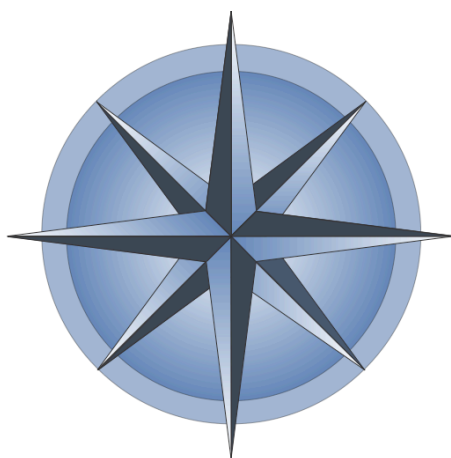


**School Leadership Study
Developing Successful Principals**



**Policy and Resource Supports for Exemplary
Principal Preparation and Development
Programs: Findings from the School
Leadership Study**

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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 be replicated, ensuring that more and more schools become vibrant learning communities under the direction of outstanding leaders.

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INTRODUCTION

This paper offers highlights from the final report of Stanford's School Leadership Study, which should be available in January 2007. It discusses various policy and resource factors that enhance or impede the implementation of exemplary programs that develop and support principals. Among the research questions that guided this study were a set that dealt with resources and supports for exemplary programs:

- (1) What state, district, and institutional policies foster the development of exemplary programs? How are they supported politically, organizationally, and financially?
- (2) How do state and district financing policies shape the configuration of professional development programs available to support school leaders?
- (3) What does it cost to provide an exemplary professional development program?

First, we will discuss the landscape of state policies and state investments in leadership development. Second, we will explore the costs of these programs and their revenue sources. Finally, we will discuss implications for other organizations that wish to create or sustain development programs for principals. We hope that this exploration of resources and supports for exemplary programs will illuminate the creation and implementation of leadership development programs for organizations seeking to enhance their supports for school leaders.

A LANDSCAPE OF STATE LEADERSHIP DEVELOPMENT POLICIES

As the importance of leadership to school success has become increasingly evident, policymakers have placed greater demands on principals. Between 1975 and 1990, the number of states with state-mandated principal evaluation increased from nine to 40 (Snyder & Ebmeier, 1992). State, national, and international investments in in-service training of principals increased during this period (Hallinger, 1992; Murphy, 1990). In 1996, a consortium of states, the Interstate Leadership Licensing Consortium (ISLLC), translated the new leadership expectations into standards for principal preparation and licensing to guide pre-service programs and, in some states, new assessments for principal licensing. More than 40 states have adopted or adapted these standards, and some have developed performance assessments to evaluate candidates' acquisition of the skills they outline. New leadership development programs have been launched by some foundations as well as states and districts.

However, in most places these new initiatives have just begun to take root. A few states and districts have moved aggressively to overhaul their systems of preparation and in-service development for principals, making systemic investments that have been sustained. Others have introduced individual programmatic initiatives without system changes. Similarly, some universities or other program providers have dramatically transformed the programs they offer. In other places, though, the changes have been marginal.

While there is not a consistent set of policies or program strategies in place across the country, we noted similarities in the kinds of strategies used by states that provide a framework for assessing policy approaches. Looking across the eight states, we identified seven policy levers states used to impact the context for leadership programs. These include:

- Providing vision/standards for school leadership
- Improving leadership preparation through accreditation or program review
- Using principal assessment as a lever for program and candidate improvement
- Creating a continuum of training
- Developing and supporting strategies for recruitment and training
- Building an infrastructure for ongoing professional development
- Creating a capacity for planning and improvement

1. Providing vision/standards for school leadership

Most states – including seven of the eight in our study – have adopted the ISLLC standards guiding principal preparation programs, and these have sharpened the focus of principal training considerably. Some states, like Connecticut and Delaware, have infused these standards into multiple aspects of the states’ efforts, creating a coherent approach to training and practice. For example, both states’ standards for administrators guide all aspects of state education leadership policy, including accreditation of preparation programs; licensing and certification of administrators; continuing professional development requirements; and administrator assessment and evaluation. In both cases, the state works closely with other leaders in the state (including universities and districts) to move ahead reforms consistent with standards.

In Mississippi, where principals felt far more positively about their preparation than in any other state (discussed later in this paper), a number of integrated reforms of administrator preparation and development were undertaken based on the recommendations of a state Task Force on Administrator Preparation made in 1994. Using standards as a mechanism, these reforms have included substantial upgrades in program accreditation and licensing requirements and coordination of all in-service professional development for school administrators through a state-level leadership institute, as well as an innovative year-long sabbatical program allowing teachers to train for the principalship in programs that offer a full-year internship.

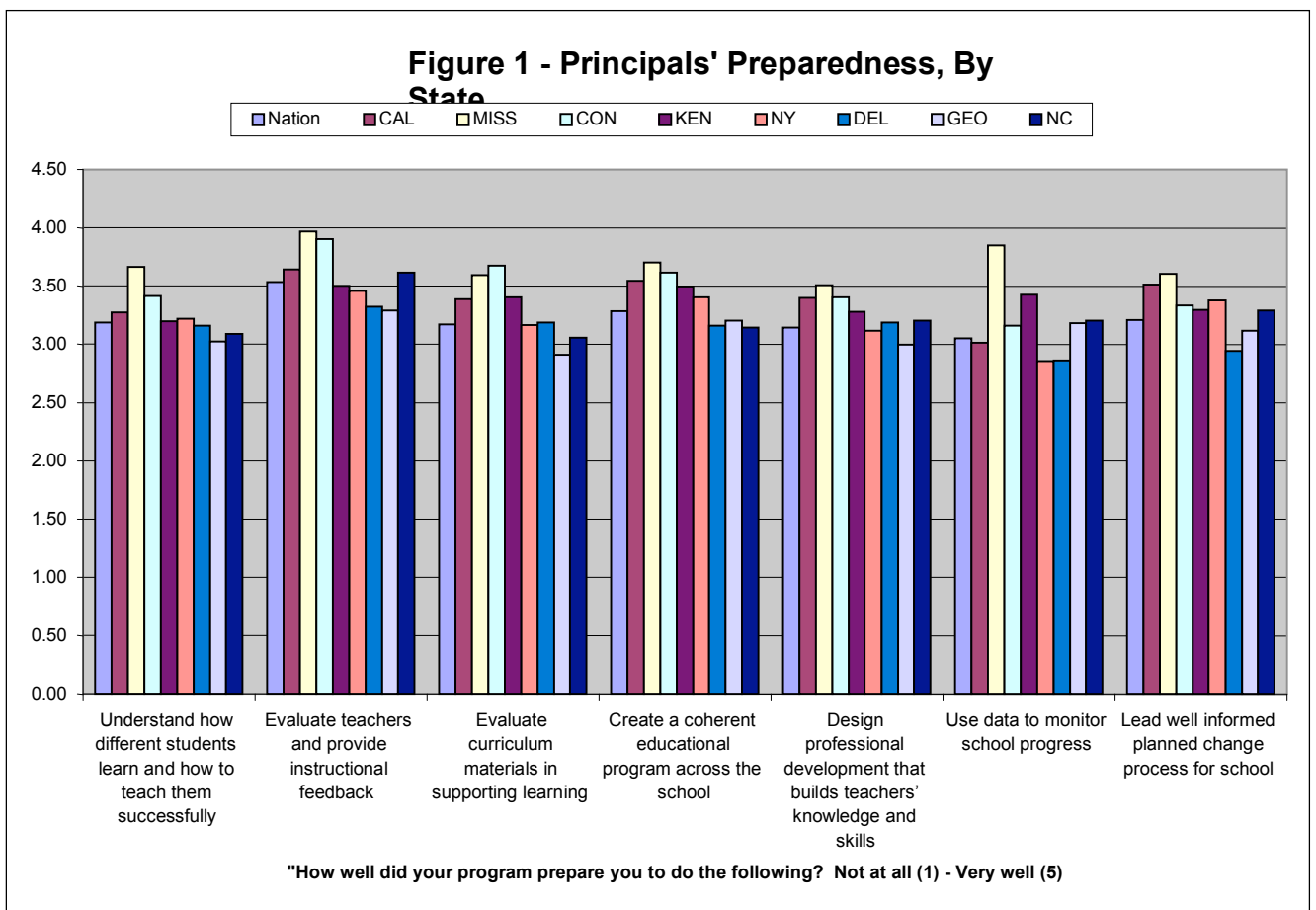
2. Improving Leadership Preparation through Accreditation or Program Review

Although many states have adopted standards to guide leadership development, they have differed in how they use and enforce these standards and how they encourage preparation programs to improve. Program monitoring and approval strategies, licensure assessment, and investments in specific program elements, such as internships, are among the policy tools available to states.

A number of states have developed approaches to program review that create both leverage and support for program improvement. In Mississippi, the reform of administrator preparation programs appears to have been unusually successful, based on the results of our survey. Mississippi principals were significantly more positive than principals nationally or in our other states in their assessments of program quality and

perceptions of their own preparedness for most dimensions of leadership, rating themselves significantly better prepared than the national average on 21 of 22 dimensions of preparation. (See Figure 1.)

These outcomes may be related to the unusually aggressive approach Mississippi took to improving program quality. In the early 1990s, the state closed all of its college and university administration programs, and made them re-apply for accreditation. They were required to become nationally accredited through NCATE (the National Council for Accreditation of Teacher Education) and to demonstrate how they meet the Mississippi Administrator standards, which were aligned with the national ISLLC standards. None of the programs passed accreditation in the first round, and many – including Delta State -- took the opportunity for substantial overhaul of their entire approach.



The state accreditation process has a performance emphasis. It includes standards for the admissions process (for example, the application packet should address knowledge, teaching experience, leadership capacity, interpersonal skills, and communications skills); prior to admission, programs must interview candidates to evaluate them against these standards. Applicants are expected to compile a portfolio demonstrating their qualifications for education leadership. Programs' accreditation depends on at least 80% of their graduates passing the state administrator test in the

three years before the accreditation process. The reform of administrator preparation in 1994 also established external review panels to make approval recommendations. The audits conducted by these review panels are perceived as having a positive impact on the rigor and quality of preparation programs, which were held in generally high esteem by the respondents we interviewed.

Like Mississippi, New York also required all administrator preparation programs to close and submit new plans for approval under new standards and regulations. The new rules require all candidates to graduate from an approved program (rather than picking up credits at a variety of universities over time), and require all programs to offer redesigned coursework, along with a 15-week full-time internship supervised by a certified building level leader and other practicum experiences. As in Mississippi, programs must now be nationally accredited and outcome data from the state's newly piloted administrator assessment, launched in spring 2006, will be part of that accreditation process. Like those in Mississippi, principals in New York were much more likely than principals nationally to say their preparation program faculties were highly knowledgeable. They were also most likely to have an internship (92%), although about half of these were part-time in the teacher's own school, and to report that their coursework was integrated with the internship.

California introduced new standards for programs in 1994, and required that programs be redesigned to reflect these standards. (An additional renewal of the standards occurred more recently, tying the state's standards explicitly to the ISLLC standards.) The California program expectations value connections to practice and emphasize school improvement, which is reflected in principals' feelings of preparedness. California principals felt significantly better prepared than their peers nationally in several areas dealing with the organizational aspects of leadership, including their ability to find and allocate resources to pursue important school goals; analyze budgets and reallocate resources to achieve critical objectives; engage in comprehensive planning for school improvement; and redesign school organizations. Enforcing these standards has been a challenge in the last few years as the state discontinued accreditation site visits, but these have just been reauthorized as of July, 2006.

Using standards in ways that make them meaningful is a prerequisite for widespread change. A review process similar to that employed by Mississippi's external review panels has been instituted by Georgia's Leadership Institute for School Improvement (GLISI), created as a partnership among the Board of Regents of the University System of Georgia, business leaders, the Georgia Partnership for Excellence in Education, the GA Professional Standards Commission, the Department of Education, and the office of the Governor, as well as a number of K-12 education organizations. GLISI often participates in annual principal program evaluations required by the Board of Regents. These reviews require demonstration of impact data as well as partnerships with K-12 districts. GLISI is trying to encourage preparation programs to move toward using research-based methods to show "high impact performance" against ISLLC standards. Finally, the State of Georgia recently informed their universities that all educational administration programs will be closed, and will need to re-apply under new state standards. This process has been delayed while the new standards are being refined, but it should be complete in 2007. These efforts are stimulating further reforms in Georgia.

The Educator Performance Standards Board in Kentucky also monitors programs annually and allocates a Quality Performance Index score based on a number of measures, including the state principal licensure assessment. Kentucky's longstanding school reform efforts under KERA may have influenced some of the program emphases, as Kentucky's principals are significantly more likely than others nationally to feel well-prepared to use data to monitor school progress and to find and reallocate resources to achieve school goals.

3. Using Principal Assessment as a Lever for Program and Candidate Improvement

As the above discussion suggests, licensure assessments for the principalship, based on the ISLLC standards, are becoming commonplace. Among the states we studied, at least seven of the eight now require such a test (California, Connecticut, Delaware, Georgia, Kentucky, Mississippi, and New York). Most of these states use the Educational Testing Service's School Leaders Licensure Assessment (SLLA), which incorporates multiple-choice and short answer responses to questions based on the ISLLC standards, including brief scenarios of practical dilemmas. A number of states incorporate evidence from these assessments into the accreditation process for programs as accreditation has become more performance-based.

One of the most innovative of these assessments is the Connecticut Administrator Test (CAT), a performance assessment based on the ISLLC standards that poses challenging, authentic problems for potential principals. The CAT strongly reinforces the state's requirements for principals, which are much more focused on instructional leadership than programs in many states, including coursework in pedagogy, curriculum development, administration, supervision, contemporary education problems, and the development of exceptional children. Instituted as a requirement in 2001, the CAT consists of four modules lasting six hours. Test-takers are assessed on their ability as an instructional supervisor to make recommendations for supporting a teacher in response to the teacher's lesson plan, videotaped lesson, and samples of student work. The other module asks the candidate to describe a process for improving the school or responding to a particular school-wide problem based on school and community profiles and data about student learning. Candidates are assessed for both elementary and secondary school leadership, so the two types of modules are repeated for each school level. The test is rigorous; each year about 20% of first time test takers fail the assessment.

In addition to the incentives the test provides for programs to focus on teaching, learning, and school improvement – areas in which Connecticut principals feel better prepared than most in the country – each university is judged on its pass rates, and state accreditation depends, in part, on how well its candidates do on the test. If 80% or more do not pass, the university must redesign its program. Furthermore, because the assessment is evaluated by experienced Connecticut administrators and university faculty, who are trained for scoring, the assessment provides a powerful professional development opportunity for these other Connecticut professionals and a shared sense of standards of practice throughout the state. In line with the expectations of the assessment, Connecticut principals are most likely to report that they engaged in problem-based learning in their preparation programs. They also report spending more time than others on working with parents and staff to solve school-wide problems.

4. Creating a continuum of training

Most states we looked at had developed two or three-tier licensing systems that recognize continuing development of principals. Others, like Georgia, are moving towards tiered licensure. Several used the licensing process to create opportunities to link preparation programs, assessments, and continuing professional development requirements to standards.

California's two-tiered administrator credential – the first of its kind in the country – was enacted in 1984. As a result, universities have long offered “Tier 1” and “Tier 2” training for school principals. Although the intention of a well-supervised and structured field experience tied to study is expressed in this requirement, it has been difficult, especially in tight budgetary times, to marshal the resources and organizational infrastructure for providing this experience in a well-supervised manner that can promote systematic learning of critical skills in every program. Thus, while the two-tier credentialing format holds possibilities for deeper learning of leadership skills, these possibilities have not always been fully realized in California.

A Principal Training Program launched by the legislature in 2001, and renewed in 2006, takes advantage of the Tier 2 requirement as it provides incentives for Local Educational Agencies (LEAs) to train school-site administrators. Funded at about \$5 million per year, with some augmentation from federal funds and the Gates Foundation (the latter targeted at technology use), the program allocates \$3,000 per participating administrator to the LEA to underwrite the cost of training, while districts provide \$1,000 in matching funds. Principals can use this voluntary training – offered as an 80 hour Institute and an 80 hour follow-up Practicum – to satisfy their tier 2 credentialing requirement.

The law requires that principals receive training in the state's academic standards, curriculum frameworks and instructional materials aligned to the standards, use of state test data to improve student performance, school financial and personnel management, and use of instructional technology. The follow-up practicum is supposed to offer individualized support; this is occasionally offered in the form of peer coaching or mentoring. More often, principals satisfy this requirement by attending curriculum training that is required for teachers. The context for this “one-size-fits-all” approach to training for both teachers and principals in California may be one reason for principals' significantly lower ratings of the helpfulness of workshops and coaching than reported by principals in other states. Although the program is less individualized than some would like, it has had the benefits of extending principals' knowledge of curriculum standards and instructional materials and, often, including them in professional development alongside teachers as well as fellow principals.

The ongoing professional development requirements implicit in tiered licensing systems may include mentoring as well as professional coursework. For example, as part of Delaware's three-tier licensing system, new principals must receive 30 hours per year of mentoring for three years, with each year focusing on different components of the standards. The state provides funding for this program as part of its new induction program for new school principals and assistant principals. A state-funded Principal's Academy helps to implement the state's mentoring program, and the Delaware Academy

for School Leadership (DASL), housed at the University of Delaware, also offers mentoring for new principals and other professional development programs for school leaders. The state approves both content and providers for the required ongoing professional development. As noted earlier, Delaware principals rate the courses, workshops, research opportunities, and principals' network they experience as exceptionally helpful to their practice as compared to others nationally. In addition, the state has used funding from the Wallace Foundation to develop an assessment center program that gives new administrators or those on improvement plans feedback on their performance. The full-day assessment center assesses strengths and areas of needed improvement and provides the school leader with a professional development plan that can be shared with his or her mentor.

Other states have also begun to extend support for principals into their early years on the job. The Kentucky Principal Internship Program (KPIP), the state's yearlong induction program, provides a three-member team that provides support to the new principal focused on attaining the ISLLC standards. The team is composed of a principal colleague (mentor), a district representative (the superintendent's designee), and a university education administration professor. Though budget cuts eliminated the funding for this program from 2002 to 2005, its perceived value is demonstrated by the fact that the legislature returned funding to KPIP in 2005. Kentucky's placement of the internship after initial preparation and its struggles to create a sustainable internship program may account for the fact that, although the state's principals were the most likely to have had a full-time internship (46%), they were significantly less likely than others to say that their coursework was integrated with the internship, which may reduce some of its power.

Connecticut has also introduced an individual professional development plan for its principals as part of its Wallace-funded work to improve leadership training. Building on its innovative and rigorous initial licensing assessment, the state developed school leader evaluation and professional development guidelines in 2002, which are the basis for targeting specific skills and abilities for instructional leadership to be included in each principal's professional development plan.

In a very interesting and productive approach, Connecticut tied principal development to statewide teacher education reforms that were part of the tiered licensing system for teachers adopted in the late 1980s. The ambitious reforms of teaching that began with the Education Enhancement Act of 1986 sharply raised teacher (and principal) salaries while dramatically increasing standards for teacher education, certification, and on-the-job evaluation and development. After meeting enhanced content, pedagogy, and testing standards to enter teaching on a provisional certificate, teachers were required to complete an induction program, pass a performance assessment, and complete a master's degree as a condition for receiving the professional credential. Principals were trained to evaluate teachers in the BEST performance assessment system, which became part of the professional development for principals required for renewal of the principal certificate.

When a highly sophisticated portfolio evaluation of new teachers was later introduced, principals could earn professional development credit by participating in the training to be scorers and by scoring the portfolios and classroom observations. This involved principals in learning deeply about instruction by virtue of intensive training in teacher assessment. Thus the state's continuum of development for teachers and its

continuum of learning for principals are intertwined, supported by professional development requirements embedded in both credentialing systems, and function to create a shared understanding of good teaching.

Given this strategy for professional development and the emphases of the Connecticut Administrator Test, it is not surprising that Connecticut principals report that they felt better prepared than others nationally to evaluate teachers and provide instructional feedback, develop curriculum and instruction to support learning, and develop professional development for teachers.

5. Developing and supporting strategies for recruitment and training

States (and some districts) have developed new strategies for recruiting talented individuals into the principalship that address longstanding dilemmas which have historically undermined the supply and quality of school leaders. Typically, the pool of potential administrators has been limited to those who self-recruit into preparation programs. Since only a small share of these practicing teachers has been able to afford full-time study without a source of salary, most programs have operated part-time and have not required or enabled an internship under the guidance of a strong administrator in another school. Instead, to the extent that internships have been required, they have often been reduced to projects that teachers do in their own schools while they are teaching full-time. This recruitment strategy has had the effect of both failing to recruit many talented educators to leadership roles and under-preparing most potential leaders, thus limiting their effectiveness.

One key strategy for improving both administrator supply and quality has been the development of innovative recruitment programs with funding streams that also provide for administrator internships. Perhaps the most extensive state effort we found was North Carolina's Principal Fellows Program (PFP), launched in 1993 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. Modeled after the very successful NC Teaching Fellows program, PFP provides each recipient an annual scholarship loan of \$20,000 for two years of full-time study, for a total of \$40,000. This covers both tuition and a stipend to attend a public university.

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, during which time the candidate receives a stipend equal to the entry level salary for an assistant principal, paid by the host district through an appropriation from the N.C. Department of Public Instruction. 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. More than 800 scholarship loans have been awarded since the program began in 1994. Today about half the candidates in MSA programs in North Carolina are Fellows, and more than 12% of the state's practicing principals and assistant principals are graduates of the Principal Fellows Program.

On a smaller scale, Mississippi has developed the School Administrator Sabbatical Program. Funded by the legislature since 1998, this program allows

candidates to participate full-time with pay for one year in an approved administrator preparation program. School districts who recommend qualified teachers for the program grant a one-year leave of absence to participants in exchange for their commitment to serve as an administrator at the sponsoring school district for at least five years. Participants in the sabbatical program remain on district payroll, but districts are reimbursed by the State Department of Education (SDE) for the salary equivalent of a teacher with five years of experience. If the teacher's actual salary is higher than this amount, the district may choose to pay the difference. The sabbatical can be used to enable candidates to participate in a full-year internship under the direct supervision of an expert principal while attending courses, which proves to be a central element of exemplary programs. Currently, Delta State University offers the only full-time program in Mississippi but other part-time programs make arrangements on an *ad hoc* basis for candidates to prepare full-time.

Some states also offer alternative licensure as way to enhance recruitment of leaders. Although this practice has raised concerns about the level of preparation in states like California, where coursework can be waived entirely for those who pass a test, there are states that have developed designs that preserve high standards for leadership training. For example, Mississippi offers a rarely used alternate principal licensure program called the Mississippi Alternate Path to Quality School Leadership (MAPQSL). Interested business, industry, or organizational leaders with MBA, MPA, or MPP degrees, at least five years of supervisory experience, and a recommendation from a school district can participate in a free three-week summer training. (This program is also available to K-12 teachers holding a master's degree in education with at least three years of teaching experience.) Candidates secure commitment of an administrative position with a school district and apply for a five-year entry-level administrator license, which is limited to the assistant principal or assistant coordinator positions and is non-renewable. The Praxis I and II exams (including the Principles of Learning and Teaching test) are required for this initial license. The first year of the entry-level license is considered an internship and includes supervision and mentorship as well as nine practicum sessions during the school year. The candidate may then use the remaining four years of the entry-level license to complete the coursework requirements for conversion to a standard career-level license. This program facilitates both theoretical and practical learning about teaching and leadership, and ensures that prospective principals have practical experience in schools so that they can become grounded leaders.

Kentucky's alternative route to certification also builds in a grounded knowledge of practice, as the target pool is the set of experienced Highly Skilled Educators (HSE, formerly known as Distinguished Educators) who help struggling schools meet the accountability provisions of the KERA. Both teachers and principals are selected to work in the HSE program. Teachers who complete the three-year term of service in the HSE program are eligible for an alternative administrator certification program. While serving as HSEs, these experienced educators participate in university coursework that confers provisional licensure. The Kentucky Department of Education works with the university to identify courses that will fill gaps in HSEs' learning during their work with the Department, in areas like finance and law. Thus, the state has created another route to the principalship for expert teachers by combining their leadership experiences and additional coursework into a certification pathway.

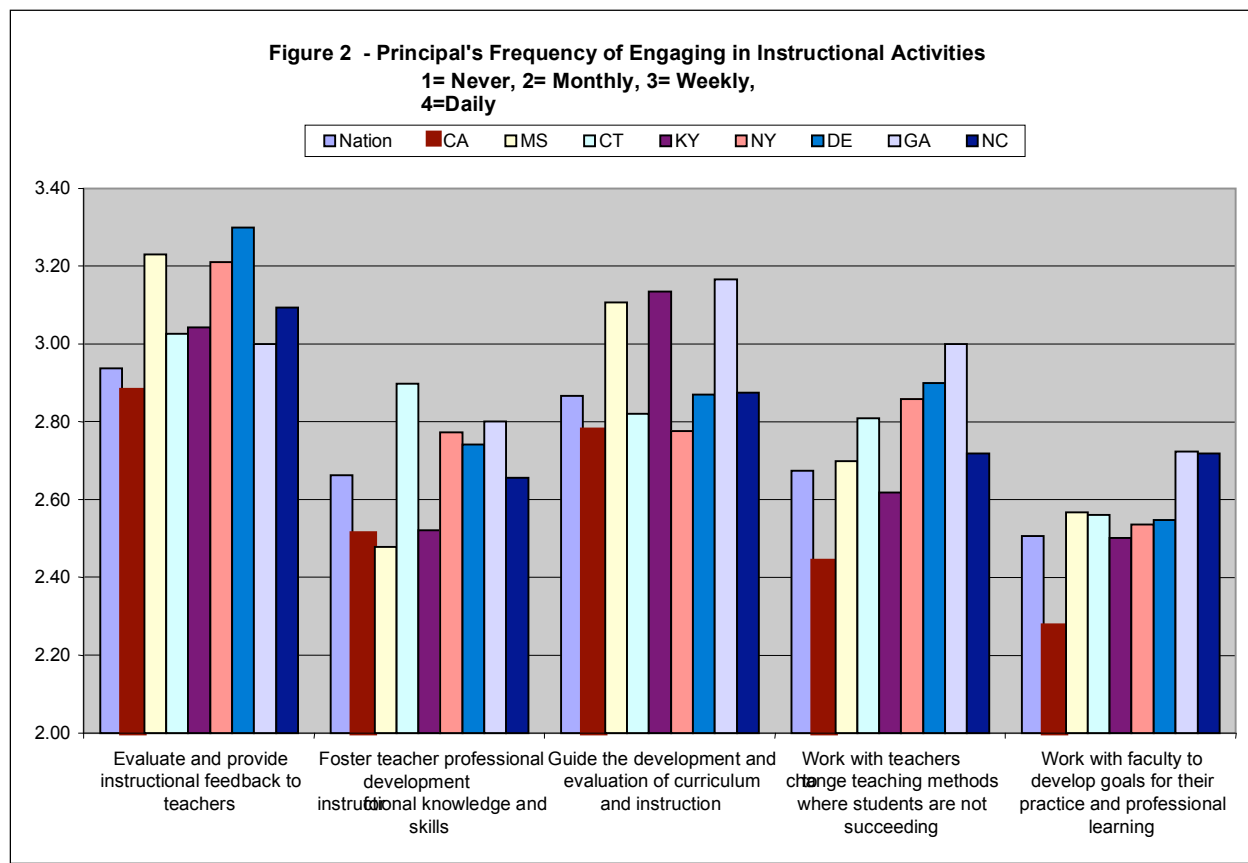
6. Building an Infrastructure for Ongoing Professional Development

If states are to offer high quality professional development on a regular basis, they need to create a capacity for continuous knowledge development and transfer around problems of practice. Several states have established and continuously fund statewide administrator academies to ensure a stable source of learning opportunities for principals and other school leaders. North Carolina's Principals' Executive Program (PEP), funded by the state legislature and located at UNC-Chapel Hill, has been offering continuing education for principals in North Carolina for more than 20 years through both residency programs and topical workshops and conferences. North Carolina's principals rate the helpfulness of the university courses and research opportunities they experience as extraordinarily helpful (near the very top of the scale we offered) and significantly more highly than their peers nationally.

Similarly, through a combination of state appropriations and foundation funds, Georgia's Leadership Institute for School Improvement (GLISI) offers several kinds of professional development for leaders, including ongoing sessions on instructional improvement and use of data with district leadership teams. These have reached nearly two-thirds of the districts in Georgia. Those districts whose leaders have participated in this training to date have had greater student achievement gains in all subjects and grades on state tests than demographically similar districts that have not participated. This initiative may be related to our finding (discussed further below) that principals in Georgia were significantly more likely than the national average to report spending time guiding the development of curriculum and instruction; working with parents, community, and staff to solve school problems; working with teachers to change their practices where students are not succeeding; and working with staff to set goals for their practice and professional learning. (See Figure 2.) They were also significantly more likely to see increases in their school in teachers' attention to low-performing students and in teachers' opportunities for learning.

GLISI also runs other on-going training and support for school leaders including "hot topic" sessions and workshops that provide credit for principals' on-going licensure requirements, and a new coaching model for candidates in programs to help them meet state performance standards for their license. Indeed, Georgia principals were more likely to have experienced coaching or mentoring than the national average and most likely to find it helpful in changing their practice. They also rated the helpfulness of their university courses exceptionally highly.

In Mississippi, the state also plays an important role in the in-service professional development of principals. All newly credentialed administrators must complete the Orientation to School Leadership (OSL) offered by the state. In order to convert the entry-level license to a career-level license, principals must then complete 95 credits from the School Executive Management Institute (SEMI) over two year. SEMI also offers the courses that allow career-level license holders to renew their license every five years. SEMI is part of the State Department of Education and was created in 1984 to coordinate and provide in-service training for school administrators. While not all eligible courses are provided by the State Department of Education, SEMI recognizes and approves all such courses. A great deal of this training is offered through programs offered regionally and locally and staffed by SDE staff, current and former administrators, and university professors.



Notably, principals in Mississippi rated the helpfulness of much of their professional development highly, and found their experiences with professional reading, certain workshops, school visits, and mentoring more helpful than their peers nationally. As noted earlier, they were also significantly more likely than peers nationally to spend time guiding the development of curriculum and instruction and evaluating and providing instructional feedback to teachers. (Figure 2.)

The New York State Center for School Leadership was established in 2001 through a combination of foundation grant support and state and federal funding. The center helped to support the creation of Urban Leadership Academies in four cities-- Buffalo, Rochester, Syracuse, and Yonkers. New York City created its own Leadership Academy using private funding sources. In addition, the center collaborated with the state education department on updating regulations for leadership preparation and certification, creating fiscal training for school leaders, and supporting research on recruiting and retaining school leaders.

The center also collaborated with statewide professional leadership associations on leadership and school improvement efforts. Recently, the center has supported demonstration programs in leading mathematics reform, through district and university partnerships, and curriculum development in school leadership fiscal management. This latter project is to develop new approaches to financial resources reallocation in New

York City that will serve as the basis for larger scale training in the city and state for school leaders in how to effectively allocate resources to improve student achievement.

These efforts expand long-standing traditions in New York, especially in New York City, for principal development through well-established principals' networks and coaching strategies. A number of sophisticated practices to help leaders work collaboratively on practice were developed in New York, including "walk-throughs" (now used widely but often in much diluted form) and other analyses of teaching. Not surprisingly, New York principals reported finding such networks, peer coaching opportunities, and mentoring significantly more helpful to their practice than our random sample of principals nationally.

A similar state/city strategy was developed in Connecticut through a multi-year Wallace Foundation grant, which created an Urban Leadership Academy to provide professional development for administrators in Bristol, East Hartford, and Hartford. The Academy is a collaborative effort drawing on the expertise of universities and local and regional education agencies. Each of the districts has identified an administrator team and an assigned change coach to work together on a specific instructional focus to improve student achievement.

Also focused on school improvement, the Kentucky Leadership Academy (KLA) has been a source of in-service learning for principals across the state since 1996. The Kentucky Department of Education aligned its in-service offerings with the standards it uses for scholastic audits of school performance that determine state intervention when schools struggle. KLA was developed as a result of districts' requesting the training provided to the Highly Skilled Educators (HSE) whom the state assigns to help struggling schools improve. Acknowledging the benefits of the HSE process for all schools, the Department set up the Academy to provide training sessions with regional coach support to district teams over a two-year period.

There are four components for the training □ assessment and accountability, best practices in curriculum and instruction, comprehensive planning, and instructional leadership for facilitating change. At least nine cadres of 35 participants each in nine regions of the state participate in a KLA program. Each cadre has a coach. The coach meets four times a year with his or her cadre. In addition, participants join a weeklong session in the summer when all KLA cadres come together. Coaches visit every person in their cadre three times per year individually. Each participant has a personalized plan for improvement, so that the learning process is both individual and collective.

Kentucky principals report finding the workshops, professional reading, and principals' networks they encounter significantly more helpful than do their peers nationally. Furthermore, in line with the emphases of the KLA program, they are significantly more likely than others nationally to report that they are frequently engaged in guiding the development of curriculum and instruction, and they are more likely to report an increase at their schools in teachers' focus on expanding their instructional strategies, staff efforts to share practices, sensitivity to student needs, and use of data for instructional improvement.

These state initiatives provide a more institutionalized means for supplying school leaders with individual and collective learning opportunities focused on the

improvement of schools and student learning than is usually the case when professional development is ad hoc and relies on initiatives that start and stop continually.

7. Creating a Capacity for Planning and Improvement

Some states have further developed their infrastructure for ensuring a supply of high-quality, well-prepared leaders by supporting research and planning on supply and demand trends, as well as effective training models. For example, Kentucky has examined statewide coordination, recruitment, and retention issues in recent years, and conducted a study of the supply of principals to guide state decision making. A statewide conference bringing together officials from all the key state agencies created a joint forum for reviewing ways to improve recruitment and preparation in the state. This conference led to the development of policy options for the state legislature.

Delaware is taking a deliberative approach to planning by developing and testing models for distributed leadership in middle and high school, as well as for succession planning in school districts. Distributed leadership involves spreading out leadership among a team, including providing teachers and other school community members with opportunities to take on leadership roles in the school. Delaware's goal is to create denser leadership models that improve the conditions of work at the district and school levels so that principals can concentrate more extensively on learning and teaching. Currently, four school districts are working with the state to pilot models, and all 19 districts are in planning.

In addition, the state is working to support the creation of policies and administrative regulations for district-based leadership succession planning. The goal is to address issues of principal recruitment by developing a pool of aspiring school leaders who have the skills, knowledge, and dispositions to take on leadership roles in Delaware schools when positions become available. Funding for succession planning has gone to the 19 districts and three higher education institutions. Seven districts and one charter school are engaged in a pilot initiative. As part of their succession planning models, these sites hope to develop a program that brings prospective principals in touch with the day-to-day realities of educational administration. The results of these pilots will be studied, and the best features integrated into the state's future efforts.

COSTS AND FINANCING OF EXEMPLARY PROGRAMS

Many of the programs in our sample make innovative use of university, district, state, philanthropic, volunteer, and other sources to meet their resource requirements. These resources come from public and private sponsors and partners. Their terms and conditions, and the levels at which they are provided greatly influences how programs are designed and what they do. It plays a key role in determining what training opportunities are provided, who benefits from them, and, consequently, what results are achieved. Financing policy and strategy also reflects how policymakers and program leaders define investment and program priorities, and it creates incentives for program leaders and participants to invest in principal professional development initiatives in certain ways. Thus, policymakers and program leaders interested in strengthening educational leadership through principal development need to understand what kinds and levels of resources these programs need and what kinds of funding sources and financing strategies they can use to help support, sustain, and scale up strong programs.

Below we provide highlights of our findings on estimated costs, funding sources, and financing arrangements for the sample of exemplary programs we studied.

**Table 1
Estimated Costs by Program Component**

	University-based Programs				District-based Programs			
	Univ. of San Diego ELDA	Bank Street College Prin. Inst.	Univ. of Conn. UCAPP	Delta State Univ. M.Ed.	Jefferson County Public Schools	San Diego City Schools	NYC Public Schools Reg. I	Hartford Public Schools
TOTAL COST (\$)	2,172,000	2,457,000	3,819,000	1,451,000	2,097,000	4,340,000	1,416,000	1,318,000
Approximate Number of Participants	Tier I: 15 per year Tier II: 12-15 per cohort	20 Region I aspiring principals per year	60 per year	12 per cohort	PFT I: 15 PFT II: 9 IDEAS: 25 Interns: 10 ISP Prin: 24 ISP APs: 12 ASAS: 3	Approx. 360 principals and APs, incl. 50 new and struggling principals	21 new principals	Aspirants: 15 per year Other PD: 100-120 principals, APs, other admins
Percent of Total Cost								
Admin. & Infrastructure	24%	7%	8%	19%	14%	1%	9%	7%
Coursework/ Workshops	23 ¹	59	79	31	27	7	26 ²	75 ³
Internship	41	32 ⁴	14	49	40			17
Mentoring	12				10	46	45	
Networking & Group Mtgs.		2				47	21	
Other				1	8			
Cost Per Participant								
Admin. & Infrastructure	N/A ⁵	4,600	2,400	11,300	N/A	200	5,800	N/A
Coursework/ Workshops	20,300 (Tier I) 7,500 (Tier II)	41,800	25,100	18,600	18,900 (IDEAS) 4,100 (PFT I, II)	1,600	17,600	28,300 (Aspirants) 1,400 (Admins)
Internship	58,600 (Tier I)	28,100	4,400	59,400	72,500 (Interns) 4,800 (IDEAS)			7,500 (Aspirants)
Mentoring	9,900 (Tier II)				6,600 (ISP Prin.) 4600	10,500	30,100	

¹ Includes coursework components for both Tier I and Tier II of ELDA's program.

² Includes Onboarding, summer institute and seminars for new principals, and Tier II trainings.

³ Includes coursework for Aspiring Administrators Academy as well as workshops for district administrators.

⁴ Includes Advisement component of program.

⁵ It is not possible to calculate a per-participant cost because the program has multiple parts with different numbers of participants in each.

					(ISP APs)			
Networking & Group Mtgs.		2,000				7,800	13,900	
Other				1,700	57,700			

Estimated Costs

This discussion of estimated costs for principal preparation and continuing professional development programs is based on estimates of the annual cost of the programs implemented in the eight study sites in 2004-05. Table 1 compares the estimated total annual costs of the programs and their components on a percentage and per-participant basis. It is important to note that based on our methodology, the cost estimates represent the total societal cost of the programs, including the value of both monetary and non-monetary resources. Although both types of resources must be planned for, some may be donated or provided in-kind. Further, program sponsors, such as universities and school districts, may be able to cover some of these costs through grants or other external funding sources.

Total Costs. The range of estimated total program costs is from \$1.3 million (Hartford Public Schools) to \$4.3 million (San Diego City Schools). Of course, the overall program cost depends not only on the program design—what is being provided, to whom, and how—but also on its size. Larger programs typically have larger costs because of the number of participants they serve. However, they may also experience economies of scale in spreading fixed costs, such as administrative and infrastructure costs, over a larger base of operations.

In our sample, estimated costs of the four university-based programs range from \$1.5 to 3.8 million per year. The smaller programs—DSU, ELDA, and Bank Street—with cohort sizes of 12-20, range in total cost from \$1.5 to \$2.5 million. The total estimated cost for UCAPP (\$3.8 million) is larger, representing a program of 60 students admitted each year for a two-year program.

Estimated total costs for the four district-based programs range from about \$1.3 million to \$4.3 million per year. The lower-cost programs are primarily targeted at specific small subgroups of principals within the district (including the Aspirants program in Hartford, which accounts for the vast majority of costs), while San Diego’s program of professional development addresses all principals throughout the district, including subgroups of new and struggling principals.

Component Costs. Components costs are useful for understanding program costs in a more detailed way because they reflect the level of resources invested in each major program activity.

Preparation program components. The main component costs of the principal preparation programs—the four university-based programs as well as JCPS’s IDEAS program and Hartford’s Aspirants Program—are coursework and internship.⁶ Per-participant costs for coursework for the preparation programs are estimated to range from under \$20,000 to over \$40,000. This pattern generally corresponds to the number of credit hours of required coursework in the program (see Table 2). However, these

⁶ Our estimates for IDEAS and Hartford’s Aspirant Program do not include all the costs of providing the preparation program, only those related to the district’s partnership in the programs.

costs are also influenced by other program features including economies of scale due to larger class sizes, such as in the UCAPP program, and the allowance in some programs for credit hours to be fulfilled through internship or field experiences, such as in the Hartford Aspirants program.

**Table 2
Principal Preparation Programs: Coursework and Internship
Requirements, Costs, and Payments**

	Coursework			Internship		
	Required Credit Hours	Estimated Cost per Participant	Tuition Payments	Required Internship	Estimated Cost per Participant	Payment for Internship
Bank Street	36 credits (3 semesters)	\$41,800	\$430 per credit hour (reduced by univ. from \$835); paid ½ by district, ½ by student	Summer internship + field experiences throughout year	\$28,100	District pays for summer internship as administrator for summer school program.
UCAPP	32 credits (2 years)	\$25,100	Students pay regular tuition of \$2,567 per semester	90 hours per semester	\$4,400	None. 30 hours of internship are integrated with coursework and 40 can be satisfied at own school site.
Hartford Aspirants	30 credits (1-1/2 years)	\$28,300	Students pay regular tuition of \$380 per credit	Internship is required as a core course	\$7,500	None. Many activities count toward internship, often duties related to participant's regular job.
ELDA Tier I	24 credits (1 year)	\$20,300	\$500 per unit (reduced by univ. from \$905); paid 70% by Broad Fdn, 30% by student	Full year	\$58,600	Students paid full salary & benefits at previous year's rate. District pays for 10 (2/3 of cohort) through APS grant; university pays for 5 (1/3 of cohort) through Broad grant.
Delta State	24 credits (2 summers & intervening school year)	\$18,600	Full tuition waiver by university	Full year	\$59,400	State pays salary & benefits at rate of teacher with 5 years experience; district may supplement up to actual amount.
JCPS IDEAS	3 courses (1 year)	\$18,900	\$912 per course; LEAD grant pays for 2 courses; univ. for 1	Minimum 50 hours outside workday	\$4,800	None. Hours outside workday are unpaid.
JCPS Interns	N/A	N/A	N/A	Full year	\$72,500	District pays regular salary + amount for extended day of principals

Staff time is the primary driver of our cost estimates. Consequently, differences in the amount and intensity of coursework and the resulting number of hours that participants, faculty, and other staff spend in class and preparation will primarily account for differences in per-participant coursework costs.

Internship costs vary even more widely than those for coursework, reflecting the great variation in design and intensity of these experiences across programs. In the UCAPP, IDEAS, and Hartford programs, where internships are part-time and may be

concurrent with the regular duties of the participant, costs are estimated to range from \$4,400 to \$7500 per participant. In the Bank Street program, where interns serve as administrators for summer school programs as well as acquire field experiences throughout the year, internship costs jump to \$28,000 per participant. Internship costs for ELDA and DSU are still more extensive, estimated at about \$59,000 per participant. Both of these program incorporate a full-year paid internship for aspiring administrators. Finally, the JCPS intern program includes a full-year paid internship for 10 aspiring principals or assistant principals using a medical model of hands-on experience through rotations addressing different school problems. The estimated costs of \$72,500 per participant for this program reflect participants' time as well as all of the staff, materials, and other resources associated with the coordination and coaching in this program.

In-service program components. The in-service programs in our study sample (primarily the district-based programs) make use of some combination of workshops/coursework, mentoring, and networking or group meetings, but to differing extents and in different proportions. Hartford, for example, uses its resources for in-service principal professional development under the LEAD program to provide IFL Principles of Learning workshops for all principals, assistant principals, and coaching administrators. These workshops are estimated to cost \$1,400 per participant. JCPS's in-service program, on the other hand, focuses on providing induction support for new principals and assistant principals through mentoring, at a cost of \$4,600 per new assistant principals and \$6,600 per new principal. Resources for training new principals and assistant principals in San Diego ELDA's Tier II program are balanced between coursework and mentoring (costing \$7,500 and \$9,900 per participant, respectively).

Region One and San Diego City Schools use all three approaches of workshops, mentoring, and networking/group meetings, placing a high emphasis for their use of resources on principal learning through mentoring from other experienced administrators and peer learning through networking and group meetings. For example, not only does New York City Region I use resources of about \$17,000 per new principal on several different series of city-wide and regional workshops, it also devotes about \$30,000 per year on mentoring for each new principal. San Diego City Schools also invests heavily in mentoring for new and struggling principals, but because the program also includes mentoring of all principals, per-participant costs are lower, estimated at \$10,500. Both New York Region One and San Diego also devote significant resources to peer sharing and learning through group meetings such as monthly principal conferences.

Administrative Costs. A certain level of administrative capacity is necessary to support program operations in both the pre-service and the in-service programs. Administrative costs can vary depending on the extent of administrative functions and activities undertaken, the intensity of staffing, and the amount of facilities, materials, and equipment devoted to administrative staff. For example, different levels of resources are devoted to office space. In ELDA, the program director is provided space at both the university and district offices; in the JCPS initiative, several retired principals who coordinate various pieces of the initiative share the same office space at the district headquarters, each using it on a part-time basis. However, because many administrative costs (e.g., a program director) do not vary with program size, the smaller programs generally have larger administrative costs relative to their size, and vice versa (see Table 1).

Costs by budget category

Examining the costs of principal professional development programs in terms of conventional budget categories, such as personnel, office space, and travel, gives insight into the kinds of resources for which initiative leaders need to plan and budget to operate, sustain, replicate or adapt such programs. Since budgets for the programs we examined are not organized in a common way—and in some cases, did not even exist—we allocated program costs into budget categories based on our understanding of the program designs.

Table 3
Cost by Budgetary Component
(as a Percentage of Total Program Cost)

	University-based Programs				District-based Programs			
	Univ. of San Diego ELDA	Bank Street College Prin. Inst.	Univ. of Conn. UCAPP	Delta State Univ.	Jefferson County Public Schools	San Diego City Schools	NYC Public Schools Reg. I	Hartford Public Schools
Personnel	75%	82%	95%	95%	86%	94%	97%	68%
Administrative	17	7	7	18	8	1	5	6
Faculty/Mentors	9	5	13	6	19	35	74	18
Participant Salaries	40	21	7	47	31	54	18	8 ⁷
Donated Participant Time	9	50	68	24	21	5		25
Other					8			10
Facilities, Materials, and Equipment	7	4	2	2	8	4	2	3
Travel and Transportation	5	4	1	3	1	2	1	2
Other	13	9	3		4			28

Personnel is by far the largest budgetary cost across the programs, ranging from 68 percent to well over 90 percent of costs. Personnel costs reflect the program design in terms of the number of staff and participants and the amount of time they engage in program activities, as well as in the type and level of staff expertise used. For example, San Diego City Schools employs eight high-level Instructional Leaders whose primary responsibility is to coordinate and provide professional development to principals and other school leaders. In contrast, JCPS contracts with several retired principals to coordinate and provide portions of the district's mentoring and professional development training. Other programs may economize by using sitting principals as mentors or adjunct professors rather than university faculty.

⁷ Includes cost of substitute teachers.

A major factor in the cost of personnel resources is participant time. In the preparation programs, internship as well as coursework requirements will affect participant time. In particular, the widely differing amounts of internship time required by the programs in our sample have a large impact on program cost. A clear example of this is evident in the JCPS initiative, which includes two different internship experiences in its portfolio of programs. One is a required minimum of 50 hours per year outside of work hours for aspiring principal participating in the IDEAS program that is estimated to cost \$4,800 per participant. The other is a full year of experience for those aspiring principals and assistant principals in the district's Intern program that is estimated to cost \$72,500 per participant. Likewise, in the in-service programs, the intensity of the mentoring, workshop, and networking components will affect the level of participant time and, hence, costs, involved. Not all personnel costs translate into salary expenditures, however. Some of the preparation programs, especially, assume a significant amount of unpaid participant time will be donated at night time or during summers.

Cost for facilities, materials, and equipment (FME); travel and transportation; and other budget items are relatively small compared to those for personnel costs, ranging from 2 to 4 percent of total costs for FME and 1 to 3 percent for travel in most sites.

Funding Sources and Financing

Successful education initiatives frequently draw resources from a variety of sources and employ different strategies to obtain them. However, different funding sources and financing strategies have different characteristics, such as the level of resources they are able to bring in, how they distribute the cost burden, and how flexible and durable they are. Thus, choices about funding sources and financing strategies determine how closely aligned a program's financing is with its resource needs over the short- and longer-term. This, in turn, affect programs' prospects for success and sustainability.

Funding Sources

We sought to identify the organizational and individual sources that provide monetary contributions or in-kind donations of time or other resources, regardless of whether these resources flow through other institutions or actors. For example, grant funding to a district from a foundation or governmental source that was used to pay for tuition at a university would be attributed as a cost to the foundation or government grantor, not the district. Time for principals to participate in professional development that is compensated by the district is counted as a district cost; uncompensated time is counted as a contribution from individual principals.

We identified seven categories of organizations and individuals who provide the resources that allow the principal preparation and/or continuing development programs in our sample to operate. These are universities; school districts; foundations; state government; federal government; participants; and program staff.⁸ Each program relies upon at least three, and some as many as six, of these sources, as shown below.

⁸ This list is not exhaustive of the many organizations and individuals that can provide resources to principal preparation or continuing development initiatives. In other studies of professional development programs, sources of support also included teacher unions, individual businesses and business groups, other school staff, community organizations and volunteers, and consortia of such partners.

Table 4
Sources of Program Funding

University-based Programs					District-based Programs			
Site	Univ. of San Diego ELDA	Bank Street College	Univ. of Conn. UCAPP	Delta State Univ.	Jefferson County Public Schools	San Diego City Schools	NYC Public Schools Reg. I	Hartford Public Schools
University	X	X	X	X	X			
District	X	X	X	X	X	X	X	X
Foundation	X	X			X		X	X
State				X				
Federal Govt.				X	X		X	
Participants	X	X	X	X	X	X	X	X
Program Staff	X	X	X	X	X	X	X	X

The types of resources each source provides as well as the distribution of costs we observed are summarized below.

- **Universities**—Universities provide faculty, staff, space and materials and other resources to their programs. Tuition, grants, and other contributions offset these costs. In our sample of programs, the share of total costs borne by universities ranged up to 18 percent in the university-based preparation programs. Universities also bore a small share of the cost of JCPS’s IDEAS program.
- **School Districts**—School districts assume widely varying shares of the cost burden for their programs—from virtually none in Hartford to almost all in San Diego. Districts also contribute an estimated 3 to 14 percent of program resources in each of the university-based programs. These resources take the form of tuition support for their students in the program (e.g., payments by Region One for students in the Bank Street program) and the in-kind provision of personnel or space (e.g., the use of district facilities by the UCAPP program).
- **Foundations**—Several of the programs relied on foundation grant funds, some quite heavily. For example, other than participants in the Aspirants program, foundations shouldered the main cost of Hartford’s principal development initiative. Foundation funding also accounted for about 75 percent of ELDA’s resources. The Wallace Foundation’s LEAD initiative supported four of the five grant-funded programs.
- **State government**—State governments can support principal development programs through budget allocations or grants to providers, as well as by providing scholarships or other funding for participants. State funds played a major role in Delta State University’s preparation program, where funds allocated through Mississippi’s Sabbatical Program were the largest single source of resources.
- **Federal government**—The federal government provides an array of funding programs for professional development in education, including principal

preparation and in-service programs.⁹ Federal Title II funds that flow through states to districts for professional development activities provided a small amount of funding to the JCPS initiative. Other federal grant funds helped support university-based (Delta State) and district-based (Region One) programs.

- **Participants**—Participant contributions may take a number of forms. These include tuition payments, the value of uncompensated time, and out-of-pocket costs for books and transportation. These contributions are the major source of resources for some programs, as in UCAPP, but represent a smaller share of total resources in programs such as ELDA that have other funds to reimburse participants for these costs.
- **Program staff**—Program staff may contribute resources if they use uncompensated time to fulfill program responsibilities or incur out-of-pocket expenses that are not reimbursed. Meetings by San Diego ILs with principals outside of normal work hours, for example, account for a small share of total resources in that program, as does the volunteered time of an editor in the JCPS initiative.

Financing Arrangements

Our sample of exemplary programs illustrates a variety of financing arrangements, from primarily district-based funding, to foundation-sponsored initiatives, to partnerships that draw in university and district resources as well as external grants. There is no one model. Each program uses a different mix of funding sources and strategies to meet its resource needs.

Preparation Programs. The preparation programs illustrate several different ways in which the universities acquire resources to cover the costs of their programs. These range from traditional tuition financing to innovative partnerships with local school districts and other funders. State and federal funding plays a critical role in one program. These diverse financing arrangements spread the cost of the programs very differently among the university, program participants, and other public and private funders.

Tuition financing. The UCAPP program is the simplest example of preparation program financing. In contrast with the three other university-based programs, tuition is the only source of external revenue for the UCAPP program; thus, participants pay for nearly all the costs of the program. A relatively small amount of program resources comes from the districts that contribute space for the program's courses at two satellite locations.

Because the UCAPP program is well-established and well-regarded within the state, it is able to attract a steady stream of students and its tuition revenue is fairly stable. As part of a university, however, UCAPP does not completely control the tuition rates that are charged or the use of revenue that is received. Thus, for example, how

⁹ See [*Catalog and Guide to Federal Funding Sources for Professional Development in Education*](#), by Carol Cohen and Anya Freiman, The Finance Project, June 2001 and [*Catalog and Guide to Federal Funding Sources for Professional Development in Education \(2003--Update\)*](#), by Casey Robinson, The Finance Project, May 2003.

tuition payments are allocated within the university affects whether the program is able to adequately support its resource needs.

University-district partnerships. The ELDA and Bank Street programs represent university-district partnerships that share the cost burden with participants and also take advantage of external funding sources. Grants from The Broad Foundation and APS covered about 75 percent of ELDA program costs. About 20 percent of program resources were contributed by participants in payments for their share of tuition, a small amount of out-of-pocket costs for expenses such as books and transportation, and for the uncompensated time of Tier II participants. The small amount of remaining costs was covered by contributions from the district, university, and program staff, mainly in the form of in-kind contributions of staff time and facilities.

Bank Street College obtains funding for the program through tuition, but foregoes substantial revenue by discounting the amount it charges by about half of its usual rate. Of the amount charged, half is paid by the student and half by the school district. In addition, the district pays for summer intern salaries through a Wallace LEAD grant, which accounts for about 1/3 of total program resources.

State and federal funding. The Delta State program is unique in our sample of programs in that the state is a key provider of resources. Through the Mississippi School Administrator Sabbatical Program, the state reimburses districts for an amount equal to a full year of pay for a teacher with five years' experience for qualified participants who participate in an approved administrator preparation program. The state also allows districts to supplement this amount up to the teacher's actual salary.

The university also reduces the burden on students by providing a full tuition waiver, using funds from a federal grant to cover most of the costs of coursework as well as the program's administration and infrastructure. Remaining program costs are borne by the university and participants, who bear a small amount of costs in foregone earnings and out-of-pocket costs.

District-based Programs. The four district-based programs also vary in the financing arrangements they use to fund their programs. In this set of programs, however, the main two funding sources are district funds and external grants. The programs represent a continuum of reliance on these two sources ranging from the district assuming essentially all of the costs to relying nearly exclusively on external funding sources, as summarized in the table below.

**Table 5
District and External Funding of District-based In-Service Programs**

	District funding	External Funding
San Diego	Full district funding of principal p.d. activities	
Region One	District provides most funding for p.d. activities	Grant funds supplement district resources
JCPS	District funding supplements LEAD grant funds	LEAD grant forms core of initiative budget
Hartford		LEAD grant funds district's principal p.d. activities

Full district funding. The San Diego City Schools assumes full financial responsibility for the continuing principal development activities it offers. The major costs of salaries for the Instructional Leaders who work with principals, and for the staff and other resources that support their activities, are contained within the Office of Instructional Support under the direction of the Executive Director of Instruction and Curriculum. The other major resource, the time of principals throughout the district—including regular principal conferences of one and one-half full days per month during the school year, the equivalent of four days of additional formal training sessions per year, as well as individual or group mentoring or coaching and other group meetings—is built into the cost of principals’ salaries. Since almost all of this ongoing professional development occurs as part of principals’ regular job and the district’s regular activities, there are few additional resource costs for uncompensated time or expenses borne by participants or others.

Partial grant funding. In the other district-based programs, the district’s costs are offset to varying extents by public or private grant funding. JCPS relies heavily on foundation funds to support its principal professional development activities. The district groups all of its principal development activities under the umbrella of LEAD, and the LEAD grant funds form a budget core (about 40 percent of total program resources) that is supplemented with additional sources of funding. These include district general funds, federal Title II funds, and in-kind contributions from program partners, staff, and participants. Region I draws on grant funds from the Wallace Foundation and federal School Leadership Program funds to supplement professional development funds from the district.

Full grant funding. Hartford represents the opposite end of the district-grant funding spectrum. In Hartford, the district defines its principal development activities as those funded by the LEAD grant. In this case, all major professional development offerings for principals are funded through the grant, and the extent of the grant seems to drive the initiative.

CONCLUSIONS AND IMPLICATIONS

Our studies of exemplary programs noted a number of influences of state and local policy and resource factors on their ability to develop high-quality learning opportunities for school leaders. In some cases, these influences were positive; in other cases, negative. But it is clear that external policy and resources shape leadership development programs. Among our key findings are the critical importance of broader policies affecting curriculum and teaching in states and districts; the use of professional standards to guide preparation program development and other aspects of principal professional development systems; the nature of funding streams and financing arrangements—especially for the availability of high-quality internships; and the coordination of state, district and university policies for the financial support and substantive guidance of programs.

The Impact of Broader Policies regarding Curriculum and Instruction

The content and focus of the principal professional development initiatives we studied were influenced by district and state policies regarding curriculum and instruction

more generally. San Diego's programs, for example, were directly rooted in the instructional reforms that guided all of the work the district undertook. These were embedded in district policies rather than undertaken as direct responses to state policies, although the state's accountability system created some of the press and information for focusing on the learning of struggling students that motivated much of the principal training.

The Kentucky Education Reform Act (KERA) also served as an incentive to refocus the content of administrator preparation on how best to meet the needs of diverse learners. Jefferson County's Principals for Tomorrow, IDEAS, and Internship programs were shaped at least in part in response to the growing accountability emphasis and to a persistent student achievement gap. KERA also influenced the leadership programs by mandating shared decision making. As a result, JCPS leadership candidates now receive training and support in establishing positive working relationships with their site committees and managing shared decision making processes.

Connecticut's omnibus reform of teaching in 1986 had indirect but major consequences for principal development, given the large role principals were asked to play in teacher evaluation and the extensive training they received. These teaching reforms were also tied to curriculum and assessment changes in the state accountability system and an emphasis in teacher education and schooling on meeting the needs of all students. As a consequence, the University of Connecticut program prominently includes among its leadership preparation goals the development of skills in teacher supervision and evaluation and understanding the growth and development of exceptional children, features of preparation that are absent or minimally treated in many other leadership development programs.

Use of Standards and Creation of Systems

State adoption and use of standards for what principals should know and be able to do—typically based on ISLLC standards—has had an importance influence on principal professional development programs. Virtually all of the programs we studied, both pre-service and in-service, identified the establishment of new state standards for administrator licensing as important in overhauling their programs. The practice of requiring preparation programs to close and re-open or re-register in Mississippi and New York had a profound influence on the new programs Delta State and Bank Street developed, but the influences of state leadership standards were also important in Jefferson County and San Diego.

Further, reforming multiple aspects of state professional development policy around a consistent set of standards provides an even more powerful tool for creating a coherent system to train and develop effective education leaders. Connecticut, Delaware, and Mississippi provide examples of integrated reforms to accreditation and review of preparation programs; licensing and certification of administrators; continuing professional development requirements; and administrator assessment and evaluation.

District policies and funding commitments for professional development can also create a systemic web of supports for ongoing leadership development, such as those we found in San Diego, Hartford, New York City Region 1, and Jefferson County. All of these places had created a portfolio of investments in leadership preparation and

development. As a Jefferson County planning document stated, the district has implemented “a system of leadership development,” from recruitment and initial preparation through a range of supports for learning. In these districts, we saw changes in policies regarding how principals were recruited, screened, hired, and evaluated, and the development of policies that established multiple supports for their learning, ranging from monthly principal conferences and networks to professional development institutes, coaching, study groups, and instructional training in content areas like literacy and mathematics.

Funding Sources and Financing Strategies

We saw the strong influences of financial support and funding streams on what programs are able to accomplish and on their sustainability. A diversified portfolio of funding sources potentially using university, district, state, federal, and foundation as well as in-kind resources, such as in ELDA, Bank Street, Delta State, JCPS, and Region I, has allowed these programs to be innovative. Diversifying funding brings in additional revenues and reduces a program’s vulnerability to funding losses from any one source.

Foundation funding has been critical for launching a number of these exemplary programs. The Wallace Foundation played a major role in several of our sites. In addition, the Rockefeller Foundation and the Broad Foundation were important in certain programs. The innovative designs that were developed could not have been created without this support. At the same time, reliance on time-limited grant funds leaves district officials vulnerable to changes in external funding priorities. For example, when the Broad Foundation funds ran out in San Diego, the programs had to settle for less intensive approaches – unable to place candidates with expert principals outside their schools for direct administrative training in a leadership role.

Covering costs from steady funding streams such as tuition, general operating budgets, and state programs, as in the UCAPP, San Diego City Schools and Delta State programs, improves the outlook for funding stability and sustainability. However, embedding program financing in institutional budgets may not give the program sufficient attention or funding to meet its goals. The future availability of resources will depend on continuing commitment from the funding institution or external funding source.

In particular, the extent to which internships could be full-time placements with expert principals was highly vulnerable to the nature of funding. Where states and/or districts developed policies that could underwrite these internships by paying at least partial salaries for candidates while they undertook this clinical training in conjunction with coursework, high-quality internships were affordable. ELDA, Delta State, and JCPS’s Intern program provide such examples.

Coordination of University, District, and State Policies

One of the greatest challenges of professional learning is the frequent fragmentation of efforts in universities and schools. What educators have to do on the job may not connect to the courses offered either by universities or their own districts, for that matter. And the systems are rarely connected. Conversely, a critical element of all the exemplary programs was the willingness of key actors in local school districts and universities to get their policies and practices in synch. It was important that program content and incentives (for example, subsidies for credits, streamlined hiring pathways

connected to preparation) were jointly developed by JCPS and the University of Louisville, Hartford and Central Connecticut State University, San Diego City Schools and the University of San Diego (USD), Bank Street College and Region 1, and a consortium of Mississippi Delta districts and Delta State University.

In a number of cases we saw shared ownership of financial responsibilities for programs as part of this collaboration. For example, as San Diego worked with USD on who would be admitted to the program and paid for intern salaries while they were in training, the university reduced the tuition costs for participants and worked jointly with the city on the content of the curriculum. In Jefferson County, the school district pays part of the tuition for the IDEAS program and the University of Louisville pays part, while they design the program together. Similarly, Bank Street College waives a portion of tuition for Region One participants in the Principals Institute as their commitment to public education leadership in New York City, with the district paying a portion of the tuition using federal and foundation funding.

The importance of coordination for strong principal development extends to state policies and funding also. State requirements for re-certification credits in Connecticut, Kentucky, Mississippi, and New York provide incentives for veteran principals to participate in professional development. North Carolina and Georgia operate leadership institutes that work with districts on professional development priorities, while Delaware illustrates a collaborative approach to planning reforms. And the funding that Mississippi's School Administrator Sabbatical program provides is critical to the design and success of the Delta State University program. Examples of coordination in our study programs and states provide models for other policymakers and program developers to consider.