



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

TO: Higher Education Committee
FROM: John L. D'Agati *John L. D'Agati*
SUBJECT: School Building Leader Qualifications and Certification
DATE: April 11, 2013
AUTHORIZATION(S): *John B. ...*
SUMMARY

Issue for Discussion

Do the Regents wish to consider a change in the program requirements for candidates wishing to become school building leaders?

Reason(s) for Consideration

For information.

Proposed Handling

This item will come before the Higher Education Committee for discussion at its April 2013 meeting.

Background Information

The Regents Reform Agenda includes an important focus on the educator pipeline and New York State (NYS) is working to refine every component of the educator pipeline: preparation, evaluation, and professional development to ensure that practitioners are classroom and school-ready. This commitment is also reflected in our Race to the Top application in which we described NYS' commitment to ensure that, by 2014, all teacher and principal preparation programs in the State are graduating effective educators. We emphasized the importance of effective teachers and leaders because there is nothing more important to a student's academic success than having an effective teacher in a classroom in a school led by an effective principal.

Under the current regulations, School Building Leader (SBL) programs prepare candidates for the initial certificate as a principal, housemaster, supervisor, department chair, assistant principal, coordinator, unit head, and any other person serving more than 10 periods per week of the assignment in an administrative or supervisory position, except school district leader or school district business leader (52.21(c)(2)). The SBL preparation program requirements are included as **Attachment A**. At this time there are 55 institutions offering certifications leading to an initial SBL by sector, a full list of approved NYS institutions is included as **Attachment B**, summarized as follows:

CUNY - 13
 SUNY - 7
 Independent - 35
 Proprietary – 0

In 1998, New York’s SBL Blue Ribbon panel developed nine essential characteristics of effective leaders to serve as the frame for all leadership programs in NYS. While many of the nine characteristics of effective leaders are still relevant, they focus more on the personality of the leader than the instructional and managerial skills of leaders. The dialogue at the State and national levels has evolved over time to reflect a greater emphasis on additional competencies. Below is a table comparing the NYS essential leadership characteristics with the competencies identified by the Wallace Foundation in its report, “The Making of the Principal: Five Lessons in Leadership Training”, the NYS new school building leader certification examination, and the recently released report, “Operating in the Dark: What Outdated State Policies and Data Gaps Mean for Effective School Leadership.”

Characteristics of Effective School Building Leaders Comparison of Standards			
NYS Essential Leadership Characteristics (1998)	Wallace Foundation (2012)	NYS New SBL Certification Examination (2013)	Briggs, K., Cheney, G.R., Davis, J., and Moll, K. (2013)
(1) Leaders know and understand what it means and what it takes to be a leader	Shaping a vision of academic success for all students	Part One: Instructional Leadership for Student Success	Recruiting and selecting teachers
(2) Leaders have a vision for schools that they constantly share and promote	Creating a climate hospitable to education	Part One: School Culture and Learning Environment to Promote Excellence and Equity	Developing and supporting teachers

Characteristics of Effective School Building Leaders Comparison of Standards			
NYS Essential Leadership Characteristics (1998)	Wallace Foundation (2012)	NYS New SBL Certification Examination (2013)	Briggs, K., Cheney, G.R., Davis, J., and Moll, K. (2013)
(3) Leaders communicate clearly and effectively	Cultivating leadership in others	Part Two: Developing Human Capital to Improve Teacher and Staff Effectiveness and Student Achievement	Assessing and rewarding teachers
(4) Leaders collaborate and cooperate with others	Improving instruction	Part Two: Family and Community Engagement	Using data to drive instruction
(5) Leaders persevere and take the long view	Managing people, data and processes to foster school improvement	Part Two: Operational Systems, Data Systems and Legal Guidelines to Support Achievement of School Goals	Developing a positive school culture
(6) Leaders support, develop and nurture staff			
(7) Leaders hold themselves and others responsible and accountable			
(8) Leaders never stop learning and honing their skills			
(9) Leaders have the courage to take informed risks			

Specifically, our implementation of the Regents Reform Agenda and our RTTT work has shifted the role of school building leaders in NYS. Instructional leadership is now the focus of the role as leaders must be equipped to support the implementation of the Common Core and data-driven instruction while also conducting evidence-based observations of teachers and providing meaningful feedback leading to improvement in teacher practice. In addition, data driven instruction is a critical skill for leaders to have in support of increased student achievement. Building leaders in NYS must also have the ability to:

- Articulate the “shifts” required for Common Core implementation
- Demonstrate deep, measurable knowledge of content of the locally-selected teacher effectiveness and principal practice rubrics
- Provide evidence based feedback on instruction, engage in thoughtful discussions with teachers about their practice, articulate short term goals for change in teacher practice, and support and hold teachers accountable for reaching those goals
- Refine school-level systems to collect real-time data on student performance, analyze that data, and make logical, action-oriented progress towards addressing the gaps highlighted in student learning
- Know how to use research-validated instructional strategies that are responsive to the characteristics and learning needs of students with a broad range of backgrounds and needs
- Engage families and community leaders in support of the school’s educational mission
- Serve as change agents

National Movement

At the national level, states, policymakers, and researchers are increasing focus on the role of leadership and the preparation of building leaders. Findings include:

- **Student Achievement.** Among those school factors that impact student learning, leadership is second only to teaching on student achievement (Leithwood & Riehl, 2003).
- **Principal Recruitment.** Half of superintendents (61% in urban areas) told researchers they have difficulty finding qualified candidates for principal jobs (Darling-Hammond, L., LaPointe, M., Meyerson, D., Orr, M.T., & Cohen, C. 2007).
- **Teacher Retention.** Principals are by far the most important school context factor influencing teachers’ decisions to stay or leave a school (Boyd, D., Grossman, P., Ing M., Lankford H., 2011).
- **School Turnarounds.** Without an effective school leader, it is highly unlikely a school will improve. (Bryk, A.S., Sebring, P., Allensworth, E., Luppescu, S. & Easton, J.Q. (2010). *Organizing Schools for Improvement: Lessons from Chicago*. Chicago, IL: The University of Chicago Press.
- **Preparation Programs.** “examine and transform how we prepare teacher and principals so they can provide instruction and organize learning environments to help students reach heightened expectations” (CCSSO, 2012).

RTTT Implementation Efforts. A focus on leadership preparation is also evident in the work of other RTTT states. **Attachment C** summarizes some of the key approaches to improving the principal pipeline in other RTTT states. Examples of the approaches commonly being implemented in RTTT states include: strong induction/mentoring

programs, alternative certification routes, focus on high need schools, and a focus on developing turnaround leaders.

The Council of Chief State School Officers (CCSSO). The recently released CCSSO report, “Our Responsibility, Our Promise: Transforming Educator Preparation and Entry into the Profession,” summarized the three key levers for change at the state level and they include:

1. Licensure.
2. Program approval.
3. Data Collection, Analysis, and Reporting.

Council for the Accreditation of Educator Preparation (CAEP). By spring 2016, the new CAEP standards for educator preparation accreditation will be in effect. The draft standards are currently posted for public input and include:

Standard 1: Content and Pedagogical Knowledge

Standard 2: Clinical Partnerships and Practice

Standard 3: Candidate Quality, Recruitment, and Selectivity

Standard 4: Program Impact

Standard 5: Provider Quality, Continuous Improvement, and Capacity

Throughout the CAEP standards there is a greater emphasis on P-12 partnerships, clinically rich experiences, rigorous standards for admissions and exit, evidence of impact on P-12 student learning (including graduate and employer satisfaction), and the use of data for continuous program improvement.

NYS Current Realities

As a result of these shifts in the role of leaders in our current Reform Agenda, we ask that the Board consider the need to revisit the program requirements for SBL programs in NYS to ensure that the course content, pedagogy and the clinical experiences currently offered are aligned with the needs of our P-12 schools and districts. Our current realities include:

- NYS currently over-produces principals leaving candidates with few employment options in the field of education. For NYC, the over-supply is 4:1 and for Rest of State the over-supply is 8:1 (**Attachment C**).
- SBL programs are currently not aligned with the knowledge, skills, and dispositions required at the P-12 level.
- Due to dissatisfaction with the level of preparation exhibited by some SBL candidates, many districts are either attempting to promote from within or find they must provide additional training to new leaders.

- Some stakeholders are concerned about the three years of teaching requirement feeling that it may preclude some qualified candidates from becoming principals in NYS. Scenario: taught for two years and became a principal in another state.

Many of these issues were also addressed in the “Putting Students First: Education Action Plan, New NY Education Reform Commission Preliminary Recommendations.” Specifically the report calls for greater coherence in the ways that educators are recruited, trained, and developed. The Commission suggests:

- Recommendation 1. Establish model admissions requirements for teacher and principal preparation programs to raise the bar for new educators.
- Recommendation 2. Recruit non-traditional candidates into teaching and leading by expanding alternative certification programs.
- Recommendation 3. Enhance the education training curriculum to better prepare teachers and principals to be highly effective upon entering the classroom.
- Recommendation 4. New York must raise the bar for entry into the profession.
- Recommendation 5. Strengthen educator preparation and in-service supports by establishing best practices to assure quality.

Previous Discussions by the Regents

The Board of Regents has examined potential revisions of the school building leader program requirements most recent these included:

- January 2008 the Higher Education Committee (Committee) discussed a proposed implementation plan for the Education Leadership examinations required by current regulations. The Committee also discussed the development of proposed regulation changes related to the enhancement of academic programs in the areas of fiscal accountability and ethics and improved flexibility in certification.
- June 2006, the Committee discussed amending Section 7.1 of the Rules of the Board of Regents and Sections 52.21(c) and Subparts 80-2, 80-3 and 80-5 of the Regulations of the Commissioner of Education relating to requirements for certification in educational leadership to strengthen certification requirements for educational leaders. The amendment made the following changes: required candidates to complete approved programs to be certified in the educational leadership service, and eliminated the transcript evaluation route to certification in the educational leadership service; implemented the New York State assessments (examinations) for educational leaders provided for in Part 52 of the Regulations defining the educational leadership program, once they become available; established a professional development requirement for school leaders; changed the experience requirement for building level certificates; limited the scope of practice for school district leaders certified under the new

certificate titles; established alternative requirements for school district leaders who are exceptionally qualified candidates and matriculated in an alternative school district leader certification program; required registered college programs that lead to the initial certificate for school building leaders and to the professional certificate for school district leaders to advise applicants in writing prior to admission of the experience requirement; established requirements for a two-year nonrenewable conditional initial certificate for school building leaders who are certified in other states and meet all requirements for the initial certificate except the examination requirement; established requirements for an endorsement process to facilitate the recruitment of experienced school district leaders and school district business leaders holding a valid, appropriate credential in another state. The regulations became effective July 2006.

- March 2006, the Committee was updated on draft regulations on certification requirements for education leaders including proposing language that would require that educational leadership exams be required once made available.
- February 2006, the Committee discussed amending Section 7.1 of the Rules of the Board of Regents and Sections 52.21(c) and Subparts 80-2, 80-3 and 80-5 of the Regulations relating to requirements to strengthen certification requirements for educational leaders based on comment received from the preliminary draft regulatory language the Committee discussed in May 2005. The regulations include experience requirements, professional development, alternative pathways for exceptionally qualified candidates, and assessment. The regulation effective date was anticipated for June 2006 with a transition period for implementing the new certification requirements.
- January 2005, the HE/PP Committee provided an update to the Committee on the Regents' Educational Leadership Initiative, discussed the work accomplished to date and the ongoing work necessary to continue implementation of the Initiative. The Regents were informed of the registration of new leadership programs based on new standards and the work being accomplished with the Department's contract partner for administration of certification examinations, including plans to work with the Professional Standards and Practices Board for Teaching and all sectors of the education community to develop draft language for the new Part 80 regulations which established certification requirements for school building and district level educational leaders consistent with the Part 52 standards previously approved by the Regents for the preparation of educational leaders by institutions of higher education.
- July 2003, the Board of Regents adopted the new standards for college and university programs that prepare school building leaders, school district leaders and school district business leaders. These new standards became effective August 2003 for all institutions of higher education with educational leadership programs. These programs were re-registered to include the new standards by September 2004.

Input from the Field

Numerous stakeholders have been consulted regarding the priorities and proposed approaches for the SBL reform work including: the Professional Standards and Practices Board, the Commissioner's Advisory Council on Higher Education, the BOCES Higher Education Committee, the DSs, and the superintendents at the NYSCOSS conference.

Over the past nine months, the Office of Higher Education has been seeking input from the field on the SBL Program Requirements. The core objectives have been to:

- Gain a deeper understanding of roles and key behaviors of effective school building leaders and how they improve teaching and learning, specifically around implementation of the reform agenda
- Build ongoing P-12, IHE and community partnerships and engage in discussion around the design and implementation of professional learning structures and practices that increase principal effectiveness
- Define what effective principal practice looks like from the perspective of state/district/school and identify supports that will drive the preparation and practice of this type of leader
- Create awareness of NYSED's SBL Program Requirements, certification examination changes and ongoing work in NY reform legislation in support of effective school leadership

Discussions about the knowledge, skills, and dispositions of effective school building leaders occurred on the following dates:

- April 17, 2013, SBL panel of practitioners reviewed the proposed examination prototypes and discussed the accuracy and relevance of each item as compared to their perceptions of the role of effective leaders.
- March 29, 2013, Regent Dawson, Commissioner King and Assistant Commissioner Wood-Garnett met with 20 representatives of North Country districts and IHEs to discuss the preparation and training of effective school building leaders.
- March 27, 2013, SBL certification examination item development and refinement with group of subject matter experts.
- March 24, 2013, SBL certification examination item development and refinement with group of subject matter experts.
- March 18, 2013, Assistant Commissioner Wood-Garnett presented at the NYS Association of Women Administrators Educational Leadership Summit and sought input on the preparation and training of effective school building leaders and P-20 partnerships.
- March 14, 2013, Commissioner King and Assistant Commissioner Wood-Garnett met with 20 representatives of New Paltz-area districts and SUNY New Paltz and Rockland Community College to discuss the preparation and training of effective school building leaders and P-20 partnerships.

- March 13, 2013, Assistant Commissioner Wood-Garnett met with Brockport City School District and SUNY Brockport to discuss the preparation and training of effective school building leaders and P-20 partnerships.
- March 8, 2013, Commissioner King and Assistant Commissioner Wood-Garnett met with over 70 other education professionals at the Cayuga-Onondaga BOCES to discuss the preparation and training of effective school building leaders. The conference was organized by BOCES Superintendent William Speck in collaboration with the Office of Higher Education. The event provided a unique opportunity for representatives from 7 area colleges and universities, over 30 Central New York school districts, BOCES, and Teacher Centers, to convene for this important conversation.
- February 15, 2013, Assistant Commissioner Wood-Garnett met with a group of Capital Region P-12 and IHEs to discuss the preparation and training of effective school building leaders and P-20 partnerships.
- January 31, 2013, SBL panel of practitioners reviewed the proposed examination prototypes and discussed the accuracy and relevance of each item as compared to their perceptions of the role of effective leaders.
- January 30, 2013, SBL panel of practitioners reviewed the proposed examination prototypes and discussed the accuracy and relevance of each item as compared to their perceptions of the role of effective leaders.
- December 4, 2012, Discussion with Fordham University faculty regarding the certification examination changes and conversation about the knowledge, skills, and disposition of leaders.
- November 19, 2012, Site visit to Binghamton City School District and discussion with superintendent and selected principals regarding SBL preparation programs.
- November 2, 2012, Site visit to Schenectady City School District and discussion with superintendent and selected principals regarding SBL preparation programs.
- September 24, 2012, P-12 Deputy Commissioner Slentz and Assistant Commissioner Wood-Garnett presented at NYS Council of School Superintendent's Fall Conference and sought input on the preparation and training of effective school building leaders and P-20 partnerships.

Ongoing SBL Work in NYS

- **Clinically Rich Preparation Programs.** To further enhance the preparation of school building leaders in NYS, we committed to the development of clinically rich programs, new and revised certification performance examinations and support for higher education faculty development programs in our RTTT application. These priorities are intended to ensure that the preparation of leaders is better aligned with the needs of P-12 schools and buildings.
- **Teacher Leadership Quality Partnerships.** In addition to the SBL initiatives included in its RTTT application, the Department is currently supporting the enhancement of clinically rich SBL programs under its *Teacher Leadership Quality Partnership Educational Leadership Program Enhancement Project*. The goals are

for program providers to select SBL candidates who have a demonstrated track record of success with high-need student populations, and are committed to careers as school leaders serving these students, and then place these candidates in intensive clinical experiences with principals who have track records of success leading schools, particularly those with secondary grades, that have high-need populations (i.e., “achieving high-need schools”). Program providers must ensure that, in addition to the clinical experience, SBL candidates will receive coursework and rich opportunities to reflect on their experiences together as a cohort of SBL candidates and subsequently build on these experiences in order to reinforce skill development and readiness for full-time leadership roles. Applicants include institutions of higher education (IHE) working in partnership with eligible high-need public school districts.

- **New SBL Certification Examinations.** As part of the Regents Reform Agenda and consistent with major federal and State policy initiatives, the Department has established new certification requirements for teachers and school leaders. The new exams were described in New York’s Race to the Top (RTTT) application and are part of New York’s RTTT scope of work. In May 2010, the Board affirmed the new certification assessments for school building leaders, which include the Educating All Students Test and the School Building Leader Performance Assessment. **Attachment E** contains a summary of the new SBL certification examination requirements and shifts, while **Attachment F** summarizes the pass rates on the current SBL certification examination.

Policy Directions for Consideration

With our implementation of the Regents Reform Agenda, the role of the school building leader has changed in New York State. Instructional Leadership is now the focus of the role as principals lead and support the implementation of the Common Core, data-driven instruction, APPR and strive to create a learning environment that promotes excellence and equity. In addition, leaders will need to shift time away from other administrative duties by delegating roles to others, improving time management and leveraging district and shared services resources.

The Board of Regents may wish to consider the following four areas of change to the school building leader program requirements to meet the needs of the P-12 principal’s evolving role.

- Curriculum and Instruction
- Human Capital Management/Leadership
- Systems and Data
- Internships and Mentoring

On March 8, the Department facilitated a collaborative conversation including 72 leaders from BOCES, institutions of higher education, and Central New York State School districts. Based on small group collaborative work around honest assessment of New York’s current SBL program requirements, this cohort generated over 90 comments and responses for change in the following areas:

Curriculum and Instruction	14 responses	15%
Human Capital Management	22 responses	24%
Systems and Data	18 responses	20%
Internships and Mentoring	12 responses	13%
Technology	4 responses	4%
Other	22 responses	24%
Total	92 responses	100%

The recommendations below reflect the March 8 event. In addition, these recommendations are also similar to suggestions collected by the Department since September 2012.

Recommendation #1: *The Department recommends that the Board requires SBL programs to identify specific content requirements that ensure the candidate’s skills and dispositions around curriculum and instructional practice, including Common Core Learning Standards and effective ways to include Special Education and ELL populations of students.*

While 15 percent of participants who responded to the group inquiry on March 8th mentioned changes were necessary to Curriculum and Instruction, most of those responses included a focus on Common Core Learning Standards, including the following: It is imperative that a school building leader “understand and know the details of the Common Core Learning Standards and its implications upon curriculum so that he/she can support teachers in their instruction, and ultimately improve student achievement.” The effective school building leader has a “foundation in needs of special education and ELL students, instructional strategies and can have evidentiary conversations about practice.”

The current NYS program requirements state that SBL candidates must be prepared to “develop and implement an educational vision, or build an existing one, for assisting all students to meet State learning standards;” and mentions “curriculum development” generically, “instructional strategies” and “classroom organization and practices” but fails to make a powerful connection between what we know about research-based best practices and recent reforms in pursuit of increased student achievement in New York State. The SBL preparation program requirements regarding curriculum and instruction should be aligned with the expectations for rigor of the Common Core and the relevance of the instruction surrounding it to meet the needs of all learners.

Recommendation #2: *The Department recommends that the Board require that SBL programs prepare candidates to become effective managers of human capital, possessing leadership skills, communication skills, and the organizational skills to create and maintain systems as required in New York’s P-12 schools.*

The current SBL requirements state that programs must prepare candidates to “develop staff capability for addressing student learning needs by effective supervision and evaluation of teachers, by effective staff assignments, support, mentoring, and by providing staff with opportunities for continuous professional development.” While these are crucial pieces to the role of school building leadership, the reform agenda calls for a new type of leader, one who has the strength and skills to dispassionately assess teachers on a range of skills, using a range of measures, while providing meaningful feedback and targeted support, and who is capable of making insightful decisions around the recruitment and retention of the most effective staff – all in the service of improving student achievement.

Practical skills emerged as 24 percent of principals, administrators and district superintendents felt that the following things should be taught by preparatory programs as part of Human Capital Management: effectively utilizing the intentions of APPR; strategies to deal with staff, including denying tenure and problem behavior; effective communication with stakeholders, creating business partnerships; how to identify strengths and expertise – in teachers and others; facilitating groups; conducting interviews; building capacity and marketing the profession in a positive mode.

Recommendation #3: *The Department recommends that SBL preparatory programs increase the experience with systems and interpretation of data to enhance the knowledge base of SBL candidates.*

Data is used by effective teachers and leaders to make instructional decisions, from day to day, and from year to year. The way that data is collected and used has raised the level of accountability for each member of the school culture and community. Effective school building leaders need to know how to gather data, interpret data, and respond to trends with clear, impactful action plans and how to put systems in place to organize and manage people and systems effectively. Twenty percent, or 18 out of 92 comments about ways to improve the SBL program requirements centered on the importance and value of systems and data, including collecting, analyzing and evaluating qualitative and quantitative data for better local decision-making. Comments included, “explaining data”, “using data to make instructional and employment decisions”, “how to teach and lead others through the process of data-driven instruction”, “how to do more with less”, “foundation in understanding of transportation systems, budget systems, and knowledge in management.”

As the Board considers making changes to the program requirements, the incorporation of multiple experiences and exposure to data and systems through clinically rich internships and mentoring will provide real-world encounters with data that will directly impact the educational experience in our P-12 schools.

Recommendation #4: *The Department recommends that more meaningful internships and mentoring are required to be a part of every New York State SBL preparation program.*

Many of the responses concerning internships and mentoring included the necessity of cooperation between institutions of higher education and P-12 schools/districts, as well as the SBL candidate. While only 13 percent of recommendations pertained to mentoring and internships, it was adamantly supported as a key form of support, both during and after the candidate's program. The following are direct quotes from principals, superintendents and principals:

- "Quality internship is essential and must be driven by candidate, district and IHE."
- "Counsel out viable candidates as part of internship before graduation";
- "Create [more] functional program and internship requirements and experiences"; "intensive paid internships requiring actual experience and of significant duration"; "ongoing mentorship – past the first year"; and "required mentor support for first year transition."

As the Board considers the requirements for SBL, the richest learning experiences occur while embedded in the school under the mentorship of an experienced school building leader. Courses can prepare candidates in theory, but the practice is at the heart of their skill set and disposition.

Based on this rich collection of comments from the field, the current leaders felt that the "reform agenda should be integrated across expectations" in school building leader preparation programs grounding them in the habits and skills we expect them to practice.

Next Steps

Should the Board decide to pursue changing the SBL program requirements, the Department will address the following as next steps:

- Ongoing review of state and national best practices
- Continued P-20 stakeholder discussions and input regarding the required knowledge, skills and dispositions of school building leaders
- Strengthen principal preparation programs to ensure they are aligned with the changing role of principals in NYS
- Consider cohort size, faculty-student ratio, faculty/mentor experience in relation to reform work, internship design, etc.

Recommendation

It is recommended that the Department continue to partner with the sectors to support the full implementation of the Board of Regents Reform Agenda. The recommendations from the NYS educators and the CCSSO report provide guideposts for this work. NYS must:

1. **Be purposeful in the recruitment of SBL candidates.** IHEs and local districts should partner and actively recruit candidates into programs who possess the skills needed in schools. Currently too many candidates pursue the programs for +30 or +60 salary credits without the intent of becoming school building leaders and/or enter the programs without active feedback/endorsement from their schools/districts.
2. **Design high quality preparation programs.** IHEs and local districts must partner to ensure that the SBL programs “address the needs of schools and help improve PK-12 student achievement and growth” (p. 10). This could and should include the review of program requirements and the approval process to ensure rigor and alignment.
3. **Consider admissions and exit criteria.** IHEs and local districts must identify the needs together in order to address the ongoing over-supply of school building leaders in NYS.

The future of our schools and our students depends on ensuring our SBL preparation programs are aligned with the Regents Reform Agenda.

References

Boyd, D., Grossman, P., Ing M., Lankford H., (2011) The Influence of school administrators on teacher retention decisions. Washington, DC: CALDER, The Urban Institute.

Briggs, K., Cheney, G.R., Davis, J., and Moll, K. (February 2013). Operating in the Dark: What Outdated State Policies and Data Gaps Mean for Effective School Leadership. Dallas: George W. Bush Institute.

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

Council of Chief State School Officers report, (2012) "Our Responsibility, Our Promise: Transforming Educator Preparation and Entry into the Profession," Washington, D.C.: Council of Chief State School Officers.

Darling-Hammond, L., LaPointe, M., Meyerson, D., Orr, M.T., & Cohen, C. (2007). Preparing School Leaders for a Changing World: Lessons from Exemplary Leadership Development Programs. Stanford, CA: Stanford University, Stanford Educational Leadership Institute.

The Wallace Foundation. (June 2012). The Making of the Principal: Five Lessons in Leadership Training. Available online: <http://www.wallacefoundation.org/knowledge-center/school-leadership/effective-principal-leadership/Documents/The-Making-of-the-Principal-Five-Lessons-in-Leadership-Training.pdf>

Attachment A
Current SBL Preparation Program Requirements

Current SBL Program Requirements			
Admissions Requirements	Candidate Attributes	Requirements for Program Completion	Experience Requirements
<p>baccalaureate from an accredited institution of higher education or from an institution authorized by the Board of Regents to confer degrees</p> <p>possess a permanent or professional certificate in the classroom teaching service or pupil personnel service, or to demonstrate the potential for instructional leadership based on prior experiences that are evaluated using criteria established by the program and uniformly applied</p> <p>candidate shall have successfully completed three years of classroom teaching service and/or pupil personnel service experience in public or non-public schools N-12</p> <p>Candidates who have not earned a master's degree prior to admission shall qualify for a master's degree upon program completion.</p>	<p>possess the nine essential characteristics of effective leaders as a result of their prior experiences, including experiences as a teacher, administrator, or pupil personnel service provider</p>	<p>complete studies sufficient to demonstrate, upon program completion, the knowledge and skills necessary to perform the following:</p> <p>(a) develop and implement an educational vision, or build and sustain an existing one, for assisting all students to meet State learning standards;</p> <p>(b) collaboratively identify goals and objectives for achieving the educational vision, seeking and valuing diverse perspectives and alternative points of view, and building understanding through direct and precise questioning;</p> <p>(c) communicate and work effectively with parents, staff, students, community leaders, and other community members from diverse backgrounds, providing clear, accurate written and spoken information that publicizes the school's goals, expectations, and performance results, and builds support for improving student achievement;</p> <p>(d) lead comprehensive, long-range planning, informed by multiple data sources, to determine the present state of the school, identify root causes of problems, propose solutions, and validate improvements with regard to all aspects of the school, including but not limited to:</p> <p>(1) curriculum development; (2) instructional strategies and the integration of technology;</p>	<p>(1) include leadership experiences in districts serving students at different developmental levels and with a variety of characteristics and socioeconomic backgrounds;</p> <p>(2) be carefully selected and planned by program faculty in collaboration with school district leaders, with learning outcomes specified that are connected to program competencies and with the achievement of those outcomes regularly evaluated by program faculty; and</p> <p>(3) be supervised by certified school district leaders and by program faculty who have preparation and expertise in supervision related to school building leadership.</p> <p>(b) The leadership experiences specified in clause (a) of this subparagraph shall occur throughout the program of study. In addition, they shall culminate in a full-time experience of at least 15 weeks that is structured to provide leadership responsibilities of increasing breadth and depth.</p> <p>(c) Alternatively, the leadership experiences specified in clause (a) of this subparagraph may occur in a competency-based format different from that prescribed in clause (b) of this</p>

Current SBL Program Requirements			
Admissions Requirements	Candidate Attributes	Requirements for Program Completion	Experience Requirements
		<p>(3) classroom organization and practices;</p> <p>(4) assessment;</p> <p>(5) student support services, including the provision of services to students with disabilities;</p> <p>(6) professional support and development;</p> <p>(7) succession planning;</p> <p>(8) student, family, and community relations;</p> <p>(9) facilities development; and</p> <p>(10) planning with colleges for providing curricula and experiences for college students preparing to become educators that will enhance their learning and the learning of the school's students;</p> <p>(e) effect any needed educational change through ethical decision-making based upon factual analysis, even in the face of opposition;</p> <p>(f) establish accountability systems for achieving educational goals and objectives;</p> <p>(g) set a standard for ethical behavior by example, encouraging initiative, innovation, collaboration, mutual respect, and a strong work ethic;</p> <p>(h) develop staff capability for addressing student learning needs by effective supervision and evaluation of teachers, by effective staff assignments, support, and mentoring, and by providing staff with opportunities for continuous professional development;</p> <p>(i) create the conditions necessary to provide a safe, healthy, and</p>	<p>subparagraph, provided that the program demonstrates that such format is substantially equivalent to the format prescribed in clause (b) of this subparagraph.</p>

Current SBL Program Requirements			
Admissions Requirements	Candidate Attributes	Requirements for Program Completion	Experience Requirements
		<p>supportive learning environment for all students and staff;</p> <p>(j) establish a school budget and manage school finances and facilities to support achievement of educational goals and objectives;</p> <p>(k) apply statutes and regulations as required by law, and implement school policies in accordance with law; and</p> <p>(l) maintain a personal plan for self-improvement and continuous learning.</p>	

Attachment B

SBL Programs Offered in NYS

SUNY Institutions

1. SUNY Albany
2. SUNY Binghamton
3. SUNY Stony Brook
4. SUC Brockport
5. SUC New Paltz
6. SUC Oswego
7. SUNY Buffalo
8. SUC Buffalo
9. SUC Cortland
10. SUC Fredonia
11. SUC Plattsburgh

CUNY Institutions

1. CUNY Baruch
2. CUNY City College
3. CUNY Lehman
4. CUNY Hunter
5. CUNY Queens
6. CUNY Brooklyn
7. CUNY College of Staten Island

Independent Institutions

1. St. John's University-Main
Staten Island
2. Syracuse University
3. Wagner College
4. College of New Rochelle
5. Hofstra University-Main
6. Manhattanville College
7. Niagara University
8. St. John Fisher College
9. Canisius College
10. College of Saint Rose
11. Columbia University/Teachers College
12. Dowling College
13. Adelphi University
14. Bank Street College
15. Bank Street College/Sarah Lawrence College - Joint Program Bank Street Awards
Certification

16. Bank Street College/New School - Joint Program Bank Street Awards
Certification
17. Fordham University-Rose Hill Lincoln Center
Westchester
18. Iona College-New Rochelle
Rockland
19. LeMoyne College
20. Long Island University-Brooklyn
CW Post
Hudson Graduate Rockland
Brentwood
21. Manhattan College
22. Mercy College-Main
Yorktown Heights
Bronx
23. New York Institute of Technology-Old Westbury
24. New York University
25. Pace University-New York
Pleasantville
26. St. Bonaventure University
27. St. Lawrence University
28. St Thomas Aquinas College
29. Touro College

Attachment C
SBL Reforms in Other RTTT States

State	Approach Described in Race to the Top											
	Induction Mentoring	Alt. Route	FT Program w/ Stipend	Residency Model	Hire FT Operational Managers	Focus on High Needs Schools	Turn around Leaders	Prepare Teacher Leaders	Leader-ship Academy	Problem based Approach	Need-based Hiring	Instructional Leadership Training
DE	X	X	X	X	X							
DC						X	X					
FL			X			X	X	X		X		
GA	X											
HI		X										
MD	X					X	X					
MA						X	X					X
NC		X				X	X		X	X		
OH						X			X			
RI							X		X		X	
TN	X			X								

Source: Reform Support Network. *The Principal Pipeline*.

Attachment D
Number of SBL Certificates Issued in NYS

Year	Internship	Conditional Initial	Initial	Professional
09/01/2011 - 08/31/2012	-	-	1532	160
9/1/10-8/31/11	134	68	1393	41
9/1/09-8/31/10	159	59	1269	26
9/1/08-8/31/09	162	-	2030	42
9/1/07-8/31/08	141	-	1127	11
9/1/06-8/31/07	40	-	359	-

Attachment E
Changes to the SBL Certification Examination

SBL Certification Examination Changes

	SBL Exam “Before”	SBL Exam “After” (2014)
<p>Competencies Tested:</p> <p>Revisions aligned to 2008 ISLLC Standards, CCLS</p> <p>Revisions emphasize instructional leadership tasks</p>	<ul style="list-style-type: none"> • Developing, Communicating, and Sustaining an Educational Vision • Managing Change, Making Decisions, and Ensuring Accountability • Leading the School wide Educational Program • Managing School Resources, Finances, and Compliance 	<ul style="list-style-type: none"> • Instructional Leadership for Student Success • School Culture and Learning Environment to Promote Excellence and Equity • Developing Human Capital to Improve Teacher and Staff Effectiveness and Student Achievement • Family and Community Engagement • Operational Systems, Data Systems, and Legal Guidelines to Support Achievement of School Goals
<p>Test Format:</p> <p>Revisions increase focus on performance tasks</p>	<p>120 multiple choice questions across 2 part exam (50% of exam score)</p> <p>4 performance tasks across 2 part exam (50 % of exam score)</p>	<p>80 multiple choice questions across 2 part exam (40% of exam score)</p> <p>6 performance tasks across 2 part exam (60% of exam score)</p>
<p>Changes to the exam:</p> <ul style="list-style-type: none"> • Increased emphasis on instructional leadership • Increased emphasis on data-driven instruction • Increased emphasis on teacher evaluation, including a video observation and analysis task • More emphasis on performance related tasks • More rigorous 		

Attachment F
Current SBL Examination Pass Rate

2010-2011						
Test Name	# Tests Taken	% Pass	# Att. 1	% Pass Att. 1	# Retakers	% Pass Retakers
School Building Leader I	1,970	82%	1,707	86%	263	60%
School Building Leader II	1,986	78%	1,672	82%	314	58%
2009-2010						
Test Name	# Tests Taken	% Pass	# Att. 1	% Pass Att. 1	# Retakers	% Pass Retakers
School Building Leader I	1,889	82%	1,672	85%	217	61%
School Building Leader II	1,892	79%	1,632	82%	260	57%