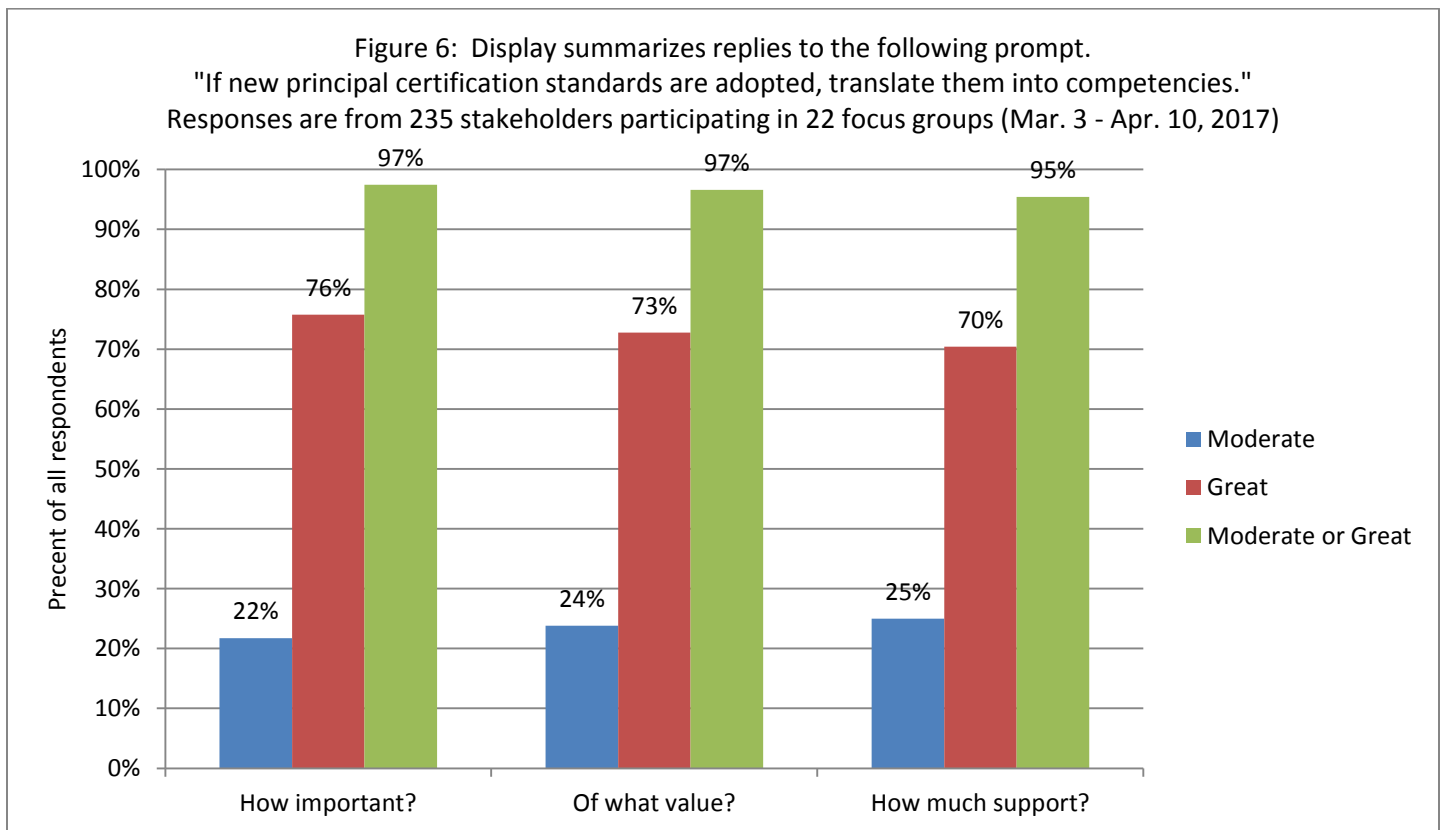
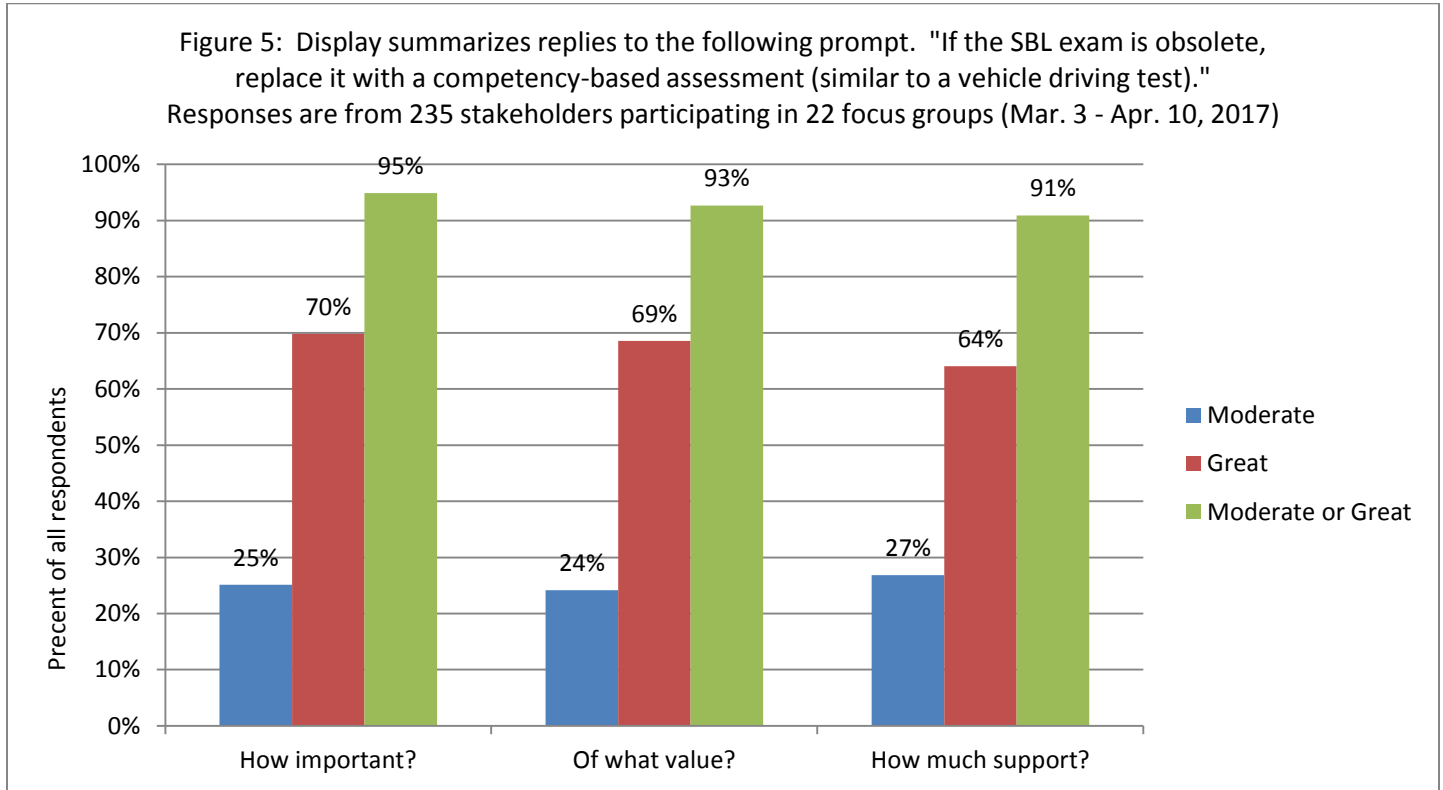
Rationale: When students enter a program leading to a certificate or a degree, universities generally refrain from changing requirements for the degree or certification “in the middle of the game.” If a decision is made to shift the basis for a certification program to a more-current set of national standards for educational leaders, identify a target date for implementation that allows existing universities to revise program design accordingly. This helps ensure that individual candidates who seek to become school building leaders are taking coursework and having professional experiences that prepare them for the assessments the State uses for the purpose of determining certification eligibility.

APPENDIX H: GRAPHIC SUMMARY OF FOCUS GROUP RESPONSE TO POSSIBLE RECOMMENDATIONS (April 12, 2017)



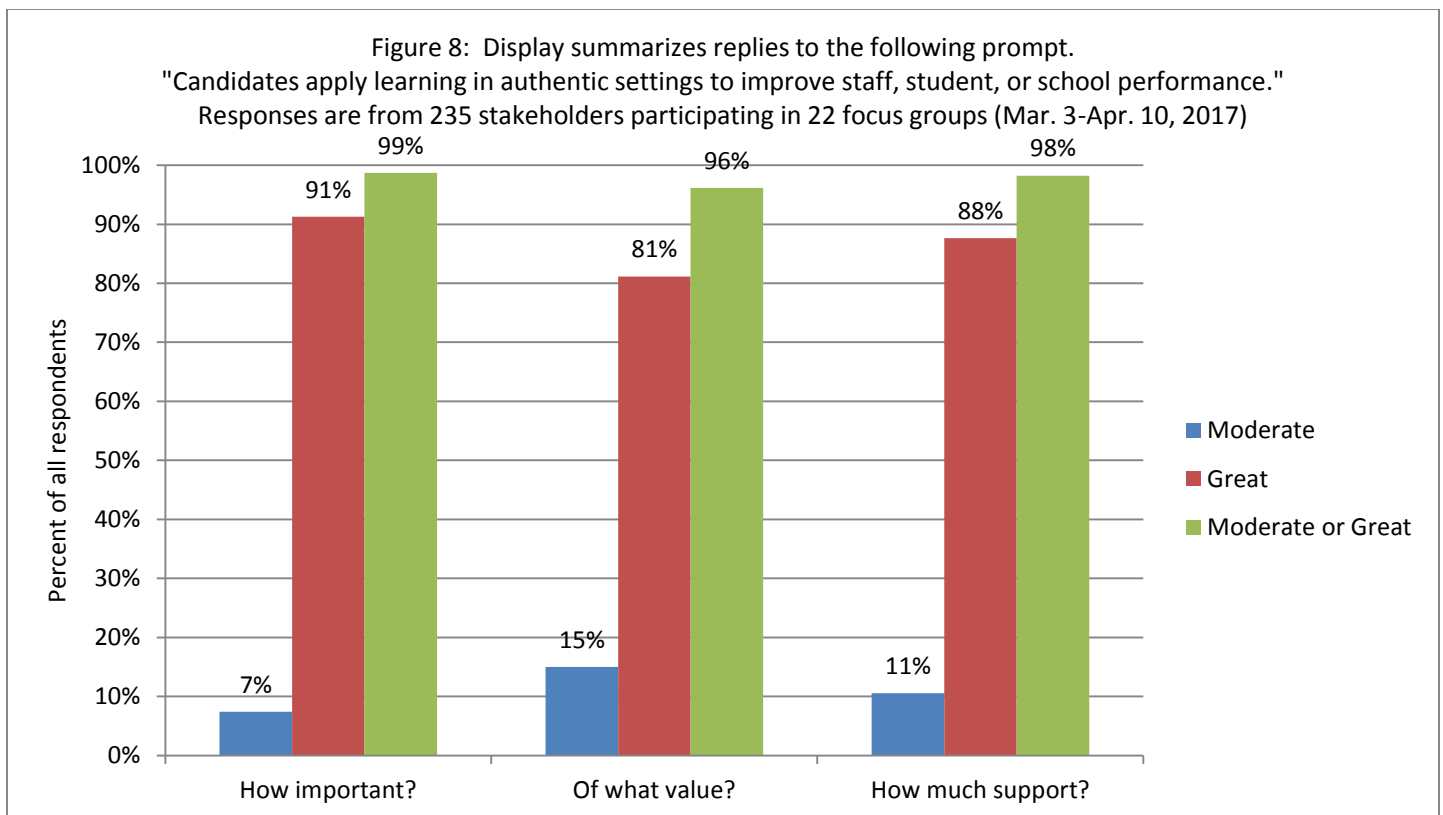
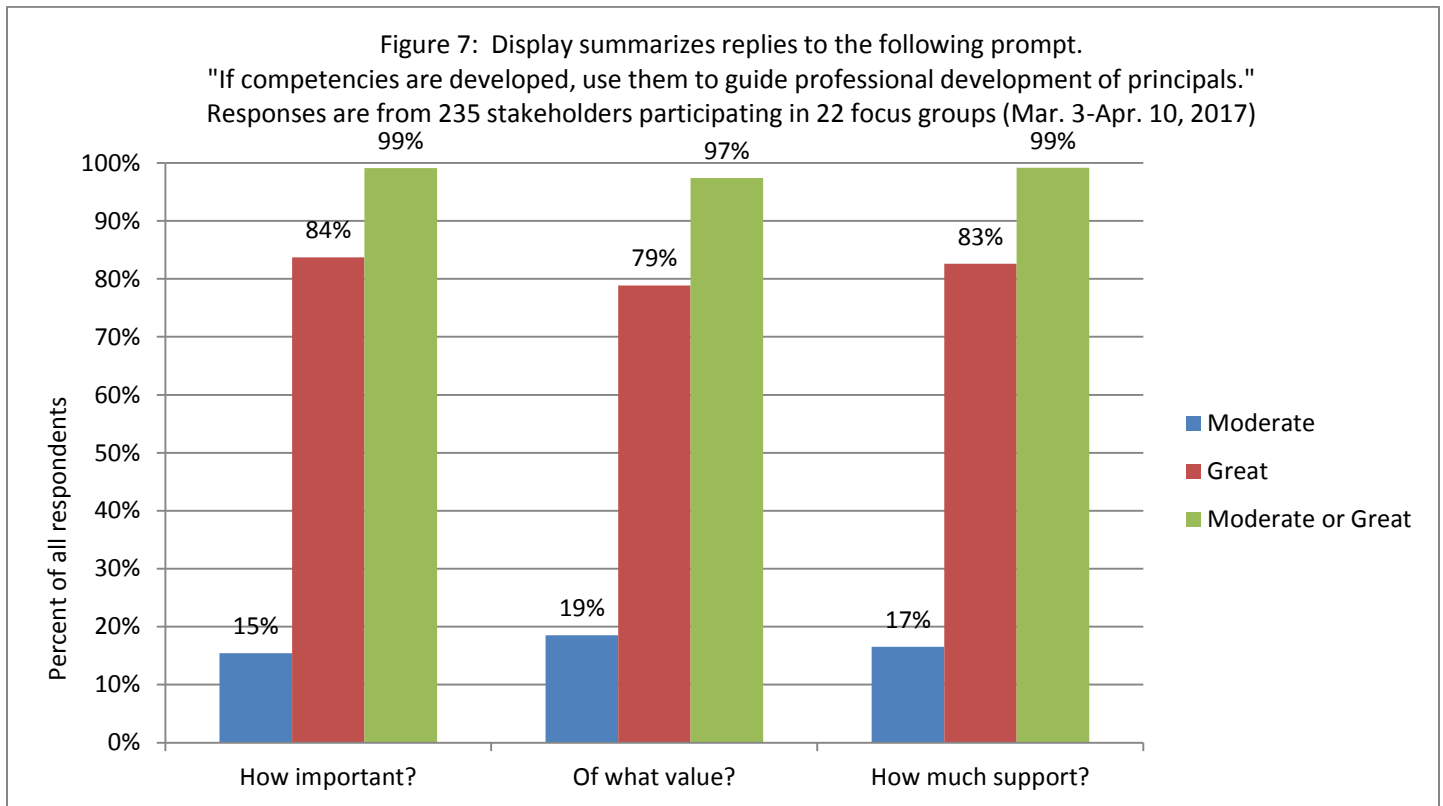
Following a structured conversation within each focus group, participants voluntarily agreed to complete a 14-question survey. While 235 stakeholders completed all or some of the survey, the number of respondents for each question is not reported here. Results are intended to inform deliberations of the Principal Project Advisory Team. Due to small sample, caution should be used when interpreting or reporting results.

APPENDIX H: GRAPHIC SUMMARY OF FOCUS GROUP RESPONSE TO POSSIBLE RECOMMENDATIONS (April 12, 2017)



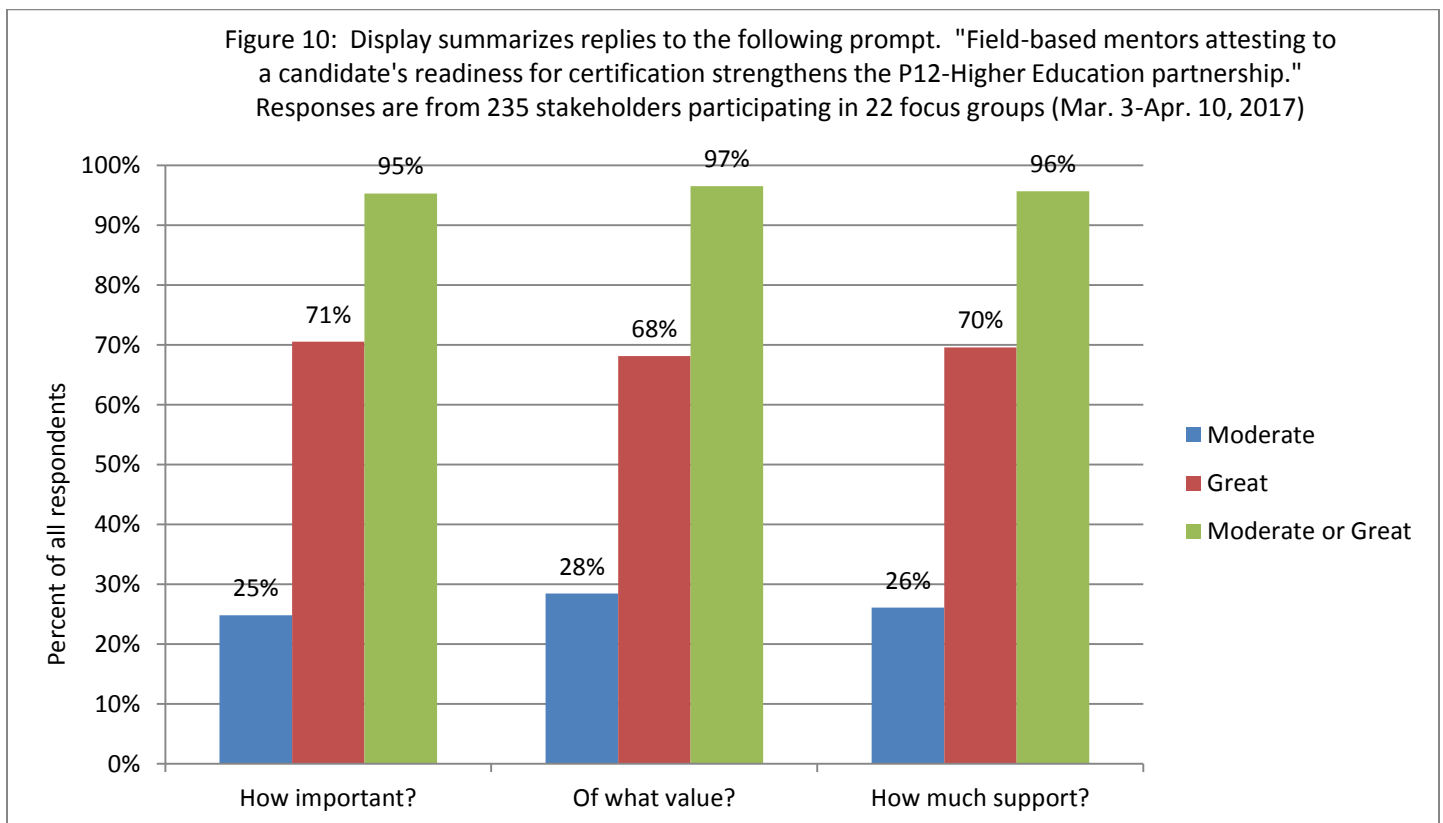
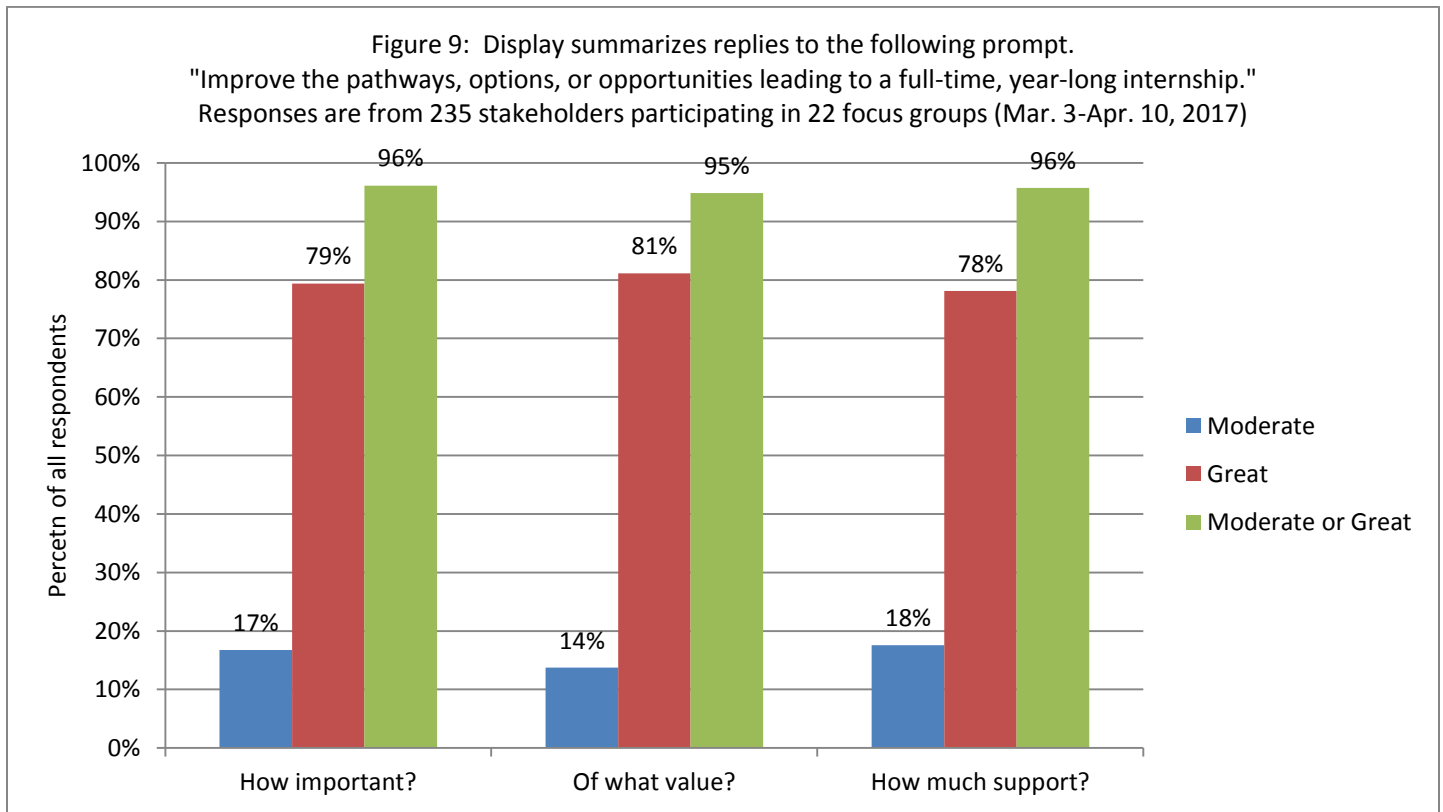
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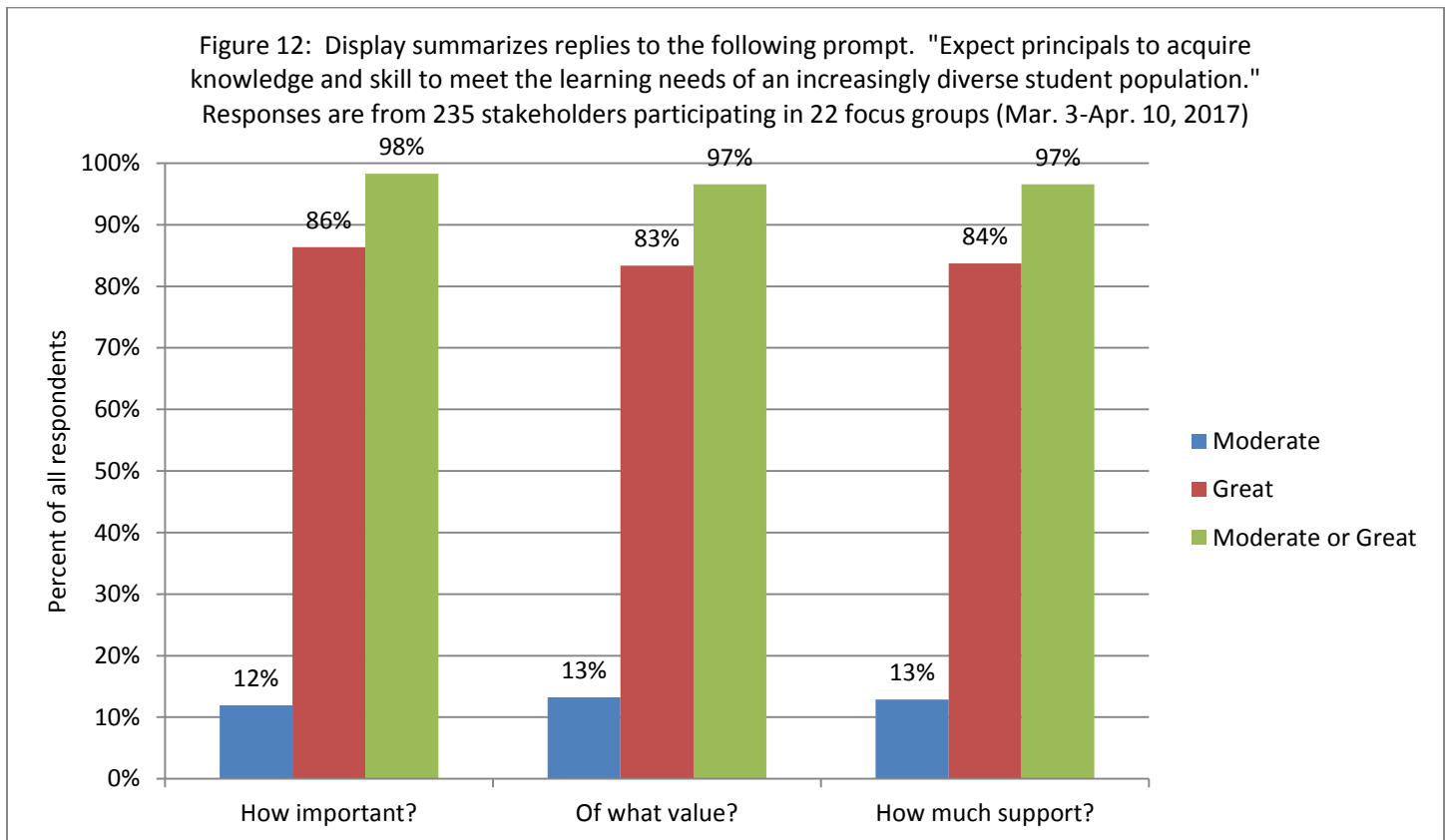
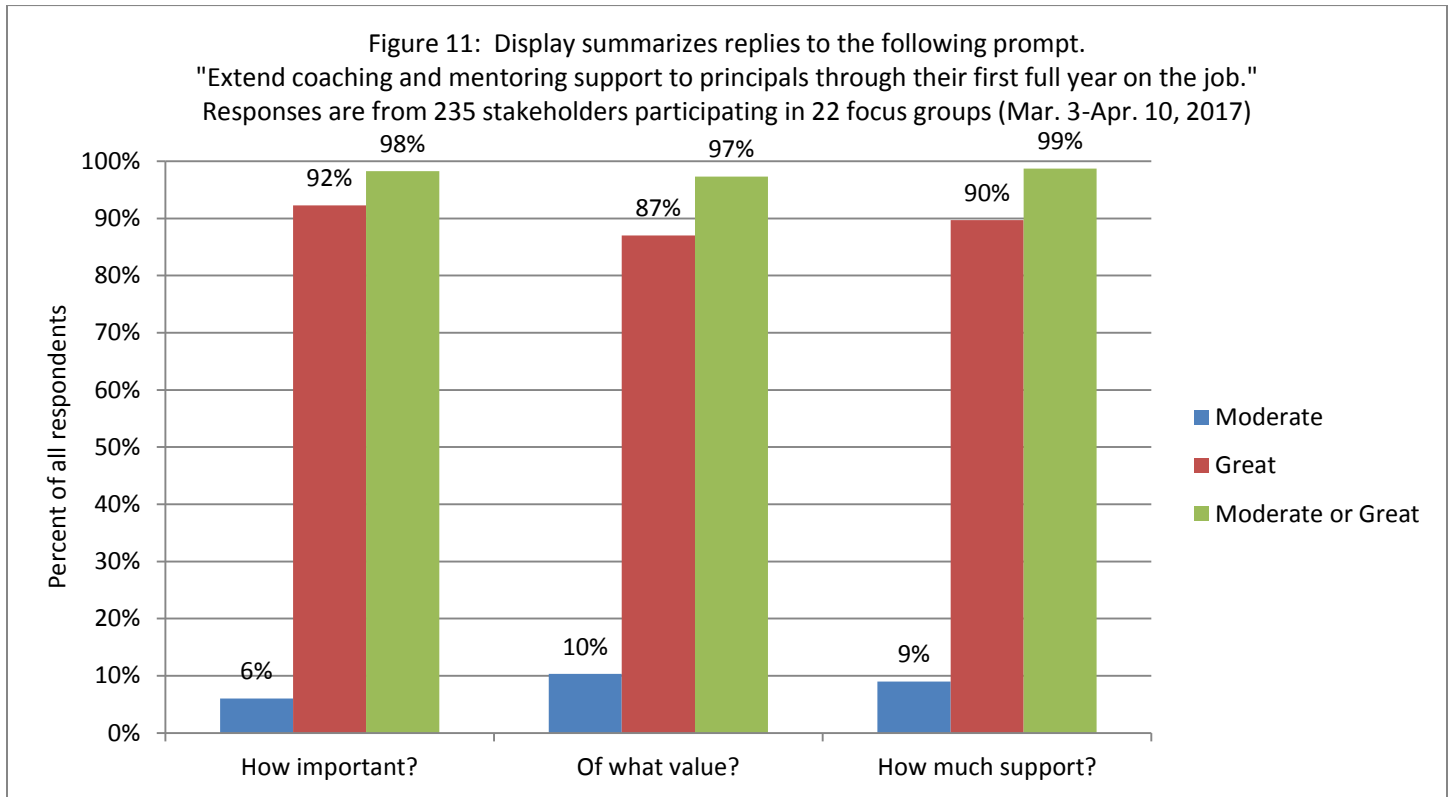
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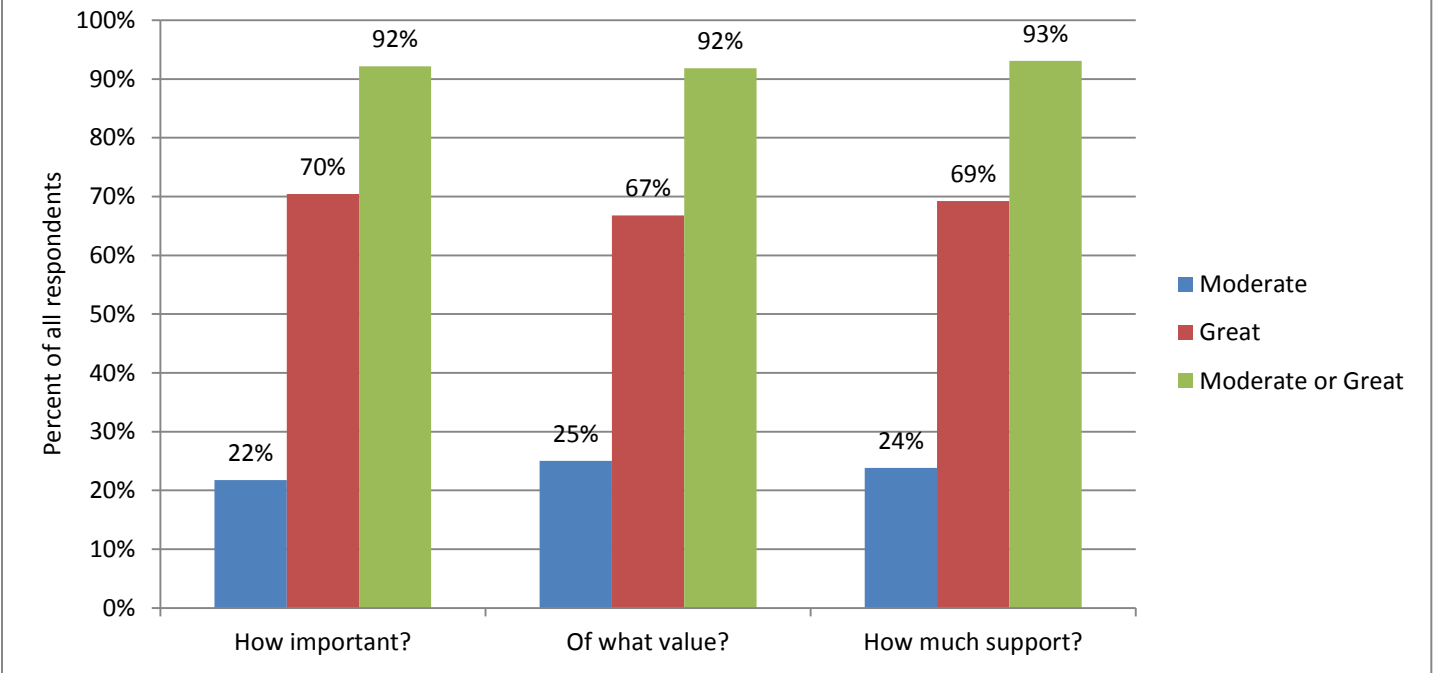
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APPENDIX H: GRAPHIC SUMMARY OF FOCUS GROUP RESPONSE TO POSSIBLE RECOMMENDATIONS (April 12, 2017)

Figure 13: Display summarizes replies to the following prompt. "If the NYS Board of Regents adopts recommendations, urge the state to phase in implementation over time."
Responses are from 235 stakeholders participating in 22 focus groups (Mar. 3-Apr. 10, 2017)



Following a structured conversation within each focus group, participants voluntarily agreed to complete a 14-question survey. While 235 stakeholders completed all or some of the survey, the number of respondents for each question is not reported here. Results are intended to inform deliberations of the Principal Project Advisory Team. Due to small sample, caution should be used when interpreting or reporting results.

APPENDIX I: Themes Emerging from 22 Focus Group Sessions Conducted March 3 - April 10, 2017

When asked, “What explains why many are certified but few are ready” focus groups participants offered seven possibilities.

- Mismatch between what is needed to be a successful principal, what is taught in SBL programs, and what it takes to be certified
- Rapidly shifting expectations of principals (changing laws, technology, demography) puts SBL programs in a catch-up mode
- Increasingly principals must adapt to changing conditions; this make job complex and the design of SBL programs difficult
- There is wide variability when it comes to the knowledge, skill, talent, and motivation of candidates enrolled in SBL programs
- In too many universities, there is a dearth of recent practical P12 experience among the faculty who teach SBL candidates
- Inadequate opportunities for candidates to lead projects in P12 settings so they can apply the skills they acquired in SBL programs
- Lack of a consistent state-wide mechanism to make SBL certification contingent on field-based demonstrations of competency

Asked, “Should the goal of preparation programs be to equip candidates to improve the schools they lead”, participants said this.

- Yes but ability of first-time-ever principals to improve the schools they lead often depends on the support they get in the job
- Without mentors to turn to, first-time-ever principals tend to avoid asking for help (this sets off a dangerous downward spiral)
- Improving schools is the aim, but it is short-sighted to ascribe sole responsibility to a principal; it takes a lot of collaboration
- While most agree school improvement is proper aim, there is wide difference of opinion on what constitutes “improvement”
- Some educators scoff at and reject idea that improvement is the proper aim; instead they say their school is as good as it gets

How do we ensure principal preparation is more than a pay-to-play proposition?

- At a third of focus group meetings, a reference was made to “diploma mills” or “paper factories” that just churn out degrees
- Most SBL programs (not those solely seeking to make a buck) act in a way that shows they see school districts as consumers
- SBL programs that view the district as consumer are more likely to collaborate with district in placing candidates in internships
- Candidate success depends on extended internship and working under a seasoned, successful, practicing school administrator
- State role is to: (a) set standards to certify people/programs, (b) assure quality; (c) build capacity; (d) provide funds/incentives
- Mentoring quality varies widely; in some places it is a “lick and a promise” or nonexistent but in other places it is healthy

Potentially, this presents a choice. Which of the following is true (and which of these claims do we think should be true)?

- The initial SBL certificate represents that holders have what it takes to be principal.
- An initial SBL certificate solely prepares holders to be assistant principal; further training is needed before they can be principal.

In a way, we face a crossroads. Which business do we want to be in . . .

- Knowingly producing SBL certificate holders who many view lack the skill and experience needed to be a successful principal.
- Revising current SBL programs so observers widely agree that initially-certified individuals are ready to step into a principal role.

APPENDIX J: Results of Survey of Deans on *Professional Standards for Educational Leaders* (Apr 5, 2017)

Summary of dean responses to two broad survey questions (survey closed Friday, March 31, 2017)

- 100% say it is of great or very great importance “to organize SBL around national standards”
- 100% say it is of great or very great importance “to organize SBL around the most-current national standards”

Summary of dean responses to more specific questions concerning the importance of the *PSEL* standards

- 100% say *PSEL* standards 1, 2, 3, 5, 6, 7, 8, 9, and 10 are of “great or very great importance”
- 92% say *PSEL* standard 4 is of “great or very great importance”

Summary of responses to questions asking if deans can support each individual *PSEL* standard

- 100% say they can “strongly support” *PSEL* standard 2
- 92% say they can “strongly support” *PSEL* standards 1 and 3
- 85% say they can “strongly support” *PSEL* standards 4, 5, 6, and 9
- 77% say they can “strongly support” *PSEL* standard 8
- 62% say they can “strongly support” *PSEL* standards 7 and 10

Standard 1: Mission, Vision, and Core Values

Effective educational leaders develop, advocate, and enact a shared mission, vision, and core values of high-quality education and academic success and well-being of each student.

Standard 2: Ethics and Professional Norms

Effective educ'l leaders act ethically and according to professional norms to promote each student's academic success & well-being.

Standard 3: Equity and Cultural Responsiveness

Effective educational leaders strive for equity of educational opportunity and culturally responsive practices to promote each student's academic success and well-being.

Standard 4: Curriculum, Instruction, and Assessment

Effective educational leaders develop and support intellectually rigorous and coherent systems of curriculum, instruction, and assessment to promote each student's academic success and well-being.

Standard 5: Community of Care and Support for Students

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

Standard 6: Professional Capacity of School Personnel

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

Standard 7: Professional Community for Teachers and Staff

Effective educational leaders foster a professional community of teachers and other professional staff to promote each student's academic success and well-being.

Standard 8: Meaningful Engagement of Families and Community

Effective educational leaders engage families and the community in meaningful, reciprocal, and mutually beneficial ways to promote each student's academic success and well-being.

Standard 9: Operations and Management

Effective educational leaders manage school operations & resources to promote each student's academic success and well-being.

Standard 10: School Improvement

Effective educational leaders act as agents of continuous improvement to promote each student's academic success & well-being.

APPENDIX K: Summaries of the literature

<http://www.nysed.gov/common/nysed/files/summary-of-the-literature-on-principal-preparation.pdf>

<http://www.nysed.gov/common/nysed/files/summary-of-the-literature-on-principal-preparation-part-two.pdf>

<http://www.nysed.gov/common/nysed/files/principal-project-summary-of-the-literature-on-principal-preparation-part-three.pdf>

Note: A full set of the 80 publications that are summarized can be found in a section titled “Readings” that is found at:

<http://www.nysed.gov/principal-project-advisory-team/schools/principal-project-advisory-team>

APPENDIX L: Methods Used to Engage Stakeholders, Gather Information, Analyze Data, and Organize Advisory Team

- I. Data collected via 50+ interviews
 - A. NYSED staff (May to June, 2016)
 - B. Practitioners in the field (July-August, 2016)

- II. Review of the literature on the topic of principal preparation
 - A. Website houses material collected for this project (5,000 pages)
 - i. Web site found at
<http://www.nysed.gov/schools/principal-project-advisory-team>
 - B. 80 articles assembled and stored
 - i. Summaries of the literature found at these links.
<http://www.nysed.gov/common/nysed/files/summary-of-the-literature-on-principal-preparation.pdf>
<http://www.nysed.gov/common/nysed/files/summary-of-the-literature-on-principal-preparation-part-two.pdf>
<http://www.nysed.gov/common/nysed/files/principal-project-summary-of-the-literature-on-principal-preparation-part-three.pdf>

- III. Scrub of regulations related to school building leader certification and preparation programs
 - A. 8 CRR-NY 52.1, 52.21, 52.23, 80-3.1

- IV. Data analysis
 - A. Comparison of IHEs by number of School Building Leader (SBL) program enrollees and SBL exam pass rate
 - B. Comparison of change over time in composition of non-White students, teachers, and principals (2003-2012)
 - C. Comparison over time of test-taking populations and pass rates for SBL exams by race/ethnicity

- V. Focus groups
 - A. 21 focus groups (August, 2016) included 202 participants
 - B. 22 focus groups in (March 3 to April 10, 2017) included 235 participants

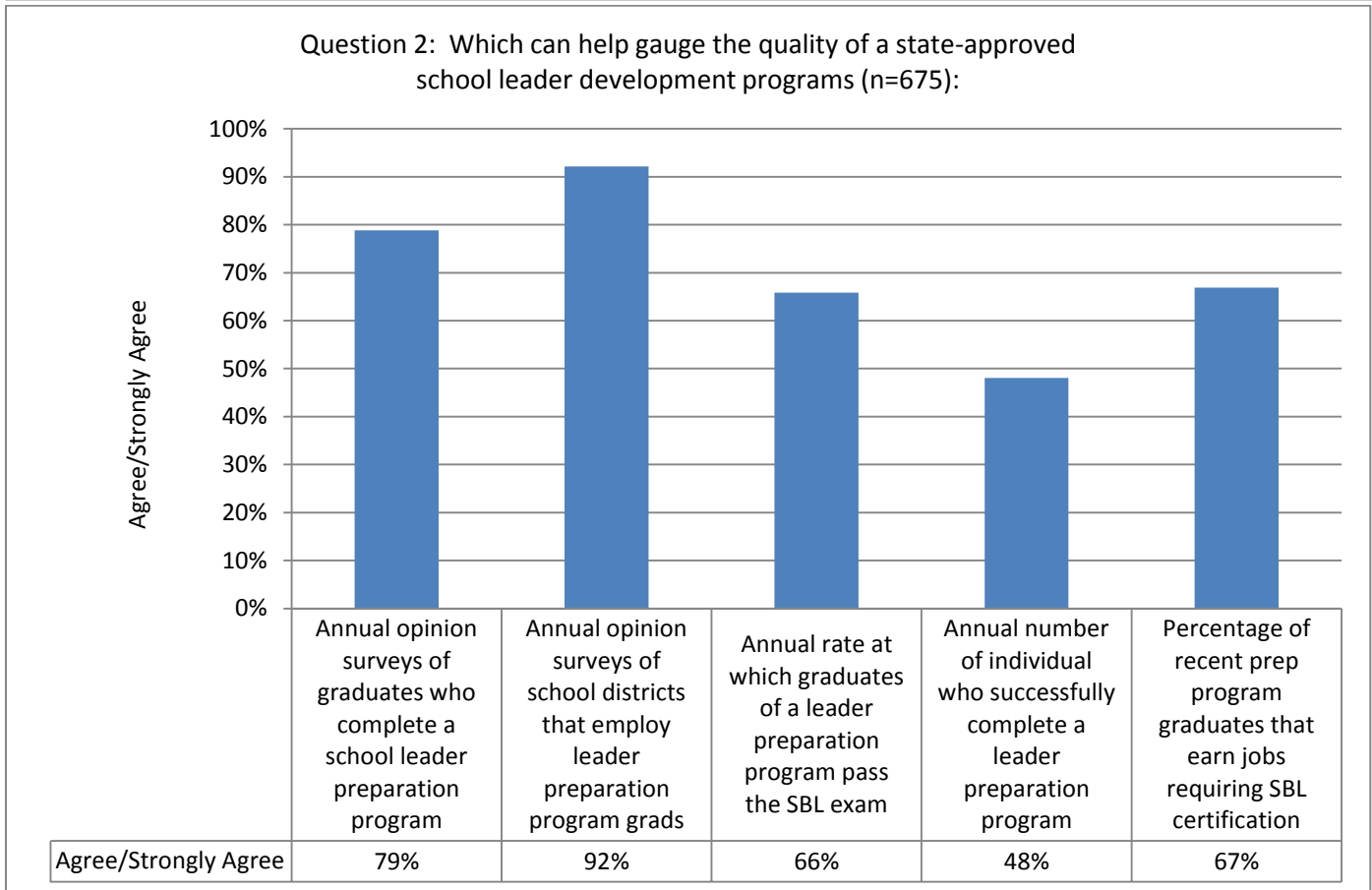
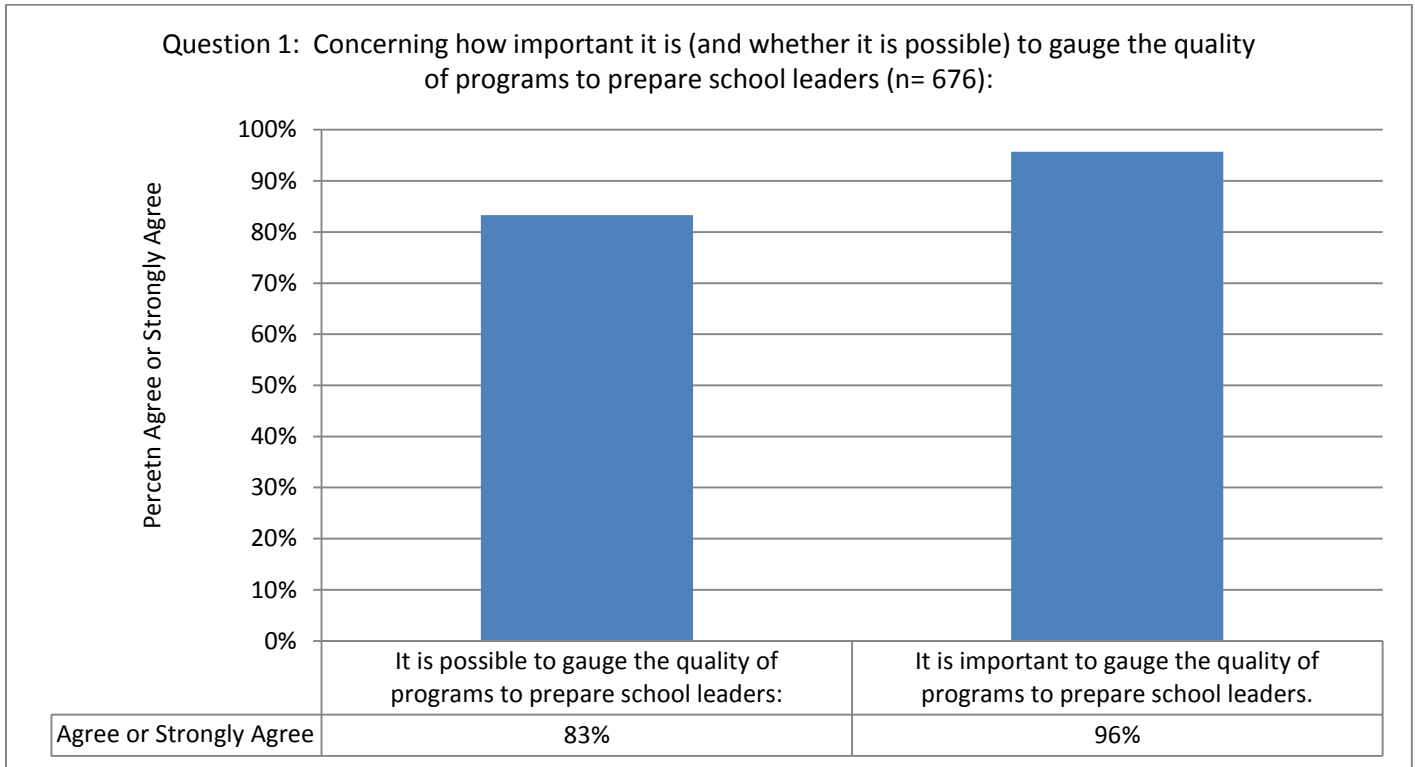
- VI. Commissioner-appointed Principal Project Advisory Team
 - A. Members recruited (37 members identified in August, 2016 and appointed in September, 2016)
 - B. Organizing for the work (graphic description of the breakout groups)
 - C. Advisory Team meetings in 2016 (Sept. 22, Oct. 19, Nov. 30) and 2017 (Jan. 25, Mar. 22, May 1, May 31)

- VII. Paper and pencil surveys
 - A. Field test of a survey completed by 188 individuals from 21 focus groups (August, 2016)
 - B. Survey completed by 235 participants in 22 focus groups (March 3 – April 10, 2017)

- VIII. Online surveys
 - A. Survey of P12 educators, Ed School deans/faculty and local school board in November 2016 (676 respondents)
 - B. Survey of Regents in February, 2017 (3 respondents)
 - C. Survey of Ed School Deans in March, 2017 (13 respondents)

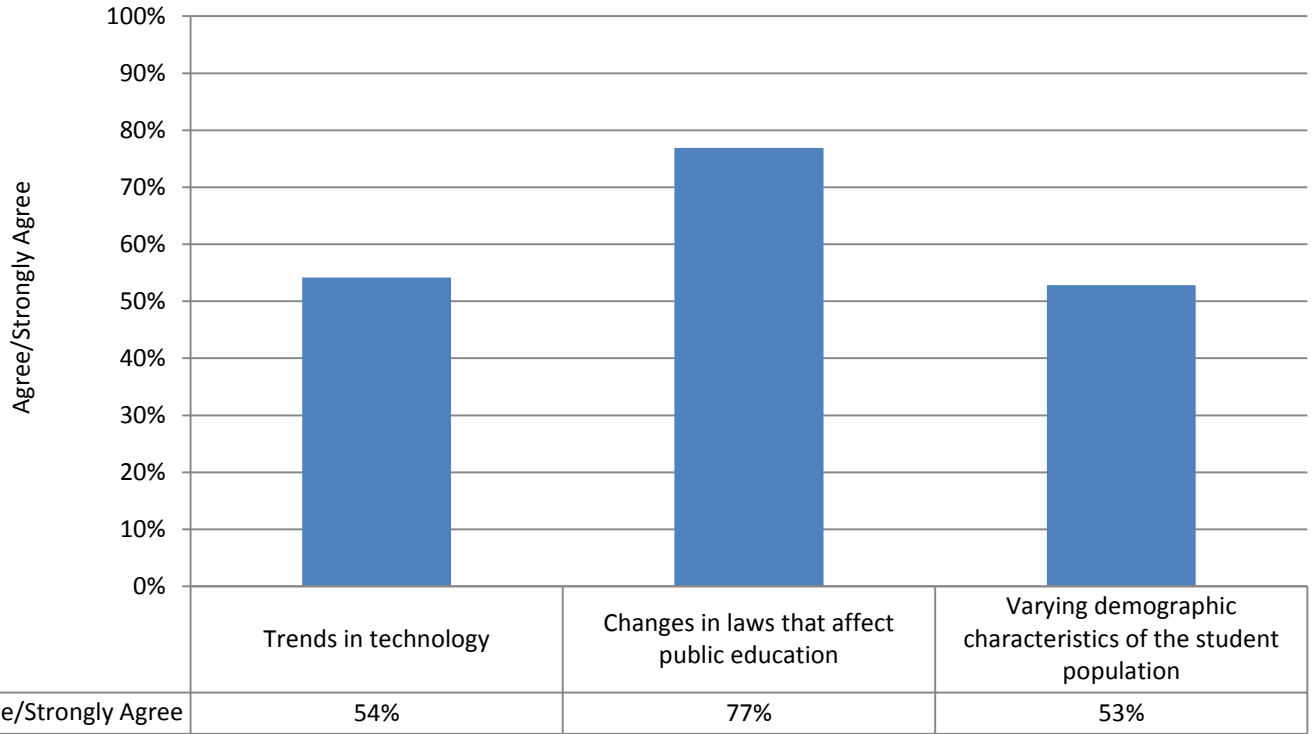
- IX. Presentations
 - A. *NYS Board of Regents* (September 12, 2016)
 - B. *Professional Standards and Practices Board* (July 13, 2016 , September 22, 2016, and January 19, 2017)
 - C. *Committee for Identifying and Developing Educational Leadership* (January 17, 2017)
 - D. *Staff and Curriculum Development Network – Teacher and Leader Effectiveness* (February 8, 2017)
 - E. *Metropolitan Council for Educational Administration Programs* (April 7, 2017)

APPENDIX M: Graphic Summary of Focus Group Response to a Survey on Principal Prep (November 8, 2016)

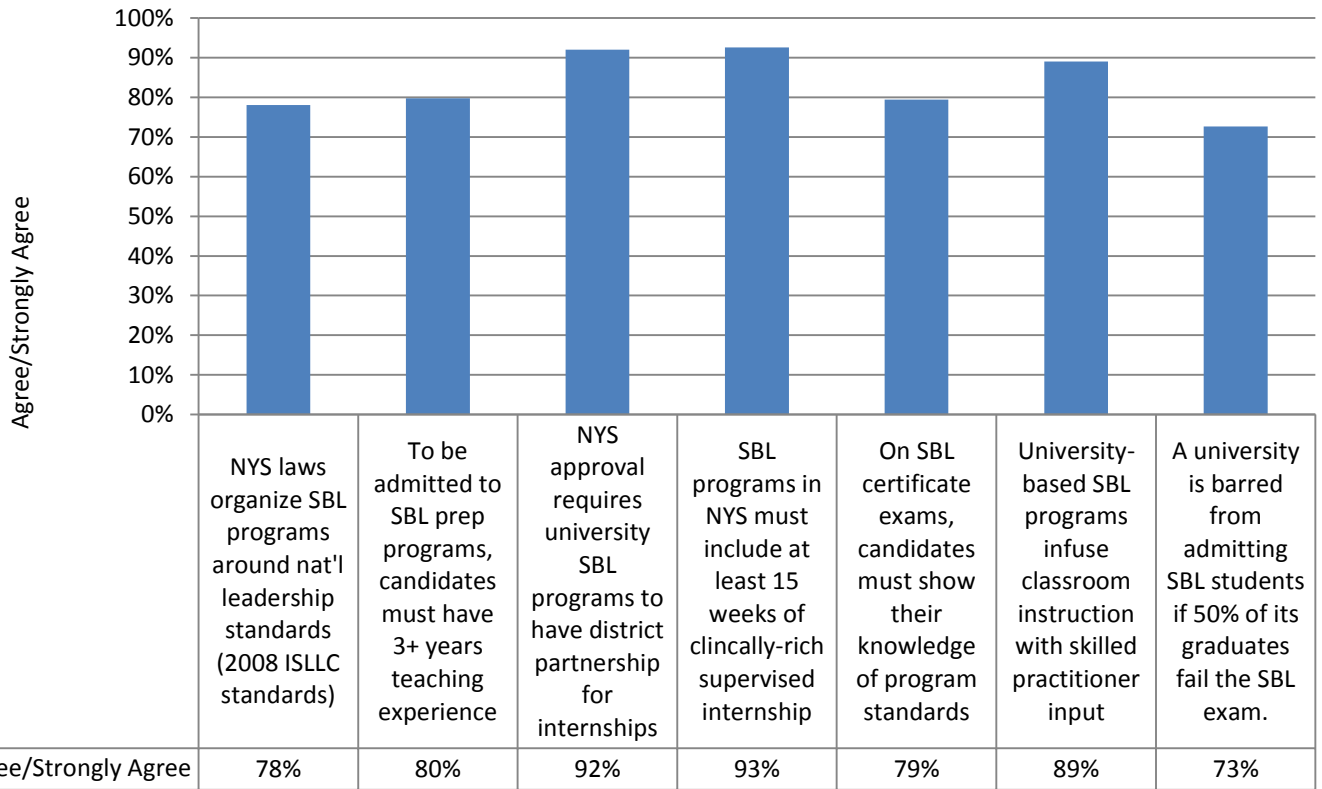


Display of responses from an online survey conducted in NYS from Oct. 11 – Nov. 2, 2016. Respondents included local school board members, P12 educators, and deans and faculty members in schools of education at institutions of higher education. A total of 676 responded to the survey.

Question 3: Leader-preparation programs in NYS are sufficiently responsive to (n=676):

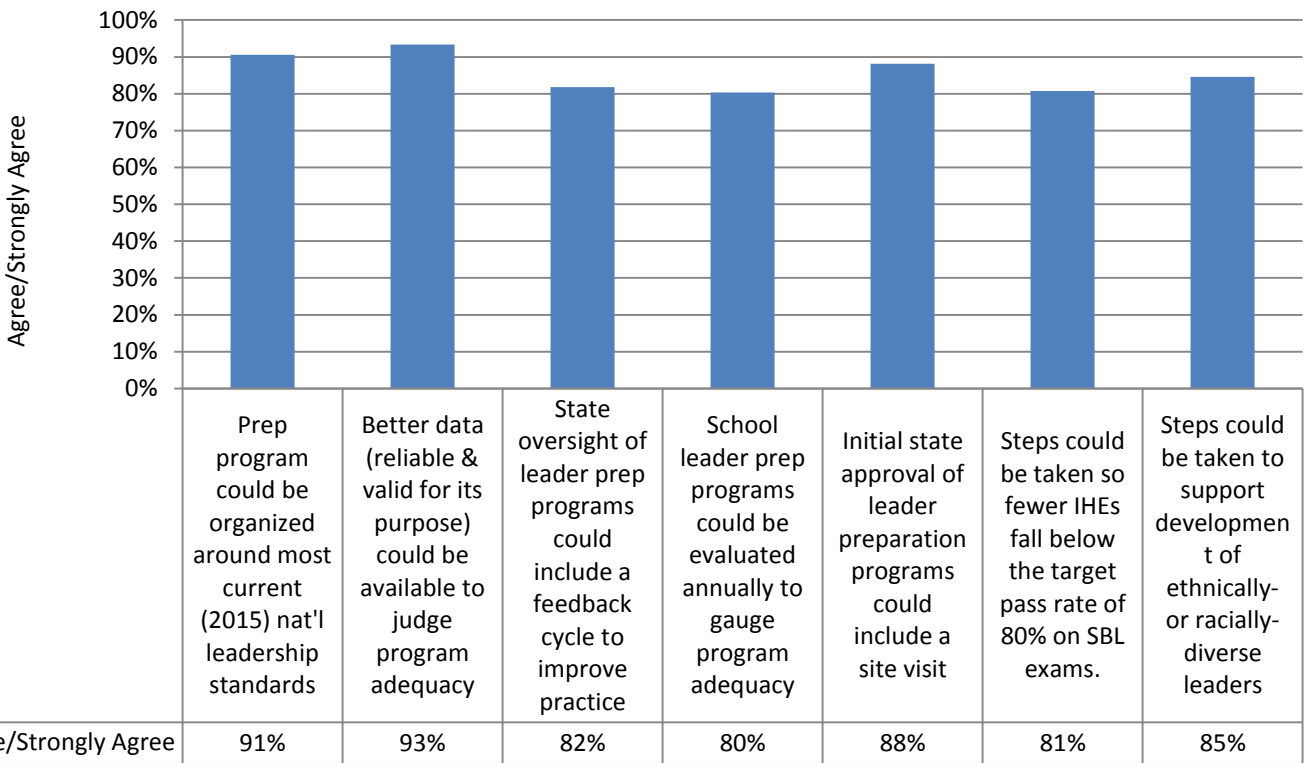


Question 4: In my experience, the greatest strengths of NYS school building leader preparation programs are (n=676):

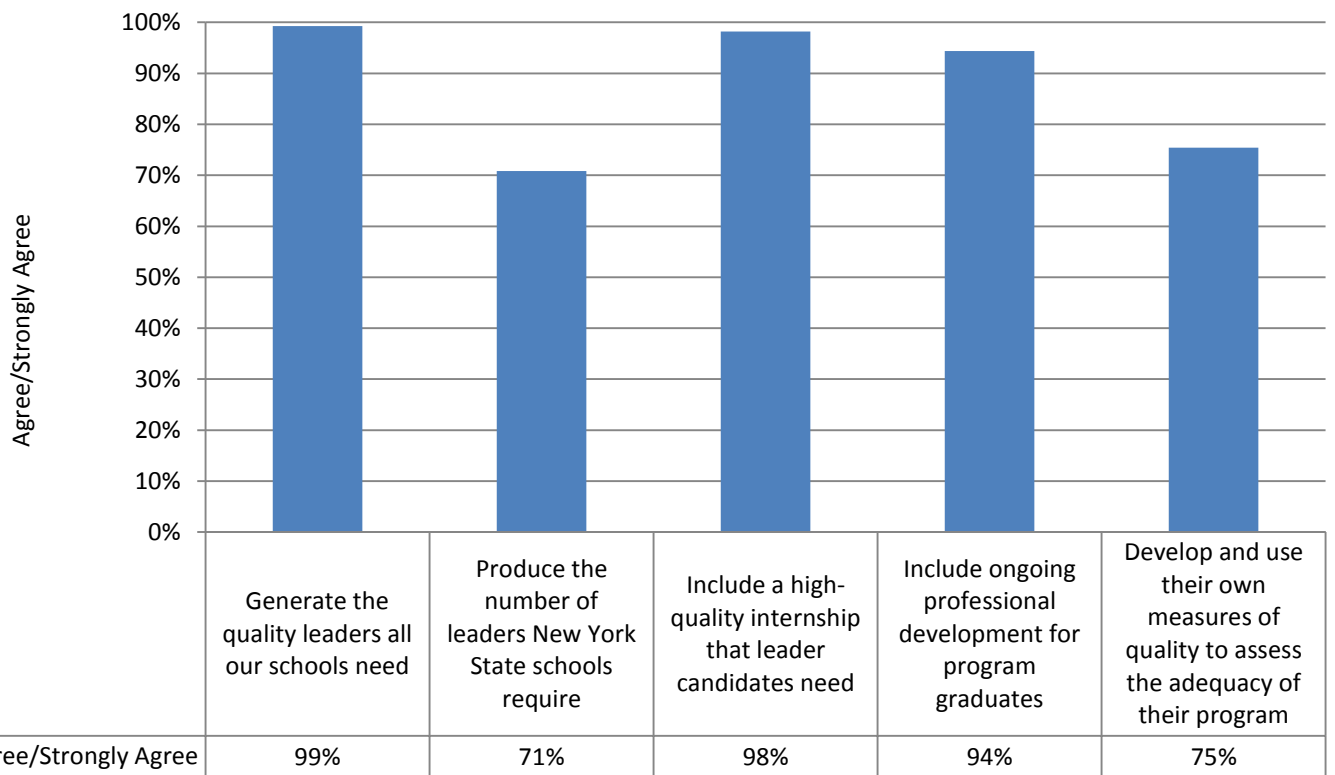


Display of responses from an online survey conducted in NYS from Oct. 11 – Nov. 2, 2016. Respondents included local school board members, P12 educators, and deans and faculty members in schools of education at institutions of higher education. A total of 676 responded to the survey.

Question 5: Within available resource, areas of possible improvements in leader prep programs include (n=676):

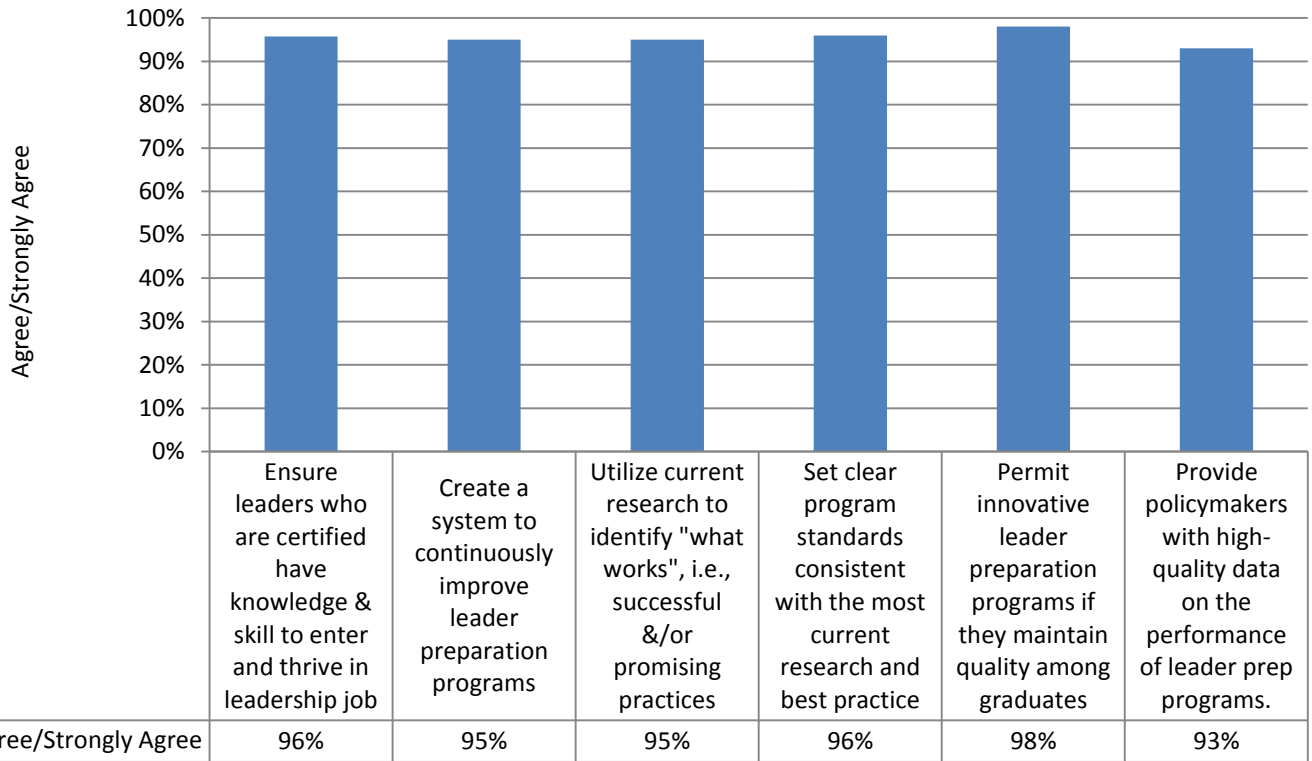


Question 6: The aim of NYS programs to prepare school leaders should be to (n=676):

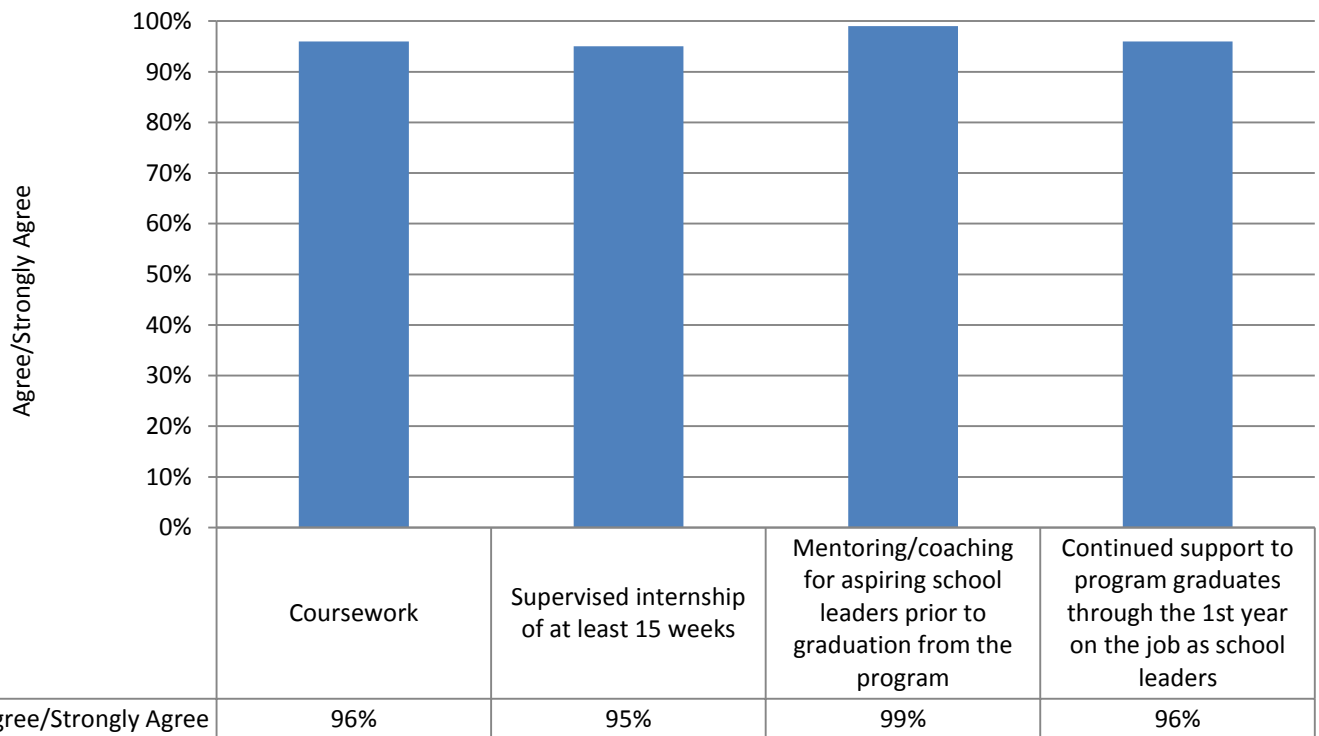


Display of responses from an online survey conducted in NYS from Oct. 11 – Nov. 2, 2016. Respondents included local school board members, P12 educators, and deans and faculty members in schools of education at institutions of higher education. A total of 676 responded to the survey.

Question 7: The New York State Education Department role in leader preparation programs should be to (n=676):

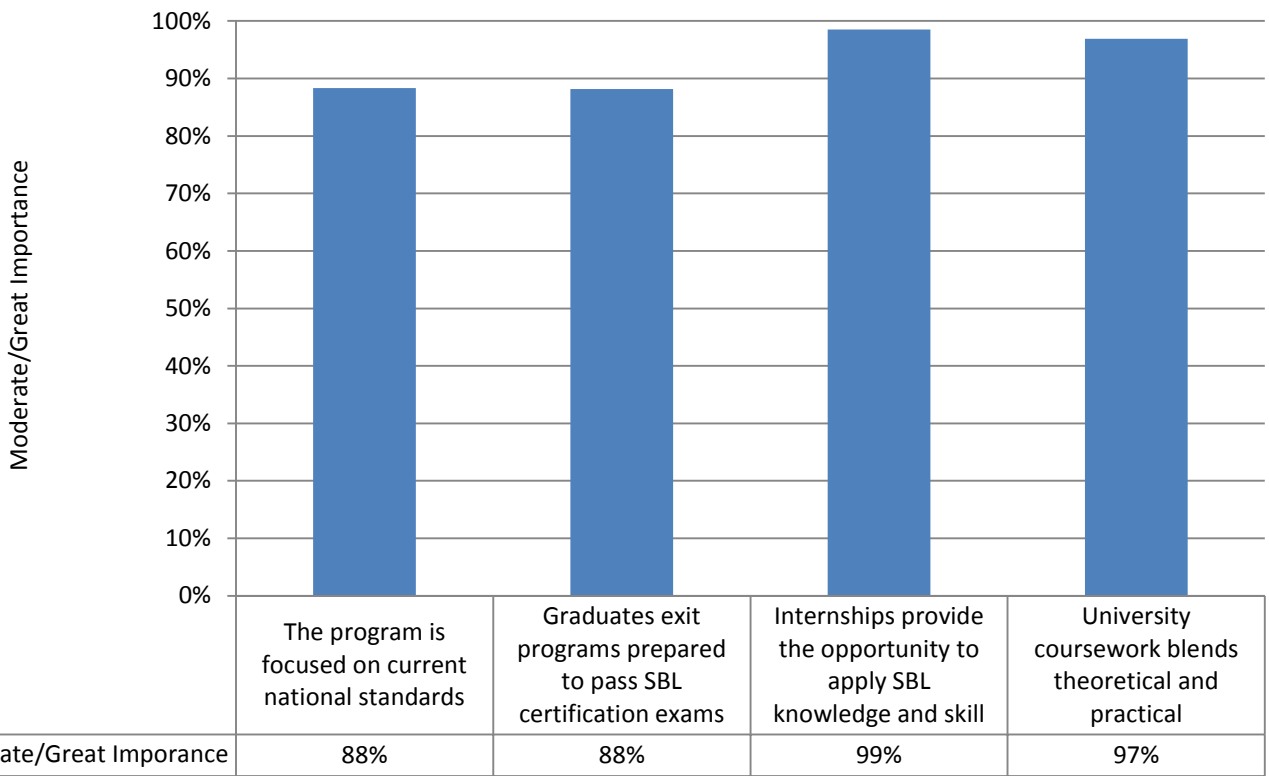


Question 8: Essential elements that are vital to any high-quality leader prep program in NYS include (n=676):



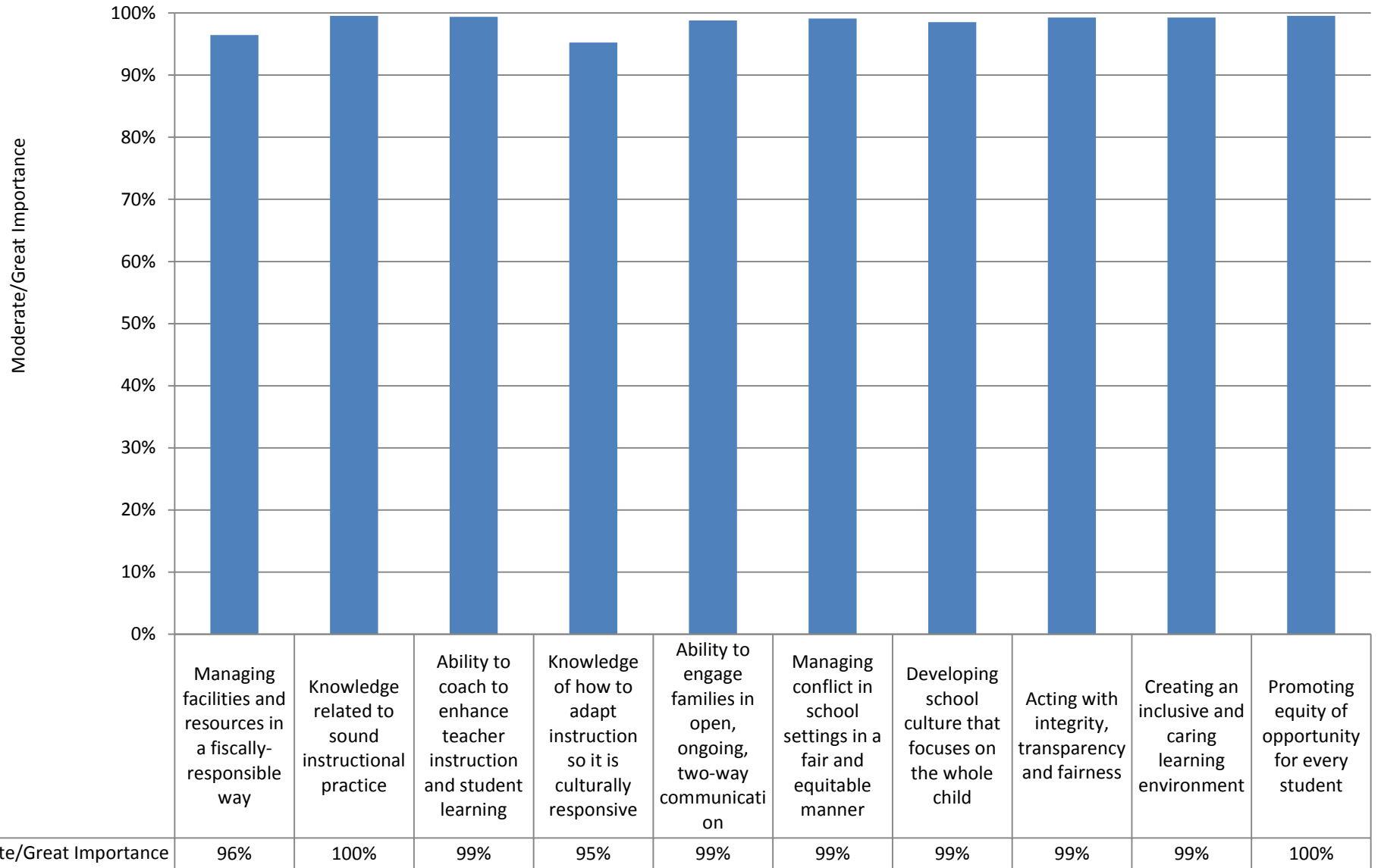
Display of responses from an online survey conducted in NYS from Oct. 11 – Nov. 2, 2016. Respondents included local school board members, P12 educators, and deans and faculty members in schools of education at institutions of higher education. A total of 676 responded to the survey.

Question 9: How important are the following to leader preparation programs (n=676)?



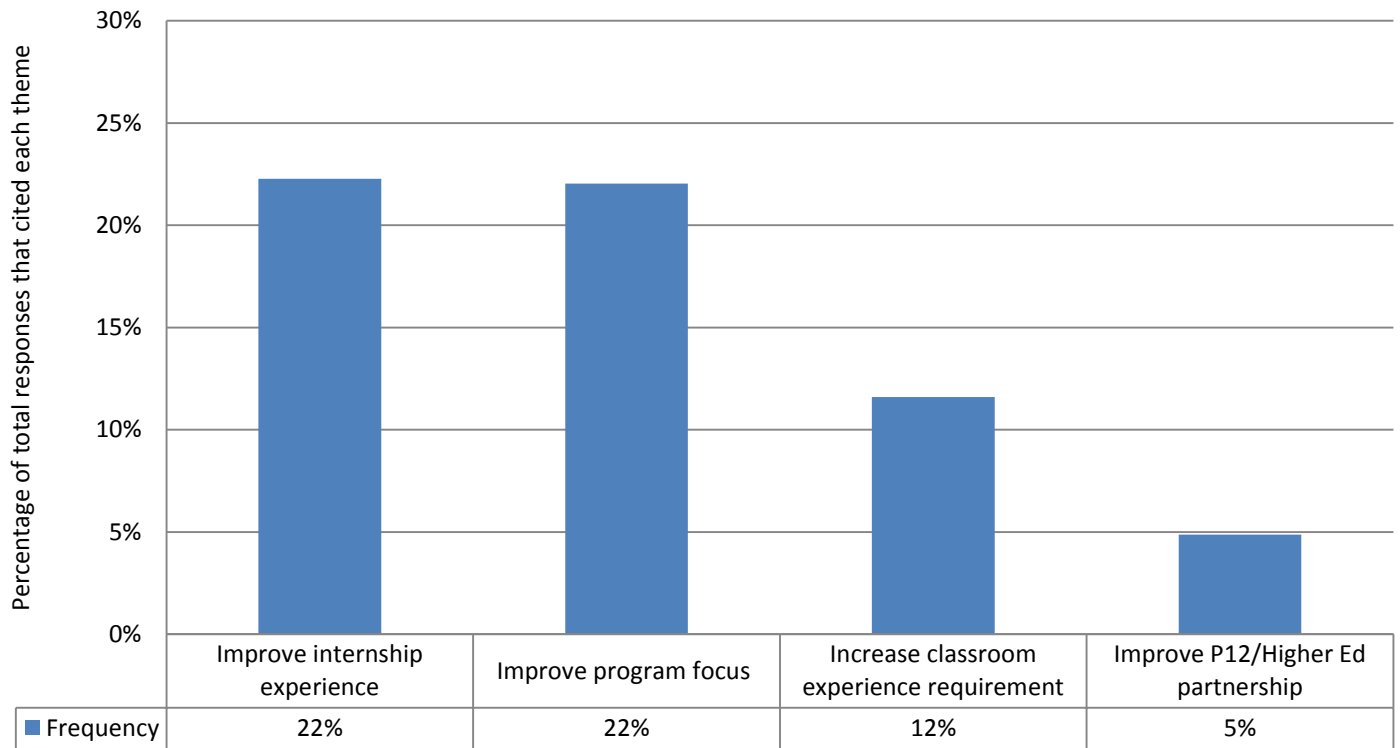
Display of responses from an online survey conducted in NYS from Oct. 11 – Nov. 2, 2016. Respondents included local school board members, P12 educators, and deans and faculty members in schools of education at institutions of higher education. A total of 676 responded to the survey.

Question 10: How important are the following to leader preparation programs (n=676):



Display of responses from an online survey conducted in NYS from Oct. 11 – Nov. 2, 2016. Respondents included local school board members, P12 educators, and deans and faculty members in schools of education at institutions of higher education. A total of 676 responded to the survey.

Question 11: To improve the quality of school leader development programs in NYS, what one change would make the greatest difference (n=431)?



Display of responses from an online survey conducted in NYS from Oct. 11 – Nov. 2, 2016. Respondents included local school board members, P12 educators, and deans and faculty members in schools of education at institutions of higher education. While a total of 676 responded to the survey, 431 responded to this final open-ended question.

Note. In this context, themes that are cited here mean the following (i.e., citations exemplify respondents remarks).

Improve internship experience

- “High-quality internship experiences [are needed].”
- “Full-year or two half-year internships [are needed].”
- “A quality internship is the key to success. It is essential for it to be done in collaboration with most skilled principals.”

Improve program focus

- “Ensure programs are connected with the realities of the Principal-ship.”
- “[What is needed is] standards-driven, research-based practice [and] application of skills with University feedback.”
- “[Future leaders need] to learn to balance management of minute-to-minute issues with executing the bigger vision.”

Increase classroom experience requirement

- “[Aspiring principals] need at least 6 years of classroom experience.”
- “Must have more years in the classroom than now required.”
- “Require candidates to teach for at least 5-7 years [and] requiring a broader background.”

Improve P12/Higher Ed partnership

- “Partner with a local public school district for supervised internships, mentoring, and PD [professional development].”
- “A strong partnership [is needed] with a school district to provide candidates with a quality internship.”
- “Higher ed & districts should engage more in dialogue about appropriate internship tasks and leadership in general.”

APPENDIX N: Summary of Themes Emerging from 21 Focus Groups Conducted August 15-29, 2016

What is the problem we are trying to solve?

1. Many are certified, but few are ready to step into the job of school building leader and be successful starting day one.
2. Changing laws, technology, and demographics have created new demands on leaders and programs to prepare them.
3. It is widely perceived that programs to prepare leaders have not done all they can to keep pace with these changes.
4. Program requirements are out of step with the most current national standard for educational leaders (CCSSO, 2015).
5. The lack of sound data makes it difficult to gauge the effectiveness of programs to prepare building leaders.

What does it mean to be “ready to successfully step into the job of a school building leader”?

1. When a well-prepared school building leader steps into the position, the school improves.
2. A well-prepared building leader has the knowledge, skill, and desire to coach teachers so they improve instructionally.
3. Well-prepared school building leaders unify people around a vision (and ego doesn’t get in the way).
4. Well-prepared leaders have the emotional intelligence and skill to deal with conflict among parents, students, and staff.
5. Well-prepared building leaders skillfully engage with culturally- and/or linguistically-diverse students, staff, and parents.

What did participants say are the root causes of the problem we are trying to solve?

1. The quality of the field-based internship is variable; sometimes it is good and sometimes it is not.
2. Regulations to govern certification are complicated or conflicting and are sometimes unenforced or unenforceable.
3. There is not enough healthy reflection and discussion about the quality of programs to prepare school building leaders.
4. The current system to prepare school building leaders lacks enough “off ramps” (opportunities for candidates to exit).

Steps that might lead to improvement

1. Create a system that better emphasizes capacity-building.
2. Consider ways to better capitalize on a competency-based system (that is, project-based as opposed to an exam-based).
3. Flip the script; from the outset pair internship and coursework so people get a chance to see what the job is really like.
4. Couple full-time paid internships with mentorships and proper incentives so “real mentoring” consistently occurs.
5. Add earlier “off ramps” so school building leader candidates can determine whether they are cut out for this work.
6. Be more-selective with respect to admissions into programs to prepare school building leaders.
7. Base program and certification requirements on the current professional standards for educational leaders (CCSSO 2015).

Consensus themes that emerged from the focus groups

1. Strengthen the relationship between higher ed and school districts so they are more than “partnerships in name alone.”
2. A year-long, full-time (paid) internship would go a long way toward providing the real-life experience that is needed.
3. Quality mentoring (during and following the program) would help candidates learn to apply knowledge and skill.
4. Many who are admitted to the program have no plan or desire to become principals.
5. The state role should be quality control (which candidates should be certified and which prep programs should exist).

Questions of secondary interest (they came up during focus groups but not with the same frequency as consensus themes)

1. Why is diversity not a bigger topic of consideration given the changing demographics and English language learning?
2. How can organizations and people act not out of fear due to compliance but out of a commitment to “the right stuff?”
3. Are adjustments needed for some who seek/earn initial SBL (deans, athletic directors, etc.) but don’t supervise staff?
4. What consideration might be given to those seeking to become SpEd directors, Assistant principals, Athletic dir, etc.?

**APPENDIX O: Graph of Changes in the Composition of non-White Students, Teachers, and Principals
Demographic Change in the Population of Student and Educators
The Racial/Ethnic Mismatch involving Students and Principals in New York State**

The following shows changes from 2003-2004 to 2011-2012 in the demographic makeup of students and staff in NYS. Source: For all data, the source is the U.S. Department of Education, National Center for Education Statistics, Schools and Staffing Survey (SASS), “Public School Principal Data File”, 2011-2012.

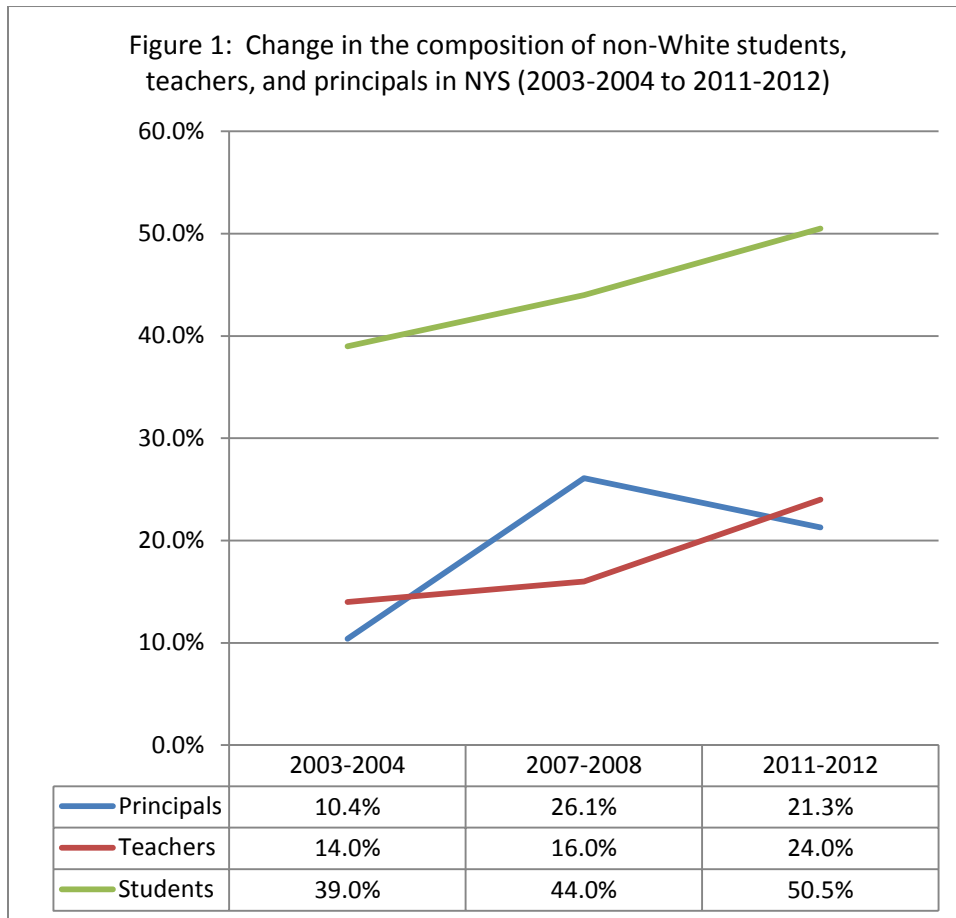


Figure 1 illustrates that the share of non-White students in New York State has inched up in an eight-year period. Whereas in 2003-2004, non-White students comprised slightly more than a third of all enrolled students in NYS, by 2011-2012, non-White students constituted more than half of the K12 enrollment in the State (39.0 percent to 50.5 percent respectively).

Over the same period, the share of non-White teachers increased from 14 to 24 percent; however, by 2011-2012, non-White teachers still constituted a fraction (less than a fourth) of all those in the NYS teaching ranks.

Simultaneously, during the period from 2003-2004 to 2011-2012, the share of non-White principals increased from 10.4 to 21.3 percent. However, by 2011-2012, only about one in five school building leaders in NYS were non-White.

Most importantly, in the most-recent four-year period for which data are available (from 2007-2008 to 2011-2012), the share of non-White students increased in NYS to 50.5 percent, even as the share of non-White principals declined from 26.1 percent to 21.3 percent. Thus, over the last four year period for which data are available, as the student population in NYS grew increasingly non-White, the population of school building leaders in NYS became increasingly White.

APPENDIX P: Graphs comparing change over time in the test-taking population and SBL exam rates by race and ethnicity

Figures illustrate differences by race and ethnicity with respect to number of candidates taking School Building Leader exams in NYS. Figures compare test-taking numbers and corresponding pass rates by race and ethnicity. They compare estimates of test-taker numbers and their respective pass rates for the modern period (2014 to the present) and the earlier period (prior to 2014).

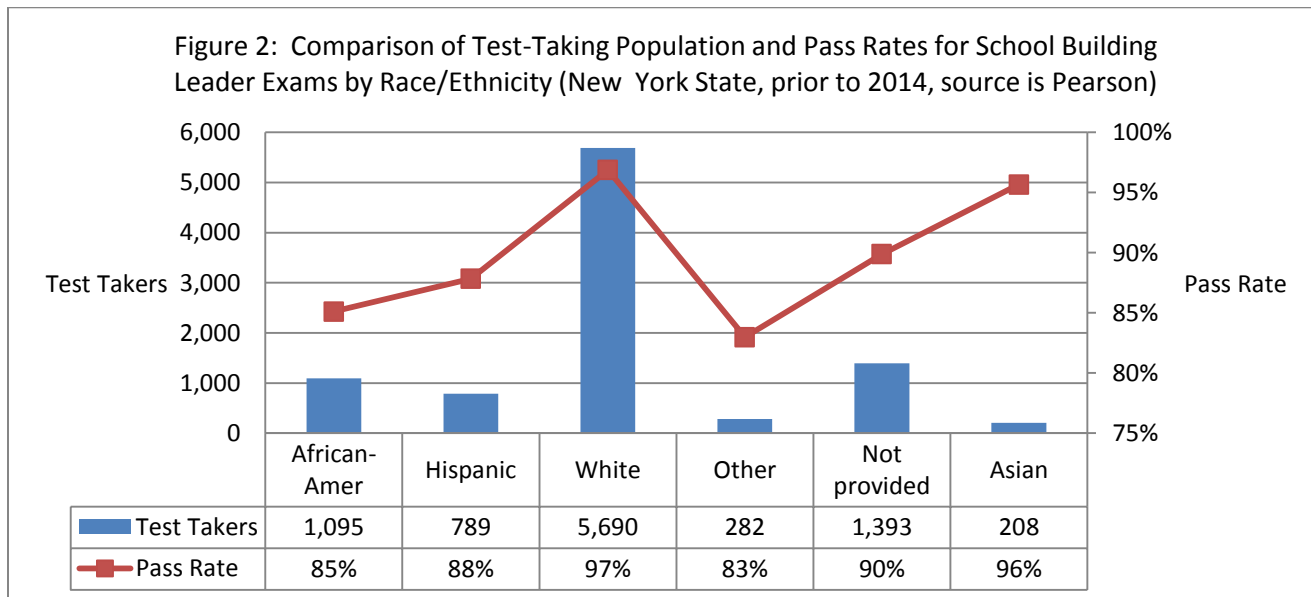
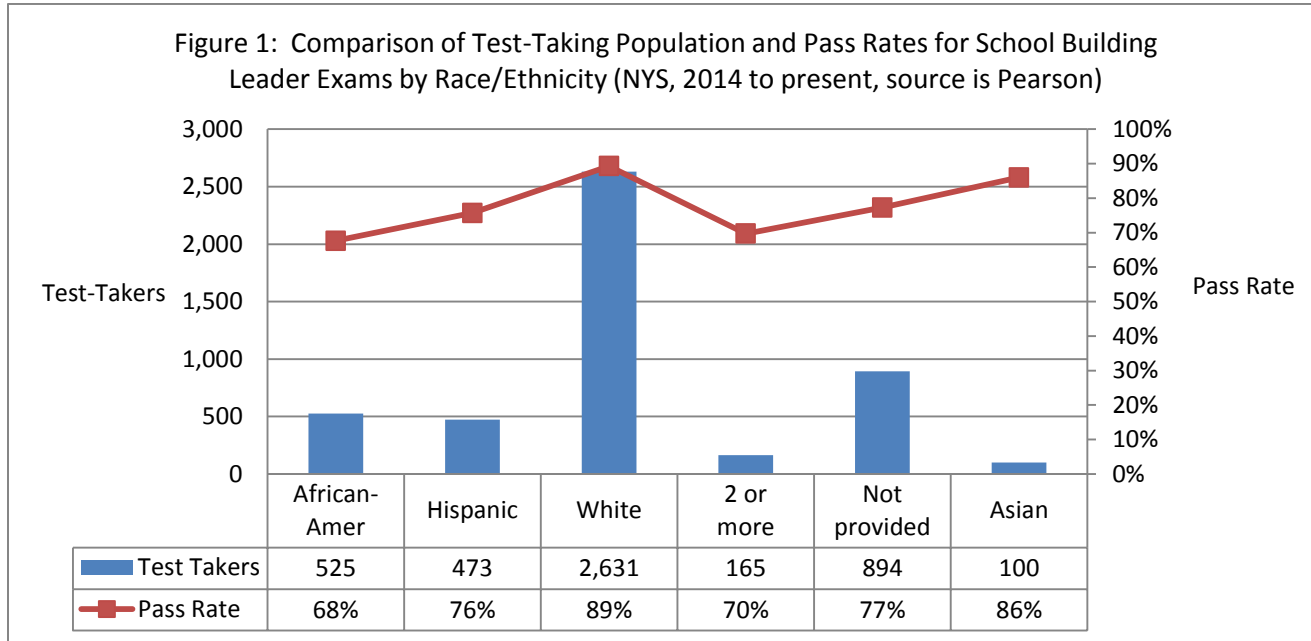


Figure 3: Comparison of Pass Rates for a previous version of SBL exams to the current version of SBL exams by race/ethnicity (source: Pearson)

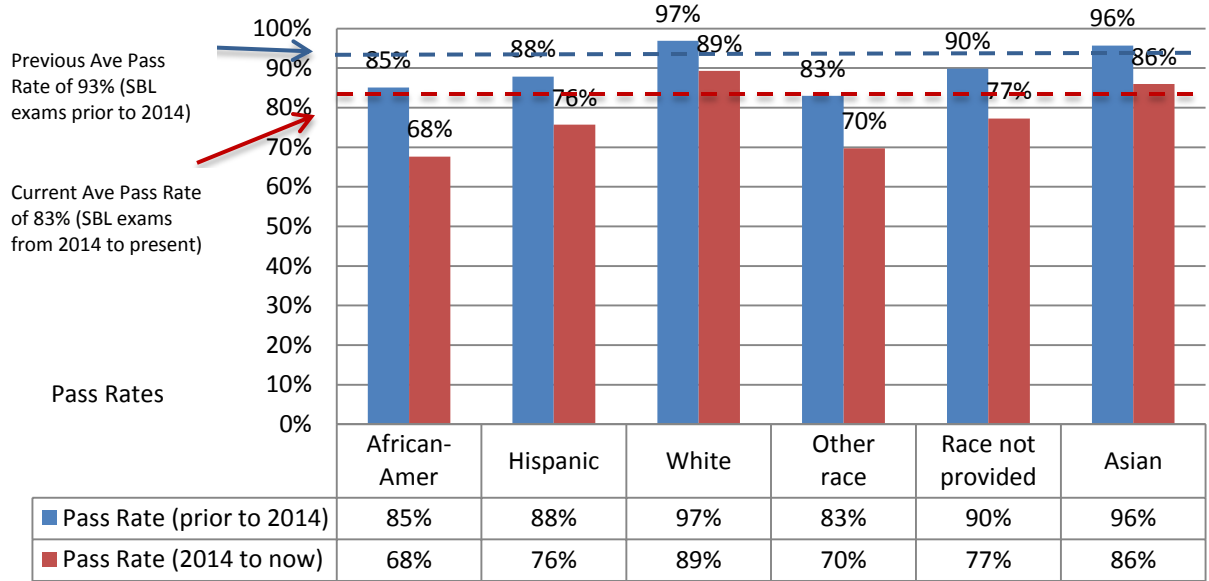
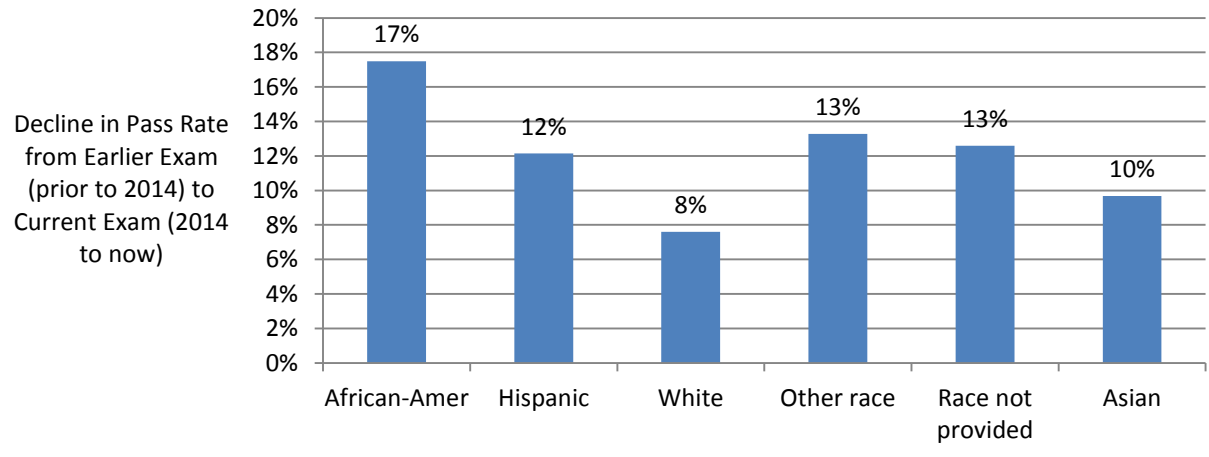


Figure 4: Summary of Pass Rate Decline Over Time for SBL Exams by Race/Ethnicity (source: Pearson)



APPENDIX Q: Schedule of 22 Focus Group Meetings occurring March 3 to April 10, 2017

Participants included mix of teachers, parents, local school board members (or Community Education Councils in the case of NYC), principals (or those holding or pursuing School Building Leader certification), superintendents or district superintendents, and deans of schools of education (or their faculty designees)

<i>Region</i>	<i>Meeting</i>	<i>Date</i>	<i>Location</i>	<i>Address</i>	<i>Meeting Host</i>	<i>Room</i>	<i>Time</i>
Central ^A	1	Fri., Mar. 3	Rochester	30 North Union Street	NYSUT Rochester Office	Sampson Room	10:00 am - Noon
Long Island ^B	2	Wed., Mar. 8	Patchogue	201 Sunrise Highway	Jim Hines Admin Center	Conference Rm	8:30 – 10:30 am
	3	Wed., Mar. 8	Patchogue	201 Sunrise Highway	Jim Hines Admin Center	Conference Rm	11:30 – 1:30 pm
	4	Wed., Mar. 8	Garden City	71 Clinton Rd.	Nassau County BOCES	Board Room	3:30 – 5:30 pm
	5	Thurs., Mar. 9	Garden City	71 Clinton Rd.	Nassau County BOCES	Board Room	8:00 – 10:00 am
New York City ^C	6	Thurs., Mar. 9	Manhattan	205 E 42 St btw 2 nd & 3 rd	CUNY	8 th fl – Rm 818	Noon – 2:00 pm
	7	Thurs., Mar. 9	Manhattan	40 Rector St. #1200	CSA Offices	12 th fl, Board Rm	3:00 -5:00 pm
	8	Fri., Mar. 10	Long Island City	2 Court Square	NYCDOE	3/302, CUNY Law	10:00 am - Noon
	9	Fri., Mar. 10	Brooklyn	335 Adams St.	UFT Offices	25 th fl, Room D	3:00 – 5:00 pm
Capital District ^D	10	Thurs., Mar. 16	Albany	89 Washington Ave.	NYSED	Medical Library	10:00 am – Noon
	11	Thurs., Mar. 16	Albany	89 Washington Ave.	NYSED	Medical Library	3:00 – 5:00 pm
Southern Tier ^E	12	Mon., Mar. 20	Binghamton	435 Glenwood Rd.	Broome-Tioga BOCES	Conference Rm C	10:00 am - Noon
	13	Mon., Mar. 20	Binghamton	435 Glenwood Rd.	Broome-Tioga BOCES	Conference Rm C	3:00 – 5:00 pm
Central	14	Tue., Mar. 21	Cortland	131 Port Watson Ave.	SUNY Cortland	Mini-Conf Center	10:00 am - Noon
Western ^F	15	Fri., Mar. 24	Buffalo	Putnam Way, N. Campus	University of Buffalo,	479 Baldy Hall	10:00 am - Noon
	16	Fri., Mar. 24	Buffalo	Putnam Way, N. Campus	University of Buffalo	479 Baldy Hall	3:00 – 5:00 pm
New York City	17	Fri., Mar. 31	Bronx	1230 Zerega Ave	District Offices	Room 76	10:00 am – Noon
	18	Fri., Mar. 31	Bronx	1230 Zerega Ave	District Offices	Room 76	3:00 – 5:00 pm
North Country ^G	19	Thurs., Apr. 6	Queensbury	640 Bay Rd.	SUNY Adirondack	Admin Board Rm	Noon – 2:00 pm
	20	Thurs., Apr. 6	Queensbury	640 Bay Rd.	SUNY Adirondack	Admin Board Rm	3:00 – 5:00 pm
Downstate ^H	21	Mon., Apr. 10	Yonkers	361 Tuckahoe Road	Roosevelt High School	School Library	10:00 am - Noon
	22	Mon., Apr. 10	Yonkers	361 Tuckahoe Road	Roosevelt High School	School Library	3:00 – 5:00 pm

^A “Central” refers to Rochester, Syracuse, Cortland, Utica, Ithaca, Elmira, and the surrounding area.

^B “Long Island” refers to Suffolk and Nassau counties.

^C “New York City” refers to the five boroughs (Manhattan, Bronx, Brooklyn, Staten Island, and Queens).

^D “Capital District” refers to Albany, Saratoga, Latham, Schenectady, Troy, and the surrounding area.

^E “Southern Tier” refers to Binghamton, Fredonia, Owego, Bath, and the surrounding area.

^F “Western” refers to Buffalo, Erie, Niagara, and the surrounding area.

^G “North Country” refers to Plattsburg, Potsdam, Watertown, Adirondacks, and the surrounding area.

^H “Downstate” refers to Poughkeepsie, Yonkers, Westchester, Kingston, and the surrounding area.

APPENDIX R: HIGH CONCEPT IDEA SUBMITTED TO ESSA THINK TANK ON BEHALF OF PRINCIPAL PREPARATION
PROJECT New York State Education Department
Every Student Succeeds Act (ESSA)
"High Concept Idea" for Subgroup Working on "Supporting Excellent Teaching and Leading"

Topic: State Support for the Development of School Building Leadership (SBL)

High Concept Idea:

Provide better professional learning and support for current school building leaders and aspiring principals:

- a. Organize certification around the 2015 *Professional Standards for Educational Leaders (PSEL)*.
- b. Strengthen university-based SBL programs by closely linking the 2015 *PSEL* with extended school-based internship.
- c. Provide enhanced support for quality mentoring of sitting principals (up to and through their first full year on the job).
- d. Create pathways, options, and/or opportunities leading to full-time, year-long, school-based internships for aspiring principals.
- e. Adapt preparation to account for varied setting (rural vs urban), level (elementary vs secondary), age (early childhood), school type (Title I vs non-Title I), student need (those with disabilities, English learners, gifted & talented), or school focus (STEM, Career Tech).
- f. Add a competency-based expectation to initial certification. This calls upon aspiring school building leaders to take what they learn in a university-based SBL program and apply it successfully in an authentic school-based setting to improve staff functioning, student learning, or school performance. Before a university attests that an aspiring school building leader who has completed its SBL program is "certification ready", the Superintendent or mentor that is sponsoring the aspiring leader's internship must also attest that the candidate demonstrated readiness for certification by successfully completing a set of projects that demonstrate competency with respect to the state-adopted certification standards.

Additional Information about the High Concept Idea:

Presently, to earn SBL certification in NYS candidates must have:

- a. A statement from an SBL program attesting that the candidate completed a program that included an internship
- b. A satisfactory score on the state-approved SBL exam that is externally administered by Pearson
- c. Three years of teaching experience (or three years in pupil personnel services)

Most importantly, what is absent from this is any formal expectation that aspiring principals take what they learn in an SBL program and apply it successfully in an authentic setting to improve staff functioning, student learning, or school performance. Under this proposal, before a university attests that a student who completed its SBL program is "certification-ready," individuals from the District that is sponsoring the internship sign off saying that the aspiring school building leader demonstrated the desired competencies by successfully completing a set of projects that demonstrate accomplishment of the 2015 standards. These "standards" refer to the *Professional Standards for Educational Leaders*. By making the judgment about when a candidate is ready for certification a joint responsibility of the institution of higher education and the Internship sponsors (District superintendent and/or highly-skilled and successful administrator who serves as mentor) the internship becomes a responsibility that is truly shared.

Rational for High Concept Idea:

The importance of competency-based demonstrations of knowledge and skill is growing given requirements for the accreditation of institutions of higher education that are outlined by the Council for the Accreditation of Educator Preparation (CAEP). Standard 4 within CAEP emphasizes that institutions of higher education must provide outcome-based evidence showing that program graduates provide leadership that contributes to the improvement of students, staff, and schools.

This proposal improves support for principal preparation in various ways. It organizes certification expectations so they more-closely align with the most current national standards for leaders. It also provides a way to more-fully utilize the expertise of New York-based individuals with nationally-recognized expertise in the field of school leader preparation. And by including opportunities for aspiring principals to demonstrate knowledge/skill in authentic settings, it stresses the importance of enacted competencies.

APPENDIX S: Day-by-Day Schedule of 21 Focus Group Meetings (August, 2016)

Monday, August 15, 2016

Meeting #1: New York City

Focus Group Participants: Deans of Schools of Ed at CUNY Institutions of Higher Education (or their designees)

Time 9:00 am – 11:00 am

CUNY Offices

205 East 42nd Street (between 2nd and 3rd Avenues near Citibank, 9th floor, room CR 0963)

Manhattan

Meeting #2: Long Island

Focus Group Participants: Deans of Schools of Education at Institutions of Higher Education (or their designees)

Time 2:00 pm – 4:00 pm

Adelphi University, Agnello Alumni House (across the street from main campus)

154 Cambridge Avenue

Garden City, NY 11530

Tuesday, August 16, 2016

Meeting #3: New York City

Focus Group Participants: School Building Leader Certified Staff, e.g., principals, program leaders, etc.

Time 9:00 am – 11:00 am

Council of School Supervisors and Administrators Office, 12 floor (Board conference room)

40 Rector Street

New York, NY

Meeting #4: Long Island

Focus Group Participants: School Building Leader Certified Staff, e.g., principals, program leaders, etc.

Time 2:00 pm – 4:00 pm

Nassau BOCES, George Farber Administrative Center, Small Conference Room 1D

71 Clinton Road

Garden City, NY 11530

Meeting #5: Long Island

Focus Group Participants: School Board Members

Time 6:30 pm – 8:30 pm

Nassau BOCES

George Farber Administrative Center, Small Conference Room 1D

71 Clinton Road

Garden City, NY 11530

Wednesday, August 17, 2016

Meeting #6: Long Island

Focus Group Participants: Superintendents and/or District Superintendents

Time 9:00 am – 11:00 am

Campbell Lounge, Center for Recreation and Fitness

Adelphi University

1 South Avenue

Garden City, NY 11530

Wednesday, August 17, 2016 (continued)

Meeting #7: New York City

Focus Group Participants: Superintendents and/or District Superintendents from NYC

Time 1:00 pm – 3:00 pm

Tweed Courthouse, 52 Chambers Street

Manhattan

Meeting #8: New York City

Focus Group Participants: Deans of Schools of Ed at clcu Institutions of Higher Education (or their designees)

Time 4:00 pm – 6:00 pm

Pace University

163 William Street, 11th floor conference room

New York City, NY 10038

Thursday, August 18, 2016

Meeting #9: Albany Area

Focus Group Participants: Superintendents and/or District Superintendents

Time 10:00 am – noon

Capital Region BOCES (CVES rooms)

900 Watervliet-Shaker Road

Albany, NY 12205

Meeting #10: Albany Area

Focus Group Participants: School Building Leader Certified Staff, e.g., principals, program leaders, etc.

Time 2:00 pm – 4:00 pm

SAANYS Office, Large Conference Room

8 Airport Park Boulevard

Latham, NY

Meeting #11: Albany Area

Focus Group Participants: School Board Members

Time 6:30 pm – 8:30 pm

NYSSBA Office

24 Century Hill Drive, Suite 200

Latham, NY 12110

Friday, August 19, 2016

Meeting #12: New York City

Focus Group Participants: Teachers (NYSUT members)

Time 10:00 am – noon

UFT Brooklyn Office

335 Adams Street, 25th floor

Brooklyn, NY

Meeting #13: Long Island

Focus Group Participants: Teachers (NYSUT members)

Time 2:00 pm – 4:00 pm

NYSUT Regional Office

1000 Woodbury Road, Suite 214

Woodbury, NY 11797

Monday, August 22, 2016

Meeting #14: Rochester Area

Focus Group Participants: School Building Leader Certified Staff, e.g., principals, program leaders, etc.

Time 2:00 pm – 4:00 pm

Rush-Henrietta CSD, Transportation Department, Small Conference Room

1133 Lehigh Station Road

Henrietta, NY 14467

Meeting #15: Rochester Area

Focus Group Participants: School Board Members

Time 6:30 pm – 8:30 pm

Rush-Henrietta CSD, Transportation Department, Small Conference Room

1133 Lehigh Station Road

Henrietta, NY 14467

Tuesday, August 23, 2016

Meeting #16: Rochester Area

Focus Group Participants: Superintendents and/or District Superintendents

Time 10:00 am – noon

Monroe 1 BOCES, Board of Education Room on the Foreman Center Campus

41 O'Conner Road

Fairport, NY 14450

Meeting #17: Binghamton

Focus Group Participants: School Board Members

Time 6:30 pm – 8:30 pm

Broome-Tioga BOCES, Conference Room A (Instructional Support Center)

435 Glenwood Road

Binghamton, NY 13905

Wednesday, August 24, 2016

Meeting #18: Rochester

Focus Group Participants: Teachers (NYSUT members)

Time 1:00 pm – 3:00 pm

NYSUT Rochester Office

30 North Union Street

Rochester, NY

Thursday, August 25, 2016

Meeting #19: Albany

Focus Group Participants: Deans of Schools of Education at Institutions of Higher Education (or their designees)

Time 1:00 pm – 3:00 pm

College of St. Rose

Lally School of Education Building, Lally Room 134

1009 Madison Avenue

Albany, NY 12203

Friday, August 26, 2016

Meeting #20: Albany Area

Focus Group Participants: Teachers (NYSUT members)

Time: 10:00 am – noon

NYSUT Headquarters

800 Troy-Schenectady Road

Latham, NY 12110

Monday, August 29, 2016

Meeting #21: Buffalo

Focus Group Participants: Deans of Schools of Education at Institutions of Higher Education (or their designees)

Time 3:30 pm – 5:00 pm

381 Baldy Hall

North Campus

University of Buffalo

Buffalo, NY 14260

Metropolitan Council of Educational Administration Programs

May 20, 2016

Dr. Betty Rosa, Chancellor
New York State Board of Regents
89 Washington Avenue
Albany, New York 12234

RECEIVED

JUN 20 2016

Dr. MaryAnn Elia
NYS Education Commissioner
89 Washington Avenue
Albany, New York 12234

COMMISSIONER
OF EDUCATION

Dear Dr. Betty Rosa:

Dr. MaryAnn Elia,

We are writing to provide a policy recommendation on behalf of the Metropolitan Council of Educational Administration Programs (MCEAP) and the Collegiate Association of Departments of Educational Administration (CADEA). MCEAP is an association of 20-30 public and private leadership preparation programs in the greater New York City area and CADEA is an association of all 50+ leadership preparation programs statewide.

We propose that New York State adopt the 2015 Professional Standards for Educational Leaders as the state's educational leadership standards, replacing the state's adoption of the 2008 ISLLC standards, which are an earlier version. The new professional standards were developed to "refresh" the 2008 ISLLC standards. They were formally adopted by the national Policy Board in November 2015, following almost two years of research, review and analysis of the changing role of principals and aspirational expectations for effective leaders. These new standards draw broadly from the professions and higher education.

In 2010, New York State adopted the 2008 ISLLC standards as the state's leadership standards and since then has used these to foster policy coherence in principal preparation, licensure, professional development and evaluation

(<http://www.regents.nysed.gov/meetings/2010Meetings/February2010/0210hed1.htm>;

<http://www.highered.nysed.gov/tcert/resteachers/memos/memo111710.html>;

file:///C:/Users/mterr_000/Downloads/appr-guidance-3012-d.pdf (see p. 18);

<http://www.highered.nysed.gov/tcert/resteachers/tlqp/tlqpleadershiprfp2015.pdf>).

Specifically, New York State used the 2008 ISLLC standards as:

- A recommended framework for preparation program content
- A required alignment for program accreditation (because the state requires national accreditation which is aligned with the national leadership standards)
- A basis for the NYS school building leader and school district leader assessments for licensure
- A required alignment for principal evaluation

Metropolitan Council of Educational Administration Programs

- A required framework for state leadership development funding, such as Teacher Leader Quality Program (TLQP) funding.

There are several reasons that NY state should now replace the 2008 standards in all these purposes with the new 2015 standards. First is their alignment with NYS policies and priorities:

- the new standards are more closely aligned with the state's educational reform priorities, with separate standards on leadership for curriculum, instruction, and assessment, developing the professional capacity and practice of school personnel and fostering a professional community for teachers and staff.
- The new standards reflect more clearly Regents' priority for equity, cultural responsiveness, school improvement and cultivating an inclusive, caring, and supportive school community.

Second, their alignment with national professional standards will facilitate access and use of any new tools and resources for principal preparation, program accreditation, and principal evaluation which are currently being developed.

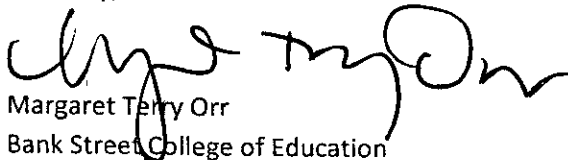
Finally, by adopting their use for all core leadership policies, the state will continue its policy coherence, which reinforces the benefits in their use in providing direction and assessment criteria for school leaders.

We recommend that the Regents and Department take action to:

- Adopt the 2015 Professional Standards for Educational Leaders
- Use these to replace the use of the 2008 ISLLC standards for:
 - preparation program requirements and accreditation
 - SBL/SDL frameworks
 - Principal evaluation observations under the APPR
 - State funding for educational leadership development

MCEAP members voted unanimously to support these actions and offer to work with the Regents and Department on the standards' adoption and use.

Sincerely,



Margaret Terry Orr
Bank Street College of Education
Faculty, and
President, Metropolitan Council
For Educational Administration
Programs (MCEAP)(NYC metro area)



Rose Rudnitski, SUNY-New Paltz.
Professor Emeritus and
President, Collegiate Association of
Departments of Educational
Administration (CADEA) (statewide)

APPENDIX U: Letter apprising NYS Board of Regents about March-April 2017 focus groups



THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, NY 12234

Deputy Commissioner
Office of Higher Education

February 23, 2017

To: The Honorable the Members of the Board of Regents

From: John L. D'Agati 

Subject: Principal Project Advisory Team – Focus Group Meetings

The Department is planning a second round of focus group meetings to support the work of the Principal Preparation Project that is underway at the New York State Education Department. From March 3 to March 24, 2017, we will conduct 20 focus group meetings. These focus groups will have a cross section of stakeholder representatives from P-12 and Higher Education in order to facilitate a robust discussion focused on principal preparation. Focus group feedback will inform the recommendations that members of the Principal Project Advisory Team are developing. Once work is completed on May 31, 2017, the Team will submit recommendations to you and the Commissioner for consideration and possible action.

Locations and dates are listed below.

<i>Region</i>	<i>Date Time</i>	<i>Location</i>	<i>Address</i>	<i>Meeting Host</i>	<i>Room</i>
Central	Fri., Mar. 3 10:00 am - Noon	Rochester	30 North Union Street	NYSUT Rochester Office	Sampson Room
Long Island	Wed., Mar. 8 8:30 – 10:30 am	Patchogue	201 Sunrise Highway	Jim Hines Admin Center	Conference Rm
	Wed., Mar. 8 11:30 – 1:30 pm	Patchogue	201 Sunrise Highway	Jim Hines Admin Center	Conference Rm
	Wed., Mar. 8 3:30 – 5:30 pm	Garden City	71 Clinton Rd.	Nassau County BOCES	Board Room
	Thurs., Mar. 9 8:00 – 10:00 am	Garden City	71 Clinton Rd.	Nassau County BOCES	Board Room
New York City	Thurs., Mar. 9 Noon – 2:00 pm	Manhattan	205 E 42 St btw 2 nd & 3 rd	CUNY	8 th fl – Rm 818
	Thurs., Mar. 9 3:00 -5:00 pm	Manhattan	40 Rector St. #1200	CSA	12 th fl Board Rm
	Fri., Mar. 10 10:00 am - Noon	Long Island City	2 Court Square	NYCDOE	3/302, CUNY Law
	Fri., Mar. 10 3:00 – 5:00 pm	Brooklyn	335 Adams St.	UFT	TBD
Downstate	Tues., Mar. 14 10:00 am - Noon	Yonkers	1 Larkin Center	Yonkers District	TBD
	Tues., Mar. 14 3:00 – 5:00 pm	Yonkers	1 Larkin Center	Yonkers District	TBD

North Country	Wed., Mar. 15	Queensbury	640 Bay Rd.	SUNY Adirondack	Admin Board Rm
	12:30 – 2:30 pm				
	Wed., Mar. 15	Queensbury	640 Bay Rd.	SUNY Adirondack	Admin Board Rm
	3:00 – 5:00 pm				
Capital District	Thurs., Mar. 16	Albany	89 Washington Ave.	NYSED	Medical Library
	10:00 am – Noon				
	Thurs., Mar. 16	Albany	89 Washington Ave.	NYSED	Medical Library
	3:00 – 5:00 pm				
Southern Tier	Mon., Mar. 20	Binghamton	435 Glenwood Rd.	Broome-Tioga BOCES	Conference Rm C
	10:00 am - Noon				
	Mon., Mar. 20	Binghamton	435 Glenwood Rd.	Broome-Tioga BOCES	Conference Rm C
	3:00 – 5:00 pm				
Central	Tues., Mar. 21	Cortland	131 Watson Ave.	SUNY Cortland	Mini-Conf Center
	10:00 am - Noon				
Western	Fri., Mar. 24	Buffalo	North Campus	University of Buffalo	479 Baldy Hall
	10:00 am - Noon				
	Fri., Mar. 24	Buffalo	North Campus	University of Buffalo	479 Baldy Hall
	3:00 – 5:00 pm				

While participation is voluntary, our goal is that each focus group meeting includes 24 individuals. That includes four from each of the following groups: teachers, parents, local school board members (or Community Education Councils in the case of NYC), principals, superintendents (that includes local school superintendents and District Superintendents), and deans of schools of education at institutions of higher education (or their designees).

APPENDIX V: Context for a Discussion of Competency-Based Approaches to Initial SBL Certification

Context for the Conversation

1. For the purpose of this discussion, the term “competency-based assessment” means
 - a. Applying knowledge and skill in authentic settings to improve staff, student, or school performance
2. The Commissioner invited the Advisory Team to formulate recommendations that can improve SBL preparation
3. A Regent observed, “Proper standards are important, but enacted competencies matter more.” (Sept. 12, 2016)
4. Through interviews, focus groups, and surveys that have focused on principal preparation, stakeholders report
 - a. Many are certified, but few are ready
 - b. University preparation provides a vital foundation, yet learning is cemented if applied in an authentic setting
 - c. Well-structured internships offer candidates a way to lead improvement efforts under authentic conditions
5. NYS does not require it but internship law allows leadership experiences to occur in a competency-based format
6. In past practice, NYS took a competency-based approach to certification via Board of Examiners
7. A neighboring state (Massachusetts) provides precedent for a competency-based approach to initial certification
8. Expertise in developing competency-based assessment exists within NYS universities

NYS Law Concerning Internship – see 8 CRR-NY 52.21 (c)(II)(v)(a, b, and c)

Leadership experiences

- (a) Programs shall require candidates to successfully complete leadership experiences that shall:
- 1) Include leadership experiences in districts serving students at different developmental levels and with a variety of characteristics and socioeconomic backgrounds;
 - 2) Be carefully selected and planned by program faculty in collaboration with school district leaders, with learning outcomes specified that are connected to program competencies and with the achievement of those outcomes regularly evaluated by program faculty; and
 - 3) Be supervised by certified school district leaders and by program faculty who have preparation and expertise in supervision related to school building leadership.
- (b) The leadership experiences specified in clause (a) of this subparagraph shall occur throughout the program of study. In addition, they shall culminate in a full-time experience of at least 15 weeks that is structured to provide leadership responsibilities of increasing breadth and depth.
- (c) **Alternatively, the leadership experiences specified in clause (a) may occur in a competency-based format** different from that prescribed in clause (b) of this subparagraph, **provided that the program demonstrates that such format is substantially equivalent** to the format prescribed in clause (b) of this subparagraph.

APPENDIX W: Chronology of Activity Related to the Principal Preparation Project

December 15, 2015	NYS Board of Regents accepts \$1.0M grant from Wallace Foundation to “find out how university preparation programs – working in partnership with high-needs school districts, exemplary preparation programs and the state – improve their training of future principals.”
April 25, 2016	Project Director and Project Assistant start work
April 26, 2016	Interviews of NYSED staff in Office of College and University Evaluation (Patty Oleaga and staff) and NYSED staff associated with the Strengthening Teacher and Leader Effectiveness (Rebecca Coyle)
April 27, 2016	Interviews of NYSED staff responsible for Basic Education Data system (Ellen Martin) and leadership of the NYSED Office of Teaching Initiatives (Ann Jasinski)
April 28, 2016	Interviews with NYSED staff responsible for Annual Professional Performance Appraisal (Alex Trikalinos)
April 29, 2016	Interviews with Rose LeRoy, NYSED staff responsible for Data Management and Information Reporting Services
May 10, 2016	Interview with District Superintendent Charles Dedrick (Capital Region BOCES) and Assistant Superintendent Lynne Wells
May 18, 2016	Interviews with NYSED staff responsible for Office for Post-Secondary Support (Richard Rose)
June 1, 2016	Interviews with Dean Robert Bangert-Drowns and Prof. Sandra Vergari (University of Albany)
June 10, 2016	Interview with Emily Sawyer (aspiring principal in Gloversville School District)
June 14, 2016	Interview with Dean Steve Danna and Leadership Program Coordinator Kerri Zappala-Piemme (SUNY Plattsburgh, Adirondack Campus at Queensbury)
June 15, 2016	Interview with District Superintendent Dr. Pat Michel (HFM BOCES)
June 20, 2016	Interviews with Tim Kremer (NYSSBA Executive Director) and Amy Irwin (GW Behavioral School in Troy)
June 23, 2016	Interviews with Jennifer Spring (Superintendent of Cohoes School District), Peggy O’Shea (Assistant Superintendent for Educational Services, Cohoes), and Mara Wager (Troy Middle School teacher)
June 24, 2016	Interview with Michelle Weaver (Middleburgh Central School District Superintendent) and Jennifer Wells (teacher, South Colonie School District)
June 27, 2016	Interview with Virginia Roach (Dean of the School of Education at Fordham University)

June 28, 2016	Interviews with James Ducharme (assistant principal, Schuylerville High School) and Suzann Cornell (Albany School District teacher)
July 12, 2016	Full-day visit to NYCDOE to observe <i>Leader in Education Apprentice Program (LEAP)</i> and interview Marina Cofield (Deputy Chief Academic Officer), Larry Woodbridge (Executive Director, NYCDOE Principal Preparation Program), and New York City Leadership Academy President and CEO Irma Zadoya
July 13, 2016	Presentation to Professional Standards and Practices Board (NYSED, 89 Washington Ave., Albany)
July 29, 2016	Full day visit to Denver Public Schools and interview with Mikel Royal, Director of Leadership Pathways
August 15, 2016	Fall Focus Group Meeting #1 (CUNY Offices, 205 E. 42 nd St., Manhattan) Fall Focus Group Meeting #2 (Adelphi University, 154 Cambridge Ave, Garden City, NY)
August 16, 2016	Fall Focus Group Meeting #3 (CSA Offices, 40 Rector St., Manhattan) Fall Focus Group Meeting #4 (Nassau BOCES, 71 Clinton Rd., Garden City, NY) Fall Focus Group Meeting #5 (Nassau BOCES, 71 Clinton Rd., Garden City, NY)
August 17, 2016	Fall Focus Group Meeting #6 (Adelphi University, 1 South Avenue, Garden City) Fall Focus Group Meeting #7 (Tweed Courthouse, 52 Chambers St., Manhattan) Fall Focus Group Meeting #8 (Pace University, 163 William St., Manhattan)
August 18, 2016	Fall Focus Group Meeting #9 (Capital Region BOCES, 900 Watervliet-shaker Rd., Albany) Fall Focus Group Meeting #10 (SAANYS Office, 8 Airport Rd., Latham) Fall Focus Group Meeting #11 (NYSSBA Office, 24 Century Hill Dr., Latham)
August 19, 2016	Fall Focus Group Meeting #12 (UFT Office, 335 Adams St., Brooklyn) Fall Focus Group Meeting #13 (NYSUT Regional Office, 1000 Woodbury Rd., Woodbury)
August 22, 2016	Fall Focus Group Meeting #14 (Rush-Henrietta CSD, 1133 Lehigh Station Rd., Henrietta) Fall Focus Group Meeting #15 (Rush-Henrietta CSD, 1133 Lehigh Station Rd., Henrietta)
August 23, 2016	Fall Focus Group Meeting #16 (Monroe 1 BOCES, 41 O'Conner Rd., Fairport) Fall Focus Group Meeting #17 (Broome-Tioga BOCES, 435 Glenwood Rd., Binghamton)
August 24, 2016	Fall Focus Group Meeting #18 (NYSUT Office, 30 North Union St., Rochester)
August 25, 2016	Fall Focus Group Meeting #19 (College of St. Rose, 1009 Madison Ave., Albany)
August 26, 2016	Fall Focus Group Meeting #20 (NYSUT Headquarters, 800 Troy-Schenectady Rd., Latham)
August 29, 2016	Fall Focus Group Meeting #21 (University of Buffalo, North Campus, 381 Baldy Hall, Buffalo)
September 12, 2016	Presentation to the NYS Board of Regents (NYSED, 89 Washington Ave., Albany)

September 16, 2017 Meeting with Bank Street College Professor Terry Orr (Manhattan)

September 22, 2016 Presentation to Professional Standards and Practices Board (NYSED, 89 Washington Ave., Albany)

September 22, 2016 First Meeting of the Principal Project Advisory Team (Room 5A-5B, NYSED, Albany)

October 19, 2016 Second Meeting of the Principal Project Advisory Team (Room 5A-5B, NYSED, Albany)

November 30, 2016 Third Meeting of the Principal Project Advisory Team (Room 5A-5B, NYSED, Albany)

December 12-13, 2016 Director Participates in University-Principal-Preparation-Initiative PLC gathering in NYC

January 17, 2017 Presentation to *Committee for Identifying and Developing Educational Leadership* (Buffalo)

January 19, 2017 Presentation to Professional Standards and Practices Board (NYSED, 89 Washington Ave., Albany)

January 25, 2017 Fourth Meeting of the Principal Project Advisory Team (Room 5A-5B, NYSED, Albany)

February 3, 2017 Director Participates in AASA-hosted Workshop on Leader Tracking Tools (Hartford, CT)

March 3, 2017 Spring Focus Group Meeting #1 (NYSUT Office, 30 North Union St., Rochester)

March 8, 2017 Spring Focus Group Meeting #2 (Jim Hines Administration Center, Patchogue)
Spring Focus Group Meeting #3 (Jim Hines Administration Center, Patchogue)
Spring Focus Group Meeting #4 (Nassau BOCES, 71 Clinton Rd., Garden City, NY)

March 9, 2017 Spring Focus Group Meeting #5 (Nassau BOCES, 71 Clinton Rd., Garden City, NY)
Spring Focus Group Meeting #6 (CUNY Office, 205 E. 42nd St., Manhattan)
Spring Focus Group Meeting #7 (CSA Office, 40 Rector St., Manhattan)

March 10, 2017 Spring Focus Group Meeting #8 (CUNY Law School, 2 Court Square, Long Island City)
Spring Focus Group Meeting #9 (UFT Office, 335 Adams St., Brooklyn)

March 16, 2017 Spring Focus Group Meeting #10 (NYSED, 89 Washington Ave., Albany)
Spring Focus Group Meeting #11 (NYSED, 89 Washington Ave., Albany)

March 20, 2017 Spring Focus Group Meeting #12 (Broome-Tioga BOCES, 435 Glenwood Rd., Binghamton)
Spring Focus Group Meeting #13 (Broome-Tioga BOCES, 435 Glenwood Rd., Binghamton)

March 21, 2017 Spring Focus Group Meeting #14 (SUNY Cortland, 131 Port Watson Ave., Cortland)

March 22, 2017 Fifth Meeting of the Principal Project Advisory Team (Room 5A-5B, NYSED, Albany)

March 24, 2017 Spring Focus Group Meeting #15 (University of Buffalo, North Campus, 479 Baldy Hall, Buffalo)
Spring Focus Group Meeting #16 (University of Buffalo, North Campus, 479 Baldy Hall, Buffalo)

March 25-27, 2017 Director participates in Wallace-hosted Professional Learning Community gathering, Manhattan

March 31, 2017 Spring Focus Group Meeting #17 (District Office, 1320 Zerega Ave., Bronx)
Spring Focus Group Meeting #18 (District Office, 1320 Zerega Ave., Bronx)

April 6, 2017 Spring Focus Group Meeting #19 (SUNY Adirondack, 640 Bay Rd., Queensbury)
Spring Focus Group Meeting #20 (SUNY Adirondack, 640 Bay Rd., Queensbury)

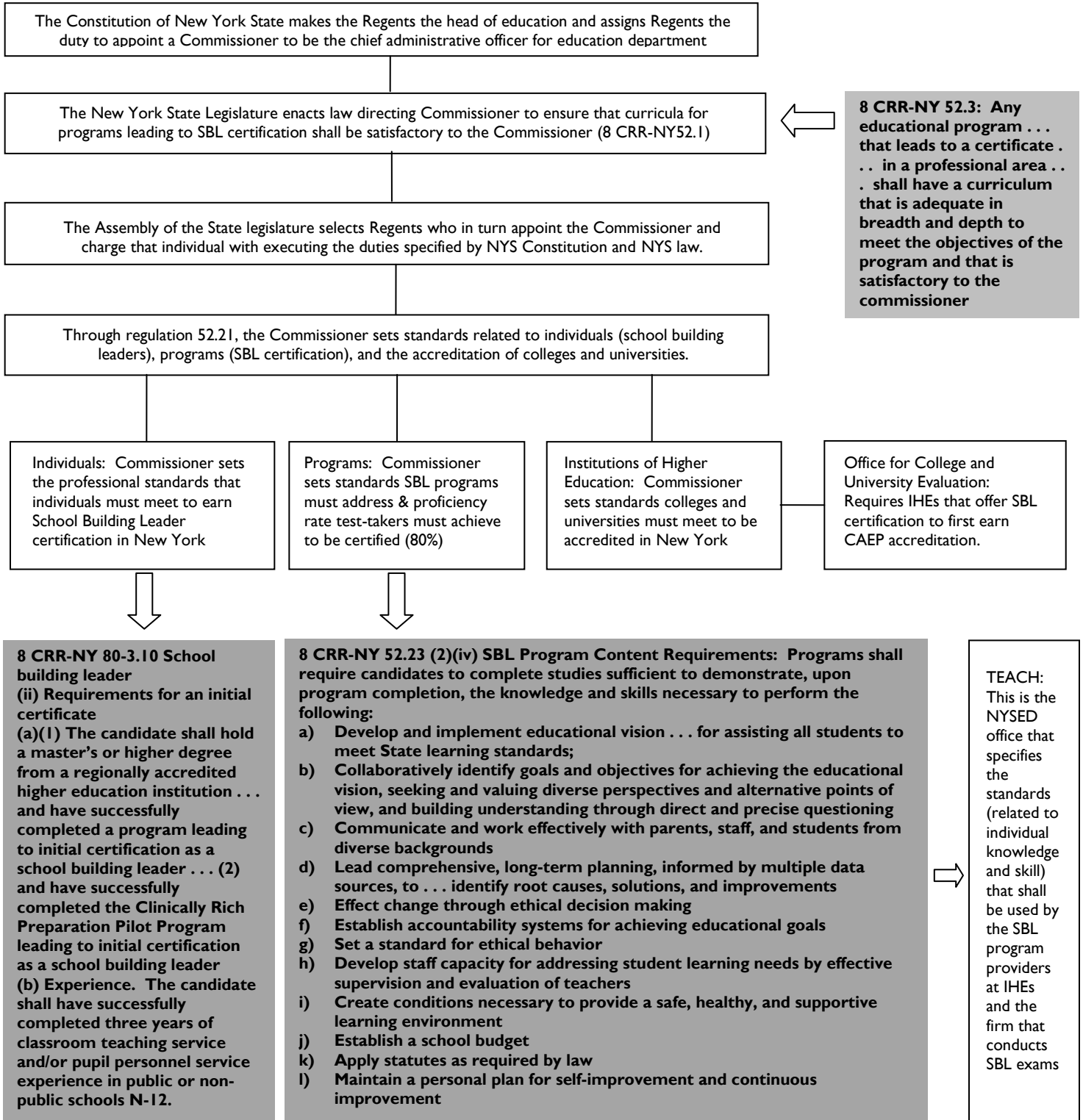
April 7, 2017 Director presents to Metropolitan Council of Educational Administration Program, Manhattan

April 10, 2017 Spring Focus Group Meeting #21 (Roosevelt High School, 361 Tuckahoe Rd., Yonkers)
Spring Focus Group Meeting #21 (Roosevelt High School, 361 Tuckahoe Rd., Yonkers)

May 1, 2017 Sixth Meeting of the Principal Project Advisory Team (Room 5A-5B, NYSED, Albany)

APPENDIX X: Graphic Display of School Building Leader (SBL) Certification

How New York State Laws and Commissioner Regulations are Related to Standards for Aspiring Principals, SBL Programs, and Institutions of Higher Education



APPENDIX Y: Laws, Regulations, and Standards Related to Principal Preparation

How individuals Gain and Maintain the Qualifications to be School Principal in NYS

Terms

- The term “principal” refers to school building leader (SBL).
- The term “IHE” refers to institutions of higher education.
- The term “CTLE” refers to Continuing Teacher and Leader Education.

<i>Requirements</i>	<i>Gaining the Qualification To become employed as a principal in NYS</i>	<i>Maintaining the Qualification To maintain employment as a principal in NYS</i>
Requirements affecting individuals	<p>To earn SBL certification, an individual must:</p> <ul style="list-style-type: none"> - Hold a master’s degree - Complete clinically-rich SBL program - Have 3 years of experience teaching - Pass NYS exam for SBL <p>(8 CRR-NY 80-3.10)</p>	<p>Complete 100 hours (SED-approved CTLE provider)</p> <p>Retain records showing completed CTLE hours</p> <p>Re-register every five years.</p> <p>(8 CRR-NY80-6.3)</p>
Requirements affecting programs	<p>For an IHE to offer an SBL program, the program must be designed to require candidates to complete studies that call upon candidates to show that they have and can apply the following knowledge and skill:</p> <ul style="list-style-type: none"> - Develop educational vision - Identify goals & objectives - Work effectively with parents - Lead long-term planning - Effect change by acting ethically - Establish accountability systems - Set ethical standards - Develop staff capacity - Provide safe, healthy environment - Establish a school budget - Apply statutes as required by law - Plan for continuous improvement <p>(8 CRR-NY 52.23(2)(iv))</p>	
Requirements affecting IHEs	<p>Earn and keep CAEP accreditation (8 CRR-NY 52.3)</p> <p>Perform regular evaluations of SBL programs</p> <p>If fewer than 80% of SBL program completers pass SBL exam, then institutions must submit corrective action plan following SED review</p> <p>If few than 50% of SBL program completers pass SBL exam, then institution may no longer enroll new students in SBL program</p> <p>(8 CRR-NY 52.21)</p>	
Requirements affecting CTLE sponsors		<p>CTLE provider must meet Commissioner standards</p> <p>(8 CRR-NY 80.64)</p>

**APPENDIX Z, School Building Leader (SBL) Certification and NYS Requirements Pertaining to Institutions, Programs, and Individuals
Principal Preparation Project
July 5, 2016**

New York State requirements applicable to all <u>institutions</u> of higher education that offer programs leading to a professional educator certificate:		
<ul style="list-style-type: none"> Programs registered as leading to a professional educator certificate shall meet requirements for an initial certificate and shall lead to a master’s degree or higher. 	<ul style="list-style-type: none"> An institution’s authority to admit new students shall be suspended if, for three consecutive academic years, fewer than 50% of students who satisfactorily completed the program pass each examination for initial or provisional certification. 	<ul style="list-style-type: none"> Institutions offering programs leading to professional educator certification shall be continuously accredited by either an acceptable professional education accrediting association (CAEP) or by the Board of Regents.
New York State requirements that are applicable to all <u>programs</u> leading to a certificate in educational leaders services:		
<ul style="list-style-type: none"> Selection criteria for program admission shall include: minimum score on GRE or equivalent admission exam; cumulative GPA average of 3.0 or equivalent (Programs cannot exempt more than 15% of an incoming class from standard selection criteria). 	<ul style="list-style-type: none"> Programs shall demonstrate a commitment to preparing candidates to be educational leaders who demonstrate nine essential characteristics of effective leaders: (1) Know what it takes and means to be a leader; (2) Have a vision for schools; (3) Communicate clearly and effectively; (4) Collaborate and cooperate; (5) Persevere and take long view; (6) Support and develop staff; (7) Hold self and others accountable; (8) Continue learning and honing skills; (9) Have the courage to take informed risks. 	<ul style="list-style-type: none"> Each institution with an SBL program shall annually report to State Department of Ed the name of students satisfactorily completing the program the preceding year (and number admitted with exemption).
New York State requirements that are specific to <u>individuals</u> pursuing School Building Leader certification:		
<ul style="list-style-type: none"> Candidates for School Building Leader certification shall possess a permanent or professional certificate in classroom teaching or pupil personnel service in a public or non-public [and] must have completed three years of classroom teaching and/or pupil personnel service in a public or non-public school Source: 8 CRR-NY 52.21(c)(2)(ii)(c) 	<ul style="list-style-type: none"> Candidates are required to completed School Building Leaders studies sufficient to demonstrate, upon program completion, the knowledge and skills necessary to perform the following: (1) Develop an educational vision; (2) Identify goals and objectives; (3) Work effectively with parents; (4) Lead long-term planning; (5) Effect change by acting ethically; (6) Establish accountability systems; (7) Set ethical standards; (8) Develop staff capacity; (9) Provide a safe, healthy environment; (10) Establish a school budget; (11) Apply statutes as required by law; and (12) Plan for continuous improvement. Source: 8 CRR-NY 52.21(c)(2)(iv)(a-l) 	<ul style="list-style-type: none"> School Building Leader certification candidates successfully submit evidence of achieving a satisfactory performance on tests on: (1) School Violence Prevention & Intervention; (2) Educating All Students; (3) Child Abuse Identification and Reporting.