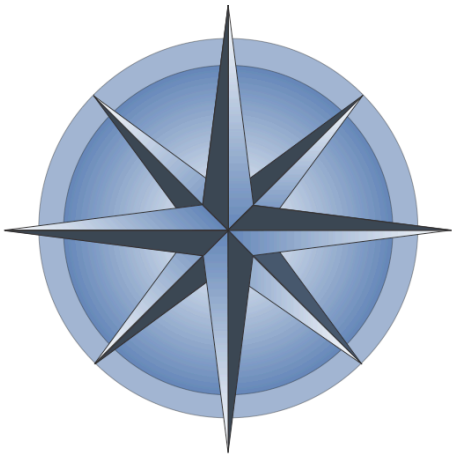
School Leadership Study
Developing Successful Principals



Financing and Policy Contexts for Principal Preparation and In-Service Training Programs: Mid-Course Findings from a Study of Innovative Programs

by
Carol Cohen and Lucinda Fickel
The Finance Project

This paper was presented at the annual meeting of the University Council for Educational Administration; November 13, 2005; Nashville, TN; and was written as part of the School Leadership Study — a study comissioned by the Wallace Foundation and conducted by the Stanford Educational Leadership Institute in conjunction with The Finance Project.

About the School Leadership Study

Principals play a vital role in setting the direction for successful schools, but existing knowledge on the best ways to prepare and develop highly qualified principals is sparse. What are the essential elements of good leadership? How are successful leadership development programs designed? What program structures provide the best learning environments? What governing and financial policies are needed to sustain good programming? "School Leadership Study: Preparing Successful Principals" is a major research effort designed to answer these questions. Commissioned by The Wallace Foundation and undertaken by Stanford University in conjunction with The Finance Project, the study is examining eight highly-developed pre- and inservice program models to address key issues in developing strong leaders. Once effective processes have been identified they can by replicated, ensuring that more and more schools become vibrant learning communities under the direction of outstanding leaders.

SELI Stanford University School of Education 520 Galvez Mall Stanford, CA 94305-3084	Phone: 650.724.7384 Fax: 650.736.0968 EMAIL: principalstudy@stanford www.seli.stanford.edu

Financing and Policy Contexts for Principal Preparation and In-Service Training Programs: Mid-Course Findings from a Study of Innovative Programs

Introduction

All principal preparation and professional development programs operate within a local, state, and national policy and financing context that influences their structure, shapes their priorities, and, in some cases, dictates their existence Financing and policy directly affect how much professional development for principals takes place, what kind, who participates, who pays, what impact it has, and if and how programs are held accountable for their results. For example, a principal preparation program created from a statewide legislative initiative in response to wide-reaching education reforms may operate, finance itself, and have different results from a program that grew out of one district's desire for a pipeline to replace a cohort of retiring principals. Thus, it is important to understand the factors, including state policy and financing factors, that influence programs. These factors may be restrictive, neutral, supporting, or even enabling of principal preparation and development programs.

Decisions regarding policy application and resource allocation are made at a number of levels and by an assortment of actors with a variety of educational policy priorities, making it difficult to fully understand how the many different parts of the system are working—either cohesively or individually—to create the overall policy and financing context for principal preparation and development programs. This paper focuses on state-level policies and the financing of local initiatives in selected sites. In this paper, we present work done as part of a study of innovative principal preparation and professional development programs funded by the Wallace Foundation and carried out through a partnership between Stanford University and The Finance Project.

As part of the study, The Finance Project is collecting and analyzing information on the costs of a selected sample of initiatives and on relevant state policies and programs. Our work to date has focused on developing a framework and tool for collecting and analyzing cost data and piloting this approach in three sites. We have also interviewed a variety of education policy experts in the states in which the study programs are located, as well as in selected additional states, to gain an understanding of the policy and fiscal environments in which these programs are operating.

In the first part of this paper, we present the framework we are using for collecting and analyzing data about cost and illustrate the application of this framework with data from the subset of study sites we have visited. In the second part of this paper, we examine ways state policies influence professional development for principals and describe selected policy initiatives taking place in the states highlighted in the study. Because

this study is still ongoing, the data and findings presented herein are based on work conducted to date under this project, and should be considered preliminary.

Analyzing the Costs of Principal Preparation and Professional Development Initiatives

To make informed decisions about supporting and operating training and professional development initiatives for principals, policymakers and program leaders need comprehensive, reliable, and comparable information on program costs. Such cost information may be of interest to several groups, including:

- universities and districts currently implementing principal preparation and development programs who need information about resources for planning and sustainability purposes;
- policymakers considering implementing a professional development program who need a sense of the resource requirements to make decisions about the feasibility of such a program;
- state and district policymakers who are interested in supporting aspiring and developing principals; and
- aspiring or current principals who are participating or anticipate participating in a preparation or development program who want a sense of the time and resources needed to complete the process.

Comprehensive information on program costs includes how much it costs to deliver and operate a principal professional development program, what types of resources are needed, and what individuals and organizations are expected to provide those resources. Budgets, while important resources that can inform a cost analysis, are only a starting point to obtaining full cost estimates.[1] A cost analysis goes beyond a study of budgetary expenditures to look at a program's total and per-participant economic (or societal) cost, including fiscal as well as non-monetary resources. In contrast, budgets tend to be limited to fiscal resources, despite the fact that many in-kind contributions may not require financial outlay but nonetheless count as program costs. For example, office space donated by universities and the volunteer time of mentor principals can be essential resources needed to sustain a principal preparation or development program. If these resources do not translate into additional expenditures, however, they generally do not appear in a budget. Yet the unavailability of these resources could undermine successful implementation of the program. Consequently, it is important that all resources—fiscal and non-monetary—be included in a cost analysis to give policymakers and program planners a comprehensive and accurate picture of program cost.

Our method of cost analysis provides for reliable cost estimates by "unpacking" costs in a systematic way that specifies the resources needed to provide and undertake a principal professional development program and identifies the distribution of the cost burden. We use a template to guide the systematic collection and analysis of this information within and across sites. Furthermore, we seek to make the cost information we produce comparable across sites by standardizing the analysis in several ways: by

[1] For budget-based analysis of professional development spending, see K.H. Miles, A. Odden, M. Fermanich, and S. Archibald, "Inside the Black Box of School District Spending on Professional Development," *Journal of Education Finance*, vol. 30 no. 1 (2004):1-26 and *Excerpts from Inside the Black Box: School District Spending on Professional Development in Education—Lessons from Five Urban Districts*, by K.H. Miles, A. Odden, M. Fermanich, and S. Archibald with a preface by The Finance Project, The Finance Project (Washington, DC), 2005.

applying a set of decision rules that facilitate similar coding and treatment of data across sites; by imposing assumptions about certain resources that should not be expected to vary across sites, such as basic office space, equipment, and supplies used by program personnel; and by imposing standard values of all resources so cost estimates do not reflect the unique circumstances (such as geographic cost differences) of any particular site but instead can be generalized across sites.

The approach discussed below has been developed based on our ongoing work studying the costs of principal preparation and professional development under this study. This work builds on previous work conducted by The Finance Project in partnership with Dr. Jennifer King Rice that includes the development of a theoretical framework of the costs of professional development in education and the application of this framework to other programs.[2] The approach has been piloted in three sites to date, and may continue to evolve as we learn more about the structure and costs of the programs included in the study. However, our framework is flexible enough to accommodate and reflect varying program designs.

The Cost Template

We have designed a cost template to be used as the basic tool for systematically collecting and estimating the costs of principal preparation and development programs. The template allows the user to identify and assign values to all relevant resources used to implement a specific program. It also allows for variability in how programs are designed and implemented. Thus, the template can be used to estimate the costs of principal preparation and professional development programs beyond the studied sites. An abbreviated version of the template is attached as Table 1.

Program Components

The first step in the cost analysis involves identifying the major components or activities included in the program in order to capture the resources required for those components and activities. Based on our work to date, we have identified common major components and services of principal preparation and professional development programs as the following. These may be modified as we gain additional study information.[3] It is important to note that programs may incorporate all of several of these elements into a single program or set of programs.

- *Administration and Infrastructure*. Each of the initiatives we are studying has an identifiable central locus and coordinating personnel and functions associated with them. This coordinating function typically includes overseeing the planning,

[2] For an explanation of the development of the cost framework, see Jennifer King Rice, *Cost Framework for Teacher Preparation and Professional Development* (Washington, D.C.: The Finance Project, 2001) and J. K. Rice, "Investing in Teacher Quality: A Framework of Estimating the Cost of Teacher Professional Development," in *Theory and Research in Educational Administration*, Vol. 2, ed. W. Hoy and C. Miskel (Greenwich, Conn.: Information Age Publishing, Inc., 2003), 209–33 and J. K. Rice, "Cost Analysis in Education: Paradox and Possibility," *Educational Evaluation and Policy Analysis*, 19, no. 4 (1997): 309–17. For an application of the framework, see Carol E. Cohen and Jennifer K. Rice, "National Board Certification as Professional Development: Design and Cost," August 2005.

[3] In addition, other users may adapt this tool and modify these categories to estimate the costs of professional development programs.

program operations, and finances of the initiative. It may also include related functions such as providing for the professional development of program staff or research that informs the entire initiative. These administrative and infrastructure functions take different forms and may be widely spread out, however, and it is important to recognize and capture all of them in a cost analysis. For example, in San Diego's Education Leadership Development Academy (ELDA) program, the program administration includes university as well as district personnel and office space in each location. In Louisville, the set of programs that comprise the Jefferson County Public Schools (JCPS) "pipeline" of training for administrators has over 20 separate parts; central staff's attention to each of these programs is appropriately considered part of administration and infrastructure.

- *Coursework/Group Trainings*. A required set of courses, or an identifiable set of meeting or training sessions, are a typical component of principal preparation or in-service professional development initiatives. States and school districts often require that aspiring leaders complete a program of university-based coursework in order to be eligible for the principalship. An innovation in JCPS is that the district and University of Louisville collaborate in developing, teaching, and financing the first three of six courses needed to acquire this credential. In Delta State University's program, candidates complete coursework over two summer sessions which bookend internship experiences throughout the school year. In-service principal professional development initiatives may also include requirements for additional university-based coursework or district-based group meetings. The principal induction program in San Diego requires three semesters of coursework as well as other expectations for new principals in order to acquire a Tier II credential. New and veteran principals also meet in monthly principal conferences for training and support.

- *Internships*. Internships, or intensive periods of opportunities for aspiring principals to engage in hands-on learning with current principals, are a prominent feature of the initiatives we are studying. The San Diego ELDA program, the JCPS LEAD initiatives, and Delta State's preparation program all include a one-year, full-time internship for aspiring principals. The JCPS internship is based on a medical model where interns complete several rotations focusing on different topics or systems. Similarly, Delta State's candidates complete three 12-week internships to gain experience at an elementary school, a middle school, and a high school, and additionally spend two weeks interning in a district central office. Initiatives may also structure internships of lesser duration or intensity, however. For example, the IDEAS program for aspiring principals in JCPS requires a one-course internship as part of a three-course series.

- *Mentoring.* Opportunities for educational leaders to provide individualized guidance and support to principals is another common activity of the initiatives studied. In San Diego's Induction & Support Program for new principals, for example, new principals meet with mentor principals three hours per week in addition to completing required university coursework. In JCPS, individual support to first and second year principals is provided by an induction team that includes a retired principal, mentor principal, and university professor. The training that programs provide for the mentors, as in San Diego and JCPS, should be considered a part of the activity and costs involved in the mentoring component of the initiative as well.

- *Other.* This category allows us to ensure that any other activities that are a part of the initiative but not covered above are included in the cost analysis. Various initiatives may have other functions that occur less commonly across initiatives, or that are emphasized to such an extent that they represent important components of the initiative by themselves. Examples of functions or activities that may be included here are information dissemination; recruitment and selection tasks; research; or related planning activities. For example, JCPS produces and distributes a newsletter and participates in state planning activities related to principal professional development, while Delta State provides candidates' travel to one national conference each year. All of these activities would be covered in this category.

Types of Resources Used

After mapping the structure of an initiative to the major components above, we seek to identify and quantify the ingredients, or resources, used to accomplish the identified activities in the study year.[4] This includes donated and volunteered resources along with resource requirements that translate into expenditures.

The attached template shows a generic list of component-relevant resource categories under each major component heading. In general, these resource categories are the same across activities, and include personnel time; facilities, materials, and equipment; and travel and transportation.[5] Other resource categories, such as fees for catering, publishing, or conference registrations, may be specific to certain activities. These categories guide our search for the type and amount of specific resources used in order to build a cost estimate of the resources that are needed to replicate the initiative or keep it going at the same level as in the study year.

Below are descriptions of key ingredients associated with each major program component, as identified in the sites studied to date:

- *Administration and Infrastructure.* Resources for administration and infrastructure typically include the personnel and related expenses used to run the program. For example, the personnel coordinating JCPS's LEAD initiatives include not only a full-time staff person but also part of the time of a division administrator and the associated administrative and support staff, such as secretarial and budget staff. In a university-based initiative, this category will likely include the program coordinator's time as well as portions of the time of the dean and other faculty and support personnel involved. Delta State, for example, estimated that the dean of the department devoted 10 percent of his time to the program. The office space, supplies, materials, and equipment used to support this administrative capacity should also be captured in this category, as should travel costs associated with the overall initiative, such as administrator travel to national meetings or to local

[4] For a description of the "ingredients approach" to cost analysis, see Henry M. Levin and Patrick J. McEwan, *Cost-Effectiveness Analysis: Methods and Applications*, 2d ed. (Thousand Oaks, Calif.: Sage Publications, 2001).

[5] For more detail on these resource categories and how they were developed, see Jennifer King Rice, *Cost Framework for Teacher Preparation and Professional Development* (Washington, D.C.: The Finance Project, 2001).

schools and districts, as well as catering for special events.[6] If not included elsewhere, this category may also include the resources associated with information, recruitment, and selection, such as costs of holding outreach meetings; development, design, and printing of publications and brochures; and time spent interviewing and selecting applicants.

- *Coursework.* Typical program costs in this category include instructor time spent in classes and in preparation for classes. Participant time spent preparing for and attending classes is also included as an economic cost of the initiative that must be recognized. Associated expenses of classroom space, supplies, and materials such as overhead projectors, TV/VCRs, or textbooks should also be included. For example, the costs of a residential program would include resources for room, board, and travel expenses to the site. Many Delta State students pay for local housing during their summer coursework experiences. It should be noted here that student tuition and fees for coursework can be considered an offset to program costs. These payments are addressed in the section of the analysis that deals with distribution of the cost burden.

- *Internships.* The resources involved in this program component are primarily related to the time of individuals involved in the internship. This includes both the time of interns and the time of personnel devoted to supervising interns, which may include supervising principals and university supervisors. Other resources that contribute to the internship experience should also be included in the cost estimate. For example, the full-year internship program that is part of the JCPS LEAD initiatives involves, in additional to the time of interns and mentor principals, the time of other district experts; a purchased coaching package; laptop computers for the interns as well as books and other supplies; space and catering for reporting/presentation days; and travel to professional conferences.[7]

- *Mentoring.* Resources associated with this program component include the time of mentors as well as participants spent in formal and informal meetings. Stipends paid to mentors offset these costs and are included in the analysis of cost distribution. Other resources may include associated costs such as materials and travel time and expense for mentors and mentees. Recall that resources used in the training of mentors for this role should also be included.

- *Other.* Personnel; facilities, materials, and equipment; travel and transportation; and any other resources associated with program components identified in this category should be captured. The goal is to be as comprehensive as possible in capturing the resources used by the initiative without double-counting any resources.

---

[6] Payment for some administrative resources may take the form of administrative overhead charges. While a detailed analysis of the components of such administrative costs is ideal, this category may also include institutional overhead charges that cannot be itemized.

[7] The amount and value of the intern's time to capture is an issue for analysis. Complicating factors include, for example, that JCPS pays interns at their prior teacher salary level plus an amount for the longer hours expected of a principal. Also, if the internship requires hiring a substitute or replacement teacher for the intern, the substitute or replacement time should offset the cost of the intern to avoid double counting. These issues should also be considered in the analysis of distribution of cost.

Calculating Total Annual Cost

After documenting the resources used to implement the program, the goal of the cost analysis is to quantify these resources and translate them into costs. Calculating annual cost gives a view of the value of the resources needed to provide the full set of program activities at their current scale and enables cost comparisons across programs.

The next set of columns in the template guides the calculation of the total annual cost of the program.

- The first column in this section, "Amount," specifies the amount of each ingredient listed in the previous column. The resource amounts are left in the most natural and descriptive units possible. For example, personnel are recorded in terms of the number of positions needed or hours per year, while travel costs might be represented in terms of the number of miles driven and the amount of time spent traveling.

- The next column, "Number of Units," indicates the number of the resources specified in the previous columns that are required for the program. Some resources are directly linked with the number of participants in the program (e.g., coursework materials), while others are relatively independent of this factor (e.g., program director). This distinction is important in planning principal professional development programs because there are potential implications for economies of scale.

- The column "Unit Value" requests a dollar value for each of the ingredients listed. In the case of personnel, this entry includes salary as well as fringe benefits, bonuses, and other add-ons. The figure entered in this column corresponds with the units used in the "Amount" column. For example, if hours-per-year is the unit used in the "Amount" column, then the appropriate hourly wage should be entered in the "Unit Value" column. Likewise, if the number of positions is entered in the "Amount" column, then the annual salary for that type of position should be entered in the "Unit Value" column.[8]

- The next column, "Period," requests information on the recurrence of the cost. Some resources are required year after year, such as salaries and benefits for personnel. Other resources, such as equipment, may be used for a number of years and should not simply be added into the annual cost estimate each year. The data in this column indicate the number of years over which various resources can be used. The number of years representing the expected life of the resource is entered, with recurring annual costs designated as "1."

- The column titled "Shared" indicates the degree to which the same ingredient (e.g., a staff member) is used across multiple service components or multiple programs. If the resource is shared with other service components in the program, it should

[8] The user has the option of entering actual values for each resource in each site or "standard" values for selected resources. If costs are going to be compared across programs in multiple sites, standard values applied universally across sites enable comparisons that account for geographic differences in the cost of resources.

be prorated according to how much is spent on each component. This is most evident in the distribution of administrative time across various program components and services. For example, if the program director is also a course instructor or a mentor, only the portion of time devoted to each activity should be entered in the respective row. If the resource is shared with programs other than the principal professional development program, the fraction devoted to the program should be entered (e.g., the principal development program uses half, or 50 percent, of the office space listed in the "Ingredients" column). This entry should be "1" for fully-dedicated resources and should be expressed in a decimal format (e.g., 0.50 for 50 percent) in the case of shared resources.

- "Annual Cost," calculates a dollar figure representing the total annual societal cost of each resource. This information should be calculated using the entries in the previous five columns. The appropriate formula is:

  Annual Cost = (Amount x Number of Units x Unit Value x Shared)/Period.

  The figures in the "Annual Cost" column can then be vertically summed to derive the total annual cost estimate of the resources required to support the program. The "Total Annual Cost" estimate is calculated in the second to last cell at the bottom of the "Annual Cost" column. The cell at the bottom of the "Annual Cost" column divides the total cost by the number of participants in the program in the study year to derive an estimate of the "Average Cost Per Participant."[9]

Distribution of the Cost Burden

A key analysis in our work relates to the distribution of the cost burden. This analysis illustrates how the costs of the initiative are supported by various stakeholders and financial sources. These may include the federal government, state, school districts, schools, universities, unions, grants, tuition, fees, stipends, school principals, program participants, other principals and staff, businesses, and community groups. For example, the Wallace Foundation provides $1million per year to the JCPS LEAD initiatives; however, initiative leaders leverage that amount with Title II funds, general funds from the school district, and in-kind contributions from the university, teachers' union, state, and other institutions and individuals for a budget total of over $2 million. A mix of grant, school district, and university funds and contributions also support the San Diego initiatives. Delta State's program is largely supported by a line-item in the state budget and by a federal discretionary grant. This analysis can also highlight how making substitutions, such as paying volunteers for their time or obtaining more grant funding, would shift the cost burden.

The next set of columns in the template guides the analysis of the cost burden distribution. Specified in dollars, the entries across a row in this section should sum to equal the figure in the "Annual Cost" column of that same row. This shows the distribution of the cost burden for that particular resource. The vertical sum of each column indicates the total cost of the program to each constituency. However, the fiscal amounts entered do not necessarily imply that dollars actually change hands. In many

[9] In the complex initiatives studied to date, the average annual cost per participant does not represent the cost for any one participant to complete their portion of the overall initiative. This would require analyzing costs by program component.

cases (e.g., participants' time), it is time rather than money that is devoted to the program.

Fiscal and Non-monetary Costs

A final anticipated analysis is to distinguish between fiscal and non-monetary costs of an initiative. Separating these costs allows users to see the difference between fiscal costs, or costs that are typically included in a budget, and total costs. For existing programs with established budgets, the "Fiscal Cost" column can serve as a point of comparison between budgeted costs and total costs. For programs in development, this section can facilitate the development of a budget while keeping planners mindful of non-monetary costs.

In the template, the entries across a row in this section show the distribution between fiscal and non-monetary costs for that particular resource. They should be specified in dollars and should sum to equal the figure in the "Annual Cost" column of that same row. The "Fiscal Cost" column should include resources that would often be listed in a program budget, while the "Non-monetary Cost" column captures in-kind contributions, donated time, and other non-fiscal resources required for program operation.

State Policy Influences on Principal Professional Development Programs

In addition to understanding program costs, The Finance Project is also seeking to understand the larger state policy and fiscal context in which the programs are operating. To gain an understanding of these state policy and financing contexts, The Finance Project conducted interviews with a variety of education leaders and policymakers in each state of a studied program—California, Connecticut, Kentucky, Mississippi, and New York—as well as in three additional "comparison" states—Delaware, Georgia, and North Carolina. Comparison states were selected upon recommendation by outside experts for the purpose of capturing the experiences of a larger sample of states. While this sample does not encompass all states and so cannot capture the full spectrum of state policy and financing approaches, it does represent states from a variety of regions with a wide range of population size and fiscal resources.

Interviewees included professional development program directors at districts and universities, representatives from state education departments, leaders of professional organizations for administrators, state school board representatives, members of education legislative committees, staff of licensing and accreditation bodies, and other relevant experts recommended by interviewees and the research team. Gathering information from a wide cross-section of policymakers and other relevant parties proved essential to capturing the full range of activities in the state. The goal of the interview process was to understand the infrastructure for professional development for principals in each state, and to gain insight into supports, barriers, and reforms that have shaped that infrastructure, as well as what reforms leaders in the field feel are necessary to improve the quality and availability of learning opportunities for principals. Interviews attempted to capture the level of fiscal and programmatic support states offered districts, schools, and individuals for principal professional development, as well as the degree to which preparation and development programs for administrators were held accountable

for the quality of their program and for their use of state fiscal resources. Interviews also gathered each state's requirements for obtaining and maintaining principal licensure and program accreditation.

Findings from these interviews reveal that states engage in varying levels of involvement in principal preparation and development programs, but that all of the states studied are taking some action in this area. Often, these activities involve a diverse and somewhat diffuse group of actors and decision-makers. It was rare to find an interviewee knowledgeable about all of the activities happening in the state; those concerned with accrediting pre-service programs, for example, often knew little of any in-service or retention initiatives, and vice versa. Almost universally, states were still responding to or emerging from a period of severely constrained resources and either struggling to maintain current funding levels for programs or to carefully limit and delicately implement budget cuts.

Some states had been actively engaged in improving and supporting principal preparation and development programs for decades; many had become much more heavily involved in the past five or ten years, often in response to the state's emerging focus on educational accountability reforms and increased expectations for student achievement. A number of states reported that improving and supporting programs for principals had become a priority only after several years of working to improve pre-service and in-service professional development for teachers. Many activities related to principal development and support represented a strategic evolution of educational goals that began with an emphasis on student learning, prompting a need to improve instructional quality, then, most recently, a focus on instructional leadership.

State activities related to principal preparation or development programs typically fell into three categories: regulatory and accountability measures intended to improve the quality or adjust the supply of programs and their graduates; infrastructure-building, planning, and research activities; and statewide initiatives directly providing professional development that are generally run by an arm of a state agency or state-supported higher education body and receive direct financial support from the state. Activities in these categories are not necessarily separate or distinct; directly running a program, for example, could be construed as an accountability activity, and that program is often the result of planning and evaluation activities. Some states were engaged in more than one type of activity or had been at some time. The analysis and description of these activities that follows is not intended to represent the full spectrum of state policy and financing activities, but rather to show samples and trends from the states studied.

Regulation and Accountability

Responsibility for ensuring the quality of principal preparation programs and the graduates they produce typically falls under the purview of the state policy body responsible for the state's higher education system. This body can take various forms, including a board of regents, an arm of the state department of education, or a professional standards board.[10] The same or an entirely separate group may be

[10] For further explanation and analysis of the regulatory and accountability structures for education and leadership programs and how they compare to those of other fields, see C. Cohen, K. Neville, and R. Sherman, *Preparing and Training Professionals: Comparing Education to Six Fields* (Washington, D.C.: The Finance Project, 2005).

responsible for administering exams and certifying or licensing principals to practice upon completion of the program and throughout their careers. State policies in this area may also address alternative routes to entry outside the public or private university system and adoption of multi-tiered licensure structures. In general, states are attempting to strike a balance between policies that encourage an adequate supply of principal candidates and measures that ensure the candidate pool is qualified and well prepared to assume principalships. All states play some policy role in program regulation, but several of the states examined have taken significant action to improve their regulatory and accountability systems for principals.

- In New York, a blue-ribbon commission convened in 2000 by the state education department and the Board of Regents issued recommendations for revamping certification and licensure for principals and superintendents and for adjusting preparation programs' curricula to meet these higher standards. In 2004, all administrator preparation programs in their existing forms were closed and were required to submit new program plans for approval in order to be reinstated. Credit hour and internship requirements have been toughened, and a statewide competency-based exam is being piloted.

- Connecticut adopted a set of principal preparation program standards for principals based on Interstate School Leaders Licensure Consortium (ISLLC) standards in 1999 but began earnest implementation of these standards and a variety of other initiatives beginning in 2002. The first phase of Connecticut's SAELP program succeeded in developing statewide school leader evaluation and professional development guidelines. The professional development guidelines, implemented in 2002, required a professional development plan for each principal by the 2004-2005 school year. Interviewees did not regard the plans as particularly rigorous and did not anticipate stringent enforcement, but viewed the standards and plans as a necessary first step toward a more developed system.

  Reforms in Connecticut have also included more stringent testing for principal candidates. In order to complete their credentialing program, candidates must pass the Praxis I exam and the Connecticut Administrator Test (CAT) or School Leader Licensure Assessment (SLLA). Although the credential is issued by a university, they cannot award it until the candidate passes the state assessment. The CAT, which was instituted as a requirement in 2001, consists of four modules lasting six hours. Two modules require the test-taker to make recommendations in response to a lesson plan, videotaped lesson, and sample of student work. The other two modules give the candidate a school and community profiles and ask the candidate to describe a process for improving the school. The candidate receives a score of 0 to 3 points for each module and must receive at least 7 of the 12 possible points, with a 2 or better on at least three of the four modules. In the first year of the CAT test, nearly 30% of prospective principals failed the test. Currently, about 20% fail it each year. Each university is judged on their pass rates, and their state accreditation depends, in part, on how well their students do on the test. The state continues to explore methods of licensure assessments and has allocated funding to host forums on the issue and conduct studies to ensure that any new assessments provide valid results.

Infrastructure Building, Research, and Planning

Principal professional development is a nascent issue in many states, and some state policies supporting research, planning, and infrastructure building to address this issue. Such states are striving to bring instructional leadership to the forefront of policy discussions, to understand supply and demand issues, and to lay the groundwork necessary to build a comprehensive and supportive preparation and development system. Such work often builds partnerships or creates momentum that leads to other policy and financing initiatives.

- Kentucky has examined statewide coordination, recruitment, and retention issues in recent years, supported primarily by Wallace funding. With Wallace SAELP money in 2003, the state conducted a study of the supply of principals and determined that there were enough candidates in the pipeline to support the near future demand for principals, despite fears before (which had prompted changes in licensure requirements) that the state would face a shortage of principals in the near future. In April 2005, the state used SAELP funding to conduct a conference which brought together a panel that included a representative from the Education Professional Standards Board (EPSB), the Kentucky Department of Education (KDE), the education cabinet (that represents higher education, KDE, and the EPSB), and the head of the Council on Post-secondary Education (CPE) to review papers presented by preparation programs that explored ways to improve recruitment and preparation in the state. This conference has led to the development of policy options that members of the EPSB will present to their leadership in summer of 2005, with an expectation that the EPSB will present refined policy options to the state legislature in January 2006.

- In Delaware, the Department of Education developed a task force to examine principal recruitment that produced recommendations sent to the governor in 2004. The task force developed strategies focusing on minority candidates, in particular. The task force's look at recruitment and retention included examining internships, succession planning, competitive salaries, and changes in role responsibilities for administrators. Funding for succession planning and internships has been awarded to 19 districts and three higher education institutions. These sites hope to develop a program similar to student teaching for principals. Related research explores alternative roles for various people in a school with the goal of distributed leadership among a team; the state has an agreement with four schools to test a pilot program. Finally, an experimental state program is developing an aspiring leaders program that gives those interested in the principalship an introduction to it. DEDOE has begun taking surveys across the state to track administrator movement and employment.

Provision or Funding of Programs

Several of the states studied have extended their involvement in principal preparation and development programs beyond monitoring and planning activities and are playing a significant role in providing pre-service or in-service professional development programs. It is not new or unusual for state departments of education to spearhead in-service professional development for principals, but states vary in the extent to which these activities are centrally provided by the state education agency or provided on a more individualized basis by districts or regional education service departments. Centralized

state involvement in recruiting and preparing new principals is slightly more unusual, as many states have played a more “hands-off” role with programs housed at higher education institutions. Statewide professional development initiatives can represent the result of a coordinated strategy for supporting principals and signify a commitment to provide financial resources to do so. Mississippi, Georgia, and North Carolina all have state-supported programs which were often lauded by interviewees.

- In 1994, Mississippi’s Superintendent of Education convened an Administrator Preparation and Certification Task Force to develop strategies for providing the state with leaders for its schools. The task force’s report led to the creation of the Mississippi School Administrator Sabbatical Program by the state legislature in 1998. School districts may grant qualified teachers a one-year leave of absence to participate in an approved full-time administrator preparation program. Participants receive their regular salary and benefits in exchange for their commitment to serve as an administrator at their sponsoring school district for at least five years. The legislation creating the program includes sunset provisions, requiring the program to be renewed every four years. Though the program enjoys strong support, legislators, citing potential funding droughts, have been reluctant to remove the repeal provisions. Each year since 1998, the state legislature has committed funding to the State Department of Education for up to 20 teachers to enter the School Administrator Sabbatical Program. In the 2003-2004 school year, the program had 12 participants at a cost of $390,000. Participants in the sabbatical program remain on district payroll, and districts are reimbursed by SDE for the salary equivalent of a teacher with five years of experience. Participants must remain employed by the district for five years or repay their sabbatical costs.

  In the 1980s, the Mississippi State Department of Education created the School Executive Management Institute (SEMI) to provide in-service training. Programs are offered regionally and locally by SDE staff, current and former administrators, and university staff. The SDE provides all in-service training to entry-level administrators in a two-year series of sessions required in order to convert the entry-level license to a career-level license. There are many other in-service professional development providers in the state for experienced principals, but all courses must be recognized and approved by SEMI. The School Executive Management Institute was created in 1984 with an initial appropriation of $850,000. Funding for the program has fluctuated over the years, and SDE staff adjust the number of courses and scale and scope of the programming accordingly. Recent allocations have been approximately $500,000.

- North Carolina’s in-service program, the Principals’ Executive Program (PEP), was created by the North Carolina General Assembly in 1984. PEP presents two types of programs, residential and topical. Residential programs range from 3 to 20 days in length and require participants to remain at a program site for a specified number of days or return to a program site for a number of sessions spanning a number of months. Current residential program offerings include leadership programs for aspiring principals (current assistant principals), future superintendents, new principals, experienced principals, and instructional leadership. Topical programs are one- to three-day "stand alone" sessions devoted to specific topics such as curriculum mapping, data-driven decision-making, special education, coaching, law, and finance. PEP residential programs are state-supported. The General Assembly allocates approximately $300,000 to

the University of North Carolina at Chapel Hill for program staff as well as all participants' expenses, including lodging and excepting only travel to and from the program. Topical programs are self-supporting, and registration fees ranging from $50 to $300 per person are charged to offset costs.

Legislation creating the North Carolina Principal Fellows Program (PFP) was enacted by the North Carolina General Assembly in 1993. The purpose of PFP is to attract outstanding full-time aspiring principals to two-year Masters in School Administration (MSA) programs, thereby increasing the number and enhancing the quality of licensed school administrators available to serve in the public schools of North Carolina. The first class of Principal Fellows began their studies in 1994-95 and graduated in the spring of 1996. The Program provides each recipient an annual scholarship loan of $20,000 for two years of full-time study, for a total of $40,000. The first year of study is dedicated to academic coursework at one of eight universities in the University of North Carolina system. The second year is spent in a supervised full-time administrative internship in a public school in North Carolina. In return, each participating Principal Fellow agrees to repay the scholarship loan with four years of service as a principal or assistant principal in a North Carolina public school within six years following graduation from the Program. The General Assembly allocates approximately $995,000 dollars per year to the PFP program, which funds 40 to 50 scholarships per year. Funds flow to the University of North Carolina Board of Governors. Fellows take a leave of absence without pay from their home district. The university the fellow attends deducts tuition and fees from the $20,000 scholarship and issues the balance to the fellow for living expenses. During the second year, when the fellow is serving a full-time internship, the fellow also receives a stipend equal to the entry-level salary for an assistant principal that is paid by the host district through an appropriation from the N.C. Department of Public Instruction.

- In 2000, the governor of Georgia appointed an education reform commission to highlight needs across a range of education policy issues. Addressing leadership development was highlighted as a top priority. As a result, Georgia's Leadership Institute for School Improvement was created as a partnership among a variety of stakeholders, including the Board of Regents of the University System of Georgia, business leaders, the Georgia Partnership for Excellence in Education, the Georgia Professional Standards Commission, the Department of Education, and the office of the Governor, as well as a number of K-12 educators. GLISI provides a partially customized program for teams of instructional leaders in a district. Its signature program starts with "Base Camp" and concludes with "Summit." The former represents one series of intensive sessions with GLISI leaders for district leadership teams. Then, the team returns to the district and works with the superintendent on a particular initiative. Later in the school year, the team returns to GLISI for its "Summit" sessions. Participants include principals and other school leaders. About one-third of districts in Georgia have gone through this process. GLISI also runs other on-going training and support for school leaders including "hot topic" sessions and on-going workshops.

  GLISI was begun with "seed" money from Wallace, and initial funding also included a three-year Gates Foundation grant of $1 million per year which required a state match of funds. When the Gates money ended, the state contribution nonetheless continued because of the governor's support of GLISI's work. This contribution

has been cut 3% to 5% per year the last year or two due to budget constraints; the current appropriation is for $872,000. This appropriation represents about a third of GLISI's budget and covers facilities, rent, salary, and some travel. The rest is covered by grant monies, and, to a lesser extent, private donations from large corporations, such as Wachovia and MBNA. The Board of Regents has requested a $450,000 increase for GLISI funding from the state legislature for FY06, and has so far received the approval of the governor, the state house, and the state senate.

Conclusion

State policies and fiscal practices of initiatives play a critical role in setting the context for the development, operation, and potential sustainability of principal preparation and professional development programs. This study will bring new information to the role of fiscal and state contexts in such initiatives.

The state policy activities reveal that many states are taking an active interest in the quality and supply of principals and the programs that prepare and develop them, and that this interest can manifest itself in a variety of policy activities carried out by a wide array of actors. In general, state policy activities, while constantly evolving, are often still in early stages and are competing with other education policy issues for attention and funding. Our work to examine policies in states which have already undertaken measures to develop, improve, or provide principal professional development can help catalyze the emerging work, encourage more effective policies, and identify needs for research, technical assistance, and peer learning.

The cost estimates this study will provide can be used to:

- Understand the resource requirements of particular initiatives and their components. Our cost analysis approach provides a way for decision makers to conceptualize the kinds and magnitude of investments required for the different models of principal preparation and professional development studied. This information is important for planning the sustainability or replication of initiatives.

- Compare costs across initiatives. This includes comparing not only total costs but also component costs, such as the drivers of cost in different models. Together with the program information being developed in other parts of the study, this can contribute to the base of information that can help guide decision makers' investments in and management of resources for alternative forms of principal professional development.

- Illustrate the distribution of costs in different models and the importance of non-monetary as well as fiscal contributions. This is important to considering the sustainability of current funding arrangements, understanding the potential range of funding resources, and developing strategies for accessing the resources needed to support promising initiatives.

Table 1: Abbreviated Cost Template For Study of Principal Preparation and Professional Development Initiatives

COMPONENTS/Resource Ingredients	TOTAL ANNUAL COST						DISTRIBUTION OF COST*			FISCAL VS. NONMONETARY COSTS	
	Amt. (natural units)	No. of Units	Unit Value ($)	Period (years)	Shared (%)	Annual Cost ($)	Univer-sity	School District	Grant	Fiscal Cost	Non-Monetary Cost
ADMINISTRATION AND INFRASTRUCTURE											
Administrative personnel											
Office facilities, materials, and equipment											
Travel and transportation											
Other, e.g., resources for information dissemination, printing, events											
COURSEWORK/GROUP TRAININGS											
Instructor time											
Participant time											
Course facilities, materials, and equipment											
Travel and transportation, e.g., local											
Other, e.g., room & board if residential											
INTERNSHIPS											
Intern time											
Supervisor time											
Facilities, materials, and equipment, e.g., laptop computers											
Travel and transportation, e.g., conferences											
Other, e.g., time of other experts, purchased training packages, catering											
MENTORING (Including Mentor Training)											
Mentor time											
Mentee time											
Trainer time											
Facilities, materials, and equipment											
Travel and transportation, e.g., local											
OTHER											
TOTAL COST											
AVERAGE COST PER CANDIDATE											

Note: *In the full template, Distribution of Cost includes columns for federal, state, district, school, university, union, grant, principals, teachers, other staff time, volunteers, business, community groups, and students.