

**INTERIM REPORT**

**HJR 20/SJR 58 COMMISSION TO  
REVIEW, STUDY AND REFORM  
EDUCATIONAL LEADERSHIP**

**TO THE GOVERNOR AND  
THE GENERAL ASSEMBLY OF VIRGINIA**



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# HJR 20/SJR 58 COMMISSION TO REVIEW, STUDY AND REFORM EDUCATIONAL LEADERSHIP

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Staff Memorandum: Authority over School Employment Decisions

Interstate School Leaders Licensure Consortium/Council of Chief State School Officers:

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**EXECUTIVE SUMMARY**  
**HJR 20/SJR 58 COMMISSION TO REVIEW, STUDY AND**  
**REFORM EDUCATIONAL LEADERSHIP**

**AUTHORITY AND STUDY OBJECTIVES**

Adopted by the 2002 Session of the General Assembly, HJR 29/SJR 58 established a two-year, 21-member commission to "review, study and reform educational leadership." The General Assembly assigned the HJR 20/SJR 58 commission a number of responsibilities, specifically, to "(i) evaluate the policy environment for educational leadership; (ii) propose necessary statutory amendments or changes based on research, surveys, analysis and review of pertinent laws, guidelines, policies, regulations and practices; (iii) communicate regularly to the Board of Education any relevant findings with recommendations for needed regulatory action; and (iv) provide a forum for educational leaders to report to the commission the challenges of, and impact on, their work."

The resolution contemplated five meetings in each year of the study. The commission was to submit an interim report of its findings and recommendations to the Governor and the 2003 Session of the General Assembly, and is to complete its work by November 30, 2003, and submit its final written findings and recommendations to the 2004 Session of the General Assembly.

Consistent with its legislative directive, the Commission met five times in 2002, receiving testimony from school administrators, education experts, and representatives of state and national education organizations.

**EDUCATION LEADERSHIP IN PUBLIC SCHOOLS NATIONWIDE**

While experts agree that these educational leaders are vital to the success of public education, there is also a perceived shortage of educators willing to undertake the calling of principal or division superintendent. Reports of pending retirements, increased turnovers, and decreased numbers of applications have prompted education policymakers to examine compensation, paid internships, training programs, and other recruitment and retention strategies. Additional school administrator recruitment and retention concerns include improving women and minority representation, increasing compensation, enhancing the "manageability" of the principalship through potential job reorganization; and providing greater flexibility and autonomy.

Response to these challenges has varied across the country. Attractive compensation packages have been explored in some school divisions, while others have pursued the mentoring, internship, and apprenticeship initiatives. Also under review are administrator preparation and licensure requirements. Equipping school administrators to tackle the evolving issues through professional development opportunities may also

bolster retention efforts. Leadership "academies" have been developed in half the states, providing a variety of learning opportunities for principals, teachers, and superintendents.

Professional education organizations have also explored ways to improve school leadership in recent years. In January, 2002, the **State Action for Education Leadership Project (SAELP)** provided three-year grants of \$250,000 each to 15 states--including Virginia--to support research and policy development to aid the preparation of principals and superintendents. Virginia Commonwealth University's Commonwealth Educational Policy Institute (CEPI), on behalf of the Virginia Department of Education, was awarded Virginia's SAELP grant, and subsequently recommended the creation of the HJR 20/SJR 58 Commission.

## RECOMMENDATIONS

The Commission makes the following recommendations:

**Recommendation 1:** *That the Board of Education, by October 1, 2003, examine and revise its administrative licensure requirements to ensure alignment with the evaluation criteria for principals, administrators, and central office instructional personnel as set forth in the Board's Guidelines for Uniform Performance Standards and Evaluation Criteria for Teachers, Administrators and Superintendents.*

**Recommendation 2:** *That the Board of Education and the State Council of Higher Education coordinate to ensure that the performance and leadership standards described in the Board's Guidelines for Uniform Performance Standards and Evaluation Criteria for Teachers, Administrators, and Superintendents are reflected in preparation and training programs for principals and superintendents in institutions of higher education.*

**Recommendation 3:** *That the Board of Education and the State Council of Higher Education develop guidelines for mentorships for administrators within approved administrator training programs.*

**Recommendation 4:** *That approved higher education programs, in collaboration with school divisions, develop and implement models for internships for aspiring principals and assistant principals.*

**Recommendation 5:** *That the Board of Education review its regulations as may be necessary to incorporate an alternative licensure routes for principals and assistant principals that recognizes the various and particular skills required for the particular functions of such positions as well as potential alternative sources of training for such licensure.*

**Recommendation 6:** *That, recognizing that personnel decisions such as hiring and termination of personnel are administrative, not policy, decisions, Article VIII, Section 7, of the Virginia Constitution be amended to authorize the General Assembly to provide by law for the delegation of school board authority over the hiring and termination of instructional personnel.*

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## BACKGROUND REPORT

# HJR 20/SJR 58 COMMISSION TO REVIEW, STUDY AND REFORM EDUCATIONAL LEADERSHIP

### I. AUTHORITY AND STUDY OBJECTIVES

Adopted by the 2002 Session of the General Assembly, HJR 29/SJR 58 established a two-year commission to "review, study and reform educational leadership." Acknowledging that "effective leadership is inextricably linked to excellence in public education and student academic achievement in our public schools, the resolutions cite the Standards of Accreditation (SOA) designation of the principal as the "instructional leader of the school ...[who is] responsible for effective school management that promotes positive student achievement, a safe and secure environment in which to teach and learn, and efficient use of resources."

The 21-member commission is comprised of five members of the House of Delegates to be appointed by the Speaker of the House; three members of the Senate to be appointed by the Senate Committee on Privileges and Elections; one president of a Virginia public four-year institution of higher education and one practicing assistant principal actively employed by a Virginia local school board or their designees to be appointed by the Speaker of the House; one dean of a school of education of a Virginia public institution of higher education or his designee to be appointed by the Senate Committee on Privileges and Elections; the Secretary of Education, the President of the Board of Education, the Superintendent of Public Instruction, the Director of the State Council of Higher Education for Virginia (SCHEV) or their designees, the Executive Director of the Commonwealth Educational Policy Institute at Virginia Commonwealth University, the Virginia Teacher of the Year, the three Virginia Principals of the Year, one each representing the elementary, middle, and high school levels, and the Virginia Superintendent of the Year, all serving ex officio with full voting privileges. The resolution dictates that the chairman of the commission be a legislator.

The General Assembly assigned the HJR 20/SJR 58 commission a number of responsibilities, specifically, to:

- "(i) evaluate the policy environment for educational leadership;
- (ii) propose necessary statutory amendments or changes based on research, surveys, analysis and review of pertinent laws, guidelines, policies, regulations and practices;
- (iii) communicate regularly to the Board of Education any relevant findings with recommendations for needed regulatory action; and
- (iv) provide a forum for educational leaders to report to the commission the challenges of, and impact on, their work."

The resolution contemplates five meetings in each year of the study. The commission was to submit an interim report of its findings and recommendations to the Governor and the 2003 Session of the General Assembly, and is to complete its work by November 30, 2003, and submit its final written findings and recommendations to the 2004 Session of the General Assembly.

Consistent with its legislative directive, the Commission met five times in 2002, receiving testimony from school administrators, education experts, and representatives of state and national education leadership organizations.

## II. EDUCATIONAL LEADERSHIP IN PUBLIC SCHOOLS NATIONWIDE

*"Superintendents have the chance to reshape the lives of children in profound ways. They can create a sense of community where none exists. They can transform institutions of learning through their leadership and courage. They can make smooth the rough path."<sup>1</sup>*

*"The principal is the guardian of a sacred trust—an implicit contract with every parent: Send us your children and we will educate them and prepare them to participate in an increasingly complex and diverse society. It is an awesome responsibility, requiring knowledge of teaching and learning at the deepest levels."<sup>2</sup>*

Education reform efforts across the United States have not only strengthened accountability standards for students, teachers, and schools; these measures have also challenged school administrators and superintendents to master new academic standards, enhance efforts to improve instructional quality, and anticipate needs among poor-performing schools.

The critical role that education leaders play in promoting educational achievement has been well documented; experts have contended that "[d]emographic, social and technological changes are producing unparalleled challenges for states, school districts, schools and higher education institutions and the individuals charged with managing them."<sup>3</sup> School principals face increasingly complex demands and heightened scrutiny as "standards and accountability have become the watchwords in public education."<sup>4</sup>

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<sup>1</sup>P. Houston, "Superintendents for the 21st Century: It's Not Just a Job, It's a Calling"; *Phi Delta Kappan* (February 2001) <<http://www.pdkintl.org/kappan/khou0102.html>>

<sup>2</sup>L. Fenwick and M. Pierce, "The Principal Shortage: Crisis or Opportunity?" *Principal Magazine* (March 2001) <<http://www.naesp.org/comm/p0301a.htm>>

<sup>3</sup>Education Commission of the States, *Issue: Leadership (K-12); Overview* (2002) <<http://www.ecs.org/ecsmain.asp?page=/html/issues.asp>> [hereinafter referred to as *Leadership (K-12)*].

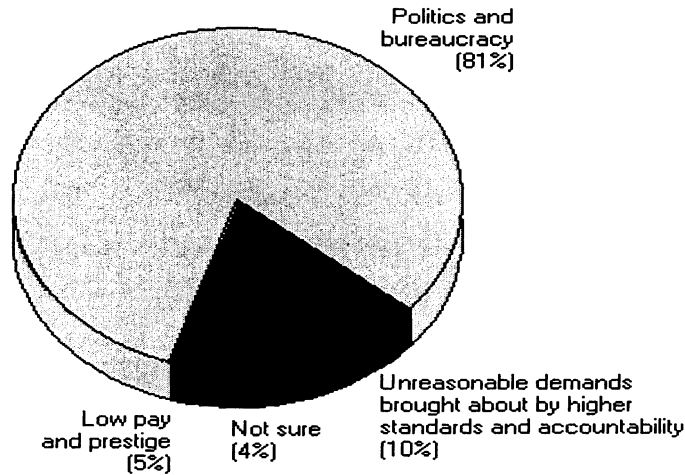
<sup>4</sup>Panasonic Foundation, in cooperation with the American Association of School Administrators, *Strategies for School System Leaders on District-Level Change, The School Leadership Challenge* at 1 (February 2001). See also, Institute for Educational Leadership, *Leadership for Student Learning: Reinventing the Principalsip ~ School Leadership for the 21st Century Initiative, A Report of the Task Force on the Principalsip* at 2 (October 2000) [hereinafter referred to as *Reinventing*].

## Reasons for Leaving Superintendent or Principal Position

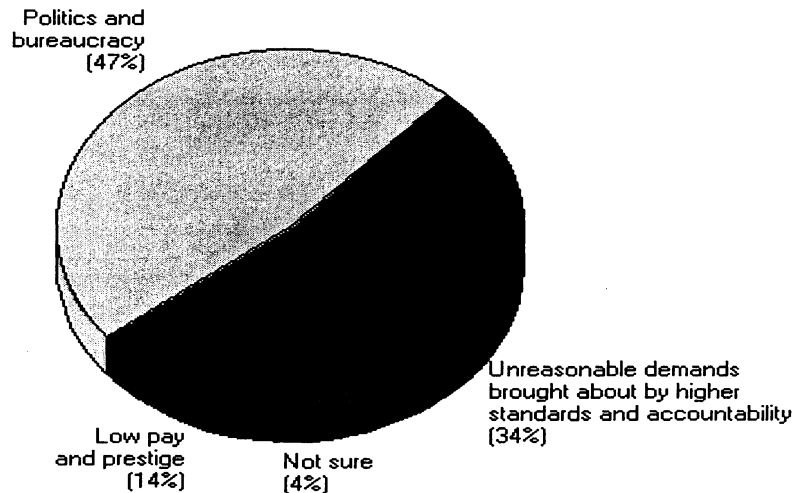
Public Agenda Online Survey ~ Sample: 853 superintendents; 909 principals

Methodology: Mail survey conducted July 27-August 27, 2001 ~ Note: Percentages may not add up to 100% because of rounding

If you had to pick one of the following, which comes the closest to your own view? Talented [superintendents/principals] who leave the field are most likely to leave because they are frustrated by:



**Superintendents**



**Principals**

Source: Public Agenda 10/01

Source: Public Agenda Online, *Trying To Stay Ahead of the Game--Superintendents and Principals Talk about School Leadership* (Special Edition/Summary) (December 11, 2001) <<http://www.publicagenda.org/specials/leadership/leadership1.htm>>; <<http://www.publicagenda.org/specials/leadership/leadership1d.htm>>

America's estimated 14,000 division superintendents face similar challenges, as economic exigencies, teacher shortages and recruitment difficulties, lack of job stability and continuity, and "too many insignificant, yet time-consuming demands" plague these

education leaders in the new millennium.<sup>5</sup> Citing the superintendent's contributions to successful education reform, one scholar has deemed the selection of a superintendent as "perhaps the most important decision made by a school board."<sup>6</sup>

### Recruitment and Retention Challenges

While experts agree that these educational leaders are vital to the success of public education, there is also a perceived shortage of educators willing to undertake the calling of principal or division superintendent. Reports of pending retirements (an estimated half of all superintendents are age 50 or older), increased turnovers, decreased numbers of applications, and declining quality among school superintendents have prompted education policymakers to examine compensation, paid internships, superintendent training programs, and other recruitment and retention strategies.<sup>7</sup>

Similarly, states are witnessing similar challenges in recruiting and retaining qualified principals;<sup>8</sup> a 10 to 20 percent increase in the demand for principals nationwide is projected by 2005.<sup>9</sup> While anticipated retirements are seen as one contributing factor to this forecast, a 1998 survey of superintendents reporting a shortage of qualified principal applicants cited insufficient compensation, job stress, long hours, and societal concerns as probable deterrents to would-be principal applicants.<sup>10</sup>

Also identified as a recruitment challenge is a lack of identification and "grooming" of potential administrators from among teachers and assistant principals; a 1998 survey indicated that only about one-quarter of all school divisions nationwide have implemented initiatives to attract and train potential candidates for the principalship. Even when candidates are available, their respective preparation programs may have been "disconnected from the daily realities and needs of schools," and licensure standards may be "uneven and inconsistent." Additional recruitment and retention concerns include improving women and minority representation, increasing compensation, enhancing the "manageability" of the principalship through potential job reorganization; and providing greater flexibility and autonomy.<sup>11</sup>

Response to these challenges has varied across the country. Attractive compensation packages have been explored in some school divisions, while others have pursued the mentoring and apprenticeship initiatives. Also under review are

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<sup>5</sup>Education Commission of the States, ECS Issue Paper, T. Glass, *Leadership: Superintendent Leaders Look at the Superintendency, School Boards, and Reform* (July 2001)<<http://www.ecs.org/clearinghouse/27/18/2717.html>>

<sup>6</sup>Education Commission of the States, ECS Issue Paper, T. Glass, *The Superintendent Crisis: A Review by Search Consultants* (August 2001)<<http://www.ecs.org/clearinghouse/28/25/2825.html>>

<sup>7</sup>Education Commission of the States, ECS Issue Paper, T. Glass, *State Education Leaders View the Superintendent Applicant Crisis* (September 2001)<<http://www.ecs.org/clearinghouse/29/09/2909.html>>; *Leadership (K-12)*, *supra* note 3.

<sup>8</sup>*Leadership (K-12)*, *supra* note 3.

<sup>9</sup>*Reinventing*, *supra* note 4, at 3.

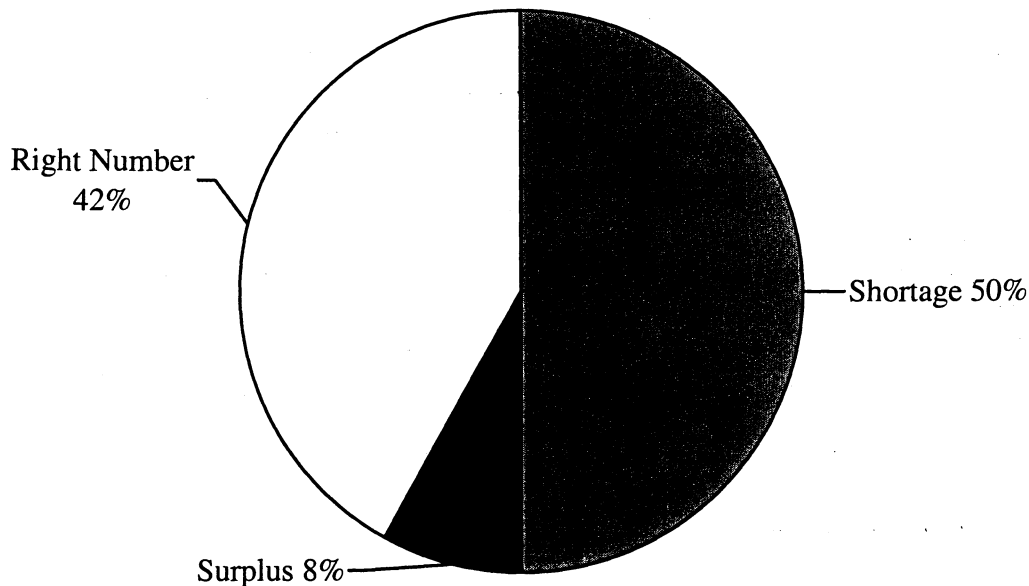
<sup>10</sup>*Id.* at 6.

<sup>11</sup>*Id.* at 9, 13.

administrator preparation and licensure requirements.<sup>12</sup> Principal internships, required for the completion of a graduate degree in school administration in North Carolina, have been touted by some as "invaluable" in training for the real-world experience.<sup>13</sup>

### Shortage of Qualified Principal Candidates

Superintendents who had filled at least one principal position in the past year were asked if there was a surplus, shortage or the right number of qualified candidates for the principal positions they needed to fill.



Source: Institute for Educational Leadership, School Leadership for the 21st Century Initiative, A Report of the Task Force on the Principalship, *Leadership for Student Learning: Reinventing the Principalship* (October 2000).

Addressing recruitment and retention issues at the Commission's September 20, 2002, meeting, Dr. Gene Bottoms, Senior Vice President, Southern Regional Education Board (SREB), cited six specific strategies to attract more qualified principals, and suggested purposeful "tapping" of high-performing educators to become leaders, a practice that is typically more likely to be found in progressive, urban school systems. Currently, principals are somewhat "self-selected," as individuals may pursue graduate degrees in school administration for a variety of reasons; some may be motivated to do so to receive higher pay while remaining in an instructional position. Contrasting this self-selection process is a system in which high-performing teachers are identified and "groomed" for the principalship; this system allows school divisions to "grow their own" candidates rather than rely on an available pool that may not be appropriately qualified for the particular positions. Institutions of higher education also figure prominently in the self-selection process, as admissions criteria rely on academic record, standardized test

<sup>12</sup>*Leadership (K-12)*, *supra* note 3 (What States Are Doing).

<sup>13</sup>T. Gray, "Principal Internships: Five Tips for a Successful and Rewarding Experience," *Phi Delta Kappan* (May 2001) <<http://www.pdkintl.org/kappan/k0105gra.html>>

scores, and the candidate's ability to finance graduate education. Dr. Bottoms suggested the creation of a more collaborative process involving input from those who can attest to the applicant's "record of accomplishment and demonstrated leadership."

Noting that licensure or certification as a principal is not necessarily indicative of a candidate's qualification for the principalship, Dr. Bottoms cited Kentucky's screening process for "Highly Skilled Educators" that included a portfolio, interview, and observation process; Mississippi's one-year sabbatical supporting university training; and efforts in Delaware and Arkansas to recruit minority candidates. Actions supporting a "tapping" include incorporating a portfolio and structured interview process, the use of assessment instruments, release time for participation in on-the-job learning, tuition stipends and matching grants, collaborative efforts between higher education and school divisions to identify and select potential leaders, and incentive pay for principals in low-performing schools. Dr. Bottoms also encouraged states and school divisions to revisit policies that provide increased pay for teachers who receive degrees in administration but never become principals. Incentives for principals to serve in low-performing schools also merit consideration, as increased accountability for school performance makes these positions less attractive to candidates.

The second strategy urges the redesign of leadership preparation, assessment, and evaluation measures to reflect the core functions of curriculum, instruction, and student achievement. While some institutions may simply superimpose a "matrix" of accountability requirements on their current education leadership course offerings to determine any gaps in their respective programs, a substantive redesign may be required to enhance focus on student achievement. Courses in school law, finance, personnel, and facilities may still prove helpful, but may not require the degree of emphasis currently granted in many preparation programs. Citing specific progress in leadership preparation programs at East Tennessee State University, University of North Texas, and Oklahoma State University (where focus on curriculum and instruction has increased to one-twelfth to one-third of the total program), Dr. Bottoms noted collaborations between institutions and school divisions and external audits of university programs (Delaware) to shift focus from management to instructional leadership. Alignment of preparation standards with evaluation standards is also needed. Recognizing that schools of education are proven "moneymakers" for universities, Dr. Bottoms noted that reconstitution of leadership programs may meet with some resistance, especially if changes necessitate added expense.

The third strategy also addresses leadership preparation programs, encouraging internships as the central focus of these redesigned programs. Effective internships would ensure that the intern is not simply a set of "spare hands" or a shadow, but an actual problem-solver in instructional issues. Collaboration with local school divisions in crafting internships as well as the integration of internships throughout the preparation program, rather than as a "capstone," were also urged. Finally, funding for mentors, collaborations, and leadership program redesign was also noted.

The fourth strategy encourages the creation of a two-tiered licensure system, in which the initial license is issued upon completion of the preparation program and passage of a technical knowledge examination and the professional license granted after a demonstration of practical knowledge and skills within a leadership position. Such a performance-based system shifts focus from quantity to quality of candidates, and will likely require more resources than does the current licensure model. State leadership academies might provide support for principals in the induction phase. A one-year on-the-job induction component for professional licensure of principals is already in place in Kentucky. Similarly, Arkansas and Louisiana have adopted orientation and induction initiatives.

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### **Strategies for Principal Recruitment and Retention**

Dr. Gene Bottoms, Senior Vice President, Southern Regional Education Board (SREB)

September 20, 2002, Commission Meeting

**Strategy 1:** Tap high-performers with demonstrated knowledge of curriculum and instruction and with a passion for getting students to meet high-achievement standards.

**Strategy 2:** Redesign leadership preparation courses, assessment and performance measures to meet standards that emphasize the core functions of the school curriculum, instruction and student achievement.

**Strategy 3:** Make field-based experiences a central focus in redesigned leadership preparation programs.

**Strategy 4:** Create a two-tiered system:

~ Initial licensure: Complete a program focusing on core functions of the school and demonstrate technical knowledge.

~ Professional licensure: Demonstrate ability to work with school staff and others to improve school and classroom practices and student achievement.

**Strategy 5:** Open initial licensure to a candidate with a master's degree, demonstrated leadership skills and a proven record of increasing student achievement.

**Strategy 6:** Create state leadership academies that focus on teams from low-performing schools and on continuous and comprehensive school reform.

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Addressing the candidate pool, the fifth strategy suggests expanding eligibility for initial licensure to those persons holding a master's degree, demonstrating leadership skills, and possessing a proven record of increasing student achievement. Implementation of this strategy would necessitate the creation of an alternative procedure for certifying those candidates who possess a graduate degree and strong instructional performance, but who do not hold a degree in administration. Louisiana, for example, offers an alternative licensure option that incorporates a customized preparation program for eligible candidates holding a master's degree and satisfying competency screening. In Oklahoma, a "completely open" process allows master's degree holders who pass subject area and principal examinations to become principals. This route, however, does not screen candidates for leadership qualities and demonstrated skills in improving student performance. Texas allows principal preparation to be provided by local school divisions as well as universities. Additional suggestions for enhancing the candidate pool include

rethinking the roles and duties assigned to assistant principals and teacher leaders to more adequately prepare them for the principalship; often these personnel are assigned "books, buses, bathrooms, and buildings" and receive little opportunity for gaining experience in instructional leadership.

Finally, the sixth strategy supports the creation of state leadership academies that target efforts in low-performing schools. These efforts would address teams from schools, rather than one leader, and might address a single challenge over time, such as remediation or use of data to improve school performance throughout the year. Leadership academies might also craft programs that would assist not only in professional development, but also in obtaining credits for licensure. Academy efforts should be evaluated for effectiveness in improving student achievement. Louisiana and Alabama have leadership academies targeting low-performing schools.<sup>14</sup>

### Professional Development

Equipping school administrators to tackle the evolving issues facing public schools may also bolster retention efforts. Professional development opportunities may embrace educational technology, school safety, community involvement, and, of course, academic standards and accountability.<sup>15</sup> Leadership "academies" have been developed in half the states, providing a variety of learning opportunities for principals, teachers, and superintendents.<sup>16</sup>

The first entity of its kind, **The Principal's Center** at the Harvard Graduate School of Education was created in 1981 to provide "aspiring and experienced school leaders across the country" with professional development opportunities that may include summer institutes as well as academic year initiatives. Topics addressed in spring and summer 2002 institutes included accountability and visionary leadership. The Center is "committed to school improvement from within," as programs reflect input from "the expressed concerns, needs and aspirations of principals" as well as "the prescriptions of non-principals...."<sup>17</sup>

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<sup>14</sup>Meeting summary, September 20, 2002, Commission meeting.

<sup>15</sup>*Reinventing*, *supra* note 4, at 4.

<sup>16</sup>Education Commission of the States, ECS StateNotes, *Statewide Leadership Academies: A 50-State Scan* (May 2001) <<http://www.ecs.org/clearinghouse/26/93/2693.htm>>

<sup>17</sup>The Principal's Center at Harvard University <<http://www.gse.harvard.edu/principals/>> [last updated April 1, 2002]; The Principal's Center Chronicle <<http://www.gse.harvard.edu/principals/about/barth.htm>> [last updated January 12, 2002].



## Statewide Leadership Academies: A 50-State Scan

May 2001 ~ Education Commission of the States ~ ECS StateNotes  
 < <http://www.ecs.org/clearinghouse/26/93/2693.htm> >

From this search, 25 states have been identified as having some sort of statewide leadership academy, consortium or institute. If states do not refer to their leadership academy on the state department of education Web page, then they may not be listed in this document.

Some highlights:

- Most academies (in 22 states) are for both principals and superintendents. Four programs are for principals only.
- Some programs also are open to teachers and other staff members wishing to take a leadership role in their school or district.
- Most, but not all of these programs, are funded through or sponsored at least partially by the state department of education.
- The Bill and Melinda Gates Foundation have funded at least 18 states to develop or continue current leadership academies around the use of technology.

This information is based on a search of: Lexis-Nexis, state department of education Web sites and the Gates Foundation leadership academy grant recipients. This information has not been verified by any staff member at the state offices.

State	Is there a statewide leadership academy?	What does the academy focus on?
Alabama	No	
Alaska	Yes	The Alaska Staff Development Network provides training and professional development to school staff working collaboratively with education organizations throughout Alaska, including the Alaska Department of Education. They offer several academy experiences, including ones relating to instructional leadership issues.
Arizona	Yes	The Arizona K-12 Center will provide professional development for principals and superintendents through the Leadership Institutes for Technology. Arizona has received a grant from the Gates Foundation to support this work.
Arkansas	Yes	Arkansas has two statewide programs called the Arkansas Leadership Academy and the Arkansas Administrators Institute. Arkansas also received a grant from the Gates Foundation (\$1.6M) to integrate technology into instructional leadership practices and provide leaders with activities to develop this capacity within their leadership academy.
California	Yes	The California School Leadership Academy (CSLA) is a statewide program that helps practicing administrators and teachers in leadership positions strengthen their instructional leadership skills. CSLA is funded by the California legislature through the California Department of Education.
Colorado	Yes	Sponsored by a grant from the Gates Foundation (\$1.6M), the Technology Leadership Academies focuses on understanding technology's role in improving student learning. These academies are for principals, teachers and administrators.
Connecticut	No	
Delaware	No	
Florida	Yes	Florida Leaders.net is a statewide educational leadership initiative of the Florida Department of Education designed to provide school leaders with support in incorporating schoolwide technology planning into the school improvement process. Florida has received \$5.5 million from the Gates Foundation.
Georgia	Yes	The Georgia Leadership Academy provides relevant leadership development programs that enable Georgia school instructional/administrative personnel and teachers to develop, update and expand knowledge and skills required for creating optimal teaching and learning communities. It is funded through the Georgia Department of Education.
Hawaii	No	
Idaho	Yes	The Idaho Administrators Technology Academy, funded by the Gates Foundation at \$750,000 is aimed to help school administrators become instructional leaders for their teachers in the area of technology.
Illinois	Yes	The School Administrators Development Institute at Illinois State University is for superintendents and principals to develop leadership in schools for productive use of institutional and administrative technologies. Partially funded by the Gates Foundation at \$2.25 million.
Iowa	No	
Indiana	Yes	For public and private school principal and superintendents. Indiana also receives a Gates grant (\$1.8M) to add technological competency to its programs.
Kansas	Yes	The Principal Leadership Institute is an approximately 10-day training for principals to improve leadership skills, sharpen the focus on instruction and learning, examine strategic change options, and learn about the collection and analysis of data for decisionmaking. The institute is jointly sponsored by the Kansas Department of Education and United School Administrators.
Kentucky	Yes	The Kentucky Leadership Academy builds the leadership capacity of instructional leaders to improve student performance through focused research-based strategies and key components for school improvement as modeled by the Highly Skilled Educators (HSEs). Sponsored by the Kentucky Department of Education and Kentucky Association of School Administrators.
Louisiana	Yes	The Louisiana LEADTech initiative is funded through the Gates Foundation at \$1.2 million. It will prepare school principals and district superintendents with an in-depth understanding of the role of instructional technology as it relates to school improvement.

State	Is there a statewide leadership academy?	What does the academy focus on?
Maine	Yes	The "Leading to Change" academy funded by the Gates Foundation at \$1.3 million provides administrators with program experiences to understanding the use of technology as a tool to help all students achieve high standards
Maryland	No	
Massachusetts	Yes	The Gates Foundation has funded the Technology Leadership Consortium at \$3.3 million. The Consortium provides district leaders with professional development activities to help them establish the "essential conditions" for the effective use of technology in their schools and districts.
Michigan	No	
Minnesota	No	
Mississippi	Yes	The Technology Academy for School Leaders is funded by the Gates Foundation at \$1.1 million. The Academy is meant to facilitate the integration of technology in the total district/school environment and enhance principal's and superintendent's technology leadership skills in support of teaching, learning and data-driven decisionmaking.
Missouri	Yes	The Missouri Leadership Academy is a part of the Missouri Department of Education and seeks to develop leaders beyond the principal and superintendent to include teachers, parents, students and community stakeholders in the attributes of leadership that support school improvement.
Montana	No	
Nebraska	No	
Nevada	No	
New Hampshire	No	
New Jersey	Yes	The New Jersey Education Leadership Institutes for Technology in Education (ELITE) is for superintendents and principals and focuses leadership development on whole-systems change and technological integration. Funded by the Gates Foundation at \$5.1 million.
New Mexico	No	
New York	No	
North Carolina	Yes	The Principal's Executive Program (PEP) in North Carolina is an organization of the University of North Carolina. It conducts professional development programs for principals, assistant principals and other leadership personnel on North Carolina's public schools. It was established in 1984 by the North Carolina General Assembly. PEP also has recently received a grant from the Gates Foundation at \$2.95 million to develop principals as technology leaders through the PEP program.
North Dakota	No	
Ohio	Yes	The Ohio Principal's Leadership Academy (OPLA) is a two-year program grounded in the day-to-day experiences of practicing principals. OPLA is a partnership between Ohio's education, business, community and public leaders that aims to benefit students, schools and communities through the behaviors of principals and staff teams.
Oklahoma	Yes	The Oklahoma State Department of Education does sponsor an annual two-day leadership conference.
Oregon	No	
Pennsylvania	Yes	The Principals Leadership Academy offers 20 hours of professional development at four sites across the state during four days in the summer and fall, and is jointly sponsored by the Pennsylvania Association of Elementary and Secondary School Principals, the Pennsylvania Educational Leadership Foundation and the Pennsylvania Department of Education.
Rhode Island	Yes	The Leadership Initiative for Principals and Superintendents has received a Gates Foundation grant of \$780,000 to develop school and district leaders for their emerging role in technology. This grant application was submitted by the Rhode Island Foundation.
South Carolina	No	
South Dakota	Yes	The Technology Leadership Program for School Administrators is a program funded by the Gates Foundation at \$675,000 to support activities that prepare school leaders, superintendents and principals for their emerging role in technology. The focus is on whole-systems technology integration.
Tennessee	No	
Texas	Yes	Technology Leadership Academy for Superintendents and Principals is a collaborative effort headed by the University of North Texas, with partners including the Texas Education Agency and the Texas Higher Education Coordinating Board. The academy recently obtained more funding by the Gates Foundation of \$6.3 million.
Utah	No	
Vermont	No	
Virginia	No	
Washington	Yes	Smart Tools Academy funded by the Gates Foundation at \$2.0 million to ensure that all Washington principals and superintendents share a vision and an understanding of the ways that technology can support and improve student learning.
West Virginia		Learning Educational Administration from a Distance (LEAD) Academy is funded by the Gates Foundation at \$1.2 million to prepare superintendents and principals for their emerging role in technology.
Wisconsin	No	
Wyoming	No	

Established in 1984, the **Principal's Executive Program (PEP)**, within the University of North Carolina's Center for School Leadership Development, is modeled after Harvard University's executive leadership training initiative. Program offerings are designed to provide "relevant and rigorous professional development" and are aligned with state standards for school administrators as well as the Interstate School Licensure Consortium standards. Programs may be "residential" – from three to 20 days in duration – or "topical" – offered on a one-to three-day seminar basis.<sup>18</sup>

Testifying before the Commission, PEP's assistant director Janet Hudgens indicated that the initiative has expanded in the past five years from three to 10 differentiated programs, and has provided professional development opportunities for 33,000 North Carolina school administrators. PEP receives approximately \$1.5 million in state appropriations annually. Residential and seminar programs include the Developing Future Leaders, Higher School Performance, Principals as Technology Leaders, Leadership for Career Administrators, and Central Office Leadership programs, as well as leadership programs crafted for new, assistant, and charter school principals. An estimated 75 percent of five "graduating classes" from the Developing Future Leaders program have subsequently entered programs to gain administrative licensure. In response to the federal No Child Left Behind Act, PEP is also developing models to assist administrators in sifting through and effectively using existing student achievement data to enhance academic performance.<sup>19</sup>

Enhancing professional development at the local level is a peer group evaluation process, implemented in California's Chula Vista Elementary School District, that supplements the traditional evaluation of principals by the superintendent. Through on-site observations, interviews, student data review, and regular meetings, participating principals are afforded the opportunity to examine their strengths and weaknesses and share best practices with peers. In addition, the school district has adopted specific standards for principals.<sup>20</sup>

Created in 1995, the **Texas Principals Leadership Initiative** assists a number of entities in providing principals with "assessment-driven" professional development opportunities. The Initiative stresses skills assessment as Texas statute dictates that evaluation of principals be "based on job-related performance."<sup>21</sup>

Professional education organizations have also explored ways to improve school leadership in recent years. In 1994, the **Interstate School Leaders Licensure Consortium**, sponsored by the Council of Chief State School Officers (CCSSO) and comprised of 24 states--including the Commonwealth--began working on model standards for school leaders. Adopted in 1996, these six standards are supplemented by "indicators" comprised of specific knowledge, disposition, and performance objectives. Designed to be used for improving licensure, evaluation, and preparation initiatives, the

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<sup>18</sup>*Reinventing, supra* note 4, at 14; University of North Carolina Center for School Leadership Development, Principals' Executive Program <<http://www.ga.unc.edu/pep/index.html>>; <<http://www.ga.unc.edu/pep/programs.html#topical>>[last updated May 21, 2002].

<sup>19</sup>Meeting summary, July 15, 2002, Commission meeting.

<sup>20</sup>*Reinventing, supra* note 4, at 16.

<sup>21</sup>Texas Principals Leadership Initiative<<http://www.tpli.org/homepage.htm>>; *Reinventing, supra* note 4, at 18; Texas Educ. Code § 21.354 <<http://www.capitol.state.tx.us/statutes/ed/ed0002100.html#ed084.21.354>>

standards address student and staff learning, management, community relations, and ethical and policy considerations.<sup>22</sup>

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## Standards for School Leaders

Council of Chief State School Officers ~ Interstate School Leaders Licensure Consortium

(November 2, 1996) < <http://www.ccsso.org/standrds.html> >

**Standard 1:** A school administrator is an educational leader who promotes the success of all students by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by the school community.

**Standard 2:** A school administrator is an educational leader who promotes the success of all students by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.

**Standard 3:** A school administrator is an educational leader who promotes the success of all students by ensuring management of the organization, operations, and resources for a safe, efficient, and effective learning environment.

**Standard 4:** A school administrator is an educational leader who promotes the success of all students by collaborating with families and community members, responding to diverse community interests and needs, and mobilizing community resources.

**Standard 5:** A school administrator is an educational leader who promotes the success of all students by acting with integrity, fairness, and in an ethical manner.

**Standard 6:** A school administrator is an educational leader who promotes the success of all students by understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context.

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In 2000, the **Institute for Educational Leadership** recommended strategies for "reinventing the principalship" that included enhanced licensure and program accreditation standards; implementation of more "portable" benefits programs; improved opportunities for professional development that include networking with peers to share best practices; restructuring the principal's duties to enhance efficiency and appropriate delegation of authority; increased compensation and recognition; consideration of nontraditional candidates (noneducators) for the principalship; and increasing efforts to recruit candidates that "better reflect the demographics of student populations...."<sup>23</sup>

Citing high-stakes accountability that stress the principal's role as "chief learning officer," the **Southern Regional Education Board (SREB)** recommended in 2001 "tapping" and developing future principals, linking certification to performance; offering alternative certification to certain educators; adding more "school-based learning" to leadership training programs; and enhancing leadership academy efforts.<sup>24</sup>

In January, 2002, the **State Action for Education Leadership Project (SAELP)**, another initiative of the CCSSO in partnership with the Education Commission of the States (ECS), the National Conference of State Legislatures (NCSL), the National

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<sup>22</sup>Council of Chief State School Officers, Interstate School Leaders Licensure Consortium: *Standards for School Leaders* at 6-8; 10-21 (November 2, 1996); see also, *Reinventing*, *supra* note 4, at 11.

<sup>23</sup>*Reinventing*, *supra* note 4, at 9-15.

<sup>24</sup>Southern Regional Education Board, *Preparing a New Breed of School Principals: It's Time for Action* at 5, 18- 29 (April 2001).

Governors Association (NGA), and the National Association of State Boards of Education, has provided three-year grants of \$250,000 each to 15 states--including Virginia--to support research and policy development "that will prepare, support and sustain a group of education leaders (principals and superintendents) in each state."<sup>25</sup> SAELP has also awarded 10 one-year grants to individual school divisions in the recipient states; Fairfax County Public Schools has received one such renewable grant. The SAELP grants are supported by the Wallace-Reader's Digest Fund.<sup>26</sup>

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## SAELP's Goals and Objectives

Council of Chief State School Officers ~ <<http://www.ccsso.org/edleadership.html>>

1. States will establish an overall vision and expectation for the practice of educational leadership focused on improved teaching and learning at the district and school level throughout the state;
  2. States will design and enact laws that establish the terms and conditions of practice as principal and superintendent, including criteria for licensure of individuals and accreditation of post-secondary programs that prepare education leaders;
  3. States will enact laws that establish governance, structures, and roles and responsibilities of education leaders, including local boards of education, school councils, etc.;
  4. States will design an infrastructure that will connect education leaders to other areas of public and private endeavor, including business, research institutes, community-based organizations, etc.;
  5. States will design and implement legislative and/or administrative policies that are informed by local schools and districts, especially those in high poverty areas; and
  6. States will support Demonstration Districts where new policies are transformed into practice.
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Virginia Commonwealth University's Commonwealth Educational Policy Institute (CEPI), on behalf of the Virginia Department of Education, was awarded Virginia's SAELP grant, and convened three meetings of state education policymakers and stakeholders in 2001. Discussions focused on the Commonwealth's approach to school leadership, the "candidate pool" and recruitment and retention issues, education and in-service learning, licensure and program accreditation, and professional practice conditions.<sup>27</sup> The creation of the HJR 20/SJR 58 Commission was a recommendation of Virginia's SAELP consortium.<sup>28</sup>

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<sup>25</sup>Council of Chief State School Officers, *State Action for Education Leadership Project* <[wysiwyg://6/http://www.ccsso.org/edleadership.html](http://www.ccsso.org/edleadership.html)>[last updated May 22, 2002]; *see also*, Education Commission of the States, *ECS Project: State Action for Education Leadership Project* <<http://www.es.org/html/project.asp?projectID=39>>

<sup>26</sup>L. Olson, "Philanthropy Gives Grants Aimed at Leadership," *Education Week* (January 16, 2002) <<http://www.educationweek.org/ew/newstory.cfm?slug=18lead.h21&keywords=wallace%2Dreader%27s%20Digest%22>>

<sup>27</sup>Correspondence of Dr. William C. Boshers, Jr., Executive Director, Commonwealth Educational Policy Institute, July 5, 2001; Commonwealth Educational Policy Institute, Virginia Action for Educational Leadership Project, Summary of Comments and Questions Raised at July 25, 2001 Meeting (September 11, 2001).

<sup>28</sup>House Joint Resolution No. 20; Senate Joint Resolution No. 58 (2002); *see also*, Meeting Summary, June 27, 2002, Commission meeting.

## **Federal Implications: The Reauthorization of the ESEA**

The significance of quality educational leadership did not elude Congressional consideration. The reauthorization in 2001 of the Elementary and Secondary Education Act (ESEA) included provisions addressing funding for "the development and implementation of professional development programs for principals that enable the principals to be effective school leaders and prepare all students to meet challenging state academic content and student academic achievement standards, and the development and support of school leadership academies to help exceptionally talented aspiring or current principals and superintendents become outstanding managers and educational leaders."<sup>29</sup> The ESEA's increased emphasis on school and student performance is also expected to further challenge school principals and superintendents to develop additional expertise in assessment and staff motivation.<sup>30</sup>

As part of the reauthorization, the U.S. Department of Education has recently invited applications for grants for its School Leadership Program, targeting "high-need local educational agencies (LEAs) in the development, enhancement, or expansion of innovative programs to recruit, train and mentor principals (including assistant principals) to serve in high-need schools." A total of \$10 million is available for the first year of the initiative, with grant amounts estimated to range from \$150,000 to \$750,000.<sup>31</sup>

### **III. DIVISION SUPERINTENDENTS AND SCHOOL PRINCIPALS IN VIRGINIA**

#### **A Shortage in the Commonwealth**

Repeated testimony before the Commission cited identification and recruitment of the "next generation" of principals as a vital concern. Poor working conditions, lack of prestige, "burn out" due to extended commitments to attend extracurricular and interscholastic activities, and the pressures of accountability have reduced the school administrator candidate pool. In response to these concerns, the Commission explored the inclusion of assistant principals and teachers as well as "nontraditional candidates" among the applicant pool. In addition, the Commission recognizes, as noted by IEL testimony, that recruitment should target narrowing the race and gender gaps.<sup>32</sup>

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<sup>29</sup>U.S. Department of Education, "Inside No Child Left Behind," Title II, Preparing, Training, and Recruiting High Quality Teachers and Principals--PART A — TEACHER AND PRINCIPAL TRAINING AND RECRUITING FUNDSubpart 1, §§ 2111, 2112, 2113 <<http://www.ed.gov/legislation/ESEA02/pg21.html>>

<sup>30</sup>K. Anthes, Education Commission of the States, No Child Left Behind Policy Brief: School and District Leadership <<http://www.ecs.org/clearinghouse/34/62/3462.pdf>>

<sup>31</sup>U.S. Department of Education, Office of Elementary and Secondary Education, School Leadership Program; Notice Inviting Applications for New Awards for Fiscal Year (FY) 2002, Federal Register: May 23, 2002 (Volume 67, Number 100), pp. 36159-36162(From the Federal Register Online via GPO Access) <<http://www.ed.gov/legislation/FedRegister/announcements/2002-2/052302c.html>>

<sup>32</sup>Meeting summaries, July 15 and October 18, 2002, Commission meetings.

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## **Fast Facts: *School Leadership in an Era of Accountability* ~ October 2002**

Pamela Tucker, Assistant Professor, University of Virginia, and Megan Tschannen-Moran, Assistant Professor, College of William & Mary

### **Working Condition Challenges**

- ❖ 84% of Virginia principals reported working more than 50 hours per week (up from 68% in 1988).
- ❖ Over half of Virginia principals noted spending much more time on paperwork/email than they were 5 years ago.
- ❖ Two-thirds of Virginia principals reported they had neither sufficient time nor personnel (i.e., assistant principals) to fulfill mandated expectations as an instructional leader.
- ❖ 82% of Virginia principals rated managing stress as a major area of concern and a professional development need.

### **Shortages**

- ❖ In 1999-2000, 35% of all administrators in Virginia had 25 or more years of experience.
- ❖ Over 60% of Virginia administrators who left their position between 1997 and 2000 were retiring.
- ❖ In spring 2001, principals across southern Virginia received letters of solicitation from North Carolina offering perks and touting the advantages of their state's retirement system over that offered in Virginia.

### **Professional Development**

- ❖ More than 70% of Virginia principals indicated a high or average need for professional development in using research for educational improvement; data driven decisions; assessing students using multiple criteria; and faculty staff development.
  - ❖ 85% of Virginia principals identified inadequate time to network and collaborate with peers as a major problem.
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The 2001 Virginia Principals Study conducted by Michael DiPaola and Megan Tschannen-Moran, School of Education, College of William & Mary, in conjunction with the Virginia Association of Secondary School Principals (VASSP) and the Virginia Association of Elementary School Principals (VAESP) clearly indicates that the shortage of principals in Virginia is real--and serious. Addressing supply and demand concerns, the study's associated survey revealed that 56 percent of principals and assistant principals intend to retire within nine years.<sup>33</sup> Of critical concern, however, is the clear distinction between a perceived shortage of the number of licensed education leaders and a shortage of qualified, willing candidates. Statistical and anecdotal evidence presented to the Commission indicate that the "real" shortage falls in the latter category, challenging education leaders and policymakers to grapple with ways to enhance the quality of leadership as well as the desirability of the principalship itself.<sup>34</sup>

Clearly, a variety of increasingly difficult challenges have plagued the principalship in Virginia: increased emphasis on accountability for school performance, an articulated need for increased autonomy and authority, particularly in hiring and firing of instructional personnel; the need for more assistant principals, especially in elementary schools; frustrations with increased hours and expanding duties and decreasing job "do-ability"; lack of school division support; and increased, appropriate compensation and

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<sup>33</sup>Meeting summary, September 20, 2002, Commission meeting; *see also*, M. DiPaola and M. Tschannen-Moran, School of Education, College of William & Mary, in conjunction with the Virginia Association of Secondary School Principals and the Virginia Association of Elementary School Principals, *2001 Virginia Principals Study* (2001).

<sup>34</sup>Meeting summary, October 18, 2002, Commission meeting.

recognition. According to the 2001 Principals Study, salary increases for Virginia principals have lagged behind those for teachers in the past five years; 46 percent of principals indicated that their increases were smaller than those of teachers (see Staffing Levels and Compensation, below).<sup>35</sup>

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### DOCUMENTING A SHORTAGE OF PRINCIPALS IN VIRGINIA

Excerpts from 2001 Virginia Principals Study conducted by Michael DiPaola and Megan Tschannen-Moran, School of Education, College of William & Mary, in conjunction with VASSP and VAESP

#### Principals (and Assistant Principals (APs)) Survey Conducted in Spring 2001

##### General Data:

- ❖ October 1999: 126 of 132 school divisions report that 9% of all administrators are newly hired (annual increase of 8% over the previous two years).
- ❖ 95% of principals/assistant principals (APs) had been classroom teachers prior to assuming principalship; 75% had been an assistant principal in an elementary, middle, or high school.
- ❖ Principals/APs reported: 31% work 50-54 hours a week; 25% work 55-59 hours; 16% work 60-64 hours; 12% work 65+ hours weekly. (pp. 4, 7, 9.)

##### Supply and Demand:

- ❖ 52% of respondents were 50 years of age or older with more than 25 years of experience.
- ❖ 74% of respondents were 45 years of age or older.
- ❖ One in five respondents (20%) were 55 or older; 4% were age 60 or older.
- ❖ 26% reported plans to retire; 2% indicated intent to seek position outside education within 5 years.
- ❖ 11% indicated intent to seek central office position.
- ❖ **Only 2% indicated intent to seek superintendency.**
- ❖ **56% of principals and APs indicated intent to retire within 9 years.**
- ❖ Retirements are estimated at 8% annual rate from 2004-2006.

"The fact that half the sample was over 50 years of age is a cause for concern. The small number (4%) over 60 indicated that principals are retiring or leaving the role as they become eligible. Over a third of the sample is between 50 and 55. The nearly three quarters with over 20 years of experience reflect an influx into education in the 1970s. Over half the current principals plan to retire in the next nine years, with an average of 8% a year from 2004-2006." (pp. 22, 23, 25).

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To address shortages, the October 2002 report, *School Leadership in an Era of Accountability*, commissioned by CEPI and funded by SAELP for use by the Commission and the CEPI Task Force and authored by Pamela Tucker, Assistant Professor, University of Virginia, and Megan Tschannen-Moran, Assistant Professor, College of William & Mary, suggested increased identification of talent within schools and school divisions, perhaps using assessment centers to examine the "disposition and temperament of prospective leaders before resources are invested in training"; financial sponsorship of candidates in education and internships or in exchange for service; statewide recruitment efforts "for a broad cross-section of educators"; incentive systems based on school improvement rather than seniority; and the creation of a principal scholarship loan program.<sup>36</sup>

In exploring recruitment and retention concerns as well as leadership quality challenges, the Commission examined a plethora of initiatives in its first year of study, including principal preparation programs that may focus on fewer, high-quality

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<sup>35</sup>Meeting summary, July 15, 2002, Commission meeting.

<sup>36</sup>Meeting summary, October 18, 2002, Commission meeting.



participants or particular specialties; the use of state "academies" for education leaders; the creation of relocation or housing incentives; alternative licensure and "nontraditional" candidates; school governance, potential job-sharing, and the appropriate delegation of administrative authority; recruitment and "grooming" of potential candidates; and effective professional development to sustain school administrators in a challenging, ever-changing educational environment. Increasing partnerships between schools and higher education--as well as with community agencies--and providing financial aid for school division recruitment efforts were cited. Other issues garnering Commission review were portability of benefits, transfer of sick leave, and compensatory time. Flexibility and hiring authority, additional assistance for struggling schools, and annual performance evaluations for probationary and continuing contracting principals were also explored within the study's directives.<sup>37</sup>

### **Principals in Virginia Public Schools**

Described as "the single most important person in a school," the Virginia public school principal is to "set the tone and expectations for learning."<sup>38</sup> Employed by the school board upon the recommendation of the division superintendent, the principal is responsible for "instructional leadership and effective school management that promotes positive student outcomes, including achievement of individual students."<sup>39</sup>

#### **Employment**

Like teachers, persons employed as principals, assistant principals, and supervisors must also complete a three-year probationary term of service before achieving continuing contract status; this probationary term is required even if the individual has previously reached continuing contract status as a teacher. Continuing contract status does not insulate the principal from reassignment to a teaching position and a concomitant salary reduction. While a showing of "good and just cause" is not necessary to support reassignment, any reassignment or salary reduction must be preceded by written notice and an opportunity to meet with the division superintendent, his designee, or the school board. The decision to reassign and reduce salary ultimately rests with the school board.<sup>40</sup> In addition, as school employees, principals are entitled to various notice and hearing requirements in certain cases involving suspensions for good cause.<sup>41</sup>

#### **Preparation and Licensure**

Acknowledging the crucial leadership role filled by the school principal, the 1986 Governor's Commission on Excellence in Education cited the need for revision in

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<sup>37</sup>Meeting summaries, June 27, July 15, and September 20, 2002, Commission meetings.

<sup>38</sup>The Report of the Governor's Commission on Excellence in Education, *Excellence in Education: A Plan for Virginia's Future* at 11 (October 1986) [hereinafter referred to as *Excellence in Education*].

<sup>39</sup>Va. Code § 22.1-293 A (2000); 8 VAC 20-131-210 A (last updated February 11, 2002).

<sup>40</sup>Va. Code § 22.1-294 (2000).

<sup>41</sup>Va. Code § 22.1-315 (2002 Supp.).

graduate programs in school administration to enhance preparation and training.<sup>42</sup> Persons employed as principals must hold a Postgraduate Professional License and must have had three years of full-time teaching experience. In addition, the principal must have completed an approved principal preparation program, including a full-time internship.

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### HIGHLIGHTS:

#### Report of the Governor's Commission on Excellence in Education ~ October 1986

"Excellence in Education: A Plan for Virginia's Future"

**T**he principal is the single most important person in a school. We need to examine more carefully how principals are selected, prepared, compensated, and recertified. The first priority for principals is to set the tone and expectations for learning. Educational leadership is the most important part of principals' jobs, and, unfortunately, often the part for which they are least prepared.

**W**e therefore recommend that public and private colleges and universities revise graduate programs in school administration to provide more emphasis on assessment of leadership potential of persons who want to be principals and more training in leadership skills and teacher evaluation for those currently employed as principals. To this end, all prospective principals and those principals applying for recertification must satisfactorily complete an approved assessment program.

**P**erformance should be the standard for selecting, preparing, and compensating principals. The skills, knowledge, and behavior characteristics principals need to perform satisfactorily are known. They can be measured and taught. We recommend that by July 1, 1990, revised graduate programs in school administration be in place to enable school divisions to select persons with potential, to develop the qualities necessary for the job, and to evaluate and compensate principals based on performance.....

**G**raduate professional education centers should be established at selected state-supported universities to provide quality programs on a regional basis. Specialized graduate courses would be taught in these educational "centers of excellence" and not at every state university. By doing this we could improve the quality of graduate education and reduce costly duplication. The responsibility for accomplishing this, by July 1, 1990, should be assigned to the State Council of Higher Education, working closely with the Board of Education.

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In addition, candidates for an endorsement in administration and supervision preK-12 must hold a master's degree; have completed three years of successful, full-time classroom teaching experience; and completed an approved administration and supervision program that embraces issues as diverse as student growth and development; principles of organizational development, including school facility and fiscal operations, safety, and human resources management; school-community relations; various ethical and legal issues; and the role of education in a democratic society. In addition, this endorsement also requires either the completion of a "beginning administration and supervision assessment" or a one-year internship. One year of full-time experience as an assistant principal or principal may substitute for the one-year internship.<sup>43</sup>

A collaborative effort of the Department of Education and SCHEV, the Task Force to Evaluate and Redesign Preparation Programs and Professional Development for School Leaders has met twice in 2002. Led by the Superintendent of Public Instruction

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<sup>42</sup>*Excellence in Education*, *supra* note 1, at 11.

<sup>43</sup>8 VAC 20-21-50 ; 8 VAC 20-21-580 (last updated February 11, 2002).

and the Director of SCHEV, the task force is expected to explore a variety of existing and recommended strategies for preparing K-12 education leaders. Already, six issues have come to the forefront in task force deliberations: (i) the use of internships; (ii) the existence of a principal shortage despite the fact that the supply of endorsed individuals exceeds the number of education leadership positions; (iii) the lack of collaborative partnerships between university preparation and the hiring school divisions; (iv) real as well as perceived barriers to the principalship; (v) the role, purpose, intent of approved preparation programs and their impact on performance; and (vi) the relationship between the community, the task force, and educators. The task force expects to make tentative recommendations in the spring, with recommendations to the Commission and VCU's Commonwealth Educational Policy Institute in summer 2003. Acknowledging the role of the Commission in targeting legislative and policy issues, the task force will likely focus more on regulatory and policy concerns.<sup>44</sup>

As the work of the Commission and Task Force continue to unfold, however, efforts of the Department of Education to implement assessment of principals based on the Interstate School Leaders Licensure Consortium (ISLLC) standards have been placed on hold. In 1998, the Commonwealth's preparation of principals shifted from a coursework focus to a competency-based process. While a passing score is still required on the School Leaders Licensure Assessment (SLLA), a full-time internship as a principal or one year of successful, full-time principal experience may be substituted. Virginia has adopted the ISLLC standards; a 100 percent match was determined between those standards and the SLLA.<sup>45</sup>

In exploring preparation programs, Commission members noted the need for coordination between the Board of Education and SCHEV to ensure that the performance and leadership standards described in the Board's *Guidelines for Uniform Performance Standards and Evaluation Criteria for Teachers, Administrators, and Superintendents* are reflected in preparation and training programs for principals and superintendents in institutions of higher education.<sup>46</sup>

In addition, the Commission acknowledges that preparation programs for school administrators should be anchored in the "real world" challenges and tasks facing principals and superintendents (see below); licensure standards should be rigorous and monitored.<sup>47</sup> Increased accountability for preparation programs also merited Commission consideration; members discussed further examination by the Board of Education, SCHEV, or other entities of the effectiveness of principal and superintendent education

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<sup>44</sup>Meeting summary, September 20, 2002, Commission meeting.

<sup>45</sup>Meeting summary, September 20, 2002, Commission meeting.

<sup>46</sup>Meeting summary, September 20, 2002, Commission meeting. Currently, evaluation criteria for principals, assistant principals, central officer personnel, and superintendents are based on five areas: planning and assessment; instructional leadership; safety and organizational management for learning; communication and community relations; and professionalism. (Virginia Department of Education, Division of Teacher Education and Licensure, *Guidelines for Uniform Performance Standards and Evaluation Criteria for Teachers, Administrators, and Superintendents* at 14, 15 (January 2000)).

<sup>47</sup>Meeting summary, July 15, 2002, Commission meeting.

and training programs in preparing educational leaders for the increasingly difficult challenges facing public schools in the 21st century.<sup>48</sup>

The *School Leadership in an Era of Accountability* report suggests redesigning professional preparation programs to focus on teaching and learning and to include mentored internships of six months to one year; expanding curriculum to include data analysis, school improvement, and student assessment; the use of standards-based program evaluations and performance-based assessments for program graduates; and multiple licensure routes, perhaps incorporating the use of portfolios or demonstrated mentored performance or creating a two-tiered system. Additional testimony also suggested the potential creation of some form of a two-level system, including one with a master-level license for administrators (similar to that available to teachers through the National Board for Professional Teaching Standards).

The Commonwealth, having previously adopted the ISLLC standards, has already required some restructuring of university preparation programs. Commission testimony also cited requiring training in data-driven decisionmaking, strategic planning skills, and communication and management for inclusion in preparation or in licensure requirements.<sup>49</sup>

Currently helping support quality and accountability in administrator preparation programs is private accreditation; 11 of Virginia's 15 approved administration and supervision programs are accredited by the National Council for Accreditation of Teacher Education (NCATE).

### **Approved Programs for Administration and Supervision of PreK-12 in Virginia**

1. College of William and Mary\*
2. George Mason University\*
3. James Madison University\*
4. Liberty University
5. Longwood University\*
6. Lynchburg College
7. Norfolk State University\*
8. Old Dominion University\*
9. Radford University\*
10. Regent University
11. Shenandoah University
12. University of Virginia\*
13. Virginia Commonwealth University\*
14. Virginia State University\*
15. Virginia Tech\*

\*accredited by the National Council for Accreditation of Teacher Education (NCATE)<sup>50</sup>

**Internships and mentoring.** Defining an "internship" for purposes of endorsement in administration remains a challenge. Standards for these internships are necessary to ensure a valuable training and "hands-on" experience; some individuals

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<sup>48</sup>Meeting summary, September 20, 2002, Commission meeting.

<sup>49</sup>Meeting summary, July 15 and October 18, 2002, Commission meeting.

<sup>50</sup>Meeting summary, September 20, 2002, Commission meeting.

servicing "full-time" internships nonetheless hold other employment simultaneously. The Board of Education and SCHEV might collaborate to develop, as part of approved programs, guidelines for mentorships. Similarly, standards for internships would enhance consistency and quality in the training experience. Finally, compensation for mentors as well as interns might prove an attractive inducement for participation in the training of future education leaders.<sup>51</sup>

The Commission recognizes the critical value of mentoring, internship, and leadership academy initiatives in effectively preparing strong leaders for Virginia's schools. The Commission encourages the sharing of ongoing, successful practices already in place in several Virginia school divisions--such as Henrico, Newport News, Fairfax, Bedford, Norfolk--that provide invaluable experiences to education leaders.

**Performance evaluation.** The Education Accountability and Quality Enhancement Act of 1999 directed local school boards to adopt for use by division superintendent "clearly defined criteria for a performance evaluation process for principals, assistant principals, and supervisors that includes, among other things, an assessment of such administrators' skills and knowledge; student academic progress and school gains in student learning; and effectiveness in addressing school safety and enforcing student discipline." The division superintendent is to implement this performance evaluation process in making employment recommendations to the school board pursuant to § 22.1-293.<sup>52</sup>

Using multiple measures to hold principals accountable—such as teacher attendance and turnover, dropout rates, and specific, required skills, rather than sole reliance on student test scores—merited Commission discussion in 2002.<sup>53</sup>

### **Staffing Levels and Compensation**

Principals and supervisory personnel are not included within the instructional personnel pupil-teacher ratios detailed in Standard 1 of the Standards of Quality (SOQ).<sup>54</sup> The Standards of Accreditation and Standard 3 of the SOQ, however, dictate staffing levels for principals and other personnel according to type of school and student enrollment. The principal at each middle and high school must be employed on a 12-month basis.<sup>55</sup>

Currently, the Standards of Quality (SOQ) staffing levels for elementary school principals and assistant principals is one half-time to 299 students, and one each full-time at 300 students. The 2002 Joint Legislative Audit and Review Commission (JLARC) Review of Elementary and Secondary School Funding recommended that the Board of Education "should examine the Standards of Accreditation provisions for assistant

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<sup>51</sup>Meeting summaries, July 15, September 20, and October 18, 2002, Commission meetings.

<sup>52</sup>Va. Code § 22.1-294 B (2000); 1999 Acts of Assembly, cc. 1030; 1037.

<sup>53</sup>Meeting summary, July 15, 2002, Commission meeting.

<sup>54</sup>Va. Code § 22.1-253.13:1 (2002 Supp.).

<sup>55</sup>8 VAC 20-131-240 A, B (last updated February 11, 2002); Va. Code § 22.1-253.13:3 B (2002 Supp.).

principals and the use of half-time principals at elementary schools with enrollments below 300 pupils."<sup>56</sup> Commission testimony also noted the need to increase staffing in low-performing schools.<sup>57</sup>

### Staffing Levels for Principals and Assistant Principals

Standards of Accreditation ~ 8 VAC 20-131-240

Position	Elementary	Middle	High
Principal	1 half-time to 299 1 full-time at 300	1 full-time	1 full-time
Assistant Principal	1 half-time at 600 1 full-time at 900	1 full-time each 600	1 full-time each 600

In 1999-00, approximately 1,880 principals were employed in Virginia public schools. The average salary for these administrators was \$67,487, with school divisions reflecting a high of \$86,446 in Arlington and a low of \$48,565 in Highland County. Assistant principals numbered approximately 1,900, averaging \$56,225 in annual salary; school division averages ranged from \$33,643 in Middlesex County to \$74,913 in Arlington. In that academic year, the school divisions of Bland, Highland, Scott, and Lexington did not employ assistant principals.<sup>58</sup>

### Comparison of State and Locally-Funded Instructional FTEs with Position FTEs Recognized by State Standards

JLARC Review of Elementary and Secondary School Funding, Table 16 (February 2002)

Type of Instructional Position	Number of State and Locally Funded Positions	Number of Positions Based on SOQ Standards	Percentage Actual Positions Exceed SOQ Positions
Principals	1,880	1,692	+11.1
Assistant Principals	1,912	795	+140.5
Elementary Teachers	46,433	38,256	+21.4
Secondary Teachers	31,062	26,079	+19.1
Guidance Counselors	3,311	2,656	+24.7
Librarians	1,877	1,875	+0.1

Source: JLARC staff analysis of the JLARC survey of school divisions, FTE data reported for the Annual School Report to DOE, and JLARC staff execution of DOE's SOQ model using 1999-2000 pupil counts.

According to Educational Research Services' National Survey of Salaries and Wages in Public Schools, 2001-2002 edition, average principal salaries in the southeast

<sup>56</sup>Meeting summary, September 20, 2002, Commission meeting, citing Joint Legislative Audit and Review Commission *Review of Elementary and Secondary School Funding* at 79 (February 2002).

<sup>57</sup>Meeting summary, July 15, 2002, Commission meeting.

<sup>58</sup>Virginia Department of Education, *Superintendent's Report 1999-2000*, Table 19: Total Instructional Positions and Average Annual Salaries: Principals and Assistant Principals, Teachers, Instructional Positions and Teacher Aides 1999-2000 <<http://www.pen.k12.va.us/VDOE/Publications/asrstat/1999-00/tab19.html>>(last updated April 18, 2002).

fall 7.7 percent below the national average. In contrast to the 1999-00 averages reported in the Superintendent's Annual Report, the ERS survey reported the average salary for all Virginia principals at \$41,103. The national mean salaries for elementary, middle, and high school principals were \$73,000, \$78,176, and \$83,944, respectively. Aligning school administrator salaries more closely to those of comparable positions in the private sector may help address the critical shortage of qualified principal candidates. Commission testimony indicated support for the inclusion of principals in any revised state education personnel compensation plan and for improved retirement benefits.<sup>59</sup>

### **Percent Salary Increases ~ Virginia School Principals**

#### **Report on the 2001 Virginia Principals Study**

(Virginia Association of Elementary School Principals, Virginia Association of Secondary School Principals, College of William and Mary, in conjunction with the Virginia Department of Education)

	0%	1%	2%	3%	4%	5%	6% or more
<b>1999-2000 to 2000-2001</b>	3.4	6.0	23.7	30.8	17.2	11.8	6.7
<b>1998-1999 to 1999-2000</b>	4.7	9.4	28.9	31.9	14.7	6.6	3.4
<b>1997-1998 to 1998-1999</b>	7.0	11.2	28.7	32.7	12.2	5.2	2.5
<b>1996-1997 to 1997-1998</b>	9.7	10.7	28.1	32.0	11.8	4.9	2.1

### **Qualities and Duties**

Instructional leadership, followed by community and visionary leadership, is an essential quality for school administrators, according to representatives of the Institute for Education Leadership (IEL). Noting that "everything principals do—establishing a vision, setting goals, managing staff, rallying the community, creating effective learning environments, building support systems for students, guiding instruction, etc.—must be in service to student learning," IEL president Barbara Hale told the Commission that the demands of a typical 60-hour principal workweek suggest a need to "re-culture" the school environment to accommodate new ways of communicating and collaborating. In addition, school leadership should be effectively distributed to other school-based staff, local councils, parents, students, and "external stakeholders." Commission testimony also indicated the need for multiple kinds of expertise within the principal team, as well as the potential restructuring the principal's role to allow the administrator to act as "CEO of Instruction," aided by a "team" of associates to the principalship. Recognizing the multiplicity of principal duties and responsibilities, one education leadership expert addressing the Commission suggested a formal study or survey of time spent "on the job" by Virginia principals.<sup>60</sup>

By statute, the school principal is to "provide instructional leadership" and is responsible for the administration, management, and supervision of school operations, subject to school board regulations and division superintendent supervision.<sup>61</sup> Distinguishing the principal as "instructional leader"—the individual who is not

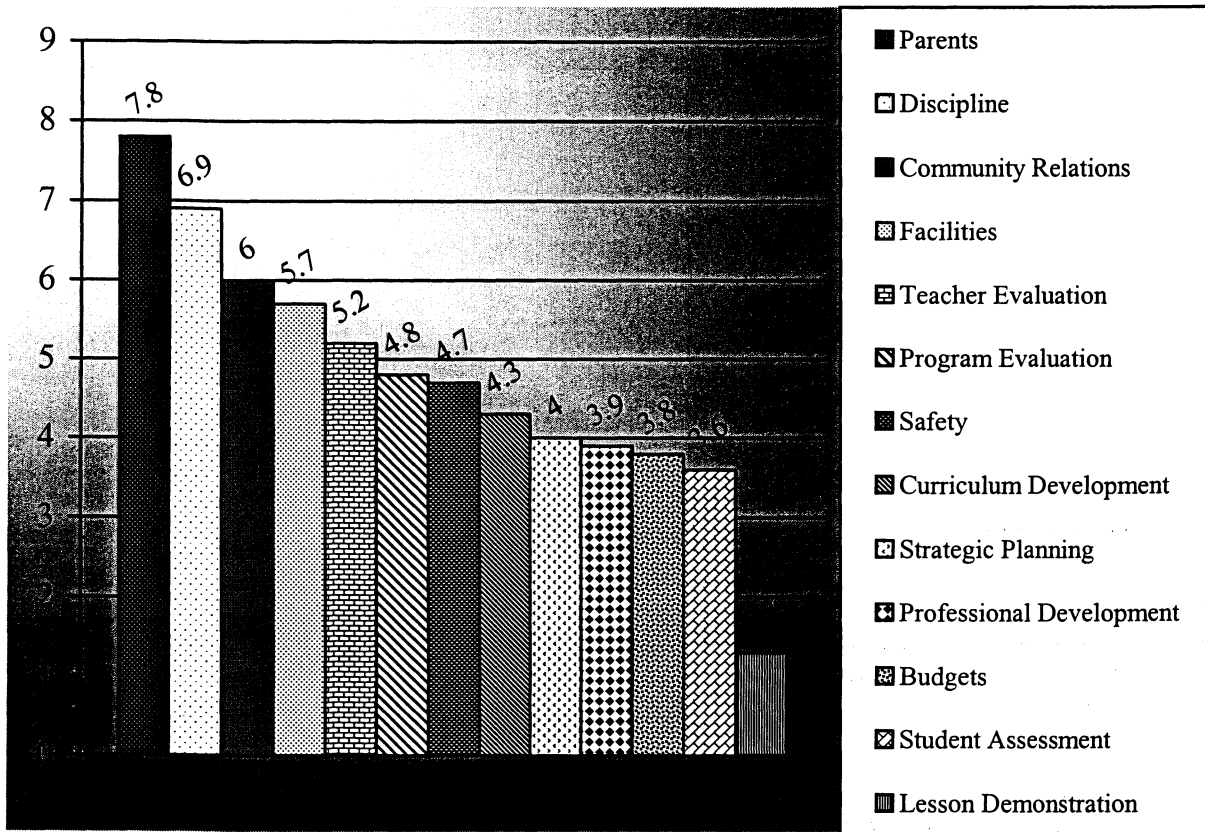
<sup>59</sup>Meeting summary, July 15, 2002, Commission meeting.

<sup>60</sup>Meeting summaries, July 15 and October 18, 2002, Commission meetings.

<sup>61</sup>Va. Code § 22.1-293 B (2000).

necessarily a master teacher, but who is responsible for student performance and positive results--merited Commission consideration throughout its deliberations. While it may be unrealistic to expect the principal to be a curriculum expert in calculus, world history, and biology, accountability for school performance demands a leader who can support instructional personnel and promote effective practices as well as student achievement.<sup>62</sup>

### Hours Per Week ~ Principal Duties (Nationwide)



Survey Conducted by the National Association of Secondary School Principals and the Milken Family Foundation  
Presented by Elizabeth Hale, President, Institute for Educational Leadership (IEL)--July 15, 2002, Commission meeting

Among the principal's statutory powers and responsibilities are (i) reporting of student enrollments;<sup>63</sup> (ii) enforcement of compulsory school attendance requirements and the grant of certain waivers and excuses; (iii) participation in the development of individual student alternative education plans;<sup>64</sup> (iv) coordination with parents in ensuring compliance with student conduct requirements;<sup>65</sup> (v) reporting of certain crimes and incidents to the division superintendent;<sup>66</sup> (vi) management of certain funds for materials

<sup>62</sup>Meeting summary, October 18, 2002, Commission meeting.

<sup>63</sup>Va. Code § 22.1-260 (2000).

<sup>64</sup>Va. Code § 22.1-254; 22.1-258 (2000 and 2002 Supp.).

<sup>65</sup>Va. Code s 22.1-279.3 (2002 Supp.).

<sup>66</sup>Va. Code § 22.1-279.3:1 (2002 Supp.).



and supplies;<sup>67</sup> (vii) the imposition of short-term student suspensions;<sup>68</sup> and (viii) recommendations regarding appointment, assignment, promotion, transfer, and dismissal of school personnel.<sup>69</sup>

Principals surveyed by IEL indicated that school administrators must "establish modes of shared monitoring of curriculum and instruction"; create "settings for teachers to acquire new content and instructional skills"; and "engage teachers in analyzing and understanding effective practices." Research suggests that organizational success—academic achievement within a school or school division, for example—is undergirded by a shared purpose—the alignment of individuals' values with a greater goal, and coherence among programs. In addition, research indicates that leadership "resides in relationships among people"—such as those between administrators and teachers—which, if positive, can promote shared action and values.<sup>70</sup>

### Top School Principal Leadership Qualities Education World Survey

43 principals were to "identify the ten traits they felt were the most essential traits of a strong school leader and to rank them in order of importance from 1 (most important) to 10 (least important of the ten)" from a list of 15 leadership qualities.

1. Has a stated vision for the school and a plan to achieve that vision.
2. Clearly states goals and expectations for students, staff, and parents.
  3. Is visible -- gets out of the office; is seen all over school.
  4. Is trustworthy and straight with students and staff.
  5. Helps develop leadership skills in others.
6. Develops strong teachers; cultivates good teaching practice.
  7. Shows she or he is not in charge alone; involves others.
  8. Has a sense of humor.
  9. Is a role model for students and staff.
10. Offers meaningful kindness and kudos to staff and students.

Source: Education World, From the Principal Files: *Principals Identify Top Ten Leadership Traits* (September 22, 2000)  
<[http://www.education-world.com/a\\_admin/admin190.shtml](http://www.education-world.com/a_admin/admin190.shtml)>

The SOA also detail a multifaceted role: the principal is not only the instructional leader, but also a manager, disciplinary authority, academic performance analyst, evaluator of teachers, records keeper, and public relations spokesperson. Indeed, it is the school principal who, as school manager, is to collaborate with staff "to create an atmosphere of mutual respect and courtesy and to facilitate constructive communication by establishing and maintaining a current handbook of personnel policies and procedures...." The principal must also maintain licensure, endorsement, and training records and encourage family and community involvement with the school.<sup>71</sup>

<sup>67</sup>Va. Code § 22.1-122.1 (2000).

<sup>68</sup>Va. Code § 22.1-277.04 (2002 Supp.).

<sup>69</sup>Va. Code § 22.1-293 C (2000).

<sup>70</sup>Meeting summary, July 15, 2002, Commission meeting.

<sup>71</sup>8 VAC 20-131-210 B, C (last updated February 11, 2002).

Consistent with this managerial authority, the principal is statutorily empowered to submit recommendations to the division superintendent for the appointment, assignment, promotion, and dismissal of personnel under his supervision. Acknowledging the significance of this staff evaluator role is the statutory requirement that principals must receive training in the "evaluation and documentation of employee performance"; assistant principals and other administrative personnel participating in the employee evaluation process must also receive this training.<sup>72</sup> Preparation of the biennial school plan is indirectly the principal's duty, as the SOA require "each school [to]... prepare and implement a biennial school plan which shall be available to students, parents, staff and the public."<sup>73</sup>

### **A Challenge for Education Leaders: Closing the Achievement Gap**

The *Achievable Dream* Urban School Learning and Leadership Institute in Newport News and the Achievable Dream (AD) initiative support efforts in training educators and administrators in closing the achievement gap. National data comparing the performance of minority and majority students indicate an achievement gap of 15 to 40 percentage points on standardized tests. Achievable Dream has virtually eliminated this performance gap, with its students surpassing the Virginia student average on SOL tests. In 2001, the gap between majority and minority students stood at 29 percent, and at about 10 percent between Achievable Dream students (71 percent) and majority students (81 percent). In 2002, both Achievable Dream students and majority students SOL performance stood at 79 percent.

Describing the public-private partnership between Achievable Dream, Inc., and the Newport News Public Schools, Dr. Thelma Spencer, Chief Operating Officer, noted that Achievable Dream initially began in 1992 as a summer tennis program for at-risk youth. In 1994, the program became a school within a school, serving grades 3 through 5. Today, the program is in its third year as a year-round school, with 750 students in grades K-8 at the Achievable Dream Academy, and 175 high school students within comprehensive high schools. All participating students are eligible for free or reduced price lunch; 96 percent are minority students. Students enrolled in Achievable Dream demonstrate "multiple social risk factors," such as free/reduced lunch eligibility, school attendance or discipline issues, and various housing and family concerns.

Representatives attribute the success of Achievable Dream to solid leadership, a comprehensive plan, and research-support educational strategies. More specifically, according to Richard Coleman, Principal, An Achievable Dream Academy, a longer school day (8.5 hours), year-round calendar (30 additional days), curriculum alignment, Saturday sessions--"by invitation only"--designed to assist youngsters who are not reading on grade level, pre- and post-testing initiatives, data-driven decisions, ongoing professional development, and the overall school climate and culture support the program's success. Also contributing to program success are daily accountability for teachers, a social skills training component, healthy living and conflict mediation efforts, continuous character development, tennis, school uniforms, and additional teacher assistants and tutors.

Private sector funding--totaling \$500,000 from Achievable Dream--supports the uniforms and additional tutors; public school funds support the extended day initiative. The private sector support results in nearly \$1,800 additional per pupil expenditure for AD students. The Academy's school year begins on July 28, with a two-week intersession following the initial nine-week period. Pre-tests in grades K-8 help refine the focus of the intersession remediation and enrichment; a post-test indicates the effectiveness of the intersession. Disaggregated data is used throughout the school year to guide decisionmaking.

"Awareness" sessions in the Newport News schools prompt students and parents to apply for admission to the Achievable Dream program. The initial "target" population is second grade students performing in the second and third quartiles who are also on free and reduced-price lunch. Academy students in grades K-2 are area pupils, while grade 3 draws students from all over the city. Parents sign a "contract" with Achievable Dream, indicating, among other things, their pledge to provide study space at home. Adult education, with child care, is available two nights a week through the program. The Academy boasts the highest PTA membership in the division, with the school serving almost as a community center. High school students are required to apply for at least 10 scholarships to pursue higher education. An Urban Learning Center/Leadership Institute is also associated with the Achievable Dream initiative. The AD program does not experience a high turnover in teachers; the four losses this past year were due to geographic relocations.<sup>74</sup>

<sup>72</sup>Va. Code § 22.1-293 C (2000).

<sup>73</sup> 8 VAC 20-131-140; 8 VAC 20-131-180 B; 50 8 VAC 20-131-290 C (last updated February 11, 2002).

<sup>74</sup>Meeting summary, October 18, 2002, Commission meeting.

Increased accountability for student and school performance, as evidenced by the implementation of the revised Standards of Learning and the accompanying assessments and the phasing-in of the revised Standards of Accreditation, has enhanced, as well as created, duties for school principals. Schools that are accredited with a warning in English or mathematics must implement an "instructional method that has a proven track record of success"; the school principal (and the superintendent) must certify that such an instructional method has indeed been adopted and implemented.<sup>75</sup>

## Professional Development

Ensuring the continued professional development of administrative personnel is Standard 5 of the Standards of Quality, which mandates these programs "to increase proficiency in instructional leadership and management."<sup>76</sup> Equipping school administrators to meet the challenges of the then-recently-revised Standards of Learning prompted the introduction and passage of various legislative initiatives in the late 1990s. Recognizing that "[s]chool administrators provide critical leadership in implementing change and maintaining excellence in our public schools," the Commission on the Future of Public Education recommended in 1998 the establishment of leadership standards and training programs for school administrators as well as superintendents.<sup>77</sup>

The 1998 Session of the General Assembly adopted the Commission's recommendation directing the Board of Education to establish a two-year educational leadership and professional development program that would include "[l]eadership training for division superintendents and principals which is designed to be consistent with the Standards of Quality and to assist in the implementation of the Standards of Learning and the Standards of Accreditation...."<sup>78</sup> The 1998-2000 biennial budget included over \$8 million in the first year and more than \$16 million in the second year to support, among other things, leadership training for principals and superintendents "in implementing the SOLs, with the goal of ensuring student success on the Standards of Learning tests."<sup>79</sup> Education experts testifying before the Commission contended that increased emphasis on educational accountability calls for enhanced professional development programs focusing on instructional issues and new accountability standards; Virginia's past commitment to provide administrator training in the implementation of the SOL and SOA would seem to be reflective of this contention.<sup>80</sup>

The October 2002 report, *School Leadership in an Era of Accountability*, indicated that professional development might be enhanced through clinical faculty or mentor initiatives for beginning principals; one-on-one telephone coaching; the creation of leadership academies and collaborative professional development councils; and an

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<sup>75</sup>8 VAC 20-131-310 B, C.

<sup>76</sup>Va. Code § 22.1-253.13:5 (2000).

<sup>77</sup>Report of the Commission on the Future of Public Education, *House Document No. 48* at 17(1998).

<sup>78</sup>Va. Code 1998 Acts of Assembly, c. 826, cl. 2.

<sup>79</sup>1998 Acts of Assembly, c. 464, § 1-52, Item 138 C 6.

<sup>80</sup>Meeting summary, July 15, 2002, Commission meeting.

improved support network offered by professional organizations as well as school divisions.

Noted in Commission testimony were the particular challenges of providing adequate professional development opportunities for school administrators in smaller school divisions. While a variety of organizations provide continuing education initiatives, there is little coordination among the course offerings. Increased regional efforts, combining the contributions of school divisions, higher education, and professional organizations, might effectively address this concern.<sup>81</sup> Having received testimony regarding the effectiveness of North Carolina's PEP initiative and similar "principal academies," the Commission considered the potential creation of a leadership academy in the Commonwealth; however, current budgetary constraints precluded further development of this concept.<sup>82</sup>

The Commission recognizes that the development of quality education leadership is contingent upon the identification of those skills and qualities necessary to meet the ever-changing challenges within the public education environment. Clearly identifying these skills, roles, and duties--and creative sources and modes of delivery of this leadership training--will more effectively communication of what is required--and expected--of Virginia's educational leadership. The Commission applauds ongoing efforts by school boards, institutions of higher education, professional organizations, and the Board of Education to provide quality training and professional development opportunities and will continue to examine ways to enhance the delivery of training that best prepares Virginia's school administrators.

### **Leadership Standards**

Testimony before the Commission reaffirmed the value of leadership standards for principals and those who train them. Although 48 states have adopted some sort of standards-driven curriculum and testing, none has similar standards for principals. Forty-two states, including the Commonwealth, have adopted the ISLLC standards, but little direction exists among policymakers as to their implementation or assessment. The Educational Testing Service (ETS) has developed school leader licensure and portfolio assessments as well as a school superintendent assessment consistent with ISLLC standards. These leadership standards might not only identify a curriculum framework for principal training and professional development, but also serve as guidelines for principals striving to hone their skills and improve services offered to students. Representatives of principal professional organizations also suggested renewal of licensure and the development of a required professional growth plan based on the ISLLC standards.

The implementation of any school administrator standards calls into question the adequacy of current training and professional development programs; the availability of technical assistance; the potential basis for these standards—whether national, regional, or state expectations; and responsibility for the interpretation of such standards. While principals may be given an array of standards, they will also require guidance and training in the identification, implementation, and sustaining of strategies to support these standards.<sup>83</sup>

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<sup>81</sup>Meeting summary, October 18, 2002, Commission meeting.

<sup>82</sup>Meeting summary, September 20, 2002, Commission meeting.

<sup>83</sup>Meeting summary, July 15, 2002, Commission meeting.

To support educational accountability, Standard 3 of the Standards of Quality directs local school boards to provide principals--and teachers--with periodic in-service training in assessment preparation and measurement of student achievement.<sup>84</sup> In addition, the Board of Education is directed, pursuant to Standard 5, to sponsor or support professional development and training for principals and superintendents generally, and to provide "training for all administrative and supervisory personnel in the evaluation and documentation of teacher and administrator performance based on student academic progress and the skills and knowledge of such instructional or administrative personnel...." Similarly, local school boards are to provide professional development opportunities for administrative personnel "designed to increase proficiency in instructional leadership and management, including training the evaluation and documentation of teacher and administrator performance based on student academic progress and the skills and knowledge of such instructional or administrative personnel."<sup>85</sup>

## **Division Superintendents in the Commonwealth**

### **Employment and Qualifications**

Acknowledging state and local responsibility for public education, the Virginia Constitution of 1870 provided for the appointment by the Board of Education of "county superintendents." Today the local school board appoints a division superintendent from a list of eligible candidates certified by the Board of Education; Board regulations prescribe qualifications for the position.<sup>86</sup> The eligibility list is restricted to "individuals whose records attest to good character and demonstrated ability as an educational administrator."<sup>87</sup>

Board of Education regulations provide that the division superintendent license is "a five-year, renewable license available to an individual who has completed an earned master's degree from an accredited institution of higher education and meets the requirements specified in Board regulations. Currently, regulations provide four options for licensure as division superintendent:

**Option 1:** Hold a doctorate degree in educational administration or educational leadership from an accredited institution and must have completed five years of educational experience in a public school or accredited nonpublic school. Two years of this experience must be comprised of teaching experience at the K-12 level and two years of administrative or supervisory experience at the K-12 level; or

**Option 2:** Hold a master's degree plus 30 hours of additional graduate study and must have completed requirements for principal endorsement, demonstrating competency in a variety of areas, such as leadership, budget management, school law, and personnel management. Like Option 1, five

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<sup>84</sup>Va. Code § 22.1-253.13:3 G (2002 Supp.).

<sup>85</sup>Va. Code § 22.1-253.13:5 D, F (2000).

<sup>86</sup>Va. Code §§ 22.1-58; 22.1-59 (2000); Va. Const. of 1870.

<sup>87</sup>8 VAC 20-390-10 [last updated February 11, 2002].

years of teaching experience are necessary, two of which must be of teaching experience at the K-12 level and two years of administrative or supervisory experience; or

**Option 3:** Hold a master's degree, have a valid, current out-of-state license with an endorsement as a division superintendent, and have completed five years of teaching experience, two of which must be of teaching experience at the K-12 level and two years of administrative or supervisory experience.

**Option 4:** Hold a master's degree, have "held a senior leadership position such as Chief Executive Officer or senior military officer; and ...[been] by a school board interested in employing the individual as superintendent."<sup>88</sup>

Commission discussion has focused on the employment of such "nontraditional" candidates as superintendents in large urban school divisions such as Los Angeles, Chicago, and New York City. In contrasting the principalship with the superintendency, members cited the principal's critical role as instructional leader and the superintendent's managerial duties.<sup>89</sup>

Modifying Board regulations to allow teaching experience in higher education to satisfy the current teaching requirement for individuals to obtain a superintendent's license merited Commission consideration. Current regulations limit the required teaching experience to the K-12 classroom. The Commission noted the possibility of making such a modification, but requiring an internship or practicum in the K-12 classroom for these individuals. It was noted that such alternative teaching experience would be less appropriate for principals, who must be the school instructional leader. The issuance of local eligibility licenses was also briefly discussed.<sup>90</sup>

Superintendents may serve initial terms of two to four years; at the end of the initial term, the school board may specify a subsequent term not to exceed four years. All terms expire on June 30.

Legislation adopted in 1996 deleted the requirement that superintendents be appointed within 60 days before March 1 of the year in which the term of an incumbent superintendent expires; a superintendent need only be appointed within 180 days after any vacancy occurs. School boards failing to appoint a superintendent within 120 days after any vacancy--not simply those occurring other than by expiration of a term--must submit in writing a report to the Superintendent of Public Instruction indicating its timely efforts to make an appointment. School boards have 60 days to replace an appointee who has obtained a release from the appointment prior to assuming office. Should the board not make an appointment within the prescribed time period, the Board of Education may select the division superintendent.

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<sup>88</sup>8 VAC 20-21-10; 8 VAC 20-21-590.

<sup>89</sup>Meeting summary, September 20, 2002, Commission meeting.

<sup>90</sup>Meeting summary, July 15, 2002, Commission meeting.

Any two or more divisions may appoint the same superintendent; part-time superintendents must be approved by the Board of Education. With Board approval, a part-time division superintendent may also serve as a school principal. Members of the local governing body and the school board, state employees, federal and state officers, and chairmen of political parties may not serve as division superintendents.<sup>91</sup> Division superintendents may be fined, suspended, or removed for sufficient cause by either the Board of Education, upon the recommendation of the Superintendent of Public Instruction, or the local school board.<sup>92</sup>

Board regulations detail salary calculation requirements based on a minimum salary supplemented by a per-pupil sum and school division enrollment. The state supplies 60 percent of this amount, the locality provides the remaining 40 percent. The local school board may supplement the prescribed salary with local funds.<sup>93</sup>

### **Duties and Responsibilities**

The administrative, fiscal, and policy duties and challenges facing Virginia school division superintendents are not a recent development; the Spong Commission noted in 1961 that

*the problems and complexity of school finance leave the average district superintendent, the person traditionally expected to provide academic leadership, little time for the strengthening of curriculum or faculty. Keeping abreast of the formulae for the distribution of state and federal funds, plus the necessity of dealing annually with a politically sensitive council or county board, demand the talents of a financier rather than an educator.*<sup>94</sup>

The role of public relations and marketing executive also falls to the superintendent, as Board regulations impose a duty to not only "promote the improvement and efficiency of teachers and other school personnel by all appropriate methods" but also to "endeavor by all appropriate means to promote an appreciation and desire for education among the people."<sup>95</sup>

The powers and duties of the division superintendent are defined by state law, the Board of Education, and the local school board. It is the division superintendent who makes recommendations for the employment of principals and the placement of teachers; the assignment of these personnel within a school is also within his purview. Recommendations regarding teacher discipline and contract decisions are among the superintendent's duties as well; the superintendent also participates in grievance

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<sup>91</sup>Va. Code §§ 22.1-60; 22.1-61; 22.1-62; 22.1-63 (2000); 8 VAC 20-390-20 [last updated February 11, 2002]; 1996 Acts of Assembly, c. 759.

<sup>92</sup>Va. Code § 22.1-65 (2000).

<sup>93</sup>8 VAC 20-400-10; 8 VAC 20-400-20; 8 VAC-400-50 [last updated February 11, 2002].

<sup>94</sup>*Final Report of the Commission on Public Education* (HJR 58, 1960) at 10 (1961).

<sup>95</sup>8 VAC 20-390-110 [last updated February 11, 2002].

procedures, notifying teachers of proposed dismissals or nonrenewals and selecting a member of the fact-finding panel. Board regulations specify that the superintendent is to "see to it that teachers discharge faithfully the duties assigned to them, and any neglect or violation by teachers of any of the laws or regulations shall be promptly reported to the school board with recommendations for appropriate action."<sup>96</sup>

Described by the judiciary as "a supervisory official who exercises powers involving a considerable degree of judgment and discretion,"<sup>97</sup> the division superintendent is to keep detailed records of travel and office expenses, which are paid by the school board. It is also the duty of the superintendent to ensure that accurate records of receipts and disbursements of school funds and statistical information required by the Board of Education are maintained. He must prepare the board's annual estimate of school funds for submission to the local governing body. His attendance, or that of a designee, is required at all school board meetings.<sup>98</sup>

The division superintendent assists in the preparation of the board's annual report to the Board of Education. With the board's authorization, he may permit alternative uses of school facilities. The superintendent must approve any plans and specifications for the construction of school facilities or additions.<sup>99</sup>

The division superintendent figures prominently in issues directly affecting pupils and the delivery of educational services. The approval of teachers for home instruction as well as determinations of the adequacy of home instruction fall within his judgment. The superintendent may recommend that students who cannot educationally benefit from classroom education be excused from compulsory attendance. He receives and maintains lists of pupils who are enrolled in public school and those who are not enrolled and are not exempt from attendance; in addition, he must transmit the results of the triennial census to the Superintendent. Short- and long-term pupil suspensions are also reviewed by the division superintendent; the term of an exclusion from public school attendance may, in some cases, be determined by the division superintendent. Student participation in remediation, intervention, or prevention initiatives may be directed by the superintendent.<sup>100</sup>

The division superintendent must submit annual reports to the Department of Education detailing incidents involving violence, drugs, or weapons and notify local law-enforcement officers regarding missing children, and to the Superintendent of Public Instruction indicating the numbers of students for whom a parent conference was scheduled to address absences from school. Additional annual reporting duties include the submission of divisionwide ratios of students in average daily membership to the school board. The division superintendent must also file biennially with the

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<sup>96</sup> Va. Code §§ 22.1-293; 22.1-295; 22.1-297; 22.1-303; 22.1-304; 22.1-309; 22.1-312 (2000 and 2002 Supp.); 8 VAC 20-390-90 [last updated February 11, 2002].

<sup>97</sup> *Banks v. Sellers*, 224 Va. 168 at 173, 294 S.E.2d 862 (1982).

<sup>98</sup> Va. Code §§ 22.1-67; 22.1-68; 22.1-69; 22.1-92

<sup>99</sup> Va. Code §§ 22.1-70; 22.1-81; 22.1-131; 22.1-140; (2000 and 2002 Supp.); 15.2-410 (1997).

<sup>100</sup> Va. Code §§ 22.1-254; 22.1-254.01; 22.1-254.1; 22.1-257; 22.1-258; 22.1-260; 22.1-261; 22.1-277.04; 22.1-277.05; 22.1-277.2; 22.1-284 (2000 and 2002 Supp.).



Superintendent of Public Instruction the division's acceptable Internet use policy and enforce the implementation of the policy. He may issue employment certificates for pupils under age 16. Finally, it is the division superintendent who transfers pupil scholastic records to other school divisions.<sup>101</sup>

Under the Standards of Accreditation, the superintendent must approve, along with the school board, the three-year School Improvement Plan for a school that has been accredited with a warning.<sup>102</sup> It is the superintendent, along with the local school board chairman, who submits requests for waivers from the SOA to the Board of Education.<sup>103</sup>

### **Professional Development and Evaluation**

Statutory requirements for professional development opportunities for division superintendents are typically linked to those provided by the Board of Education for school principals. The Standards of Quality require superintendents to participate in annual professional development activities; Standard 5 directs the Board to conduct or support professional development for division superintendents.<sup>104</sup>

Pursuant to the Education Accountability and Quality Enhancement Act of 1999, local school boards are to evaluate the division superintendent annually. The Board of Education is to develop guidelines for uniform performance standards and criteria to be used by local school boards in evaluating superintendents. These standards and criteria are to include, but are not limited to, "assessing teacher and administrator skills and knowledge, improving student academic progress, providing for school safety and enforcing student discipline."<sup>105</sup>

## **IV. RECOMMENDATIONS AND ISSUES FOR STUDY**

The mission of the HJR 20/SJR 58 Commission is a broad one, affording the Commission great flexibility in the legal and policy issues it deems significant for education leadership in the Commonwealth. Having received testimony from educational policy leaders, educators, administrators, and others, the Commission carefully considered a broad range of complex issues and makes the following recommendations:

**Recommendation 1:** *That the Board of Education, by October 1, 2003, examine and revise its administrative licensure requirements to ensure alignment with the evaluation criteria for principals, administrators, and central office instructional personnel as set forth in the Board's Guidelines for Uniform Performance Standards and Evaluation Criteria for Teachers, Administrators and Superintendents.*

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<sup>101</sup>Va. Code §§ 22.1-70.1; 22.1-70.2; 22.1-260; 22.1-280.1; 22.1-289 (2000 and 2002 Supp.); 40.1-92 (1999).

<sup>102</sup>8 VAC 20-131-310 F.

<sup>103</sup>8 VAC 20-131-330.

<sup>104</sup>Va. Code § 22.1-253.13:5 D, E (2000).

<sup>105</sup>Va. Code § 22.1-60.1 (2000); 1999 Acts of Assembly, cc. 1030; 1037.

**Recommendation 2:** *That the Board of Education and the State Council of Higher Education coordinate to ensure that the performance and leadership standards described in the Board's Guidelines for Uniform Performance Standards and Evaluation Criteria for Teachers, Administrators, and Superintendents are reflected in preparation and training programs for principals and superintendents in institutions of higher education.*

**Recommendation 3:** *That the Board of Education and the State Council of Higher Education develop guidelines for mentorships for administrators within approved administrator training programs.*

**Recommendation 4:** *That approved higher education programs, in collaboration with school divisions, develop and implement models for internships for aspiring principals and assistant principals.*

**Recommendation 5:** *That the Board of Education review its regulations as may be necessary to incorporate an alternative licensure routes for principals and assistant principals that recognizes the various and particular skills required for the particular functions of such positions as well as potential alternative sources of training for such licensure.*

In further support of this recommendation, the Commonwealth Educational Policy Institute (CEPI) will examine the delivery of training programs, the roles alternative candidates might assume, and what skills might be needed for tailored administrative positions; CEPI will also coordinate with the Board and will report to the Commission in 2003.

**Recommendation 6:** *That, recognizing that personnel decisions such as hiring and termination of personnel are administrative, not policy, decisions, Article VIII, Section 7, of the Virginia Constitution be amended to authorize the General Assembly to provide by law for the delegation of school board authority over the hiring and termination of instructional personnel.*

The Commission also endorses in concept legislation to be offered independently by Commission member Delegate Reid authorizing superintendents accepting employment from out-of-state to purchase Virginia Retirement System benefits.

Respectfully submitted,  
*The Commission to Review, Study, and Reform Educational Leadership*

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## 2002 MEETINGS OF THE HJR 20/SJR 57 COMMISSION

### **First Meeting ~ June 27, 2002-- Richmond**

Election of Chairman, Vice Chairman; Review of background report: Kathleen G. Harris, Senior Attorney, Division of Legislative Services; Review of State Action for Education Leadership Project (SAELP) grant and work of Commonwealth Educational Policy Institute (CEPI): Dr. William C. Boshier, Jr., Executive Director, CEPI, and HJR 20 Commission member; Review of workplan; discussion.

### **Second Meeting ~ July 15, 2002-- Richmond**

**Challenges Facing Education Leadership and Suggestions for Change:** Ms. Janet Hudgens, Assistant Director, Principals' Executive Program, University of North Carolina at Chapel Hill; Elizabeth L. Hale, President, Institute for Educational Leadership (Washington, D.C.) (*Leadership for Student Learning: Reinventing the Principalship ~ School Leadership for the 21st Century Initiative, A Report of the Task Force on the Principalship* (October 2000)); Wayne Martin, Special Assistant to the Executive Director, Council of Chief State School Officers (Washington, D.C.); Representatives of Virginia Association of Elementary School Principals; Virginia Association of Secondary School Principals; Virginia Association of School Superintendents; Virginia School Boards Association; Virginia Education Association.

### **Third Meeting ~ September 20, 2002--Richmond**

Gene Bottoms, Senior Vice President, Southern Regional Education Board (SREB) *Preparing a New Breed of School Principals: It's Time for Action*; Dr. Thomas A. Elliott, Assistant Superintendent, Teacher Education and Licensure, Virginia Department of Education; Update on activities of DOE/SCHEV Task Force on Preparation of Education Leaders/Current Preparation and Licensure Requirements for Principals and Superintendents/Leadership Standards; Working Lunch; Work Session; Discussion of potential recommendations and issues for further study.

### **Fourth Meeting ~ October 18, 2002-- Richmond**

Representatives of *Achievable Dream* Urban School Learning and Leadership Institute (Newport News): Efforts in Training Educators and Administrators in Closing the Achievement Gap; Dr. Thelma Spencer, Chief Operating Officer; Mr. Richard Coleman, Principal, An Achievable Dream Academy; Mr. John Hodge, Director, An Achievable Dream; Dr. Michael Rettig, Program Coordinator, Educational Leadership Program, School of Education, James Madison University; Briefing: *School Leadership in an Era of Accountability*, a report commissioned by CEPI and funded by SAELP for use by the Commission and the CEPI Task Force--Authors and presenters: Pamela Tucker, Assistant Professor, University of Virginia; Megan Tschannen-Moran, Assistant Professor, College of William & Mary.

### **Fifth Meeting ~ November 15, 2002-- Richmond**

Work Session.

2003 SESSION

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HOUSE JOINT RESOLUTION NO. 570

Offered January 8, 2003

Prefiled December 27, 2002

Proposing an amendment to Section 7 of Article VIII of the Constitution of Virginia, relating to school boards.

Patron—Hamilton

Committee Referral Pending

RESOLVED by the House of Delegates, the Senate concurring, a majority of the members elected to each house agreeing, That the following amendment to the Constitution of Virginia be, and the same hereby is, proposed and referred to the General Assembly at its first regular session held after the next general election of members of the House of Delegates for its concurrence in conformity with the provisions of Section 1 of Article XII of the Constitution of Virginia, namely:

Amend Section 7 of Article VIII of the Constitution of Virginia as follows:

ARTICLE VIII  
EDUCATION

Section 7. School boards.

The supervision of schools in each school division shall be vested in a school board, to be composed of members selected in the manner, for the term, possessing the qualifications, and to the number provided by law. *However, the General Assembly may prescribe by law for the delegation of school board authority over the hiring and termination of instructional personnel.*

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HJ570

Official Use By Clerks

<b>Agreed to By</b>		<b>Agreed to By The Senate</b>	
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Clerk of the House of Delegates		Clerk of the Senate	

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**HOUSE JOINT RESOLUTION NO. 20**

Establishing a commission to review, study and reform educational leadership.

Agreed to by the House of Delegates, February 12, 2002

Agreed to by the Senate, March 5, 2002

WHEREAS, effective leadership is inextricably linked to excellence in public education and student academic achievement in our public schools; and

WHEREAS, the Standards of Accreditation acknowledge that the principal is the "instructional leader of the school and is responsible for effective school management that promotes positive student achievement, a safe and secure environment in which to teach and learn, and efficient use of resources"; and

WHEREAS, the Standards of Accreditation also recognize the "critically important role of principals to the success of public schools and the students who attend those schools"; and

WHEREAS, the differing roles and responsibilities of division superintendents, principals, assistant principals, and teachers for providing a system of public education of the highest quality merit ongoing consideration and review as the Commonwealth strives to provide opportunities for learning and achievement for all students; and

WHEREAS, in pursuing efforts to continually improve educational leadership in Virginia public schools, the Commonwealth Educational Policy Institute (CEPI) at Virginia Commonwealth University, on behalf of the Department of Education and the Commonwealth, sought and was awarded one of 15 National State Action for Educational Leadership Project (SAELP) grants from the Wallace Reader's Digest Funds; and

WHEREAS, CEPI held three summits on educational leadership, embracing the input of participants from the Governor's Office, the Board of Education, the State Superintendent of Public Instruction, members of the General Assembly, and educational stakeholders and practitioners; and

WHEREAS, prompted by concerns regarding the changing roles and demands of educational leaders and the shortage of educational leaders in low-performing schools, the CEPI summit recommended, among other things, the formation of a legislative commission on educational leadership; now, therefore, be it

RESOLVED by the House of Delegates, the Senate concurring, That a commission be established to review, study and reform educational leadership. The commission shall be composed of 21 members as follows: 5 members of the House of Delegates to be appointed by the Speaker of the House in accordance with the principles of proportional representation contained in the Rules of the House of Delegates; 3 members of the Senate to be appointed by the Senate Committee on Privileges and Elections; 1 president of a Virginia public four-year institution of higher education and 1 practicing assistant principal actively employed by a Virginia local school board or their designees to be appointed by the Speaker of the House; 1 dean of a school of education of a Virginia public institution of higher education or his designee to be appointed by the Senate Committee on Privileges and Elections; the Secretary of Education, the President of the Board of Education, the Superintendent of Public Instruction, the Director of the State Council of Higher Education for Virginia or their designees, the Executive Director of the Commonwealth Educational Policy Institute at Virginia Commonwealth University, the Virginia Teacher of the Year, the 3 Virginia Principals of the Year, 1 each representing the elementary, middle, and high school levels, and the Virginia Superintendent of the Year, all to serve ex officio with full voting privileges. The chairman of the commission shall be a member of the General Assembly of Virginia.

In conducting its study, the commission shall, among other things, (i) evaluate the policy environment for educational leadership; (ii) propose necessary statutory amendments or changes based on research, surveys, analysis and review of pertinent laws, guidelines, policies, regulations and practices; (iii) communicate regularly with the Board of Education any relevant findings with recommendations for needed regulatory action; and (iv) provide a forum for educational leaders to report the challenges and effect of their work to the commission.

The direct costs of this study shall not exceed \$10,000, in each year of the study. Other expenses of the commission shall be paid from the \$25,000 in State Action for Educational Leadership Project grants from the Wallace Reader's Digest Funds that the Commonwealth Educational Policy Institute shall provide to defray the costs of such expenses.

The Division of Legislative Services shall provide staff support for the study. The Commonwealth Educational Policy Institute shall provide technical assistance for the study. All agencies of the Commonwealth shall provide assistance to the commission, upon request.

The commission shall submit an interim report of its findings and recommendations to the Governor and the 2003 Session of the General Assembly, and shall complete its work by November 30, 2003, and submit its final written findings and recommendations to the 2004 Session of the General Assembly, as provided in the procedures of the Division of Legislative Automated Systems for the processing of legislative documents.

Implementation of this resolution is subject to subsequent approval and certification by the Joint Rules Committee. The Committee may withhold expenditures or delay the period for the conduct of the study.



**SENATE JOINT RESOLUTION NO. 58**

Establishing a commission to review, study and reform educational leadership.

Agreed to by the Senate, February 11, 2002

Agreed to by the House of Delegates, March 5, 2002

WHEREAS, inextricably linked to excellence in public education and student academic achievement in our public schools is effective leadership; and

WHEREAS, the Standards of Accreditation acknowledge that the principal is the "instructional leader of the school and is responsible for effective school management that promotes positive student achievement, a safe and secure environment in which to teach and learn, and efficient use of resources"; and

WHEREAS, the Standards of Accreditation also recognize the "critically important role of principals to the success of public schools and the students who attend those schools"; and

WHEREAS, the differing roles and responsibilities of division superintendents, principals, assistant principals, and teachers for providing a system of public education of the highest quality merits ongoing consideration and review as the Commonwealth strives to provide opportunities for learning and achievement for all students; and

WHEREAS, in pursuing efforts to continually improve educational leadership in Virginia public schools, the Commonwealth Educational Policy Institute (CEPI) at Virginia Commonwealth University, on behalf of the Virginia Department of Education and the Commonwealth, sought and was awarded one of 15 National State Action for Educational Leadership Project (SAELP) grants from the Wallace Reader's Digest Funds; and

WHEREAS, CEPI held three summits on educational leadership, embracing the input of participants from the Governor's Office, the Board of Education, the State Superintendent of Public Instruction, members of the General Assembly, and educational stakeholders and practitioners; and

WHEREAS, prompted by concerns regarding the changing roles and demands of educational leaders and the shortage of educational leaders in low-performing schools, the CEPI summit recommended, among other things, the formation of a legislative commission on educational leadership; now, therefore, be it

RESOLVED by the Senate, the House of Delegates concurring, That a commission be established to review, study and reform educational leadership. The commission shall be composed of 21 members as follows: three members of the Senate, to be appointed by the Senate Committee on Privileges and Elections; five members of the House of Delegates, to be appointed by the Speaker of the House, in accordance with the principles of proportional representation contained in the Rules of the House of Delegates; one dean of a school of education of a Virginia public institution of higher education or his designee, to be appointed by the Senate Committee on Privileges and Elections; one president of a Virginia public four-year institution of higher education and one practicing assistant principal actively employed by a Virginia local school board or their designees, to be appointed by the Speaker of the House; the Secretary of Education, the President of the Board of Education, the Superintendent of Public Instruction, the Director of the State Council of Higher Education or their designees, the Executive Director of the Commonwealth Educational Policy Institute at Virginia Commonwealth University, the Virginia Teacher of the Year, the three Virginia Principals of the Year, one each representing the elementary, middle, and high school levels, and the Virginia Superintendent of the Year, all to serve ex officio with full voting privileges. The chairman of the commission shall be a member of the General Assembly of Virginia.

In conducting its study, the commission shall, among other things, (i) evaluate the policy environment for educational leadership; (ii) propose necessary statutory amendments or changes based on research, surveys, analysis and review of pertinent laws, guidelines, policies, regulations and practices; (iii) communicate regularly with the Board of Education any relevant findings with recommendations for needed regulatory action; and (iv) provide a forum for educational leaders to report the challenges and effect of their work to the commission.

The direct costs of this study shall not exceed \$10,000, in each year of the study. Other expenses of the commission shall be paid from the \$25,000 in State Action for Educational Leadership Project grants from the Wallace Reader's Digest Funds that the Commonwealth Educational Policy Institute shall provide to defray the costs of such expenses.

The Division of Legislative Services shall provide staff support for the study. The Commonwealth Educational Policy Institute shall provide technical assistance for the study. All agencies of the Commonwealth shall provide assistance to the commission, upon request.

The commission shall submit an interim report of its findings and recommendations to the Governor and the 2003 Session of the General Assembly, and shall complete its work by November 30, 2003, and submit its final written findings and recommendations to the 2004 Session of the General Assembly, as provided in the procedures of the Division of Legislative Automated Systems for the processing of legislative documents.

Implementation of this resolution is subject to subsequent approval and certification by the Joint Rules Committee. The Committee may withhold expenditures or delay the period for the conduct of the study.

## STAFF MEMORANDUM

(distributed to Commission members at September 20 meeting with footnote numbering beginning at "1")

**To:** Members of the HJR 20/SJR 58 Commission to Review, Study and Reform Education Leadership

**From:** Kathleen G. Harris, *Senior Attorney*

**Re:** Authority over School Employment Decisions

**Date:** September 5, 2002

In its examination of ways to enhance recruitment and retention of education leaders, the HJR 20 Commission has received testimony regarding increased flexibility and autonomy in the principalship. Specifically, discussion has focused on accountability measures that may hold the school principal responsible for instructional quality, while decisions to hire or terminate individual teachers remain within the purview of the employing local school board. However, because various Virginia constitutional and statutory provisions as well as judicial precedent clearly acknowledge the "exclusive" and "final" authority of the local school board over employment matters (seen as "essential" to board supervisory authority), any recommendation to directly or completely delegate school board authority over these personnel issues remains problematic.

The Commission might wish to explore those accountability provisions seen as troublesome to education leadership as well as current employee evaluation procedures to craft recommendations that might successfully (i) address administrators' call for increased flexibility; (ii) preserve local school board constitutional authority; and (iii) enhance school and student performance.

### **Relevant Virginia Constitutional and Statutory Provisions**

Article VIII, § 7 of the Virginia Constitution, provides that "the supervision of schools in each school division shall be vested in a school board, to be composed of members selected in the manner, for the term, possessing the qualifications, and to the number provided by law." Although ultimate authority for public education rests with the General Assembly pursuant to Article VIII, § 5, the actual supervision of the public schools is the constitutional responsibility of the school boards.<sup>106</sup>

Consistent with state constitutional provisions, the Code of Virginia vests the "supervision of schools in each school division" in the local school board.<sup>107</sup> As corporate bodies, school boards may make contracts, sue and be sued, and purchase, lease, and convey real and personal property. They are statutorily entrusted with the care and management of school property and are ultimately responsible for the operation and maintenance of the public schools in the division. As an employer, school boards must administer a grievance procedure for all employees, except the division superintendent and other specified personnel.<sup>108</sup> As employer, the school board also provides for the payment of instructional, administrative, and other personnel.<sup>109</sup> Written contracts between the school board and the regularly employed teacher are required.<sup>110</sup> The Code clearly states that the local school board retains "**exclusive final authority** [emphasis added] over matters concerning employment and supervision of its personnel, including dismissals, suspensions and placing on probation."<sup>111</sup>

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<sup>106</sup>Va. Const., Art. VIII, § 5 (2001).

<sup>107</sup>Va. Code § 22.1-28 (2000).

<sup>108</sup>Va. Code §§ 22.1-71; 22.1-77; 22.1-79 (2000).

<sup>109</sup>Va. Code § 22.1-296 (2000).

<sup>110</sup>Va. Code § 22.1-302 (2000).

<sup>111</sup>Va. Code § 22.1-313 (2000).

The school board does, however, rely on the assistance and advice of the division superintendent in the conduct of various employment matters. Under current law, teachers are employed and placed "in appropriate schools" by the local school board, upon the recommendation of the division superintendent (also a school board employee). School boards are to adopt employment policies that are designed to "promote the employment and retention of the highest quality instructional personnel and to effectively serve the educational needs of students." In addition, school boards must develop procedures "for use by division superintendents and principals in evaluating instructional personnel that is appropriate to the tasks performed and addresses, among other things, student academic progress and the skills and knowledge of instructional personnel, including, but not limited to, instructional methodology, classroom management, and subject matter knowledge."<sup>112</sup>

School boards may employ principals and assistant principals, upon the recommendation of the division superintendent. The principal, in turn, may make recommendations to the division superintendent for the "appointment, assignment, promotion, transfer and dismissal of all personnel assigned to his supervision." To support this process, principals must receive training in "the evaluation and documentation of employee performance, which evaluation and documentation shall include, but shall not be limited to, employee skills and knowledge and student academic progress, prior to submitting such recommendations...." Assistant principals and other personnel participating in the employee evaluation process must receive similar training.<sup>113</sup>

The assignment of teachers, principals, and assistant principals "to their respective positions in the school wherein they have been placed by the school board" is within the purview of the division superintendent. Local school boards are empowered to delegate a measure of their employment authority to the superintendent, as statute allows local boards to authorize, by resolution, the superintendent to reassign teachers, principals, and assistant principals to another school in the division. Any such reassignment, however, cannot affect the employee's salary.<sup>114</sup> The board may also authorize the division superintendent to accept teacher resignations; however, consistent with it the local school board retains authority to reject the superintendent's decision to accept or reject the resignation.<sup>115</sup>

It is the division superintendent who also recommends to the board the potential issuance of three-year local eligibility licenses;<sup>116</sup> the nonrenewal of probationary teacher contracts;<sup>117</sup> and teacher dismissals and probations.<sup>118</sup> While the division superintendent plays a critical role in the teacher grievance procedure (power to select a fact-finding panel member), it is the school board, again, that retains ultimate authority over employment and disciplinary actions.<sup>119</sup>

### **Implications for Educational Accountability**

The Standards of Accreditation (SOA) set forth a variety of action requirements for schools that have been accredited with a warning or have been denied accreditation. In addition, the SOA establish various roles and responsibilities for educational leadership. While schools rated Accredited with Warning in 2000-2001 and beyond must undergo an academic review consistent with Board guidelines and prepare a school improvement plan; this rating does not include specific directives targeting the performance of education leadership in the school or division.

**Superintendent evaluation.** The rating of Accreditation Denied, to be given beginning in academic year 2005-2006, does, however, carry implications for the division superintendent. The

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<sup>112</sup>Va. Code § 22.1-295 (2000).

<sup>113</sup>Va. Code § 22.1-293 (2000).

<sup>114</sup>Va. Code §§ 22.1-2971 22.1-294 D (2000). Section 22.1-294 provides that any decision to reduce salary and reassign a principal is at the "sole discretion" of the school board.

<sup>115</sup>Va. Code § 22.1-304 C (2002 Supp.).

<sup>116</sup>Va. Code § 22.1-299.3 (2000).

<sup>117</sup>Va. Code § 22.1-305 (2000).

<sup>118</sup>Va. Code § 22.1-309 (2000).

<sup>119</sup>Va. Code §§ 22.1-312, 22.1-313 (2000).

regulations state that in any school division "in which 1/3 or more of the schools have been rated Accreditation Denied, the superintendent shall be evaluated by the local school board"; a copy of the evaluation must be submitted to the Board "no later than December 1 of each year in which such condition exists."<sup>120</sup>

**Principal as instructional leader.** The SOA reiterate the principal's role as school instructional leader of the school. The regulations state, however, that the Board of Education "recognizes the critically important role of principals to the success of public schools and the students who attend those schools and recommends that local school boards provide principals with the maximum authority available under law in all matters affecting the school including, but not limited to, instruction and personnel, in a manner that allows the principal to be held accountable in a fair and consistent manner for matters under his direct control." [Emphasis added].<sup>121</sup> In contrast to the evaluations required of superintendents in struggling school divisions, the SOA do not require any additional evaluations or other actions addressing principals of schools failing to achieve requisite passing scores on the Standards of Learning assessments or failing to attain full accreditation status.

While the SOA are relatively silent regarding consequences for educational leadership in failing or struggling schools, it is nonetheless a given that student school performance will figure prominently in evaluations of teachers and principals. As previously noted, the Code requires the development and adoption of local board procedures to guide division superintendents, principals, and others in the evaluation of instructional and administrative personnel that includes "student academic progress and school gains in student learning...."<sup>122</sup> In addition, principals are to evaluation probationary teachers annually based on these criteria; these evaluations are to be considered by the division superintendent making recommendations for contract renewals.<sup>123</sup>

### Interpretation of Legal Authority

The delegation of school board employment authority was specifically cited in *School Bd. v. Parham*, a 1978 decision in which the Virginia Supreme Court found that a binding arbitration provision adopted by the Board of Education would "remove from a local school board and transfer to others a function essential and indispensable to the exercise of the power of supervision vested by § 7 of Article VIII."<sup>124</sup> The court found that the binding arbitration procedure would divest the local school board of its authority to apply local policy adopted for the management of teaching staff.<sup>125</sup>

Illustrative of the significance of school board authority over employment matters was the General Assembly's proposal in 1989 to amend to Article VIII, § 7 by adding:

*The General Assembly may provide by general law for a personnel grievance procedure for school board employees which permits grievances to be resolved by a body other than the school board.*

The 1990 Session failed to approve the amendment.

Revisiting the supervisory authority of school boards in employment matters in 1989, the Virginia Supreme Court noted in *Russell County School Bd. v. Anderson* that a school board's authority to discharge employees was "rooted in the Constitution of Virginia" and that "[n]o statutory enactment can permissibly take away from a local school board its fundamental power to supervise its school system."<sup>126</sup>

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<sup>120</sup>8 VAC 20-131-300 C 5.

<sup>121</sup>8 VAC 20-131-210 A.

<sup>122</sup>Va. Code §§ 22.1-294 B; 22.1-295 B (2000).

<sup>123</sup>Va. Code § 22.1-202A (2002 Supp.).

<sup>124</sup>218 Va. 950 at 957, 243 S.E.2d 468 (1978).

<sup>125</sup>218 Va. 950 at 958.

<sup>126</sup>238 Va. 372 at 383, 384 S.E.2d 598 (1989).

The Office of the Attorney General has also reviewed the application of Article VIII, § 7 repeatedly in the last two decades. In 1978, following the *Parham* decision, the Attorney General advised that local school boards might adopt teacher grievance procedures with a binding arbitration component, with Board of Education approval; the opinion noted that Parham did not prohibit the General Assembly and the Board of Education from requiring local school board to adopt a grievance procedure consistent with a State Board model.<sup>127</sup> In 1984, the Attorney General advised the adoption of voluntary, short-term disability plans by local school boards was consistent with the supervisory authority granted by Article VIII, § 7. The opinion noted the broad language of Article VIII, § 7, and stated that while the scope of supervisory is not defined in the Virginia Constitution, the “general supervisory authority is not plenary.” The opinion also cited a 1977 decision, *Commonwealth v. Arlington County Bd.*, in which the Virginia Supreme Court found that the school boards’ general supervisory power “does not necessarily include the right to deal with the labor relations of employees in any manner...unfettered by legislative restriction.”<sup>128</sup>

Asked to review the proposed constitutional amendment to Article VIII, § 7 (authorizing the General Assembly to permit resolution of grievance procedures by parties other than the local school board), the Office of the Attorney General responded in 1989 that, under the proposed amendment, the formulation and alteration of personnel policies would remain an “essential supervisory function” of the school board. The opinion clearly stated that, even with if the proposed amendment were approved (the 1990 Session failed to adopt it),

*the power to formulate and alter personnel or other policies within statutory guidelines could not be delegated to a grievance panel or other third party, and...any legislation authorizing a grievance panel or other party to invalidate or alter duly adopted and authorized policies of a school board under the guise of a grievance procedure would be unconstitutional.*

More recently, the Attorney General has cited Article VIII, § 7 in its decisions to prohibit the retention of a consultant as division superintendent; to permit the reappointment of a division superintendent in certain cases; to allow fees for optional student parking; to prohibit the adoption if nepotism standards more stringent than state standards; and to allow the appointment of advisory committees.<sup>129</sup> Consistent with previous Virginia Supreme Court decisions, the Attorney General has noted that school boards’ supervisory authority is not plenary, but has also cited the invalidation of legislation “transferring to other entities those functions indispensable to the daily supervision of schools.”<sup>130</sup>

Although Article VIII, § 7 has been the focus of repeated review, most of the court decisions and Attorney General opinions have largely focused on actions that may exceed, supplant, or usurp authority reserved to the school boards. No definitive cases appear to address inappropriate delegations of authority by a school board. However, employment matters would clearly seem to be included among those day-to-day functions “indispensable” or “essential” to the exercise of supervisory authority.

### Issues for Consideration

In reviewing any proposed recommendations regarding the accountability and authority of school leaders, the Commission might consider a number of questions:

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<sup>127</sup>1978-79 Va. Op. Att. Gen. 174 (May 11, 1978).

<sup>128</sup>1984-85 Va. Op. Att. Gen. 59 (November 23, 1984), citing *Commonwealth v. Arlington County Bd.*, 217 Va. 558, 232 S.E.2d 30 at 41 (1977).

<sup>129</sup>1991 Va. Op. Att. Gen. 140 (June 20, 1991); 1991 Va. Op. Att. Gen. 144 (May 6, 1991); 1991 Va. Op. Att. Gen. 149 (November 8, 1991); 1991 Va. Op. Att. Gen. 1 (September 12, 1991); 1993 Va. Op. Att. Gen. 140 (October 11, 1991).

<sup>130</sup>1991 Va. Op. Att. Gen. 1 at 3 (September 12, 1991), citing *School Board v. Parham*, 218 Va. 950, 243 S.E.2d 468 (1978); *Howard v. School Board*, 203 Va. 55, 58 S.E.2d 891 (1961); *Harrison v. Day*, 200 Va. 439, 106 S.E.2d 636 (1959).

1. What specific supervisory authority or increased involvement in hiring, termination, and grievance procedures would assist school principals?
2. To what extent are principal evaluations and recommendations heeded by division superintendents making employment recommendations to local school boards?
3. Are principals being evaluated negatively for poor student performance when their recommendations regarding less-than-satisfactory instructional personnel have not been acted upon by the division superintendent or school board?
4. How might principal recommendations regarding unsatisfactory instructional personnel be used or recorded to enhance fairness in the subsequent principal evaluation process? Would any safeguards be necessary to ensure fairness to the teachers so evaluated?
5. What is the feasibility and appropriateness of the consideration of other criteria--such as school demographics, teacher and student attendance rates, "beginning" scores, continuous student or school improvement, and other challenges that may be unique to a particular school or division--in addition to student academic progress--in the principal and teacher evaluation process?
6. Should the "consequences" portion of the accreditation process be modified to include increased opportunities for technical assistance to struggling schools? for professional development and assistance to educational leadership?
7. Are grievance procedure modifications necessary to address negative principal evaluations that discount the principal's prior recommendations or evaluations regarding unsatisfactory instructional personnel?

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**Interstate School Leaders Licensure Consortium  
COUNCIL OF CHIEF STATE SCHOOL OFFICERS**

**Standards for School Leaders**

**Standard 1: A school administrator is an educational leader who promotes the success of all students by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by the school community.**

**Knowledge**

*The administrator has knowledge and understanding of:*

- \* learning goals in a pluralistic society
- \* the principles of developing and implementing strategic plans
- \* systems theory
- \* information sources, data collection, and data analysis strategies
- \* effective communication
- \* effective consensus-building and negotiation skills

**Dispositions**

*The administrator believes in, values, and is committed to:*

- \* the educability of all
- \* a school vision of high standards of learning
- \* continuous school improvement
- \* the inclusion of all members of the school community
- \* ensuring that students have the knowledge, skills, and values needed to become successful adults
- \* a willingness to continuously examine one's own assumptions, beliefs, and practices
- \* doing the work required for high levels of personal and organization performance

**Performances**

*The administrator facilitates processes and engages in activities ensuring that:*

- \* the vision and mission of the school are effectively communicated to staff, parents, students, and community members
- \* the vision and mission are communicated through the use of symbols, ceremonies, stories, and similar activities
- \* the core beliefs of the school vision are modeled for all stakeholders
- \* the vision is developed with and among stakeholders
- \* the contributions of school community members to the realization of the vision are recognized and celebrated
- \* progress toward the vision and mission is communicated to all stakeholders
- \* the school community is involved in school improvement efforts
- \* the vision shapes the educational programs, plans, and actions
- \* an implementation plan is developed in which objectives and strategies to achieve the vision and goals are clearly articulated
- \* assessment data related to student learning are used to develop the school vision and goals
- \* relevant demographic data pertaining to students and their families are used in developing the school mission and goals
- \* barriers to achieving the vision are identified, clarified, and addressed
- \* needed resources are sought and obtained to support the implementation of the school mission and goals
- \* existing resources are used in support of the school vision and goals
- \* the vision, mission, and implementation plans are regularly monitored, evaluated, and revised

**Standard 2: A school administrator is an educational leader who promotes the success of all students by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.**

**Knowledge**

*The administrator has knowledge and understanding of:*

- \* student growth and development
- \* applied learning theories
- \* applied motivational theories
- \* curriculum design, implementation, evaluation, and refinement
- \* principles of effective instruction
- \* measurement, evaluation, and assessment strategies
- \* diversity and its meaning for educational programs
- \* adult learning and professional development models
- \* the change process for systems, organizations, and individuals
- \* the role of technology in promoting student learning and professional growth
- \* school cultures

### **Dispositions**

#### ***The administrator believes in, values, and is committed to:***

- \* student learning as the fundamental purpose of schooling
- \* the proposition that all students can learn
- \* the variety of ways in which students can learn
- \* life long learning for self and others
- \* professional development as an integral part of school improvement
- \* the benefits that diversity brings to the school community
- \* a safe and supportive learning environment
- \* preparing students to be contributing members of society

### **Performances**

#### ***The administrator facilitates processes and engages in activities ensuring that:***

- \* all individuals are treated with fairness, dignity, and respect
- \* professional development promotes a focus on student learning consistent with the school vision and goals
- \* students and staff feel valued and important
- \* the responsibilities and contributions of each individual are acknowledged
- \* barriers to student learning are identified, clarified, and addressed
- \* diversity is considered in developing learning experiences
- \* life long learning is encouraged and modeled
- \* there is a culture of high expectations for self, student, and staff performance
- \* technologies are used in teaching and learning
- \* student and staff accomplishments are recognized and celebrated
- \* multiple opportunities to learn are available to all students
- \* the school is organized and aligned for success
- \* curricular, co-curricular, and extra-curricular programs are designed, implemented, evaluated, and refined
- \* curriculum decisions are based on research, expertise of teachers, and the recommendations of learned societies
- \* the school culture and climate are assessed on a regular basis
- \* a variety of sources of information is used to make decisions
- \* student learning is assessed using a variety of techniques
- \* multiple sources of information regarding performance are used by staff and students
- \* a variety of supervisory and evaluation models is employed
- \* pupil personnel programs are developed to meet the needs of students and their families

**Standard 3: A school administrator is an educational leader who promotes the success of all students by ensuring management of the organization, operations, and resources for a safe, efficient, and effective learning environment.**

### **Knowledge**

#### ***The administrator has knowledge and understanding of:***

- \* theories and models of organizations and the principles of organizational development
- \* operational procedures at the school and district level
- \* principles and issues relating to school safety and security
- \* human resources management and development
- \* principles and issues relating to fiscal operations of school management
- \* principles and issues relating to school facilities and use of space
- \* legal issues impacting school operations
- \* current technologies that support management functions

### **Dispositions**

#### ***The administrator believes in, values, and is committed to:***

- \* making management decisions to enhance learning and teaching
- \* taking risks to improve schools
- \* trusting people and their judgments
- \* accepting responsibility
- \* high-quality standards, expectations, and performances
- \* involving stakeholders in management processes
- \* a safe environment

### **Performances**

#### ***The administrator facilitates processes and engages in activities ensuring that:***

- \* knowledge of learning, teaching, and student development is used to inform management decisions
- \* operational procedures are designed and managed to maximize opportunities for successful learning
- \* emerging trends are recognized, studied, and applied as appropriate
- \* operational plans and procedures to achieve the vision and goals of the school are in place
- \* collective bargaining and other contractual agreements related to the school are effectively managed
- \* the school plant, equipment, and support systems operate safely, efficiently, and effectively



- \* time is managed to maximize attainment of organizational goals
- \* potential problems and opportunities are identified
- \* problems are confronted and resolved in a timely manner
- \* financial, human, and material resources are aligned to the goals of schools
- \* the school acts entrepreneurially to support continuous improvement
- \* organizational systems are regularly monitored and modified as needed
- \* stakeholders are involved in decisions affecting schools
- \* responsibility is shared to maximize ownership and accountability
- \* effective problem-framing and problem-solving skills are used
- \* effective conflict resolution skills are used
- \* effective group-process and consensus-building skills are used
- \* effective communication skills are used
- \* a safe, clean, and aesthetically pleasing school environment is created and maintained
- \* human resource functions support the attainment of school goals
- \* confidentiality and privacy of school records are maintained

**Standard 4: A school administrator is an educational leader who promotes the success of all students by collaborating with families and community members, responding to diverse community interests and needs, and mobilizing community resources.**

#### **Knowledge**

***The administrator has knowledge and understanding of:***

- \* emerging issues and trends that potentially impact the school community
- \* the conditions and dynamics of the diverse school community
- \* community resources
- \* community relations and marketing strategies and processes
- \* successful models of school, family, business, community, government and higher education partnerships

#### **Dispositions**

***The administrator believes in, values, and is committed to:***

- \* schools operating as an integral part of the larger community
- \* collaboration and communication with families
- \* involvement of families and other stakeholders in school decision-making processes
- \* the proposition that diversity enriches the school
- \* families as partners in the education of their children
- \* the proposition that families have the best interests of their children in mind
- \* resources of the family and community needing to be brought to bear on the education of students
- \* an informed public

#### **Performances**

***The administrator facilitates processes and engages in activities ensuring that:***

- \* high visibility, active involvement, and communication with the larger community is a priority
- \* relationships with community leaders are identified and nurtured
- \* information about family and community concerns, expectations, and needs is used regularly
- \* there is outreach to different business, religious, political, and service agencies and organizations
- \* credence is given to individuals and groups whose values and opinions may conflict
- \* the school and community serve one another as resources
- \* available community resources are secured to help the school solve problems and achieve goals
- \* partnerships are established with area businesses, institutions of higher education, and community groups to strengthen programs and support school goals
- \* community youth family services are integrated with school programs
- \* community stakeholders are treated equitably
- \* diversity is recognized and valued
- \* effective media relations are developed and maintained
- \* a comprehensive program of community relations is established
- \* public resources and funds are used appropriately and wisely
- \* community collaboration is modeled for staff
- \* opportunities for staff to develop collaborative skills are provided

**Standard 5: A school administrator is an educational leader who promotes the success of all students by acting with integrity, fairness, and in an ethical manner.**

#### **Knowledge**

***The administrator has knowledge and understanding of:***

- \* the purpose of education and the role of leadership in modern society
- \* various ethical frameworks and perspectives on ethics
- \* the values of the diverse school community
- \* professional codes of ethics

- \* the philosophy and history of education

### **Dispositions**

#### ***The administrator believes in, values, and is committed to:***

- \* the ideal of the common good
- \* the principles in the Bill of Rights
- \* the right of every student to a free, quality education
- \* bringing ethical principles to the decision-making process
- \* subordinating one's own interest to the good of the school community
- \* accepting the consequences for upholding one's principles and actions
- \* using the influence of one's office constructively and productively in the service of all students and their families
- \* development of a caring school community

### **Performances**

#### ***The administrator:***

- \* examines personal and professional values
- \* demonstrates a personal and professional code of ethics
- \* demonstrates values, beliefs, and attitudes that inspire others to higher levels of performance
- \* serves as a role model
- \* accepts responsibility for school operations
- \* considers the impact of one's administrative practices on others
- \* uses the influence of the office to enhance the educational program rather than for personal gain
- \* treats people fairly, equitably, and with dignity and respect
- \* protects the rights and confidentiality of students and staff
- \* demonstrates appreciation for and sensitivity to the diversity in the school community
- \* recognizes and respects the legitimate authority of others
- \* examines and considers the prevailing values of the diverse school community
- \* expects that others in the school community will demonstrate integrity and exercise ethical behavior
- \* opens the school to public scrutiny
- \* fulfills legal and contractual obligations
- \* applies laws and procedures fairly, wisely, and considerately

**Standard 6: A school administrator is an educational leader who promotes the success of all students by understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context.**

### **Knowledge**

#### ***The administrator has knowledge and understanding of:***

- \* principles of representative governance that undergird the system of American schools
- \* the role of public education in developing and renewing a democratic society and an economically productive nation
- \* the law as related to education and schooling
- \* the political, social, cultural and economic systems and processes that impact schools
- \* models and strategies of change and conflict resolution as applied to the larger political, social, cultural and economic contexts of schooling
- \* global issues and forces affecting teaching and learning
- \* the dynamics of policy development and advocacy under our democratic political system
- \* the importance of diversity and equity in a democratic society

### **Dispositions**

#### ***The administrator believes in, values, and is committed to:***

- \* education as a key to opportunity and social mobility
- \* recognizing a variety of ideas, values, and cultures
- \* importance of a continuing dialogue with other decision makers affecting education
- \* actively participating in the political and policy-making context in the service of education
- \* using legal systems to protect student rights and improve student opportunities

### **Performances**

#### ***The administrator facilitates processes and engages in activities ensuring that:***

- \* the environment in which schools operate is influenced on behalf of students and their families
- \* communication occurs among the school community concerning trends, issues, and potential changes in the environment in which schools operate
- \* there is ongoing dialogue with representatives of diverse community groups
- \* the school community works within the framework of policies, laws, and regulations enacted by local, state, and federal authorities
- \* public policy is shaped to provide quality education for students
- \* lines of communication are developed with decision makers outside the school community

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## **Policy Issues Regarding Educational Leadership**

as identified by the Education Commission of the States

### **ECS Leadership (K-12) Policy Questions**

[<http://www.ecs.org/ecsmain.asp?page=/html/issues.asp>](http://www.ecs.org/ecsmain.asp?page=/html/issues.asp)

- To what extent, for example, is it necessary for principals and superintendents to have been classroom teachers?
  - In general, what experience and qualities are essential for effective school leaders?
  - Is it realistic to expect principals to be instructional leaders given the competing demands on their time, or should a new position dedicated solely to instructional leadership be developed and instituted in the schools?
  - Can the many responsibilities of education leadership be carried out effectively under the present school- and district-level administrative structures, or is a major reorganization needed, including changes in governance?
  - Are there special skills and talents school administrators need to succeed in hard-to-staff and low-performing schools?
  - Why isn't the leadership role (principal or superintendent), as currently defined, attracting enough highly qualified leaders?
  - How do these roles need to change?
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