

ABSTRACT

Thomas J. Williams. THE PERCEIVED IMPACT OF THE 2006 NORTH CAROLINA STANDARDS FOR SCHOOL EXECUTIVES ON UNIVERSITY EDUCATIONAL LEADERSHIP PREPARATION PROGRAMS (Under the direction of Dr. Kermit Buckner). Department of Educational Leadership, March, 2010.

Not surprisingly, the members of the Ad Hoc Committee on School Administration – a committee established by the North Carolina State Board of Education for the purpose of revising standards for principals in North Carolina – perceived that the 2006 North Carolina Standards for School Executives would have an impact on both university preparation programs for school administration and practicing principals. The purpose of this study was to determine not only the perceived impact, but the perceived implications of the new standards on both preparation programs and principals. Major findings include perceived impact and implications in at least six areas: university curriculum and assessment; enhancing principal leadership skills for the 21st century; evaluation of principals; professional development and support for principals; alternative licensing of principals; and uniform standards for preparation programs.

While the true impact cannot be known for some time, the critical incident – passing of the 2006 Standards in December 2006 – certainly launched a number of new initiatives including a new evaluation instrument for principals in North Carolina, a revision process for North Carolina principal preparation programs to align with these new standards, and multiple conversations about

the emerging concept and language of the school principal as a “school executive.”

THE PERCEIVED IMPACT OF THE 2006 NORTH CAROLINA STANDARDS
FOR SCHOOL EXECUTIVES ON UNIVERSITY EDUCATIONAL LEADERSHIP
PREPARATION PROGRAMS

A Dissertation

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the Faculty of the Department of Educational Leadership

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In Partial Fulfillment

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Doctor of Education

by

Thomas J. Williams

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PREPARATION PROGRAMS

by

Thomas J. Williams

APPROVED BY:

CHAIR OF DISSERTATION: _____
Kermit Buckner

COMMITTEE MEMBER: _____
Lane Mills

COMMITTEE MEMBER: _____
Henry Peel

COMMITTEE MEMBER: _____
William Grobe

COMMITTEE MEMBER: _____
Lee Grier

INTERIM CHAIR OF THE DEPARTMENT OF EDUCATIONAL LEADERSHIP:

William Rouse, Jr.

ACTING DEAN OF THE GRADUATE SCHOOL:

Paul Gemperline

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CHAPTER 1: INTRODUCTION

Chapter 1 includes six sections: an introduction, background, North Carolina's response to contemporary principal's standards, purpose, research methodology, and conclusion. The introduction provides the context for the study. The background addresses contemporary efforts to develop principal standards. The North Carolina response section discusses professional organizational influence on policy and legislative initiatives. The purpose and research methodology sections briefly describe why the study is relevant and how the research was conducted. Finally, the conclusion notes potential importance of the study to university principal preparation programs.

Introduction

This section provides the context for the study. Early efforts for standards are referenced as well as the most recent developments based on the implications of a publication by the Partnership for 21st Century Skills titled a Framework for 21st Century Learning (see Appendix A). This document outlines a vision for 21st century student success in the new global economy. The implication for principal standards is an alignment issue with this vision for student success and principal knowledge, skills, and dispositions (Partnership for 21st Century Skills, 2009).

During the past two decades, an abundance of national and state initiatives to create contemporary standards for school administrators has emerged. These efforts have attempted to describe competent, capable, efficient,

and effective school leadership and captured the attention of a wide range of influential public policy and educational decision makers (North Carolina State Board of Education, 2008, p. 6). Based upon the earlier foundation work done to create and institutionalize new teacher standards, such as Interstate New Teacher Assessment and Support Consortium (INTASC), this reform movement has at its core the need for developing a new generation of school leaders (Council of Chief State School Officers, 2007). These new leaders must be profoundly adept at responding to the dramatically changing landscape and urgency for a 21st century K-12 public education system (North Carolina State Board of Education, 2008, p. 6). Recognizing that the success of schools is heavily influenced by the quality of the school's formal leader – the principal – an increased focus on new standards for school leaders has emerged with the intended outcome to create new leaders capable of increasing high performance results by students, teachers, and school communities in this new millennium (North Carolina State Board of Education, 2006).

As our society and schools have changed over the past few decades, so too have the responsibilities and leadership expectations of principals. From their early role as the “principal teacher” to the “school manager” in the later part of the 20th century, today's principal is being asked to assume the 21st century role as the “school catalyst for all stakeholders” (Wilmore, 2002, p. 5). This emerging leadership and facilitative role in the larger school community is reflected throughout the development of contemporary standards for school leaders.

The Partnership for 21st Century Skills establishes a Framework for 21st Century Learning to assure all students graduate from high school with the “skills, knowledge, and expertise” (Partnership for 21st Century Skills, 2009) to be competitive in a global economy. As a result of these emerging requirements, the overarching responsibility for all principals is to provide the necessary leadership to assure the proper conditions exist in the school so all students and teachers can achieve these student outcomes (Partnership for 21st Century Skills). The Framework identifies four umbrella elements which represent the skills, knowledge, and expertise all students “should master to succeed in work and life.” These are: (1) Core Subjects and 21st Century Themes, (2) Learning and Innovation Skills, (3) Information, Media and Technology Skills, and (4) Life and Career Skills. The Partnership for 21st Century Skills recognizes that merely identifying specific skills, content knowledge, expertise and literacies for students is not adequate. In addition, there must be innovative support systems in place to ensure student mastery. These support systems are: (1) 21st Century Standards, (2) Assessment of 21st Century Skills, (3) 21st Century Curriculum and Instruction, (4) 21st Century Professional Development, and 5) 21st Century Learning Environments (Partnership for 21st Century Skills).

The skills listed above go beyond the traditional range of course content required of pre-college students, beyond the skills taught to and practiced by most teachers and beyond the prevailing preparation programs for school leaders. It isn't self-evident how principals go beyond simply knowing about and

encouraging teachers to instruct students in 21st century skills. These skills are not the skills that students develop through direct instruction or are they merely memory tasks. These skills embody the accumulation of skills students need to develop throughout their entire schooling experience resulting in their readiness to meet the complex post-secondary educational and career demands awaiting them. Principals and teachers in their schools must develop a deeper understanding of how these skills are developed within the core disciplines, all of which requires new ways of engaging students in classrooms and learning experiences. Principals must have a vision of what effective instruction looks like when teachers are teaching for 21st century skills as an expected student outcome. As an outgrowth of teachers and schools addressing these new skills, the principal must know why a science or math class, and all other classes, might be less teacher-directed and much more focused on student-engagement. This generation of new principals must develop a repertoire of strategies for transforming teaching and learning within schools as they matriculate from their principal preparation programs into everyday practice (Partnership for 21st Century Skills, 2009).

In an attempt to address these issues for the schools of North Carolina, new principal standards were created. These standards are included as Appendix B of this study. With the 2006 North Carolina Standards for School Executives (NCSSE) in its initial implementation phase, a question remains if the preparation of new school leaders in North Carolina has the promise of aligning

with the 21st century skills (North Carolina State Board of Education, 2008). How likely is this transformation? What do those engaged in developing the new standards for school leaders believe about the transformative potential of these new standards? These questions are essential to guiding this research.

Background

Contemporary efforts to develop principal standards anchor the discussion for this section. The section also introduces the current effort in North Carolina to revise principal standards as well as earlier attempts. The past 20 year history is treated by examining signature studies and initiatives. Included in the discussion are findings of commission reports, legislation, and professional organization standards.

This study examined North Carolina's policy leader's most recent attempt in raising standards for school administrators through the creation of the 2006 NCSSE. These new standards were approved by the North Carolina State Board of Education in December 2006 and became effective with the 2008-2009 school year (North Carolina State Board of Education, 2008). In 2008-2009 all North Carolina public school principals were to be evaluated on the NCSSE using the corresponding evaluation process and new evaluation instrument (North Carolina State Board of Education, 2008). This evaluation process may be found in Appendix C.

Prior to the past two decades, there had been a limited scope of work to establish the foundation for contemporary standards for school principals. At the

genesis of both the national and North Carolina imperative for new principal standards is the 1987 signature work of The University Council for Educational Administration (UCEA), *The Report of the National Commission on Excellence in Educational Administration (NCEEAA)*, *Leaders for America's Schools: The Report to the National Commission on Excellence in Educational Administration*. This report provides a foundational framework for understanding the evolution of contemporary standards for school principals over the past two decades. It addresses the relationships among the multiple efforts to improve the relevance of school principal standards to both university preparation programs and the licensing of school principals in North Carolina. Since the publication of *Leaders for America's Schools: The Report to the National Commission on Excellence in Educational Administration*, North Carolina has responded with a particular focus on principal standards. For this study, the UCEA report articulates the critical role university preparation programs should play in the continuum of developing school administrators from recruitment to induction as well as ongoing professional development that is grounded in both theory and practice. The report cites specific recommendations state government leaders from the executive and legislative branches as well as the State Board of Education and University Board of Governors should address. These recommendations impact both the policy arena and practitioners' practices to support higher standards for the preparation of the next generation of school administrators. While the Commission's recommendations for public school practice were made over

twenty years ago, many appear relevant to today's discussion as related to the recruitment, pre-service, and professional development of 21st century school leaders. Related to what professional organizations should do, the Commission established three specific recommendations, one of which had a major influence over the increased attention and implementation of new standards for school principals – the formation of a national policy board. Specifically, this recommendation called for the creation of a National Policy Board on Educational Administration (University Council for Educational Administration, 1987).

As discussed in more detail later in this study, this Commission's recommendation was realized with the creation of the National Policy Board for Educational Administration (NPBEA) in 1988. An email from Richard A. Flanary, Co-Chair, NPBEA Steering Committee, is enclosed as Appendix D confirming the date of the creation of this board. Two early companion publications, the first prepared by the National Commission on the Principalship (1990), *Principals for Our Changing Schools: Preparation and Certification*, and the second developed by the National Policy Board for Educational Administration (1993), *Principals for Our Changing Schools: The Knowledge and Skills Base*, appear to serve as a research foundation for contemporary principal standards. These publications appear to have influenced changes in university preparation programs based on the frequency of references to these documents in the literature and by leaders in the standards movement (National Policy Board for Educational Administration; M. E. Ward, personal communication, February 24, 2009). In 2002, the NPBEA

published its report, *Standards for Advanced Programs in Educational Leadership for Principals, Superintendents, Curriculum Directors, and Supervisors*, which defined seven specific standards for universities to meet in the development and preparation of school administrators. These standards appear in Appendix E of this study.

In the context of this study, one of the most significant recommendations coming from the NCEE's report in 1987 was the call for educational leadership preparation programs be designed around five strands (University Council for Educational Administration 1987, p. 19). Illustrative of the importance that contemporary principals must have the right blend of knowledge and skills, one of the findings from NPBEA's (1993) *Principals of Our Changing Schools: The Knowledge and Skills Base* (p. viii) states:

"If principals are to fulfill their school's responsibility for meeting the educational and developmental needs of their students, they must continually initiate action and respond to problems. The initiatives and responses are often complex, ranging from implementing a new state or federal legislation to resolving explosive family conflicts. Clearly, technical skill alone is insufficient; so, too, is a complete reliance on content knowledge. The heart of professional practice lies between these two poles."

This finding from the NPBEA's (1993) Report, *Principals for our Changing Schools: Knowledge and Skills Base*, was the identification of the "core of what

principals must know and be able to do” (p. xiii). These essential knowledge and skills encompass twenty-one (21) “domains.”

Building upon the earlier work of UCEA and the NPBEA, from August 1994 to November 1996, the Council of Chief State School Officers (CCSSO) supported a program of work that included the sponsorship of the Interstate School Leaders Licensure Consortium (ISLLC) which worked at “crafting model standards for school leaders” as described in ISLLC Standards for School Leaders (see Appendix F).

As an ongoing response to needed changes in the preparation of school leaders for the 21st century, in January 2002, the National Policy Board for Educational Administration published its Standards for Advanced Programs in Educational Leadership for Principals, Superintendents, Curriculum Directors, and Supervisors. These standards, developed by the NPBEA, Educational Leadership Constituency Council (ELCC), established the process and guidelines for university preparation programs responsible for preparing both school and district level leaders for positions ranging from the principalship, to district office supervisors, and the superintendency. These standards and processes are aligned with and meet the requirements for these degree and licensing programs as part of the National Council for the Accreditation of Teacher Education (K. Sullivan, personal communication, January 28, 2008).

North Carolina and the Contemporary Principal Standards

In addition to professional organizations' recommendations, this section cites key policy and legislative initiatives that responded to the call for creating contemporary principal standards in North Carolina. North Carolina's initiative is discussed in detail to establish a chronology of events and documents leading to the most recent set of principal standards in North Carolina.

As one of the early pioneers in the nation for developing standards for educational leaders, North Carolina state policy leaders recognized the emerging urgency of addressing the need for new kinds of knowledge and skills required of school administrators as the state moved toward the 21st century and a rapidly changing global and state economy. On July 7, 1992, the 1991 Session of the General Assembly ratified House Bill 1361, "An act to create an educational leadership task force to identify how best to select, train, evaluate, assess, and regulate the state's educational leaders." See Appendix G for House Bill 1361 in its entirety.

On February 15, 1993, as required by HB 1361, the Education Leadership Task Force presented its official report to the Joint Legislative Education Oversight Committee of the 1993 General Assembly of North Carolina. Appendix H includes the official report in its entirety.

Recommendation 2 of this report was consistent with the recommendations developed by the NCEEA report (UCEA, 1987). The 1993 North Carolina

Educational Leadership Task Force Report cited (Education Leadership Task Force, 1993, p. 10):

...many of the existing programs appear to be too small to ensure the delivery of quality educational experiences. Both of these reports maintain that a 'quality program requires a minimum of five full-time faculty members.' Using September 1991 data, seven of the fourteen current programs fall substantially below this standard and three others are at the minimum acceptable level. Only one of the fourteen programs exceeds the minimum standard by more than one faculty member.

Recommendation 2 went on to say that (Education Leadership Task Force, p. 10):

...this plan will encourage institutions that really desire to be in the preparation business to provide more adequate resources for what are now often impoverished programs. Fewer programs more richly endowed to educate tomorrow's leaders appear to us a wise objective (see also Recommendation 5).

Recommendation 3 was based upon the firm conviction of the North Carolina Task Force that (Education Leadership Task Force, p. 11):

...educational leadership preparation programs will continue to receive the short shrift in universities unless the rules of the game are changed. We therefore recommend that the General Assembly

charge the Board of Governors to develop a plan to have the various public university system campuses that are seriously interested in school administration training compete for the substantially reduced number of programs that will be authorized.

Recommendation 4 was based upon the belief of the Task Force that (Education Leadership Task Force, p. 12):

...the work of the national Task Force appointed by the Board of Governors in response to Recommendation 3 above will result in the development of more relevant and more advanced standards by which to assess the quality of preparation programs in the area of school administration. We encourage the General Assembly to charge the State Board of Education to revise the existing program approval process to incorporate these more advanced standards and criteria.

Finally, Recommendation 8, the establishment of an independent North Carolina Professional Standards Board for School Administration (NCP SBSA), as cited below was intended to (Education Leadership Task Force, 1993, p. 17):

...develop, implement, and monitor policies to provide and enforce standards of ethical practice. We suggest that the General Assembly charge the North Carolina Association of School Administrators, the North Carolina Association of Professors of Educational Administration, the State Board of Education, and the

Board of Governors with the task of establishing a commission to develop recommendations about the composition and responsibilities of the PSBSA, as well as about its relationship to the General Assembly, to which it reports directly.

In the 1993 session of the North Carolina General Assembly, HB 284, “An act to implement a recommendation of the educational leadership task force and the joint legislative oversight committee to establish an independent standards board for school administration and to allow that board to charge examination fees” was enacted. House Bill 284 may be found as Appendix I. Upon the appointment of this seven person Board by Governor James B. Hunt, Jr., and the election by the Board of Dr. Charles R. Coble, Dean of the School of Education at East Carolina University, the newly created North Carolina Standards Board for Public School Administration (NCSBPSA) hired Dr. Michael E. Ward as its first Executive Director in May 1994. This appointment was announced through a press release as shown in Appendix J. Upon his selection, Ward said “It has become increasingly evident that school success is closely linked to effective leadership. North Carolina’s new emphasis on administrator standards will help to ensure the kinds of leaders we want for our public schools.” Ward went on to say, “These standards will help to shape the kinds of university programs in which school administrators are prepared. In addition, the standards will help to ensure that administrators have the knowledge and professional skills necessary to lead positive reform efforts in North Carolina (C. Coble, personal communication, press release, May 6, 1994).

As part of this study, and included in the review of literature, are personal historical interviews with the first elected chairman of the NCSBPSA, Dr. Charles R. Coble, the first hired Executive Director, Dr. Michael E. Ward, and the final Executive Director, Dr. Linda Stevens. These interviews are found as Appendices K, L, and M respectively, and yielded additional insights to the historical context of the development of North Carolina's Standards for School Leaders as adopted by the NCSBPSA in July 1996. These standards, as required by the legislation of HB 284, established the framework for the emerging new standards required of both Masters in School Administration programs and licensure standards for school leaders in North Carolina beginning in 1998 and the required licensure exam, the School Leaders Licensure Assessment (North Carolina Standards Board for Public School Administration, 2000).

Purpose of the Study

The purpose of this study is to identify the perceived impact the 2006 North Carolina Standards for School Executives will have on university preparation programs. These programs are charged with preparing school administrators in the context of the 2006 NCSSE to function effectively in the public schools of North Carolina.

The following questions are central to the study.

1. What is the perceived impact of the 2006 North Carolina Standards for School Executives on university preparation programs for school administrators?

2. What is the perceived impact of the 2006 North Carolina Standards for School Executives on currently practicing principals?
3. What is the perceived benefit of the 2006 North Carolina Standards for School Executives for the K-12 public education system?
4. What are the overall perceptions of what the 2006 North Carolina Standards for School Executives would accomplish?
5. What is the relationship of the 2006 North Carolina Standards for School Executives to the previously existing 1996 North Carolina Standards for School Administrators?

Research Methodology and Design

This study utilizes the Critical Incident Technique (CIT) (Flanagan, 1954), specifically through interviews of seventeen (17) participants, all of whom served as members or staff to the Ad Hoc Committee on School Administration. The critical incident for this study is the development and passage of the 2006 North Carolina Standards for School Executives. The participants were involved with this Committee which was responsible for the development and recommended passage of the 2006 North Carolina Standards for School Executives. The study specifically investigates these participants perceived impact of these standards on university educational leadership preparation programs.

The design of the study addresses five research questions. Participants responded to fourteen (14) interview questions and results were analyzed by coding and classifying their responses.

Conclusion

This study will provide data reporting a collective set of insights by key leaders responsible for the development and passage of the 2006 NCSSE. The data and analysis will report their perceived impact these standards will have on the preparation, and eventual performance, of future North Carolina school leaders. In addition, this study will allow the leadership and faculty members of the university preparation programs to have a reference point for these new standards and their fidelity in the revisioning of their university preparation programs based on the vision of the 2006 Ad Hoc Committee of School Administration.

CHAPTER 2: REVIEW OF LITERATURE

In this chapter, the review of the related literature includes two specific forms of documentation: historical documents (national and state perspectives) and interviews that recount the historical state (North Carolina) record. The latter includes interviews with Drs. Charles Coble, Michael Ward, and Linda Stevens. These individuals held inaugural leadership positions which made them uniquely qualified to recount the historical events related to the development of contemporary principal standards in North Carolina. Highlights from these historical interviews are included in the literature review and transcripts are included as Appendices K, L, and M, respectively.

The role of the National Commission on Excellence in Educational Administration (NCEEAA) in generating interest in contemporary standards for school principals at both the national and state levels is presented in the literature review. Specifically addressed in the literature review is the interest in standards and the role played in this effort by leaders in North Carolina. Among the landmark documents chronicling the development of these standards are those created by the National Policy Board for Educational Administration, the Interstate Leadership Licensure Consortium, the North Carolina Educational Leadership Taskforce, the North Carolina Standards Board for Public School Administrators, and the North Carolina State Board of Education 2006 Ad Hoc Committee on School Administration.

Overview

During the past two decades, an abundance of national and state initiatives to create contemporary standards for school administrators designed to describe competent, capable, efficient, and effective school leadership has captured the attention of a wide range of influential public policy and educational decision makers. Based upon the earlier foundation work done to create and institutionalize new teacher standards, such as INTASC (Council of Chief State School Officers, 2007), this reform movement has at its core the recognized need for developing a new generation of school leaders. These leaders must be profoundly adept at responding to the dramatically changing landscape and urgency for a 21st century K-12 public education system. Recognizing that the success of schools is heavily influenced by the quality of the school's formal leader, the principal, an increased focus on new standards for school leaders has emerged with the intended outcome to create new leaders capable of increasing high performance results by students, teachers, and school communities (North Carolina State Board of Education, 2008, p. 5). On the issue of school leadership and its impact on school reform, M. Christine DeVita, President of The Wallace Foundation, said, "The national conversation has shifted from 'whether' leadership really matters or is worth the investment, to 'how' – how to train, place, and support high quality leadership where it is needed the most: in schools and districts where failure remains at epidemic levels" (DeVita, 2007, p. 5).

Published by the Center on Reinventing Public Education in 2003, *Making Sense of Leading Schools: A Study of the School Principalship*, Portin listed five major conclusions. Conclusion 2 states, “Regardless of school type – elementary or secondary or public or private – schools need leadership in seven critical areas: instructional, cultural, managerial, human resources, strategic, external, and micro-political” (Center on Reinventing Public Education, p. 1). He goes on to introduce the importance of shared or distributed leadership by saying, “principals are responsible for ensuring that leadership happens in all seven critical areas but they don't have to provide it on their own” (Center on Reinventing Public Education, p. 25). In Section 6: Implications and Conclusions, Portin concludes that it is “unsurprising that what emerges from the research is a healthy skepticism about any single concept of what it means to be a school leader” (Center on Reinventing Public Education, p. 41). He continues by stating that, “Individual styles, school specific challenges, politics, and governance issues all produce different leadership stories in different schools. There is no single recipe for leading a school” (Center on Reinventing Public Education, p. 41). Portin states that “generalizations of what principals ‘need to know and be able to do’, no matter how carefully crafted, ultimately misrepresent the situation in many schools” (Center on Reinventing Public Education, p. 41).

By focusing on the needs of today’s students, The Partnership for 21st Century Skills established a Framework for 21st Century Learning to assure all students graduate from high school with the “skills, knowledge, and expertise”

(Partnership for 21st Century Skills, 2009) required to compete in a global economy. As a result of these emerging requirements, according to the Partnership for 21st Century Schools the overarching responsibility for all principals is to provide the necessary leadership to assure the proper conditions exist in the school so all students and teachers can achieve these student outcomes. The Framework identifies four umbrella elements which represent the skills, knowledge, and expertise all students “should master to succeed in work and life”. These are: (1) Core Subjects and 21st Century Themes, (2) Learning and Innovation Skills, (3) Information, Media and Technology Skills, and (4) Life and Career Skills. The Partnership for 21st Century Skills recognizes that merely identifying specific skills, content knowledge, expertise and literacies for students is not adequate. In addition, it acknowledges there must be innovative support systems in place to ensure student mastery. These five support systems are: (1) 21st Century Standards, (2) Assessment of 21st Century Skills, (3) 21st Century Curriculum and Instruction, (4) 21st Century Professional Development, and (5) 21st Century Learning Environments (Partnership for 21st Century Skills).

The skills listed above go well beyond the traditional range of course content required of pre-college students, beyond the skills taught to and practiced by most teachers, and beyond the prevailing preparation programs for school leaders. It is not self-evident how principals go beyond simply knowing about and encouraging teachers to instruct students in 21st century skills. These are not skills that students develop through direct instruction, these are not

memory tasks. Principals and their teachers must develop a deeper understanding of how those skills are developed within the core disciplines, all of which requires new ways of engaging students in classrooms. Principals must have a vision for how instruction looks when teaching 21st century skills is part of the expected outcomes and they must know why science classes, and all other classes, might be less teacher-directed and more student-engaged. New principals must have some strategies for transforming teaching and learning within schools as they matriculate from their principal preparation programs (Partnership for 21st Century Skills, 2009).

North Carolina's policy leader's most recent attempt in raising standards for school administrators was through the creation of the North Carolina Standards for School Executives (NCSSE). These new standards were approved by the North Carolina State Board of Education on December 7, 2006 and became effective beginning with the 2008-2009 school year. As a result, in 2008-2009 all North Carolina public school principals are to be evaluated on the NCSSE using the corresponding evaluation process and new evaluation instrument (North Carolina State Board of Education, 2008).

Historical Perspective

Historically, until the past two decades little exists in the literature on contemporary standards for school principals. At the genesis of both the national and North Carolina imperative for new principal standards is the signature work of The University Council for Educational Administration (UCEA). The UCEA is a

consortium of major research universities with doctoral programs in educational leadership and policy. The dual mission of UCEA is to improve the preparation of educational leaders and promote the development of professional knowledge in school improvement and administration (University Council for Educational Administration, 2009). UCEA headquarters is currently hosted by the University of Texas at Austin. Their landmark report, *Leaders for America's Schools: The Report of the National Commission on Excellence in Educational Administration* was published in 1987 by the National Commission on Excellence in Educational Administration (NCEEAA). This report established a suggested framework for policy and educational leaders at both the national and state levels to advance the pursuit of developing and implementing contemporary standards for school administrators in an ever-changing global economy. The gap between the current skills set of school administrators and the requirements of new school leaders in the global economy is evidenced by the report's position that, "A revolution in education requires competent, skilled, visionary leadership as has never been available before" (University Council for Educational Administration, 1987, p. xvi).

To better understand the evolution of contemporary standards for principals over the past two decades, examining the recommendations from the NCEEAA report, *Leaders for America's Schools: The Report to the National Commission on Excellence in Educational Administration* provides a solid background. Likewise, this report provides additional insights to the relationship among the multiple efforts to improve the relevance of school principal standards

in both university preparation programs and the licensing of school principals in North Carolina. The University Council for Educational Administrators (UCEA) was founded in 1959 and in 1987 consisted of fifty leading research universities that awarded doctoral degrees in school leadership. The twenty-seven members who served on this Commission are referenced in Appendix N (UCEA, 1987, p. ix). This Commission, comprised of leaders within and external to the field of school administration, cited in its Preface that for the previous four years, since the 1983 release of the landmark report, *A Nation At Risk*, the focus of the American public had been “listening to a variety of segments of society calling for changes in the educational system from pre-school to postgraduate studies” (UCEA, 1987, p. xv). The Commission believed that the emerging revolution in American educational systems would require “competent, skilled, and visionary leadership as has never been available before” (UCEA, 1987, p. xvi). The members of this Commission met and its staff sought information and advice from over 1,250 individuals, primarily through the use of six regional seminars. These day-long seminars were attended by legislators, chief state school officers, school board members, as well as practicing teachers, administrators, and university professors. Based on the information and resources gained through this process, the Commission and staff were able to draft the findings and recommendations for the Commission to release its final report. An important outcome of this process was the Commission’s identification of the level of improvement that remained in educational administration despite important

exceptions to each of these. The research revealed the following ten areas as “most troubling” throughout the field (UCEA, 1987, pp. xvi-xvii):

1. Lack of definition of good educational leadership
2. Lack of leader recruitment programs in the schools
3. Lack of collaboration between school districts and universities
4. The discouraging lack of minorities and women in the field
5. Lack of systematic professional development for school administrators
6. Lack of quality candidates for preparation programs
7. Lack of preparation programs relevant to the job demands of school administrators
8. Lack of sequence, modern content, and clinical experiences, in preparation programs
9. Lack of licensing systems which promote excellence
10. Lack of a national sense of cooperation in preparing school leaders

For the purpose of this study, particular significance from the UCEA’s (1987) *Leaders for America’s Schools* report can be found in the above mentioned ten most troubling areas as related to the establishment of contemporary standards for school administrators. During the past two decades, North Carolina has responded with a particular focus on the UCEA’s findings in recommendation 1, 2, 3, 4, 7, 8, and 9 above. For this study, the UCEA report articulates the critical role university preparation programs should play in the continuum of developing school administrators from recruitment to ongoing

professional development that is grounded in theory as well as practice. The report cites specific recommendations state government leaders should take the lead on within the policy environment to support higher standards for the preparation of the next generation of school administrators. North Carolina is a recognized national leader in this area of focus as illustrated by legislative, policy, and licensing standards beginning as early as 1991 (Council of Chief State School Officers, 1997).

In addition to these areas the report found “most troubling” and in need of improvement, there were eight significant recommendations made by the Commission with the intention of the improvement of educational leadership.

These included (UCEA, 1987, p. xiii):

- Educational leadership should be redefined.
- A National Policy Board on Educational Administration should be established.
- Administrator preparation programs should be modeled after those in other professional schools.
- At least 300 universities and colleges should cease preparing educational administrators.
- Programs for recruitment and placement of ethnic minorities and women should be initiated by universities, school boards, state and federal governments, and the private sector.

- The public schools should become full partners in the preparation of school administrators.
- Professional development activities should be an integral component of the careers of professors of educational administration and practicing administrators.
- Licensure programs should be substantially reformed.

The Commission recognized that certain audiences would see these findings as nothing less than radical while others would see them as part of a continuum of change already occurring. The Commission's agenda was for this report to be a "call to action" that would lead to the fundamental restructuring of the requirements for educational leadership of the future and a national understanding of the urgent need for this transformation (UCEA, 1987).

Central to the Commission's report is its first chapter titled, "A Vision of School Leadership." This chapter is grounded in the belief that the primary task of contemporary school administrators is to lead schools that will prepare all students for success in an emerging global economy. The report acknowledges that this daunting new reality for school leaders is fundamentally the driving force for much needed and profound reform in the preparation of emerging school leaders. At the time, no previous generation of school leaders had ever before been charged with such a task. Consistent with the format of the Commission's report, this point is made within the context of a description of shadowing Principal Jones of Jefferson High School for the day. Through the description of

an ordinary day of Principal Jones, the report illustrates the direction of changes already taking place in schools that must be embedded within the preparation and professional development plans for school leaders. In summary, the four broad priorities to be embedded within the preparation programs include (UCEA, 1987, p. 4):

- Demonstrate that they are learning communities.
- Foster collegiality.
- Individualize instruction.
- Encourage involvement.

The Commission's report also provides their research findings and specific recommendations related to enhancing the preparation and practice of school administrators as driven by the major leadership challenges facing the system of public education in an ever changing global economy. Within the report, specific recommendations are made for each of the following sectors: (1) public school systems, (2) university preparation programs, (3) professional organizations, (4) state and federal policymakers, and (5) the private sector.

While the Commission's recommendations for public school practice were made over twenty years ago, several appear to remain relevant to today's discussion as related to the recruitment, pre-service, and professional development of 21st century school leaders. Specific recommendations related to the role of the public schools and university preparation programs are (UCEA, 1987, pp. 10-12):

2.1 – The public schools should share responsibility with universities and professional organizations for the preparation of administrators.

2.3 – The public schools should have programs to recruit quality administrators from among their teachers.

2.4 – School districts should have policies that specifically identify promising candidates for principalships and superintendencies among women and ethnic minorities.

As related to what professional organizations should do, the Commission established three specific recommendations, of which, in retrospect, one has had a major influence over the increased attention and implementation of new standards for school principals. This recommendation is (UCEA, 1987, p. 14):

3.3 – A National Policy Board of Educational Administration should be established.

As discussed in more detail later in this study, this Commission's recommendation was realized with the National Policy Board of Educational Administration (NPBEA) being created in 1988. In 2002, the NPBEA published its report, *Standards for Advanced Programs in Educational Leadership for Principals, Superintendents, Curriculum Directors, and Supervisors*, which defined seven specific standards for universities to meet in the development and preparation of school administrators (National Policy Board for Educational Administration, 2002).

Implications for Higher Education

As related to this study, one of the most significant recommendations coming from this Commission's report in 1987 was made in chapter 4: What Universities Should Do (UCEA, 1987, pp. 17-24). Consistent with the format of the Commission's report, chapter 4 begins with a scenario illustrating how Principal Jones' school district identified him as a future school leader, recruited him into the program, and assisted him in pursuing and achieving his degree in educational administration. Recognizing the ever-changing and complex demands being placed on current educational leaders, the Commission recommended that educational leadership preparation programs be designed around five strands (UCEA, 1987, p. 19):

- the study of administration
- the study of the technical core of educational administration and the acquisition of vital administrative skills
- the application of research findings and methods to problems
- supervised practice
- demonstration of competence

Building upon these findings and recommendations, the Commission's recommendations for university professors included the following (UCEA, 1987, pp. 20-21):

4.1 – Administrator preparation programs should be like those in professional schools which emphasize theoretical and clinical knowledge, applied research, and supervised practice.

4.2 – The position of educational administration program chairperson should be one of leadership with responsibility for program development and renewal.

4.3 – Professors should collaborate with administrators on reforming curricula for administrator preparation.

4.4 – The faculty of administrator preparation programs should have varied academic backgrounds and experiences.

4.5 – Professional development should be included in the performance reviews of professors.

The specific recommendations provided in this report to the Deans included the following (UCEA, 1987, pp. 22-23):

4.6 – Universities should fund and staff administrator preparation programs at a level that makes excellence possible.

4.7 – The reward structure for professors should be changed to recognize curriculum reforms, instructional innovation, and other activities, in addition to traditional scholarship.

4.8 – Universities should provide scholarships and other incentives to recruit able students and particularly those from ethnic minority groups.

One specific recommendation was made to university Presidents and Vice-Presidents as follows (UCEA, 1987, p. 23):

4.9 – Universities unable to accept the spirit of excellence described in this report should cease preparing administrators.

In 2006, as part of its Leadership Preparation Initiative, the Southern Regional Education Board (SREB) issued its report, *Schools Can't Wait: Accelerating the Redesign of University Principal Preparation Programs*. SREB President Dave Spence outlined in his opening message to this report that there were four conclusions the SREB drew from this report. These were: “(1) Current state policies and strategies intended to promote redesign of principal preparation programs have produced episodic change in a few institutions but have fallen short in producing the deeper change that would ensure all candidates master the knowledge and skills needed to be effective school leaders today, (2) There is a lack of urgency for refocusing the design, content, process and outcomes of principal preparation programs based on the needs of schools and student achievement and little will happen until there are committed leaders of change at every level – state, university, and local school district, (3) States and districts cannot depend on universities to change principal preparation programs on their own because the barriers to change within these organizations are too deeply entrenched, and (4) The issue is not whether principal preparation programs need to change, but how can states plan and carry out a redesign initiative that gets the right results?” Appendix D of this

SREB report titled, *Scoring Guide for Core Conditions and Indicators of Program Design*, provided states, universities, and local school districts a tool for self-assessing its principal preparation programs current status to guide the continuous improvement of these programs and their outcomes (SREB, p. 79).

In the April 2007, the Stanford Educational Leadership Institute publication, *Preparing School Leaders for a Changing World: Lessons from Exemplary Leadership Development Programs*, two of four specific implications for program designers and leaders offered insights for higher education programs. The second implication states that “professional standards provide an important tool for strengthening a program’s focus on instructional leadership and school improvement”. Within this recommendation, the research of these best practices “found that the strength of program outcomes was associated with robust implementation of professional administrator standards through strong, tightly related coursework and clinical experiences” (Stanford Educational Leadership Institute, p. 21).

The third implication states that “durable partnerships between districts and universities, as well as state supports, facilitate consistent, coherent professional development”. Within this recommendation, the best practice acknowledged that “although district/university partnerships take effort, their benefits include expanded resources, a more embedded, hence powerful, intervention for developing practice, and reciprocal institutional improvement that

produces better programs and stronger leaders” (Stanford Educational Leadership Institute, 2007, p. 21).

Implications for Policymakers

The National Commission on Excellence in Educational Administration report also made a series of nine recommendations directed to State Policymakers and two recommendations to federal policymakers. At the center of these policy recommendations was the Commission’s findings and concerns that the “current licensure procedures do a great disservice because they appear to designate individuals particularly suited by character, intelligence, and skill to administer schools. That claim is indefensible. This is the major issue which state policymakers need to address, but not the only one” (UCEA, 1987, p. 25). The nine specific recommendations for state policymakers are as follows (UCEA, 1987, pp. 25-29):

5.1 - Each state should have an administrative licensure board to establish standards, examine candidates, issue licenses, and have the authority to revoke licenses.

5.2 - Licensure should depend on the completion of a state-approved program, demonstration of knowledge and skills, evidence of performance, recommendation by the professional preparation program, adherence to a professional code of ethics, and, in the case of principals, teaching experience.

5.3 - Licenses for educational administrators should have two tiers: entry level and fully licensed status.

5.4 - Temporary or emergency licensure should not be granted.

5.5 – A license should be issued for a specific period of time. Renewal of the license should depend on successful performance and continuing professional development.

5.6 – Licenses should be portable from state to state.

5.7 – School administrators should be able to transfer retirement benefits from state to state.

5.8 – States should supplement the cost of financing professional development programs for educational administrators.

5.9 – Each state should develop policies for the recruitment and placement of minorities and women in administrative positions.

The Commission also identified two recommendations for Federal policymakers to undertake that would expand efforts to produce more capable leadership for the nation's schools. These were (UCEA, 1987, pp. 31-32):

6.1 – The federal government should continue to provide significant funding for research in educational administration.

6.2 – The federal government should fund a graduate fellowship program in educational administration for ethnic minorities.

Implications for Private Sector and Professional Organizations

Like many of the educational reform proposals that surfaced during this time period following *A Nation at Risk*, the Commission also identified specific recommendations that the private sector could be engaged with to address this national need. While material contributions are less of a priority, the Commission believed that the private sector could be of great value with both added expertise and political leverage. The five recommendations for the private sector included (UCEA, 1987, pp. 34-35):

- 7.1 – Business, industry and the public schools should exchange specialized personnel to provide each other with relevant, useful information.
- 7.2 – Foundations should support research and development programs focused on the clinical phase of preparation.
- 7.3 – Businesses and industries should provide technical assistance to educational agencies in the development of optimum uses of technology.
- 7.4 – Foundations, businesses, and industries should provide fellowships for ethnic minorities to pursue preparation for school administration.
- 7.5 – Business, industry, and education leaders should participate jointly in management training programs.

Over the past twenty years, since the release of *Leaders for America's Schools: The Report to the National Commission on Excellence in Educational Administration*, there is substantial evidence that this body of research

contributed greatly to enhancing the field of educational administration and school leadership. By examining recent trends and initiatives at the state and federal levels within the university, governmental, and professional associations, there is substantial evidence that this report served as a stimulus for action in setting the foundation for advancing the higher standards needed in the principalship in the 21st century and today's globally competitive economy. During the remaining portion of this literature review, key research and documents are presented that specifically address the national and North Carolina efforts over the past fifteen years. These documents illustrate the developmental nature and maturity of principal standards in a contemporary setting.

Within the eight significant recommendations made by the Commission (UCEA, 1987, p. xiii), Recommendation 3.3, states that "A National Policy Board on Educational Administration should be established." This recommendation was further cited as a specific action item for professional organizations within the educational leadership community (UCEA, 1987, p. 14).

In 1988, the National Policy Board for Educational Administration (NPBEA) was created by the University Council of Educational Administration (UCEA). The NPBEA Board of Directors is comprised of representatives from the following professional organizations: The American Association of Colleges for Teacher Education, Association of School Business Officials, Council of Chief State School Officers, National Association of Secondary School Principals, National School Boards Association, American Association of School

Administrators, Association for Supervision and Curriculum Development, National Association of Elementary School Principals, National Council of Professors of Educational Administration, and the University Council for Educational Administration (NPBEA, 1993, p. viii).

Implications for Practice: Standards for Principals

Illustrative of the importance that contemporary principals must have the right blend of knowledge and skills, one of the findings from *Principals of Our Changing Schools: The Knowledge and Skills Base* (NPBEA, 1993, p. viii) states:

"If principals are to fulfill their school's responsibility for meeting the educational and developmental needs of their students, they must continually initiate action and respond to problems. The initiatives and responses are often complex, ranging from implementing a new state or federal legislation to resolving explosive family conflicts. Clearly, technical skill alone is insufficient; so, too, is a complete reliance on content knowledge. The heart of professional practice lies between these two poles."

Building upon the report issued by the National Commission on the Principalship, *Principals of Our Changing Schools: Preparation and Certification*, published in 1990, the 1993 report points to John Gardner's reference that, "...institutions and professions, like human beings, require occasional renewal to avoid going to seed. The genesis of *Principal for Our Changing Schools: The Knowledge and Skills* was a conviction by the 10 sponsors of the NPBEA that

most preparation programs for school leaders reflect a shopworn theoretical base and fail to recognize changing job requirements. These programs need a serious overhaul “(NPBEA, 1993).

A major outcome of the 1990 report by the National Commission on the Principals was the identification of the “core of what principals must know and be able to do” (NPBEA, 1993). These essential knowledge and skills encompass 21 “domains.” Eleven (11) are process or skill oriented; ten (10) are more content focused; most synthesize knowledge and skill and are not discrete from one another. As the report indicates, “Because human behavior comes in 'bunches' rather than neat packages, the domains must be viewed as overlapping pieces of a complex puzzle. Without these pieces, it is difficult to visualize the entire picture” (NPBEA, 1993).

In sum, *Principals for Our Changing Schools: The Knowledge and Skills*, describes the “foundation blocks of a preparatory program for elementary, middle, and high school principals. ... This publications intent, therefore, is to define the center lane in a broad road, to identify the essential knowledge and skills for successful practice, and to encourage others to build on this work according to individual and institutional preferences and state licensing requirements.” This NPBEA report suggests these 21 domains and corresponding knowledge and skills base should serve as “a point of departure, not a point of arrival” in determining possible templates for meeting the pre-

service needs, professional development, and state licensure or certification for future school administrators (NPBEA, 1993).

The 21 domains of this 1993 NPBEA report are further organized into four domain categories as follows:

Functional Domains – these domains address the organizational processes and techniques by which the mission of the school is achieved. They provide for the educational program to be realized and allow the institution to function.

1. Leadership
2. Information Collection
3. Problem Analysis
4. Judgment
5. Organizational Oversight
6. Implementation
7. Delegation

Programmatic Domains – these domains focus on the scope and framework of the educational program. They reflect the core technology of schools, instruction, and the related supporting services, developmental activities, and resource base.

8. Instruction and the Learning Environment
9. Curriculum Design
10. Student Guidance and Development

11. Staff Development

12. Measurement and Evaluation

13. Resource Allocation

Interpersonal Domains - these domains recognize the significance of interpersonal connections in schools. They acknowledge the critical value of human relationships to the satisfaction of personal and professional goals, and to the achievement of organizational goals.

14. Motivating Others

15. Interpersonal Sensitivity

16. Oral and Nonverbal Expression

17. Written Expression

Contextual Domains - these domains reflect the world of ideas and forces within which the school operates. They explore the intellectual, ethical, cultural, economic, political, and governmental influences upon the schools, including traditional and emerging perspectives.

18. Philosophical and Cultural Values

19. Legal and Regulatory Applications

20. Policy and Political Influences

21. Public Relations

Interstate School Leaders Licensure Consortium

In 1996, the organizational description of the Council of Chief State School Officers (CCSSO) read as follows:

The Council of Chief State School Officers (CCSSO, <http://www.ccsso.org>) is a nationwide, nonprofit organization composed of the public officials who head departments of elementary and secondary education in the states, the District of Columbia, the Department of Defense Education Activity, and five extra-state jurisdictions.

For two years, from August 1994 to November 1996, the Council of Chief State School Officers (CCSSO) supported a program of work that included the sponsorship of the Interstate School Leaders Licensure Consortium (ISLLC) which worked at “crafting model standards for school leaders” as described in Interstate School Leaders Licensure Consortium, *Standards for School Leaders* (see Appendix F). Based upon current research on productive educational leadership and wisdom of colleagues, the standards were drafted by personnel from 24 state education agencies and representatives from various professional associations. ISLLC presented these standards as comprising a “common core of knowledge, dispositions, and performances that will help link leadership more forcefully to productive schools and enhanced educational outcomes.” While these standards were intended to serve a different purpose, they were designed to be compatible with the new National Council for the Accreditation of Teacher

Education (NCATE) Curriculum Guidelines for school administration as well as the major national reports on reinventing leadership for tomorrow's schools. In its form, these standards represented another part of a concerted effort by a number of different groups to enhance the skills of school leaders and to couple leadership with effective educational processes and valued outcomes (see Appendix F).

The ISLLC report was offered with the intent to address two goals (see Appendix F):

- To stimulate vigorous thought and dialogue about quality educational leadership among stakeholders in the area of school administration
- To provide raw material that will help stakeholders across the educational landscape (e.g., state agencies, professional associations, institutions of higher education) enhance the quality of educational leadership throughout the nation's schools

While the Consortium acknowledged that its work was part of a "century's quest to develop a deeper and more productive understanding of school leadership", at the same time it stated that its work, "primarily because of the fundamental nature of the shift from an industrial to an information society, our work represents one of the two or three major transition points in that voyage" (see Appendix F). North Carolina was among the 24 states that participated in the ISLLC process along with the following professional associations: American Association of Colleges for Teacher Education, American Association of School

Administrators, Association for Supervision and Curriculum Development, Association of Teacher Educators, National Association of Elementary School Principals, National Association of Secondary School Principals, National Association of State Boards of Education, National Council of Professors of Educational Administration, National Policy Board of Educational Administration, National School Boards Association, and the University Council for Educational Administration.

The work of ISLLC was guided by the seven Guiding Principles listed below (see Appendix F):

- Standards should reflect the centrality of student learning.
- Standards should acknowledge the changing role of the school leader.
- Standards should recognize the collaborative nature of school leadership.
- Standards should be high, upgrading the quality of the profession.
- Standards should inform performance-based systems of assessment and evaluation for school leaders.
- Standards should be integrated and coherent.
- Standards should be predicated on the concepts of access, opportunity, and empowerment for all members of the school community.

In commenting on the standards and the ISLLC process, the report indicated the ISLLC Standards would apply to nearly all formal leadership

positions in education, not just principals. While citing there are differences in leadership that correspond to the various roles, the unanimous opinion of the ISLLC members was the belief that the “central aspects of the role are the same for all school leadership positions” (see Appendix F). At the “heart and soul” of the ISLLC Standards is the belief that the success of all students is paramount to the educational leadership role. This is the rationale for every standard beginning with the words, “A school administrator is an educational leader who promotes the success of all students by...” and is then followed by the specific standard.

The ISLLC Standards framework for the indicators within each of the six standards is a design based upon the thoughtful work of those who worked on the INTASC standards (Council of Chief State School Officers, 1996). The framework for each standard is built around the “knowledge, dispositions, and performances” required of practicing school leaders (Council of Chief State School Officers, 1996). While the greatest amount of discourse centered around reaching consensus on the dispositions, the consortium ended up agreeing with the work of David Perkins as stated in his 1995 that “dispositions are the soul of intelligence, without which the understanding and know-how do little good” (Council of Chief State School Officers, 1996). The acceptance of this observation by Perkins was instrumental to the ISLLC Standards maintaining dispositions as a key component of the new standards.

The six 1996 ISLLC Standards are:

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

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

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

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

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

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

Building upon the early work of the ISLLC, in January 2002, the National Policy Board for Educational Administration published its Standards for Advanced Programs in Educational Leadership for Principals, Superintendents, Curriculum Directors, and Supervisors. These standards, developed by the Educational Leadership Constituency Council (ELCC), establish the process and guidelines for university preparation programs responsible for preparing both school and district level leaders for positions ranging from the principalship, to district office supervisors, and the superintendency. These standards and process are aligned with and meet the requirements for these degree and licensing programs as part of the National Council for the Accreditation of Teacher Education (NCATE). In addition to the 7 standards cited below, there are 27 “elements” aligned to these standards that provide additional descriptions of the knowledge, skills, and dispositions differentiated by the school and district level programs. The 7 ELLC standards sponsored by the NPBEA for education leadership preparation program are:

Standard 1.0: Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by facilitating the development,

articulation, implementation, and stewardship of a school or district vision of learning supported by the school community.

Standard 2.0: Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by promoting a positive school culture, providing an effective instructional program, applying best practice to student learning, and designing comprehensive professional growth plans for staff.

Standard 3.0: Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by managing the organization, operations, and resources in a way that promotes a safe, efficient, and effective learning environment.

Standard 4.0: Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by collaborating with families and other community members, responding to diverse community interests and needs, and mobilizing community resources.

Standard 5.0: Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by acting with integrity, fairly, and in an ethical manner.

Standard 6.0: Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context.

Standard 7.0: Internship. The internship provides significant opportunities for candidates to synthesize and apply the knowledge and practice and develop the skills identified in Standards 1-6 through substantial, sustained, standards-based work in real settings, planned and guided cooperatively by the institution and school district personnel for graduate credit.

As a component of the seven ELCC Standards of 2002, the 27 “elements” provide additional indicators to illustrate specific knowledge or skills the school administrator should exhibit to demonstrate proficiency of the standard (e.g., 1.3 Implement a Vision, 2.3 Apply Best Practice to Student Learning, 5.1 Acts with Integrity, etc.) (NPBEA, 2002).

The North Carolina Response to Contemporary Standards

As one of the early pioneers in the nation for developing standards for educational leaders, North Carolina state policy leaders recognized the emerging urgency of addressing the need for new kinds of knowledge and skills required of school administrators as the state moved toward the 21st century and a rapidly changing state economy. On July 7, 1992, the 1991 Session of the General

Assembly ratified House Bill 1361, "An act to create an educational leadership task force to identify how to best select, train, evaluate, assess, and regulate the state's educational leaders."

The purpose of HB 1361 as stated in Section 1 reads:

Section 1. Establishment and Purpose. There is established the Educational Leadership Task Force. The purpose of the Task Force is to identify how to best select, train, assess, and regulate persons to become competent, motivated, and trusted education leaders.

The term "education leaders" includes superintendents, central office program directors, principals, and assistant principals.

The legislation detailed the composition of this 18 member Task Force and included the specific appointment of: (1) Two members of the State Board of Education, (2) Two members of the Board of Governors of The University of North Carolina, (3) Two Senate members (4) Two House members, (5) One dean of a school of education, (6) Two representatives, of two professional schools, (7) The State Superintendent of Public Instruction, or a designee, (8) The Teacher of the Year, (9) The Principal of the Year, (10) The Superintendent of the Year, (11) One member to represent business and industry, (12) One local school board member, and (13) One parent of a public school child.

The charge of this Task Force was outlined in "Sec. 6. Duties, Issues for Study". The Task Force shall study issues related to the training of education

leaders, including superintendents, central office program directors, principals, and assistant principals”.

The specific issues for study by the Task Force shall include:

1. Key characteristics of educational leadership, including the knowledge, skills, and attitudes necessary to lead schools to high gains in student learning;
2. Entrance standards, methods to recruit and screen applicants, curriculum design, instructional delivery, and the quality controls needed to continually improve educational leadership programs;
3. Comprehensive strategies to restructure administrator preparation. The Task Force shall investigate varied methods of instructional delivery to be used in educational leadership programs including collaborative, interdisciplinary, and practice-based models, and use of the case method;
4. Incentives, including stipends and other methods, to attract the best possible candidates to educational leadership programs;
5. Methods to restructure university resources to assure cost efficiency and quality. Educational leadership programs provided by any institution shall be of the highest priority to that institution;
6. Collaborative roles of those contributing to educational leadership training including: the universities, local school

systems, the Department of Public Instruction, the Principals Executive Program, business and industry, and the professional associations;

7. Consideration of certification, licensure, and other methods to regulate the profession and to promote excellence in educational leadership. Credentials awarded should be based on performance which exhibits knowledge of State programs, State standards, and effective leadership skills;
8. Whether certification or licensing should be periodically reevaluated throughout an education leader's career;
9. Use of assessment centers, evaluation panels, testing, and practice based measures to evaluate the quality of practicing and potential education leaders;
10. Methods to maintain rigorous, high quality professional development that may continue throughout the education leader's career;
11. Hiring practices of local school administrative units and recommendations to encourage the identification and recruitment of quality candidates who demonstrate leadership potential. Active recruitment of minorities and females;
12. Developmental training and support for first year principals, assistant principals, and superintendents; and

13. Supply and demand trends for administrators over the next 10 years (Education Leadership Task Force, 1993).

On February 15, 1993, as required by HB 1361, the Education Leadership Task Force presented its official report to the Joint Legislative Education Oversight Committee of the 1993 General Assembly of North Carolina. In the Report's transmittal letter (see Appendix O) presented to The Honorable Ed N. Warren and The Honorable Anne C. Barnes, Committee Co-Chairs, Mr. Kenneth R. Harris, State Board of Education, and Ms. Maxine H. O'Kelley, University of North Carolina Board of Governors, stated "We make ten recommendations that we believe will distinguish North Carolina as a national leader in the selection, education, and licensure of school administrators." The recommendations are based on beliefs about leadership and about preparation programs that members of the Task Force developed to provide a foundation for their subsequent work (see Appendix P).

The Educational Leadership Task Force (1993) Report, made the following ten recommendations (p. 3):

1. Charge the Board of Governors to bring the supply of and demand for school administrators into better balance.
2. Reduce the number of preparation programs in the public system by at least fifty percent.

3. Charge the Board of Governors to develop a plan to have the various campuses compete for authorization to offer administrator preparation programs.
4. Charge the State Board of Education to incorporate the criteria for assessing proposals to operate school administration preparation programs developed from Recommendation 3 into their program approval standards.
5. Charge the Board of Governors to develop a budget that reflects the enhanced resources needed to prepare educational leaders adequately.
6. Charge the Board of Governors to establish a working committee to address the issues of creating and instituting selection criteria that are more rigorous and more tightly linked to success in the practice of school leadership.
7. Fund opportunities for full-time graduate work for prospective school leaders.
8. Establish an independent Professional Standards Board for School Administration and charge it with the responsibility for developing and implementing: (1) a North Carolina administrator examination, the successful completion of which would be required to secure a license to practice school administration in

North Carolina, and (2) standards for Administrator Certification, with the State Board of Education continuing to award licensure.

9. Substantially enhance the quality of ongoing professional development opportunities for existing school administrators, including: (1) developing and funding a North Carolina State Educational Leadership Academy, (2) linking license renewal with participation in Educational Leadership Academy programs, and (3) nurturing the growth of a consortium of decentralized professional development opportunities for school leaders.
10. Appoint a study group to assist Local Education Agencies (LEAs) in developing procedures to hire the best qualified candidates.

In accordance with HB 1361, 1992, the Task Force chose to contract with Dr. Joseph F. Murphy of the Department of Educational Leadership, George Peabody College of Education, Vanderbilt University, to facilitate their work. For the purpose of this study, of the ten recommendations made in 1993, Recommendations 2, 3, 4, and 8 impacted most significantly on the eventual development of the 1996 Standards for School Leaders as developed by the independent North Carolina Standards Board for Public School Administration.

Recommendation 2 was consistent with the recommendations developed by the National Commission on Excellence in Educational Administration (UCEA, 1987) and the National Policy Board for Educational Administration (NPBEA,

1993). The 1993 North Carolina Educational Leadership Task Force Report cited (Educational Leadership Task Force, 1993, p. 10):

...many of the existing programs appear to be too small to ensure the delivery of quality educational experiences. Both of these reports maintain that a 'quality program requires a minimum of five full-time faculty members'. Using September 1991 data, seven of the fourteen current programs fall substantially below this standard and three others are at the minimum acceptable level. Only one of the fourteen programs exceeds the minimum standard by more than one faculty member.

Recommendation 2 went on to say that (Educational Leadership Task Force, p. 10):

...this plan will encourage institutions that really desire to be in the preparation business to provide more adequate resources for what are now often impoverished programs. Fewer programs more richly endowed to educate tomorrow's leaders appear to us a wise objective (see also Recommendation 5).

Recommendation 3 was based upon the firm conviction of the Task Force that (Educational Leadership Task Force, p. 11):

...educational leadership preparation programs will continue to receive the short shrift in universities unless the rules of the game are changed. We therefore recommend that the General Assembly

charge the Board of Governors to develop a plan to have the various public university system campuses that are seriously interested in school administration training compete for the substantially reduced number of programs that will be authorized.

Recommendation 4 was based upon the belief of the Task Force that (Educational Leadership Task Force, p. 12):

...the work of the national Task Force appointed by the Board of Governors in response to Recommendation 3 above will result in the development of more relevant and more advanced standards by which to assess the quality of preparation programs in the area of school administration. We encourage the General Assembly to charge the State Board of Education to revise the existing program approval process to incorporate these more advanced standards and criteria.

Finally, Recommendation 8, the establishment of an independent Professional Standards Board for School Administration (PSBSA), as cited below, was intended to (Educational Leadership Task Force, 1993, p. 17):

...develop, implement, and monitor policies to provide and enforce standards of ethical practice. We suggest that the General Assembly charge the North Carolina Association of School Administrators, the North Carolina Association of Professors of Educational Administration, the State Board of Education, and the

Board of Governors with the task of establishing a commission to develop recommendations about the composition and responsibilities of the PSBSA, as well as about its relationship to the General Assembly, to which it reports directly.

Within Recommendation 8, the Task Force made additional suggestions relative to the creation of an administrator's examination. Key aspects of these suggestions included (Educational Leadership Task Force, 1993, p. 17):

First, we recommend that that the PSBSA contract to have a rigorous professional assessment in the area of school leadership developed. This examination would be taken after students complete their preparation programs. It would need to be passed before an individual could practice school administration in North Carolina public schools. This requirement would also apply to men and women completing their educational programs outside the state and seeking employment in North Carolina...this should be a rigorous examination, not a perfunctory exercise. We also believe firmly that this examination should employ multiple assessment strategies and be closely linked to successful performance on the job, not just in the classroom. Finally, we are convinced that responsibility for the development of the examination as well as the rules and regulations that pertain to its administration should fall solely to the PSBSA.

North Carolina's formal journey into establishing contemporary standards for school based administrators had its groundwork laid by the legislation set out in HB 1361 as approved by the General Assembly on July 2, 1992. The ensuing required report from that piece of legislation, Leaders For Schools: The Preparation and Advancement of Educational Leaders, presented to the Joint Legislative Education Oversight Committee of the General Assembly of North Carolina on February 15, 1993. These two events, and the associated recommendations, set the stage for action by the North Carolina General Assembly on July 19, 1993 when it approved HB 284:

An act to implement a recommendation of the Educational Leadership Taskforce and the Joint Legislative Education Oversight Committee to establish an independent Standards Board for School Administration and to allow that Board to charge examination fees.

In the legislation, Article 19A, "Standards Board for Public School Administration," § 115C-290.1, described the Boards purpose as follows:

Purpose.

As the profession of public school administration significantly affects the lives of the people of this State, it is the purpose of this Article to protect the public by setting high standards for the qualifications, training, and experience of those who seek to represent themselves to the public as qualified public school administrators.

In subsequent Sections (a) and (b) of the law, § 115C-290.4., North Carolina Standards Board for Public School Administration; appointments; terms; composition, states:

- (a) The North Carolina Standards Board for Public School Administration is created. The Board shall be located for administrative purposes in the Office of the Governor. The Board shall exercise its powers independently of that Office.
- (b) The Board shall consist of seven members appointed by the Governor as follows:
 - (1) Two local superintendents employed by a local school administrative unit.
 - (2) Three principals employed by a local school administrative unit.
 - (3) One dean of a school of education or a designee.
 - (4) One representative of the public at large.

Additionally, Sections (f) and (g) of § 115C-290.4 states:

- (f) The Board shall elect from its membership a chairperson, a vice-chairperson, and a secretary-treasurer, and adopt rules to govern its proceedings. All members are voting members, and a majority of the membership constitutes a quorum.

(g) The Board may employ, subject to Chapter 126 of the General Statutes, the necessary personnel for the performance of its functions, and fix their compensation within the limits of funds available to the Board.

Within this legislation, §115C-290.5, Powers and duties of the Board; development of the North Carolina Public School Administrator Exam. Section (a) states: (a) The Board shall administer this Article. In fulfilling this duty, the Board shall:

- (1) Develop and implement a North Carolina Public School Administrator Exam, based on the professional standards established by the Board.
- (2) Establish and collect an application fee not to exceed fifty dollars (\$50.00), and an exam fee not to exceed one hundred fifty dollars (\$150.00). Fees collected under this Article shall be credited to the General Fund as nontax revenue.
- (3) Review the educational achievements of an applicant to take the exam to determine whether the achievements meet the requirements set by G.S. 115C-290.7.
- (4) Notify the State Board of Education of the names and addresses of the persons who passed the exam and are

thereby qualified to be certified as public school administrators by the State Board of Education.

- (5) Maintain accounts and records in accordance with the Executive Budget Act, Article 1 of Chapter 143 of the General Statutes.
- (6) Adopt rules in accordance with Chapter 150B of the General Statutes to implement this Article.
- (7) Submit an annual report by March 1 of each year to the Joint Legislative Education Oversight Committee of its activities during the preceding year, together with any recommendations and findings regarding improvement of the profession of public school administration.

As appointed by Governor James B. Hunt, Jr., the charter members of the North Carolina Standards Board for Public School Administration (NCSBPSA), as listed in the original brochure (see Appendix P) for this Board were:

Charles R. Coble, elected Chair, Dean, School of Education, East Carolina University; Martin A. Eaddy, elected Vice-Chair, Superintendent, Lincoln County Schools; Linda C. Stevens, elected Secretary-Treasurer, Principal, Smithfield Middle School; Calvin J. Dobbins, Principal, Brogden Middle School; Christine J. Greene, Member At Large, Guilford County; Margaret E. Ronco, Principal, Lincoln Heights; Bradford L. Sneed, Superintendent, Craven County Schools.

Since their appointment and initial meeting as the NCSBPSA in the Fall 1993, the Board spent a significant amount of time developing the job description and posting for the position of Executive Director to the NCSBPSA (see Appendix Q). On May 6, 1994, NCSBPSA Chair, Dean Charles Coble, announced that the Board had selected Dr. Michael E. Ward, Superintendent of the Granville County Schools, as the first Executive Director of the NCSBPSA (C. Coble, personal communication, press release, May 1994). On the selection of Dr. Ward, the press release stated, "Coble expressed his delight in the selection of Ward from a strong field of outstanding candidates. The Board was unanimous in their support of Ward who has the qualities of leadership needed to move the groundbreaking work of the Standards Board forward." Ward said, "It has become increasingly evident that school success is closely linked to effective leadership. North Carolina's new emphasis on administrator standards will help to ensure the kinds of leaders we want for our public schools." Ward went on to say, "These standards will help to shape the kinds of university programs in which school administrators are prepared. In addition, the standards will help to ensure that administrators have the knowledge and professional skills necessary to lead positive reform efforts in North Carolina" (C. Coble, personal communication, press release, May 1994). These standards referred to by Ward became a reality in 1996 and are reported in a document the researcher discovered in Standards Board artifacts (see Appendix R).

At the June 17, 1994 NCSBPSA Board Meeting, Executive Director Ward engaged the Standards Board in an activity designed to have them identify their collective set of “High Hopes and Worst Fears” (see Appendix S) as related to what the “work of the Standards Board will” do.

The NCSBPSA listing of “Highest Hopes” included:

- Help our superintendents and principals become the best instructional leaders in the nation.
- Change perceptions about school leadership from negative to positive.
- Result in an effective, credible process for administrative licensure.
- Encourage quality preparation experiences and entry level skills for school administrators.
- Produce measurable standards.
- Become a national model of standards/assessments for public school administrators.
- Truly serve the profession.
- Accurately assess what is needed to move the profession forward.
- Renew pride in and respect for public school leaders.
- Impact the nature of administrative graduate programs.
- Impact the nature of ongoing professional development programs for administrators.

- Result in procedures and documents that are concise and readily usable.

Conversely, the NCSBPSA listing of “Worst Fears” was:

- Be such that no one will know about its purpose, or its activities.
- Not produce any meaningful changes.
- Simple become another level of bureaucracy
- Will be such that worthy intentions get bogged down and buried in a mountain of paperwork.
- Produce standards which lack continuity with preparation programs in the institutions of higher education.
- Become routine, and that Board and staff will be complacent.
- Amount to no more than good intentions.
- Get tied up in litigation.
- Be complicated by interference, inconsistent support, and/or changes in priorities on the part of the General Assembly.
- Result in professional development requirements which, while worthwhile, interfere with what needs to be done at school/central office.

Historical Interviews

The 3 inaugural leadership positions facilitating the early work on contemporary principal standards in North Carolina were the chair of the NCSBPSA, the first executive director of the NCSBPSA, and the final executive

director of the NCSBPSEA. These 3 leaders were living at the time of this study and were available for in-depth interviews. A synthesis of relevant information from these 3 historical interviews follows.

As a component of this study, personal interviews were conducted with both the first elected chairman of the NCSBPSEA, Dr. Charles R. Coble, the first hired Executive Director, Dr. Michael E. Ward, and with Dr. Linda Stevens, the second and final Executive Director of the NCSBPSEA before its dissolution in 2001. The purpose of these interviews was to garner their insights and historical recollections of the initial as well as culminating work of the NCSBPSEA.

Coble Interview

The transcript of the Coble interview, which was read and approved by Coble, is Appendix K. This serves as reference for the synthesis presented below.

On March 13, 2009, in a telephone interview conducted with Dr. Charles R. Coble, he provided his insights into the historical establishment and operationalization of this newly created, independent Board of practitioners. At the time, Dr. Coble was serving as the Dean of the School of Education at East Carolina University (ECU). ECU had the largest Educational Administration Preparation Program in North Carolina at the time. In commenting on how he came to be appointed to serve on the Board he remarked that since the legislation required one Dean to be on the Board, "I suspect somewhere,

someone, and ultimately Governor Hunt, made the decision to ask me to serve on the Board.”

In reflecting on the Board’s initial steps, he said, “It was first and foremost our responsibility to hire someone to lead the standards development and staff the Board. We meet as a group, not sure who called the first meeting, perhaps Tom Houlihan the Senior Education Advisor to Governor Hunt. At the first meeting I was elected chair, Martin Eaddy, Vice Chair, and Linda Stevens, Secretary-Treasurer.” During their initial work, Dr. Coble indicated they “spent a fair amount of time meeting with each other over several meetings to craft a job description, post the job description, receive applications, and interview 2-3 people. Mike Ward emerged quickly as the ‘candidate of choice’ and was subsequently brought on as the first Executive Director. In commenting on the next phase of their work, he indicated that Dr. Ward’s primary responsibility was “to lead us through an orderly process of creating the standards for school principals and superintendents and engage in a process of approval and validation of those standards.”

In a reflective moment on his selection as the Chair, he indicated that, “Probably another reason why my fellow members of the Board migrated to my serving as Chair was because the most dramatic impact these standards would have was on the universities Ed Leadership programs, because part of the legislation that created us also created a lot of other things such as the Principals Fellows Program and the downsizing by at least 50%, the number of

administrator preparation programs. So, the creation of the Standards Board for School Administrators was part of a bigger piece of legislation.”

When asked what he recalled as the driving force behind the development of the standards and who the key players where in this effort his placed the North Carolina initiative in this context, “It (the standards movement) was in the air nationally, standards for administrators were being talked about across the country. While the national conversation was not the driver in NC, it was in the backdrop of the conversation. NC was moving in this direction as well as with teacher standards.” He went on to state that “The real driver for me was Jay Robinson. At the time, he was Chair of the State Board of Education (SBE). He was clearly the biggest driver”. In addition, he cited that along with Jay Robinson, “Tom Houlihan was a big promoter and, of course, Governor Hunt had education as the centerpiece of his concern as Governor.” Finally, he indicated that, “Not insignificant in that was in the backdrop the relationship between Jay Robinson and Dick Spangler, the former Chairman of the State Board of Education and at the time the President of the University of North Carolina system.”

Dr. Coble was asked to comment on what he saw as the most challenging aspects of the Board’s work and why he thought it was challenging. In his response, he said, “Well, the whole thing was a bit challenging. The universities had licensing requirements by the SBE and the National Council for the Accreditation of Teacher Education (NCATE) but the Task Force that created this work and the looming reality of the downsizing of programs and the creation of

the new MSA – all of this resulted in a time of great change in school administration. The change was coming fast and maybe faster than the universities could readily absorb. So I am quite sure the university faculty felt threatened and maybe feeling they were feeling accused that there was something wrong with their programs that were not good or certainly not good enough”. In addition, he went on to say, “So, the most challenging part was just dealing with the underlying and sometimes overt negativity by some faculty and even some of their deans”. He stated, “While everyone recognized this was going to happen; how to get input into the process was important. Mike did an absolutely yeoman’s job with this aspect of the process.”

During the interview, Dr. Coble remarked, “One of the challenges that Mike Ward brought to us was that it would not be a cheap process. That developing the standards and indicators or measures of those standards was probably easier and less expensive to accomplish than developing the assessment of the standards experience. We realized we had to go into a relationship with many other states just to have the capital together to create the assessments - this was big and something the members of the Standards Board had not anticipated.”

In a final remark about the challenges of the Board’s work, Coble said, “...because it (developing the principal standards) hadn’t been done before, there wasn’t anybody’s blueprint that could be copied or adapted. Mike took the lead...meeting with people from across the country on the work and bringing it

back in an orderly process for the development and approval of the standards and right behind that, the assessment of them.”

When asked about any major changes, either positive or negative, he saw as a result of the work of the NCSBPSA, he commented, “I was still a dean at the time at ECU – I saw huge changes in their program.” In particular he cited that “...even at ECU where I thought we were probably doing as good or better than most in the state (with clinical experiences), ECU still did not, in my opinion, have a coherent design for the program. The standards did give guidance to bringing coherency to all of the programs”. Related to this he said, “So, in terms of increase in clinical practice, program coherency, and the rigor of the selection of people coming into the program I really did see those three areas shift pretty dramatically at an institution where I already felt we had a good program.”

Pertaining to any negative consequences of the Standards Board work, he reflected that, “Mixed in with the development of the standards, was the UNC General Administration’s selection of some institution to ‘win’ and some others to ‘lose’ and actually having to close down their programs. That was a painful process, so some of the negativity was wound up in the other things that were going on”. Upon additional reflection time, he added, “I honestly can’t say I recall much negative about the standards other than people wondering if they were really necessary and if they would really contribute anything to their programs, especially considering the cost of developing the assessment and testing our students - again, it was just change. There was much, much more gnashing of

teeth and negativity over the up and down selection of the 50% 'survivors' and 50% of those 'put out of business.' That was the dominant negativity.”

In closing out the interview, he was asked to reflect on anything about the process of establishing and/or implementing the Standards that he wished could have been altered. His response was, “Actually I don’t think so. Mike was impeccable with inclusion, transparency, providing opportunity to react to the standards, responding back to people and organizations, so that he brought absolute credibility to the process. People may not have liked it because it meant change, but I honestly don’t think I ever heard anyone allude to anything wrong with our process and that is to Mike Ward’s great credit.”

He went on to say, “I think it was largely, from my point of view, done right for a process that was going to have such impact on people’s lives - these programs had to line up against these standards and develop courses and programs and experiences and people were going to be tested on them. It was a level of rigor heretofore missing and so people’s lives were going to be directly affected by that. Again, this needed to be done well. I give Mike Ward credit for that.”

Provided an opportunity for any closing thoughts on the subject, Dr. Coble commented, “It was a fine hour for North Carolina to do this. North Carolina was perceived, and rightfully so, as a leader in the nation on a matter of some consequence. It helped give courage, if you will, to other states to really begin to take standards for school administrators seriously...I do feel proud for our state

that we did this and we were a leader in our nation at a time when most other states were sitting back and waiting to see what happened in the area of school leadership.”

Ward Interview

The transcript of the Ward interview, which was read and approved by Ward, is Appendix L. This serves as a reference for the synthesis presented below.

On February 24, 2009, an interview was conducted with Dr. Michael E. Ward, the first Executive Director of the North Carolina Standards Board for Public School Administration (NCSBPSA). What follows is a summary of the highlights of the interview as he reflected on the early years of the NCSBPSA from 1994 through January 1997. At the time of his selection for this position, Dr. Ward was serving as the Superintendent of the Granville County Schools in North Carolina.

In reflecting on how he came to be the first Executive Director and his views on this leadership role with the NCSBPSA, he commented, “I am assuming that I was selected for my role due to my past experiences as a local superintendent and as a principal and assistant principal prior to that. I think those sets of skills were attractive if you look at the qualifications for the position; earned doctorate, knowledge of school law, and successful experience as a school administrator”.

As additional insights to his selection and the interview process, Ward said, “I had the pre-requisites but I think one of the things that paid off is when I went

into the interview, I carried into the interview, mind you a very tentative one, a 12 month strategic plan, based on my understanding of what the nature of the work would be. I had read the legislation and devoted some time to crafting a tentative plan of work for the first year and took it in to the interview. That seemed to go over well with the Board based on the feedback I got later on.”

He went on to elaborate his interest in being considered by saying, “I was interested in the position because it was going to be an independent Board and appeared in concept, it would be more equivalent to the Bar for attorneys or Medical Boards, intriguing and ground breaking, independent of the State Board of Education and the Department of Public Instruction. It was going to be housed in Governor Hunt’s Office and I liked the idea of getting to work with Governor Hunt too. All of these factors played into my interest in seeking the position.”

As far as his initial thoughts on his leadership role as the Executive Director to the NCSBPSA, he said, “The Board and I also thought they should be guided by an Annual Plan of Work (see Appendix T) and my evaluation should be based on progress against the Annual Plan of Work and performance against the job description. We went through a process to also ask the stakeholders to have some input into the process as well.”

Consistent with the interview with Dr. Coble, the first Chair of the NCSBPSA, I asked Dr. Ward for his perspective on which he saw as the most influential people who caused the 1996 standards to be initiated and what he thought their primary reasons were for initiating the Standards Board.

His response was both quick and confident. He said, “Jim Hunt (Governor); Tom Houlihan (Governor’s Senior Education Advisor); Jay Robinson (Chairman of the North Carolina State Board of Education); and Representative Anne Barnes, the North Carolina General Assembly Chair of the House Education Committee. These four people were pretty instrumental.”

At this point in time, Dr. Ward indicated that a slight departure from the interview question might be helpful so he could share some of the context on the early stages of the development of the NCSBPSEA and its location in the Governor’s Office. He said, “It may be useful to note that NCSPSEA was moved to DPI and the State Board of Education after a little over a year of being in the Governor’s Office. We moved mid stream, perhaps after the fall 1994 elections, any way, by the summer 1995, we had transitioned over to the State Board of Education. It got us out of the line of fire due to significant changes in the leadership of the House and they were gunning for Governor Hunt and some of his education policies, such as the Standards Board, and other education initiatives. We were in the line of fire and thought it was useful to get the Standards Board out of the line of fire and move it over to the State Board of Education although it remained an independent Board.”

After this exchange, Dr. Ward returned to reflecting on the motivation behind the creation of the Standards Board. He remarked, “In his role, as chair of the State Board of Education, Jay Robinson worked with Governor Hunt to aggressively push for these components related to the administrative standards.

He was still very influential in the General Assembly and lobbying for the Standards Board and other school leadership reforms. He did a lot of the heavy lifting on this and other educational reforms.” Dr. Ward then cited the passage of HB 1361 during the 1991 North Carolina General Assembly action that resulted in the creation of the Education Leadership Task Force Report and its signature report in February 1993. This report specifically recommended the creation of a North Carolina Standards Board for Public School Administration. He indicated that this legislation and its ensuing report added a tremendous impetus for the state’s desire to address school administration standards and all related aspects of the larger system from the preparation and licensing of administrators to professional development.

Additionally, regarding the main reasons for the creation of the Standards Board, Ward stated there were “multiple issues” including: “Governor Hunt had heard enough in the early going of his third term of the relationship between school quality, teacher satisfaction, community satisfaction and perception about schools and the quality of leadership, to know it was important. Tom Houlihan, as his educational advisor, really believed that zeroing in on school leader’s development was of critical importance and they were connected at the hips on this. Jay Robinson was equally convinced these issues were important and it was an easy sell to Representative Anne Barnes due to her leadership role in the 1991 legislation and the 1993 report.” Ward went on to say, “It was a ‘perfect storm’, that’s not exactly the right way to characterize it, but you had strong

legislative leadership, the State Board Chairman, and the Governor's Office aligned around this and the 1993 Report was early in Governor Hunt's third term. All of this together provided an environment in which it was really conducive to creating a sense of urgency to do this."

In asking Dr. Ward to comment on what, if any, he saw as significant educational policy or research that helped set the foundation and/or to launch the Standards movement for administrators in North Carolina, he said, "The National Professional Board for Educational Administrators (NPBEA) Standards were very instructive. One of the first things I did was go meet with Scott Thompson of NPBEA early on. Because the standards would also drive a licensure examination we needed to be very thoughtful. About 24 states were involved with NPBEA. North Carolina needed its own internal research. We contracted with Dr. Bill Brown to conduct a Survey of Principal Perceptions (see Appendix U). This was important additional research that informed the work of the NCSBPSA" (Note: As part of the discussion, it was noted that the NC Standards were approved by the independent NCSBPSA on the July 2, 1996 as noted in the Annual Plan of Work). Because the State Board of Education was responsible for licensure, the School Leaders Licensure Assessment (SLLA) developed by the NCSBPSA was subject to the State Board of Education processes and requirements to get the exam approved.

At this point in the interview, Dr. Ward was asked to share the highlights of the key processes that were used to move from the genesis of developing new standards to the actual adoption of the new Standards for School Leaders in

North Carolina by the Standards Board in 1996 (Note: in the interview it was pointed out that State Board of Education approval was not required by the law for the new Standards but because of licensing, the SLLA was required to be approved through the State Board of Education and DPI licensing protocols). He began at the end of his time as Executive Director and then reflecting backward on the early processes by saying, "I left in January 1997 (Note: Ward was elected to his first of two terms as State Superintendent in November 1996). The SLLA exam was not implemented by the time I left but I recall standing in the DPI Lobby as the first SLLA candidates arrived and greeting them as they came in (Note: Candidates took the first two special administrations of the SLLA examination at DPI in the big room on the first floor, Room 150, on January 24, 1998 and May 2, 1998 (North Carolina Standards Board for Public School Administration, 2000, p. 44). I was very much involved in meetings before I left with the Council of Chief State School Officers (six states were working on the development of the SLLA) and a common exam with the standards that translated into an exam. One contract, as a group of states were under one contract through CCSSO, was with Educational Testing Services (ETS) to develop the common assessment as a single entity. The North Carolina Standards went through a validation process to be sure there was a strong correlation between our Standards and the 1996 ISLLC Standards in order to be able to use the licensure exam (SLLA) as a reflection, as a gauge, of people's readiness to meet our North Carolina Standards." He stated that, "The Annual

Plan of Work outlined the key input processes we used to get the Standards developed. I would point out that the group most concerned about our work was university preparation programs. They realized they were in the line of fire and would have to revamp their programs and based on this be in a competition to continue to offer programs based on what turned out to be fairly faulty data on the supply and demand for school administrators in North Carolina. There was lots of nervousness on the part of preparation programs about that process but also concern about having to overhaul their programs and coursework with content based on a new set of standards. I remember that they were uniformly not real happy with Joe Murphy; it was really shaking up the status quo. In any event, because this group was particularly antsy, I thought engagement of professors of educational leadership was very important and so we had a significant number of stakeholder meetings with them to get their thoughts, and reactions, to the standards as they were emerging.”

As related to internal and external stakeholder input, Ward reminisced that, “We engaged the business community through the North Carolina Business Committee for Education (NCBCE) led by Tom Williams. We engaged teachers through Karen Garr’s, Governor’s Teacher Advisory Council. We engaged principals actually using nominations for principals to be part of an advisory group. The work with the principals group was a little more exacting because in the process of validating standards and assessments, practitioner perspectives are really important not just for a philosophically perspective but frankly from a

legal perspective. One of the questions that will be posed to you is, 'If standards for licensure go to court is the degree to which practitioners were involved in the standards vetting process. Really, talking about two things with standards; the content standards and the cut points on the licensure exam. Their (principals) involvement was important with the processes for the two standards.'

As the interview progressed, Dr. Ward was asked if he recalled any specific moments in time during the process that he saw as "moments of truth" in the development and adoption of the new standards that could have caused them to go one way or another. He was very quick to respond to the first two without even a slight hesitation, he said, "First, the actual adoption of the Standards and then the approval of the licensure exam by the State Board of Education. In both cases 'yes' means something significant and 'no' means something significant."

He went on in great detail to say, "There were a number of 'ah-ha' moments in the 50 public settings around the state in which I spoke to people about the standards work. In these early meetings, I not only talked about what we were attempting to do but also what we were not attempting to do. Administrators caught on early on, that it was their standards for their profession and they were the gatekeepers. I asked the question frequently, 'Who sets the standards for lawyers? Who sets the standards for medical professionals? Who sets the standards for plumbers? and, 'Who sets the standards for school administrators?' You got crisp answers for the first three questions and then muddled answers for the last. The responses were; legislators, the State Board of Education, anybody but the

practitioners themselves. So early on there was a lot of appreciation by school administrators that this was an effort for practitioners to be the gatekeepers for developing their own professional standards because the Standards Board was practicing school administrators.”

Dr. Ward emphasized the high degree of importance and priority he and the Board placed in working with the university professors of educational administration. He shared that, “I think we did a lot to assuage the open animosity of the university professors. We did a lot early on with them to establish a good rapport and to help them see themselves as part of the process. While I think they probably remained resentful of the legislative process that had created the drive for new standards and the fact that they would need to adjust their own program around the standards, I think they were appreciative of the process we undertook to collaborate around this.”

The final “moment of truth” that Dr. Ward discussed, and one that appeared to solidify that the Board’s efforts were on track, was the results of the Survey of the Perception of Principals on the Domains and Indicators Necessary for the Principalship. Dr. Ward remarked, “One other moment of truth was when we put out the research on the Principal Perception Survey results they were so overwhelmingly supportive of the standards and that it was the right stuff. It could have gone one way or another and it really affirmed the Standards Board work.”

Nearing the conclusion of the interview, Dr. Ward was asked to reflect on the 1996 standards and what he saw as major changes, either positive or negative,

that the standards caused in the state's preparation, licensure, and ongoing professional development of school administrators. Dr. Ward said he must confess and admitted, "I am probably biased but my perception is there was a positive influence on the alignment in the system. We know from high stakes accountability that what gets assessed gets attention in both the formal and delivered curriculum. So establishing a consensus among stakeholders and practitioners about what was the most important work of school administrators and school principals, was I think, a really important and a really useful thing to have been done. To have stopped there would have been interesting to have done and talked about but that it translated into an exam for licensure drove a fair amount of additional assessment processes. The time we invested with educational administration preparation program professors and their department chairs was really positive. So I think one of the most powerful deliverables from it all was consensus on what's important by way of knowledge, skills, and performance for administrators and then alignment within the system relative to the formal curriculum and the way they prepared the delivered curriculum and the assessment."

From his vantage point of wearing his current hat as a university professor of school law, he went on to say, "From a legal vantage point, I have learned this as a professor of school law, that when we license someone we're not saying that they are competent to practice, we are saying they are 'safe to practice.' It's a threshold acknowledgement not an acknowledgement of mastery. It's an acknowledgement of being ready, having met a threshold."

He also was willing to discuss some of the harder and not so pleasant feedback he got both during and after the process. He remarked, "If you ask candidates who have been through the process, they may speak well of the curriculum, the content that is incorporated in their program in the early years. I think it is appropriate all of this is being revisited now or every dozen of years or sooner. While they may speak favorably about the nature of the content, there was a fairly uniform concern about the price tag of the assessment because it was vignette based, not just a multiple choice, and when it is vignette based with constructive responses scoring is a lot more expensive and the price tag of the assessment was and has continued to be cause for some concern."

Stevens Interview

The transcript of the Stevens interview, which was read and approved by Stevens, is Appendix M. This serves as a reference for the synthesis presented below.

On April 24, 2009, a telephone interview with Dr. Linda Stevens, the second and last Executive Director of the NCSBPSA was conducted. In response to the first question regarding her selection as the second Executive Director, Dr. Stevens said, "I served as a Board Member on the NCSBPSA since its inception in 1993 having been appointed as a representative for practicing middle school principals. At the time, I was serving as the principal of Smithfield Middle School in Johnston County. Mike Ward resigned as Executive Director in 1996 as a result of his decision to run for State Superintendent of Public Instruction at the

time. Since I was very familiar with the work of the NCSBPSA, I decided to apply for the position and was selected by the NCSBPSA in April 1997. I remained there for four years until my retirement in April 2001. I believe I was selected because I possessed the background knowledge of the Board, the development of the standards, the objectives of developing the assessment, and because I had a vested interest in the Boards success.”

Reflecting upon her perceptions of the key leadership role she played as the second Executive Director, provided valuable insight to the transition the NCSBPSA had made during its first two years of existence. Dr. Stevens describes her role by saying, “Because the standards had already been developed, my primary role was to participate in the development of the School Leaders Licensure Assessment (SLLA). One of the key processes was to work with Educational Testing Services (ETS) and various stakeholders (e.g.; higher education, professional associations, etc.) during a three-day process to identify the cut scores for the SLLA which was set at 155 points. Then we had to determine an application process and application for taking the assessment. In the beginning, a candidate applied through the NCSBPSA and after they applied through ETS, which eventually eliminated this role for the Executive Director and the Standards Board. Another primary responsibility that I pretty much initiated was to conduct training sessions throughout the state and at DPI to provide sample exam questions, sample scoring rubrics, and sample scoring responses

to prepare the candidates for the assessments and how to time themselves for taking the assessment, how it was scored, and what the questions looked like.”

Recognizing that the development of the School Leaders Licensure Assessment (SLLA) occurred largely during her tenure as the Executive Director to the NCSBPSA, Dr. Stevens was asked to reflect on what she recalls as key “moments of truth” in this process. She remarked, “This was a difficult time. The biggest backlash was over the cost of the SLLA at \$425 per candidate. The other was trying to keep up with the communication created by the requirements of the new licensure assessment and needing to pass the exam to get your license. From the university level, I think they were fearful because they felt they didn’t have enough time to prepare the students for the new assessment and to prepare them for the implementation of the new standards and the format of the exams (e.g., case study, vignettes, the documents, etc.). If they hadn’t changed to more of a performance based type teaching, a new format of teaching, their students would not be prepared and they were fearful of this. This was especially the case going into the first year of the new assessment and licensing process.”

She went on to add, “The other difficult issue was that if a person had not keep their administrative license active then they had to take the new assessment. Lots of situations and communication was needed. The NCSBPSA finally allowed us to accept a letter from the local superintendent with their ‘seal’ verifying that an individual had actively participated and should be grandfathered. During this time frame, I also met with each individual member of the Education

Oversight Committee. Eventually, all of these individuals were grandfathered after we went through this process as the statute was revised at that time. The cost of the assessment was not received well but after the first year, it was less of an issue. In reflection, it would have been best if the grandfathering decision had been made at the onset of the new process.”

When asked to revisit what she saw as major changes, positive or negative, the 1996 Standards and the SLLA had in North Carolina, she indicated that, “I do believe preparation programs moved from more of a managerial role for school principals to that of a visionary and instructional leadership role. Also, more field experiences and performance based learning experiences included like case studies, simulations, vignettes and documents. The professor became more of a coach, a facilitator, and a model, rather than just a lecturer on theory. They went from a sage to a guide. As far as licensure, there were higher requirements by the exam and hopefully we were preparing candidates for a role in leadership in which they were better prepared to meet the demands of the changes in our society and our communities. As far as professional development, in schools there was more of an emphasis on vision and instructional leadership.”

Realizing that Dr. Stevens served as the second and last Executive Director to the NCSBPISA, she was asked her historical perception of the dissolution of the NCSBPISA. She commented that, “First, I retired after 30 years of service in education in April 2001. At that time, the NCSBPISA had fulfilled its primary objectives of HB 284 with the new standards having been developed for

both the principalship and superintendency. We had developed the assessment and assessment processes with the reporting of the assessment results.

Procedurally, we had moved to a direct ETS process for taking the assessment that NCSBPSA no longer needed to do and the results were reported by ETS to DPI for licensure purposes. So pretty much we had met the requirements set out by the legislation. I believe the Board dissolved shortly after I had retired and funding had been eliminated. ETS owned the assessment application and DPI had licensure as coordinated through the universities.”

Conclusion

Since the North Carolina Standards Board for Public School Administration (NCSBPSA) completed its work, both the 1996 NCSBPSA Standards for School Leaders and the corresponding School Leaders Licensure Assessment (SLLA) that was developed jointly by the NCSBPSA and other members of the Interstate School Leaders Licensure Consortium (ISLLC) served as the primary foundation for guiding the university preparation programs of study for school administrators. In addition, these new standards and assessment met the licensing requirements for new school administrators as required by the North Carolina State Board of Education and North Carolina Department of Public Instruction. During the past decade, the landscape for public schools and public school leadership has begun to reflect the changes and demands created by the realization of a global economy and the need for 21st century leadership. In response to this, North Carolina’s most recent response to

review of standards for public school administrators has its initial foundation in House Bill 11 passed by the General Assembly in Session Law 2005-179 (see Appendix V). A subsequent decision by the North Carolina State Board of Education was made at its September 2005 Meeting, under the leadership of State Board Chairman Howard Lee. At that meeting, and upon the recommendation of Chairman Lee, the State Board of Education established an Ad Hoc Committee on School Administration (see Appendix W). As stated in the Executive Summary of this Ad Hoc Committee's Report (see Appendix W), "In September 2005, the State Board of Education established an ad hoc committee to consider alternative preparation programs for school administrators. Subsequently, the charge of the committee was expanded to include standards for evaluation recruitment and retention, preparation, induction, and continuing professional development of school administrators in North Carolina. The committee met from October 2005 - July 2006."

The Executive Summary further stated that, "The committee has drafted proposed new standards for school executives. The standards reflect the knowledge, skills, and dispositions that school leaders must have if all students are to leave school prepared for their successful participation in the 21st century economy. The standards will require the development of new assessment instruments for school administrators and new standards for school administrator preparation programs."

The closing statement of the Executive Summary stated, “The committee has identified 17 recommendations. The individual recommendations will be brought to the State Board of Education as individual agenda items for discussion and action as appropriate.”

The Ad Hoc Committee on School Administration, consisting of twenty-four members was co-chaired by Mr. John Tate, a member of the State Board of Education, and Mr. Rick Glazier, a member of the North Carolina House of Representatives. Jane Worsham, Rebecca Garland, Kathy Sullivan, and Stephanie Erba Dean served as staff to the committee. With the creation of this Ad Hoc Committee, and its ensuing recommendations, North Carolina has now moved into its second generation of contemporary standards for school administrators, the North Carolina Standards for School Executives, which were approved by the North Carolina State Board of Education on December 7, 2006.

While it is not the purpose of this study to review the historical development of principal preparation programs, a brief review of the impact of standards on North Carolina’s educational leadership preparation programs appears germane. As noted earlier in this study, the 1993 Educational Leadership Task Force recommendations and North Carolina’s subsequent adoption of the 1996 North Carolina Standards for School Leaders aligned with the 1996 ISLLC Standards, impacted North Carolina principal preparation programs. In addition, these recommendations and new standards impacted the

University of North Carolina (UNC) General Administration's response to the standards movement and associated legislation.

Early impact of (1) the standards movement and (2) discussions among state leaders in North Carolina at or about that same time, created a review process for principal training programs on the affiliate campuses of the University of North Carolina system. On August 23, 1994, the Board of Governors of the University of North Carolina received a report titled, "Results of a Competitive Proposal Process for School Administrator Programs: A Report of the National Review Panel on School Administrator Programs." This report stated, "Pursuant to provisions of Chapter 199, House Bill 257 (National Review Panel on School Administrator Programs, 1994), the Board of Governors of the University of North Carolina convened a National Review Panel for School Administrator Programs to assist in the development and implementation of a competitive proposal process for establishing up to seven school administrator programs at constituent institutions. These programs will be new; they will focus on the preparation of individuals who seek to become school principals; and they will lead to the Master's in School Administration (MSA) degree" (National Review Panel on School Administrator Programs, p. 1).

Eleven of the UNC campuses with principal preparation programs in 1993 submitted the Request for Authorization (RFA) to establish an MSA degree program. One campus that prepared principals at that time chose not to submit the RFA. As a result of this national review, seven programs were approved for

the new MSA. The remaining five campuses, including the one campus that chose not to apply, were instructed to phase out their principal preparation programs for current students to have time to complete the programs and close down their program within 2 years – no new students could be admitted. The seven chosen were instructed to phase out their current preparation programs, allowing current students to finish, and to begin the new MSA in the fall of 1994. Additionally, beginning in the Spring 1998, students completing the MSA degree were required to successfully complete the School Leaders Licensure Assessment (SLLA), a national exam administered by the Educational Testing Services. The SLLA was aligned with the 1996 ISLLC Standards which necessitated these seven MSA programs to align their programs with the new assessment required for licensure, in essence, requiring them to align with the ISLLC Standards so that graduates would be prepared for the SLLA.

In subsequent years, changes in regulations and processes created avenues for six other campuses to eventually add the MSA program. By December 2006, the approval date of the 2006 North Carolina Standards for School Executives, there were 13 MSA programs within the UNC system.

With the implementation of the 2006 North Carolina Standards for School Executives, HB 536 from Session Law 2007-517, “AN ACT DIRECTING THE STATE BOARD OF EDUCATION TO ADOPT NEW STANDARDS FOR SCHOOL ADMINISTRATOR PREPARATION PROGRAMS” came a call for programs that prepare principals in North Carolina to be aligned with the 2006

standards. A portion of this bill states “Institutions of higher education shall redesign their school administrator preparation programs to meet the new standards.”

The University of North Carolina General Administration took this opportunity of required program review of its MSA programs (for the State Department of Public Instruction) to create a “reauthorization process” to expand the work on campuses as they “revised” (a term coined by NC Department of Public Instruction as the process to be used to align MSA with the 2006 North Carolina Standards for School Executives) programs for North Carolina State Board approval. To date, fourteen campuses have submitted “revised” proposals to the NC State Board. Of the 14, 13 were offering the MSA at the time that this process was established and have also submitted “reauthorization” proposals. One additional campus that submitted its “revised” proposal to the North Carolina State Board of Education has simultaneously submitted an “authorization” proposal to UNC-GA as it is currently not authorized to prepare principals.

Summary

Based upon the review of the literature, the foundation work presented in *Leaders for America's Schools: The Report of the National Commission on Excellence in Educational Administration* in 1987, and the subsequent creation of the National Policy Board for Educational Administration, the stage was set for North Carolina’s pursuit of contemporary standards for school principals. North

Carolina's legislation of 1991 and the resulting recommendations of the 1993 North Carolina Educational Leadership Task Force led to the creation of the fully independent North Carolina Standards Board for Public School Administration in 1994. In 1996, the NCSBPASA: Standards for School Leaders were adopted as the first set of contemporary principal standards in North Carolina. While independent standards, these new North Carolina standards were developed to be purposefully aligned with the 1996 ISLLC Standards. The second generation of North Carolina principal standards was developed by the NC State Board of Education Ad Hoc Committee on School Administration and was approved by the North Carolina State Board of Education on December 7, 2006. The development of these most recent principal standards, the North Carolina Standards for School Executives, is the critical incident that generated this study.

CHAPTER 3: RESEARCH METHODOLOGY

This study is a qualitative study that uses the Critical Incident Technique (CIT) method (Flanagan, 1954). This technique allows the researcher to collect data, through interviews, describing the impact of the critical incident as perceived by those involved in the critical incident. The CIT allows for other qualitative analysis which is addressed later in this chapter. The CIT method was selected as an appropriate methodology for this study since the critical incident had occurred prior to the researcher examining the perceived potential impact. That is, the researcher was interested in determining the potential impact of new standards for school executives on principal preparation programs. At the time the researcher became engaged in this study, the standards had already been created, approved, and published but not yet implemented.

Conversely, changes had not been made to principal preparation programs at the universities impacted by these new standards when the researcher became interested in the impact these standards may have on preparation programs. The CIT, then, allowed the researcher to interview those involved in the formation of the standards to gain their views on the perceived impact of these new standards.

Purpose of the Study

The purpose of this study is to identify the perceived impact of the 2006 North Carolina Standards for School Executives on university preparation programs. These university programs are charged with preparing future school

administrators in the context of the 2006 North Carolina Standards for School Executives.

The following questions are central to the study.

1. What is the perceived impact of the 2006 North Carolina Standards for School Executives on university preparation programs for school administrators?
2. What is the perceived impact of the 2006 North Carolina Standards for School Executives on currently practicing principals?
3. What is the perceived benefit of the 2006 North Carolina Standards for School Executives for the K-12 public education system?
4. What were the overall perceptions of what the 2006 North Carolina Standards for School Executives would accomplish?
5. What is the relationship of the 2006 North Carolina Standards for School Executives to the previously existing 1996 North Carolina Standards for School Administrators?

To determine the perceived impact of the 2006 North Carolina Standards for School Executives on university preparation programs, the CIT methodology was employed. CIT has been discussed in the literature as a valid qualitative research methodology since the early 1950s. Recent literature from the late 1990s and beyond was helpful in determining that this technique – CIT – was appropriate to this case – the creation, approval, and publication of the standards (Chell, 1998).

Critical Incident Technique (CIT)

The Critical Incident Technique first appears in the literature in the mid 1950s and continues to be modified in studies to the present day. Specifically relevant to this study, Chell (1998, p. 51) modified the CIT to allow its use as a research tool based on the reflective perspective of an incident or event.

CIT is an appropriate technique for this study as it allows for a retrospective view of the purpose, intent, and perceived impact of the 2006 North Carolina Standards for School Executives as described by key individuals serving on the North Carolina State Board of Education Ad Hoc Committee on School Administration. The ad hoc committee members were charged with developing these new standards. Interviews were held with 17 members of the ad hoc committee to gain their perceptions of potential impact of these standards on higher education programs in North Carolina that prepare school administrators.

CIT: Educational Implications

In applying Flanagan's Critical Incident Technique (CIT) methodology, along with more current researcher's adaptations of the CIT methodology (Borg & Gall, 1989; Zemke & Kramlinger, 1984), the implications for CIT in the current educational arena is analyzing an incident by applying the CIT methodology to a contemporary educational incident such as: "what was the perceived impact of the 2006 North Carolina Standards for School Executives, as intended by the individuals charged with this task, and what were the hopes for these new standards?" The CIT methodology has been selected to study a critical incident,

the adoption of the 2006 North Carolina Standards for School Executives, and the perceived impact these standards will have on university preparation programs responsible for the preparation of school administrators in North Carolina.

CIT: An Overview

The CIT, developed by John C. Flanagan (1954) is an effective qualitative approach that can be used to obtain an “in-depth analytical description of an intact cultural scene” (Borg & Gall, 1989, p. 387). This approach employs the interview method. Since behavior occurs in a context (cultural scene), an accurate understanding of the behavior requires understanding the context in which it occurs (Gay & Diehl, 1992). For example, the culture of an organization can have a direct influence on the behaviors of the employees. Therefore, having an understanding of that culture can lead to a better understanding of the employees' behavior. For the purpose of this study, it is anticipated that the development of the 2006 North Carolina Standards for School Executives will have an impact on university preparation programs for school administrators.

In *Critical Incidents in School Counseling, Second Edition* (Tyson & Pedersen, 2000), the authors acknowledge that they continue to use the premise of this original book by V.F. Calia and R. J. Corsini (1973) stating that “the basic idea of a critical incident book is simple: obtain sample incidents in any field and then obtain comments on these incidents from a variety of qualified people” (p. vii).

CIT is "an epistemological process in which qualitative, descriptive data are provided about real-life accounts" (Di Salvo, Nikkel, & Monroe, 1989, pp. 554-555). The American Institutes for Research (UsabilityNet, 2006) defines CIT as a "set of procedures for systematically identifying behaviors that contribute to the success or failure of individuals or organizations in a specific situation" (p. 1). A critical incident has also been described as one which had an important effect on the final outcome of an event or circumstance and can only be recognized retrospectively (UsabilityNet).

CIT is used to identify specific events, tasks, or behaviors that influence the way things happen. For example, in a long-term project of the National Center for Research in Vocational Education, CIT was used to understand leadership development in vocational education (Finch, Gregson, & Faulkner, 1991). In addition, it was used to document examples of effective leadership from subordinates of recognized leaders.

As mentioned above, because an application of the CIT methodology can be to study a specific event, its application can be used to review a specific event by interviewing participants who were involved in the event and learning their perceptions of the impact of the event. In this study, the specific event is the adoption of the 2006 NCSSE. The participants interviewed are key leaders involved in the adoption of the 2006 NCSSE. Included as a part of the interview, CIT allows the researcher to investigate the participants' perceptions of what they thought led up to the event.

Chell (1998) establishes that while the CIT was first devised and used by Flanagan in a scientific study over a half a century ago, the significant development during this time period is that the assumption of a positivist approach to social science investigations was largely unquestioned and in fact was the leading paradigm in the social sciences as it was the sciences. The most relevant aspect of Chell's findings for this study is that the CIT was originally used as a scientific tool and it now tends to be used as an investigative tool in organizational analysis from within an interpretive or phenomenological paradigm (Chell).

The potential exists for a varied adoption of the CIT methodology for both qualitative and a quantitative method as long as the researcher examines his/her own assumptions and tendencies, considers very carefully the nature of the research problem and thinks through how the technique may most appropriately be applied in the particular researchable case (Chell, 1998). The researcher has accepted Chell's caution to examine his/her own assumptions by being explicit in the design of the study. The researcher designed and documented an interview process, interview questions, and protocol for data analysis in order to address Chell's concerns and minimize his assumptions.

For this study, the CIT methodology allows the establishment of a retrospective view of the perceived purpose, intent, and perceived impact of the North Carolina Standards for School Executives as described by key individuals

serving on the North Carolina State Board of Education Ad Hoc Committee on School Administration that was charged with developing these new standards.

CIT: Interview as Data Collection Tool

For this study, the CIT methodology will be used to gain a reflective perspective on the 2006 North Carolina Standards for School Executives and the perceived impact these standards will have on university preparation programs, the readiness of entry-level school administrators, and practicing principals in North Carolina's public schools.

Through personal interviews with seventeen (17) participants who served on or staffed the Ad Hoc Committee on School Administration, the study collected qualitative data on these leaders' perspectives on the development of the standards and the perceived impact these standards may have once they are fully implemented throughout North Carolina. The researcher's decision to collect this data from key leaders responsible for the development of the 2006 standards is consistent with the research recommendations cited by Zemke and Kramlinger (1984). Specifically, Zemke and Kramlinger refer to "Tactic Two: Start the Study As High in the Organization As Possible and Work Your Way Down" as a strategy designed to study "how the problem is perceived organizationally" (Zemke & Kramlinger, p. 8).

With the CIT method, the interviewee is fully aware of being interviewed and once assurances of confidentiality and anonymity are offered, the interviewee usually relaxes and is able to recount his or her recollection of the

event or set of events being studied (Chell, 1998). CIT is a context-rich methodology and the context is developed from the interviewee's perspective. Because 17 individual interviews were conducted, the researcher was able to look for evidence of commonalities in themes which will increase the potential value of the findings.

Chell (1998) defines the CIT interview technique as a "qualitative interview procedure which facilitates the investigation of significant occurrences (e.g., events, incidents, processes, or issues) identified by the respondent, the way they are managed, and the outcomes in terms of their perceived effects. The objective is to gain an understanding of the incident from the perspective of the individual, taking into account cognitive, affective, and behavioral elements" (p. 56).

CIT: Analysis of Adaptations

Chell (1998) outlines eight distinguishable aspects of the method: (1) preliminary design work and determination of the sample, (2) gaining access, (3) introducing the CIT method and getting the interview underway, (4) focusing the theme and giving an account of oneself as a researcher to the respondent, (5) controlling the interview, by probing the incidents and clarifying one's understanding, (6) concluding the interview, (7) taking care of ethical issues, and (8) analyzing the data (Chell, p. 56).

One of the most significant advantages of the CIT is that the connection between context, strategy and outcomes is more readily teased out because the

technique is focused on an event which is explicated in relationship to what happened, why it happened, how it was handled and what the consequences were. The primary disadvantage to CIT is the time required in the preparation work, interviews, and coding and analysis of the highlighted transcripts. In addition, issues of confidentiality must be treated with a high degree of respect and caution must be given to ethics and a procedure for handling recorded interviews to protect all parties and the integrity of the research process.

Query, Kreps, Arneson, and Caso (2001) indicate that the CIT provides a “powerful means for capturing polarized narratives to facilitate interaction management and guide organizational responses” (p. 92). In addition, their research addresses issue concerning reliability and validity while detailing the undergirding theoretical framework of CIT, the narrative paradigm.

As compared to the methodology reported by Chell (1998), Query et al. (2001), sequential steps frame the CIT. These steps include: (1) the identification of the activity to be studied, (2) the development of the data collection standards, (3) the actual collection of the data, typically through an interview or written format, (4) the completion of the analysis and classification of the data collected, and (5) the interpretation of the data. While each method has its unique features, both methods assure a thorough and comparable design for the methodology (Query et al.).

Query et al. (2001) reports that when the prescribed steps are followed in tandem with explicit and clear criteria for inclusion and analysis of the data that

emerge inductively, the CIT has been shown to be both reliable and valid. A substantial amount of research attests to CIT's theoretical and pragmatic value in assisting "very diverse organizations manage interaction practices and equivocality" (Query et al., p. 94).

As Query et al. (2001) report, future research application of CIT is promising in the information and digital age as it continues to evolve with potential application to the increasing emergence and reliance on websites, online communities, online support groups, online chat sessions with experts from a variety of fields, online suggestion boxes, and online advocacy groups. More specifically, Query et al. states that, "CIT could also be used online to help higher education institutions better evaluate their programs and enhance student learning, as well as engender student identification with their college or university, and, ultimately, increase the likelihood of student retention" (p. 113).

CIT: Application to this Study

For the purpose of this study, the researcher utilized Chell's (1998) eight distinguishable aspects of the CIT method: (1) preliminary design work and determination of the sample, (2) gaining access, (3) introducing the CIT method and getting the interview underway, (4) focusing the theme and giving an account of oneself as a researcher to the respondent, (5) controlling the interview, by probing the incidents and clarifying one's understanding, (6) concluding the interview, (7) taking care of ethical issues, and (8) analyzing the data (Chell). These eight aspects are addressed below and numbered accordingly.

1. The preliminary design work included the development of 14 interview questions aligned with the 5 research questions. The interview questions emerged from the literature review, an assessment of the on-line survey administered to participants in the 1996 North Carolina Standards for School Leaders (see Appendix X), and through in-depth discussions with educational leadership experts. The sampling was achieved through a random and purposeful selection process (Bogdan & Biklen, 1998; Merriam, 2001; Seidman, 1998).

2. Access to the participants was gained through the use of an initial email request (see Appendix Y). The researcher planned, if necessary, follow-up phone and mail requests.

3. An overview of the CIT method was provided each participant as part of the interview protocol prior to the start of the first interview question. In addition, a succinct summary of the purpose and possible benefits of the research was provided (see Appendix Z).

4. During the interview protocol, the researcher provided each participant a brief overview of the researcher's professional background as a teacher, building level principal, and local superintendent spanning 32 years of service. In addition, the researcher disclosed his strong interest in the development of contemporary standards for school principals.

5. To assure the interview remained within the control of the researcher, active and reflective listening techniques were utilized to assure an

understanding of the participants' responses as well as to probe for additional details and insights.

6. In concluding the interview, the researcher expressed his appreciation to the interviewee for their participation. Each participant was afforded the opportunity to make any closing comments relative to the interview or the topic of the interview.

7. At the conclusion of the interview, each participant was once again assured of the anonymity of their responses. In addition, they were reminded that they may be contacted by the researcher during the analysis phase of the study if there is a need for clarification on any specific piece of data collected during the interview.

8. The analysis of the data will be based on a grounded approach which "abandons preconceptions and, through the process of analysis, builds up an explanatory framework through conceptualization of the data" (Chell, 1998, p. 60).

Adhering to these 8 distinguishable aspects throughout the study brought the needed integrity to the research design, data collection, data analysis, and findings.

Research Design

The design of this study followed CIT practices and employed the interview technique to collect the data. Interviews were conducted with a sample of the total population of participants involved in the critical incident: the

development and approval of the 2006 North Carolina Standards for School Executives.

Seventeen participants selected from the 26 member Ad Hoc Committee of School Administration and 4 staff to the committee participated in the interviews. These 17 leaders represent a variety of backgrounds and were directly involved with and responsible for the development of the 2006 standards.

Five (5) research questions guide this study. These research questions are:

1. What is the perceived impact of the 2006 North Carolina Standards for School Executives on university preparation programs for school administrators?
2. What is the perceived impact of the 2006 North Carolina Standards for School Executives on currently practicing principals?
3. What is the perceived benefit of the 2006 North Carolina Standards for School Executives for the K-12 public education system?
4. What are the overall perceptions of what the 2006 North Carolina Standards for School Executives would accomplish?
5. What is the relationship of the 2006 North Carolina Standards for School Executives to the previously existing 1996 North Carolina Standards for School Administrators?

Selecting the Sample

The total population eligible for this study included the 26 members of the Ad Hoc Committee on School Administration plus the 4 individuals serving as staff to the committee, for a total eligible population of 30. This committee met regularly from October 2005 through July 2006 and recommended the adoption of the 2006 North Carolina Standards for School Executives (Jenkins, 2006).

First, fifteen (15) participants, half of the eligible pool of participants were randomly selected to minimize potential researcher bias. The 15 were chosen through a random drawing process. Of the 15 randomly selected participants, 1 is deceased and 1 has moved out of state leaving a total of 13 participants. In order to maintain a minimum of half of the Ad Hoc Committee on School Administration in the study and to assure adequate representation of the various roles and positions on the Committee, a purposeful sampling technique (Merriam, 2001; Seidman, 1998) was utilized to select four additional participants. This resulted in a total of seventeen (17) participants for the study. Consistent with purposeful sampling practices, "the researcher's task is to present the experience of the people he or she interviews in compelling enough detail and in sufficient depth that those who read the study can connect to that experience, learn how it is constituted, and deepen their understanding of the issues it reflects (Seidman, p. 44). These 4 participants, by both the nature of positions held and their expertise, met this purposeful sampling criteria.

Interview Process

Data collection was achieved through the use of interviews. The personal or telephone interviews adhered to a common format and interview script with all participants (see Appendix X). The interview questions were developed to provide a contextually rich and thorough opportunity to gather insights from each of the interviewees. Based on the nature of each interview and consistent with the CIT methodology, as needed, follow-up questioning or clarification was done.

Interviewees were individually emailed a request to participate in the study. Positive responses were contacted by email to confirm an interview time and location or the option of a telephone interview. Thirteen responded and were interviewed. Four remaining were not interviewed due to relocation, change in employment, or retirement resulting in incomplete directory information and unavailability.

Confidentiality was assured to each interviewee. Participants were assigned a unique number to allow the researcher to track all responses. Any questions about the nature of this study by the interviewee were answered fully to the best of the researcher's ability at the onset of the interview and during the interview process as needed.

The personal or telephone interviews were digitally recorded for data analysis and classification. Each participant agreed to the recording and all were recorded but one. This interview was not recorded due to location of the interview

and the high level of background noise. This interview was scripted. All other interview transcripts were produced as a word-for-word document.

All interviewees were advised that if needed by the researcher, they may be contacted and asked to provide additional insights to their interview during the analysis and reporting of the data collected during their interview. Each personal interview was analyzed for assessing consensus responses as well as unique responses from multiple participants and any unique outlying responses relevant to the research questions.

Developing the Interview Questions

To collect data in search of answering the five research questions, the researcher developed 14 interview questions. These 14 interview questions were informed by a review of the literature, in depth discussions with a charter member of the NCSBPSA Board, and a discussion with a senior professor of educational administration involved in both the 1996 Standards as well as the 2006 Standards.

Additionally, the researcher administered a five item online survey to the eight (8) participants on the 1996 NCSBPSA Standards for School Leaders. The online survey consisted of five (5) statements requiring the use of a five (5) point Likert Scale consisting of Strongly Agree, Agree, Disagree, Strongly Disagree and Don't Know as well as an open ended opportunity. Ratings and comments data from the online survey results were reviewed prior to forming the interview questions (see Appendix X).

An Expert Panel of three professors of Educational Leadership reviewed, provided feedback, and approved the relevance and appropriateness of the online survey statements. The panel reviewed all statements according to three criteria; (1) are the statements and rating scale clear and easily understandable, (2) are the statements and rating scale bias free, and (3) are the statements and rating scale relevant to the 1996 Standards and 2006 Standards.

The Expert Panel provided the researcher with either written or telephone feedback which was considered by the researcher in the final revisions to the online survey. A proposed online survey of the 17 interviewees of the 2006 standards was not administered based on a review of the online survey results from the five (5) of eight (8) respondents to the 1996 online survey. The researcher determined that the limited value that such a survey would yield was negligible and may compromise the authenticity of the data collected in the personal interviews.

The fourteen (14) interview questions (2 of which are statements that require a response) are:

1. Please share your involvement in the development of the 2006 NC Standards for School Executives.
2. What do you believe was the motivation for the creation of the 2006 NC Standards for School Executives?
3. Describe the process that led to the formation of the 2006 NC Standards for School Executives.

4. What do you anticipate will be the impact of these standards on university principal preparation programs?
5. What do you anticipate will be the impact of these standards on practicing principals?
6. Which if any of these impacts do you see as benefits of these standards? Do you see other benefits?
7. [if prompt needed] Specifically what benefits, if any, do these standards have on university principal preparation?
8. What were your highest hopes for the 2006 standards?
9. What were your greatest fears for the 2006 standards?
10. If you could change the 2006 standards in any way, what would it be?
11. [if prompt needed] What was, if any, your highest hope for the impact of the 2006 standards on principal preparation?
12. [if prompt needed] What was, if any, your greatest fear for the impact of the 2006 standards on principal preparation?
13. What was your perception of the previously existing principal standards?
14. What, if any, do you see as the relationship between the 2006 NC Standards and the 1996 standards?

Analysis of the Data

Upon completion of each interview, the researcher completed consistent highlighted transcripts (a substantive record of the interview with a digital record

of the full interview) for each interview. Transcripts were analyzed to identify similarities of responses to each interview question. Similar responses were quantified and reported according to common themes and categories for each question. Additionally, unique perspectives (outliers) were identified and reported. The analysis identified participants' perceived impact the 2006 North Carolina Standards for School Executives will have on university preparation programs, perceived impact on practicing principals, and the perceived benefits of the standards. Each of these areas was presented through classification and coding. The "process of noting what is interesting, labeling it, and putting it into appropriate files is called 'classifying' or, in some sources 'coding' data" (Seidman, 1998, p. 107). The researcher used a systematic classification or coding of all interviews.

The researcher, using a similar coding system used for the three historical interviews conducted as a component of the literature review, created highlighted transcripts for each interview. The highlighted transcripts are a near word for word transcription omitting any unrelated responses only. The researcher listened to each digital recording and transferred each participant's remarks into a highlighted transcript. Once a participant's highlighted transcript was completed, the researcher listened again to the digitally recorded interview while simultaneously reading the highlighted transcript to ensure the integrity of the highlighted transcript consistent with the recorded interview. Revisions to the highlighted transcript were made as needed during this review process to assure

the integrity of each highlighted transcript. The researcher did not create a classification system, categories, or a coding system for participants' remarks prior to conducting, listening to, or transcribing the interviews.

Once all interviews were completed and each highlighted transcript finalized, the researcher separated the responses to question one as a separate item to demonstrate who, by position or role, participated in the study's interview group. This was done in a manner so as not to align the participant's identity with her or his responses to this or any other interview questions.

Limitations of the Study

Although there were more than half of all eligible participants selected for interviews, this is less than the full potential pool of 30.

When face-to-face interviews were not possible for the interviewee, telephone interviews were used as an alternative interview.

In CIT studies which attempt to capture the reflective perspective, time elapsed can influence a participant's historical memory. In addition, with the passage of time from the critical event to the interview, experiences may alter the participant's perspective of the critical incident.

Summary

This study is a qualitative study that uses the Critical Incident Technique (Flanagan, 1954) and was chosen as a preferred methodology since the critical incident, the passage of the 2006 North Carolina Standards for School Executives, had occurred prior to this study. The study examined the perceived

impact of these new standards on university principal preparation programs – the university principal preparation programs were not aligned with the new standards at the time of this study. The CIT, then, allowed the researcher to interview those involved in the formation of the standards to gain their views on perceived impact.

The purpose of this study was to identify the perceived impact of the 2006 North Carolina Standards for School Executives on university preparation programs and answer the following research questions:

1. What is the perceived impact of the 2006 North Carolina Standards for School Executives on university preparation programs for school administrators?
2. What is the perceived impact on currently practicing principals?
3. What is the perceived benefit of the 2006 North Carolina Standards for School Executives?
4. What are the overall perceptions of what the 2006 North Carolina Standards for School Executives would accomplish?
5. What is the relationship of the 2006 North Carolina Standards for School Executives to any previous standards work?

The analysis of the data is included in chapter 4. Findings are presented only by participant letter for all responses by each participant. Any responses potentially identifying a participant has been redacted to assure the anonymity and confidentiality of the participant. Findings were analyzed across the

questions for each participant and similarities were reported as well as outliers. Additionally, responses that brought the “critical incident to life” were reported (Seidman, 1998).

CHAPTER 4: FINDINGS AND ANALYSIS OF DATA

This study examined North Carolina's policy leader's most recent attempt in raising standards for school administrators through the creation of the 2006 North Carolina Standards for School Executives (NCSSE). These new standards were approved by the North Carolina State Board of Education in December 2006 and became effective with the 2008-2009 school year (North Carolina State Board of Education, 2008).

Prior to the past two decades, there had been a limited scope of work to establish the foundation for contemporary standards for school principals. At the genesis of both the national and North Carolina imperative for new principal standards is the 1987 signature work of The University Council for Educational Administration (UCEA), The Report of the National Commission on Excellence in Educational Administration (NCEEAA), Leaders for America's Schools: The Report to the National Commission on Excellence in Educational Administration. This report provides a foundational framework for understanding the evolution of contemporary standards for school principals over the past two decades. It addresses the relationships among the multiple efforts to improve the relevance of school principal standards to both university preparation programs and the licensing of school principals in North Carolina. This report cites specific recommendations state government leaders from the executive and legislative branches as well as the State Board of Education and University Board of Governors should address. These recommendations impact both the policy

arena and practitioners' practices to support higher standards for the preparation of the next generation of school administrators.

Purpose of the Study

The purpose of this study is to identify the perceived impact of the 2006 North Carolina Standards for School Executives on university preparation programs. These university programs are charged with preparing future school administrators in the context of the 2006 North Carolina Standards for School Executives.

The following questions are central to the study.

1. What is the perceived impact of the 2006 North Carolina Standards for School Executives on university preparation programs for school administrators?
2. What is the perceived impact of the 2006 North Carolina Standards for School Executives on currently practicing principals?
3. What is the perceived benefit of the 2006 North Carolina Standards for School Executives for the K-12 public education system?
4. What were the overall perceptions of what the 2006 North Carolina Standards for School Executives would accomplish?
5. What is the relationship of the 2006 North Carolina Standards for School Executives to the previously existing 1996 North Carolina Standards for School Administrators?

To determine the perceived impact of the 2006 North Carolina Standards for School Executives on university preparation programs, the CIT methodology was employed. CIT has been discussed in the literature as a valid qualitative research methodology since the early 1950s. Recent literature from the late 1990s and beyond was helpful in determining that this technique – CIT – was appropriate to this case – the creation, approval, and publication of the standards (Chell, 1998).

Research Methodology and Design

This study utilizes the Critical Incident Technique (CIT) (Flanagan, 1954), specifically through interviews of thirteen (13) participants all of whom served as members or staff to the North Carolina State Board of Education Ad Hoc Committee on School Administration . The critical incident for this study is the development and passage of the 2006 North Carolina Standards for School Executives. The participants were involved with this Committee which was responsible for the development and recommended passage of the 2006 North Carolina Standards for School Executives. The study specifically investigates these participants perceived impact of these standards on university educational leadership preparation programs.

The design of the study addresses five research questions. Participants responded to fourteen (14) interview questions and results were analyzed by coding and classifying their responses.

This study is a qualitative study that uses the Critical Incident Technique (CIT) method (Flanagan, 1954). This technique allows the researcher to collect data, through interviews, describing the impact of the critical incident as perceived by those involved in the critical incident. The CIT method was selected as an appropriate methodology for this study since the critical incident had occurred prior to the researcher examining the perceived potential impact. That is, the researcher was interested in determining the potential impact of new standards for school executives on principal preparation programs.

CIT is an appropriate technique for this study as it allows for a retrospective view of the purpose, intent, and perceived impact of the 2006 North Carolina Standards for School Executives as described by key individuals serving on the North Carolina State Board of Education Ad Hoc Committee on School Administration. The participant responses, findings, represent a retrospective view of the critical incident, the passage of the 2006 NCSSE.

Interviews: Findings and Analysis

This section includes how the thirteen participant interview findings were treated. Findings, which are coded as significant participant responses addressing each interview question, are presented in 10 charts, one chart per interview question for all thirteen participants (see Appendix AA). “Significant participant responses” is defined as any response from a participant that directly addressed the interview question. The researcher coded and reported all responses meeting this definition. Unreported responses were those coded by

the researcher as “non- response.” A “non-response” is defined as a response that, while perhaps relevant to the context of the interview setting and topic, did not address the specific question. Responses were taken directly from participant transcripts. This classification of responses – “significant participant response” and “non-response” – emerged through the researcher’s analysis of the data.

Appendix AA includes an individual chart of participant responses, one chart for each interview question. Interview questions one, seven, eleven, and twelve were not treated by charts for the following reasons: interview question one findings, used by the researcher to verify the participant’s role and involvement on the Ad Hoc Committee of School Administration, were not reported and to assure participant anonymity and interview questions seven, eleven, and twelve were proposed as potential prompt questions and were not needed during the interviews.

Research Questions: Findings and Analysis

This section provides findings and analysis of participant responses to the five Research Questions. Appendix BB indicates the alignment of the Interview Questions with the Research Questions. Within each research question, participant responses are categorized as either Primary Findings, Secondary Findings, or Outliers. The coded charts (see Appendix AA) developed from the interview questions were used to establish these categories. These categories emerged naturally.

After coding the responses for the Interview Questions, the researcher categorized all responses for each Research Question. Categorizing was done to determine primary findings or secondary findings that were evident. Primary Findings are those findings that had a minimum of four participant responses. Secondary Findings are those findings that had two or three related participant responses. Single responses are reported as Outliers.

Research Question 1 consist of 80 total responses categorized as primary, secondary, or outlier findings. The researcher further categorized within the primary and secondary findings. The Primary Findings categories are:

1. Assessing Level of Anticipated Impact
2. Changing Curriculum and Assessment Processes
3. Relating To Practitioner and Real-World Relevance
4. Creating Alternative Licensing Programs
5. Driving Uniform Standards for Preparation Programs

The Secondary Findings categories are:

1. Increasing Institute of Higher Education Internal Collaboration
2. Improving Internship Experiences

Primary Findings Research Question 1

Among the five Primary Findings, there is a high degree of agreement among the participants that the perceived impact of the 2006 NCSEE will have a substantial impact on university preparation programs. Below is a summary of these findings listed by each of the five categories of the Primary Findings.

Within the first category, *Assessing Level of Anticipated Impact*, participant responses such as, "It should be great," and "They're (programs) being dramatically revamped, all of them, across the board," are indicative of the overall responses. Further evidence of the participant's perspective that the anticipated impact is significant can be found in the four remaining categories. The categories define where participants perceived the impact was greatest.

In *Changing Curriculum and Assessment Processes*, participants cited anticipated changes in how the universities would modify curriculum and how prospective school leaders would be assessed within the program, based on the 2006 NCSSE. One participant stated, "The Standards should be the basis for developing a curriculum for school leaders," and another anticipated the universities should assess, "How are we lining up our required courses against the new school executive evaluation." Another participant expressed their anticipation that the universities would, "Get outside of the box and really think differently about what it takes to be (a leader)."

Relating to Practitioner and Real-World Relevance was the third category and illustrates the belief of many participants that the new Standards will cause the universities to increase their alignment of the academic development of these future school leaders with the reality of everyday practice and challenges in leading schools in the 21st century. Examples of these perceived impacts include the participant who stated, "(I) want (IHE) to have highly contextualized programs, programs that are really tied to the real world... that's the best way in

a 21st century environment to train our leaders.” Another participant stated the IHEs would, “(We) need to look at inter-disciplinary kinds of pieces that are more real-world to address the contextual needs of future school leaders to leadership theory and practice.”

The category *Creating Alternative Licensing Programs*, clearly demonstrates the anticipated impact that members of the Ad Hoc Committee on School Administration believe the standards will have in driving innovation and alternative pathways for the State to develop and credential future school leaders. As one participant stated, “(You’re) going to see some different kinds of program focuses and I’m hoping that the New Leaders for New Schools...puts a little stimulus in there too.” Another remarked, “(There’s) going to be greater competition in the whole area of teacher and leadership preparation...if you have the Standards and you have the evaluation then it really does open the door for entities other than Schools of Education to become a part of leadership preparation.” As a final example illustrating this sentiment, a participant offered this opinion, “We will continue to evolve in education to that same type of model (business) that credentialing will be the paper needed and the diploma or the degree will be secondary.”

The findings in the final category, *Driving Uniform Standards for Preparation Programs* substantiate the participants’ belief that the 2006 Standards and subsequent developments will result in an increased level of common knowledge and expectations of all approved programs charged with

developing future school leaders. As one participant said, “Institutions are now going to have to provide evidence that their candidates meet the Standards...you’re not getting a license until we (IHE) have evidence you meet them...a huge, huge philosophical difference.” Similarly, another participant expressed the perspective that IHE program accountability for developing future school leaders to be proficient in the seven standards and twenty-two competencies by stating that “Each candidate’s evidence has to be available for review after the candidate finishes...program gets to stay in business ...based on whether or not external reviewers of individual candidate’s work...had demonstrated the ability to meet the Standards.”

Secondary Findings Research Question 1

Two categories emerged from the data and were classified as Secondary Findings. Secondary Findings are defined as two or three related responses to the research question.

The first was *Increasing IHE Internal Collaboration* and the second was *Improving Internship Experiences*. Of the 80 total responses to Research Question 1, 5 responses were classified as Secondary Findings. Within these two categories, examples of comments related to the perceived impact on university preparation programs were, “(It will) move universities from ... being an island unto themselves to a place where there can be collaboration and connections among the schools of education,” and “(The) biggest weaknesses in

the MSA Program is the whole internship.” Listed below are the five responses within these two categories.

Outliers Research Question 1

Of the 80 total responses to Research Question 1, 3 responses were classified as Outliers – responses reported only once. The three responses listed below are relevant to the perceived impact that the 2006 NCSSE will have on university preparation programs and warrant inclusion in this study.

Research Question 1 states, “What is the perceived impact of the 2006 NC Standards for School Executives on university principal preparation programs?” Each of the five Primary Findings are listed below followed by the supporting comments.

1. Assessing Level of Anticipated Impact
 - a. It should be great
 - b. It is beyond substantial to quite significant
 - c. Will re-think principal preparation
 - d. It’s going to be the ‘stick that pokes the dog’
 - e. There is an end-game that we’re preparing folks for
 - f. The option that a university has is do we play the game or we don’t...we have rules
 - g. We have rules...we have expectations...we have Standards and we have to apply them and it’s a competitive process because everybody can’t do it

- h. May the best program be the one that get's approved and becomes the core of who's training our leaders...the implications for that are serious
- i. So it's really from a systemic perspective all of those pieces of Standards going together (students, teachers, principals)
- j. I think that's it's pretty significant
- k. Has made their (IHE) program better, a lot better
- l. They're being dramatically revamped, all of them, across the board
- m. It's an evolution not a revolution...maybe that's normal, maybe that's just what we have the capacity to do...I'd like to see a little revolution going on but I don't see it
- n. What I've gathered they have had an impact. That's too early to tell though whether what they've done will make a difference but I think they have re-designed their programs
- o. It will be significant
- p. (IHEs) have a need for significant improvement and modifications.

2. Changing Curriculum and Assessment Processes

- a. The Standards should be the basis for developing a curriculum for school leaders

- b. Already driven a lot of new curriculum development and program review
- c. There is going to be some type of assessment developed...
- d. Degrees [should include] curriculum that's aligned with that assessment.
- e. Expanded the overall coverage of the curriculum...earlier on the curriculums and the education leadership programs were focused more on practical issues related to the management of the schools
- f. How are we lining up our required courses against the new school executive evaluation
- g. Focus on student achievement and staff issues
- h. Get increased information in working on skills related to how they can use their staff and more proactive ways to get to student achievement
- i. How to team build
- j. How to communicate better
- k. How to use their staff in different ways that they hadn't used before to get the desired results
- l. How to use that data more effectively and how to teach their staffs to use that data more effectively

- m. More exposure to different kinds of curriculums that would interest and help all students
- n. Shifting the indicator for licensure from the SLLA Exam to the Portfolio
- o. Get outside of the box and really think differently about what it takes to be (a leader)
- p. Recognize that leadership in a small innovative high school may be a different skill-set than leadership in a comprehensive high school
- q. Look at...special leadership training in urban areas around dealing with children of color, children of poverty
- r. Prepare principals to cope or to handle or to be proactive in an educational world that really doesn't exist today
- s. One of the products that we have out there is EVAAS and how are they incorporating that into their development..of school building administrators
- t. A focal point of using data and training these professionals to understand how that data will help them actually deliver better instruction in the classroom...I don't see that actually happening in my observation of the educational development programs
- u. See what in their area they needed to put in their programs

- v. Could really move very quickly to a Case Management Leadership method of preparing principals...the Harvard Case Management
- w. (Standards) will help them move more quickly to that point as they build their curriculum around the standards by which their customers are judged.

3. Relating to Practitioner and Real-World Relevance

- a. Whole notion of connectivity between preparation programs and practitioners
- b. Want to have highly contextualized programs, programs that are really tied to the real world... that's the best way in a 21st century environment to train our leaders
- c. Look at the balance between field service and academics
- d. Need to look at inter-disciplinary kinds of pieces that are more real-world
- e. Greater opportunity for alignment between what's expected of principals and what is taught to prospective principals much more practical stuff... a lot more stuff in context
- f. Look at apprenticeship kinds of things...

4. Creating Alternative Licensing Programs

- a. Going to be greater competition in the whole area of teacher and leadership preparation...if you have the Standards and you

have the evaluation then it really does open the door for entities other than Schools of Education to become a part of leadership preparation

- b. We will continue to evolve in education to that same type of model that credentialing will be the paper needed and the diploma or the degree will be secondary
- c. If that gap (standards) isn't closed... as a state and as district, local LEAs looking for alternative ways to prepare our principals
- d. If that doesn't happen I think the state will see districts...approach the state for partnership with a non-profit to take advantage of the State Board's support of alternative licensure programs for the principalship
- e. Going to see some different kinds of program focuses and I'm hoping that the New Leaders for New Schools...puts a little stimulus in there too
- f. Tried to encourage colleges and universities to get out of the box...here's New Leaders for New Schools doesn't have to be thirty-six hours... North Carolina will let these Regional Academies be a way to license principals...tried to encourage colleges and universities to be creative, be innovative because it's coming

- g. School systems are encouraged to do succession planning to identify people to get them into these Regional Leadership Academies
- h. Colleges and universities are going to get some run for their money in terms of how to prepare school leaders if they don't step up to the plate and become 21st century
- i. Utilizing universities to help create new type programs that will be regionally based at focusing on leadership training

5. Driving Uniform Standards for Preparation Programs

- a. To create a state-wide system of preparing school administrators
- b. Some measure of consistency across the programs that prepare school administrators
- c. House Bill 536, contained some statutory mandate that really probably didn't exist in many programs prior to that
- d. Requirement of cross functional teams...far more precise and far more engaging
- e. A common rubric across the state ...used to determine the licensure status of people entering into school administration
- f. Immediate impact in the development of the Educator Evaluation System because they are critical

- g. Began to be a great sense of pride in the effort (IHE) to have Standards for practitioners, connected to Standards for preparation programs, connected to Standards for licensure.
- h. Preparation program accreditation, which is really what that licensure decision is going to work on
- i. Does create a supportive context where people can improve all of those by working on similar issues
- j. Because we're doing it (standards) in preparation programs...with assistant principals...with principals...with superintendents...the conversation can become a bigger conversation
- k. The process has done a nice job of aligning a lot of those arrows...but there are still some other pretty deadly arrows that are flying around
- l. What the Board (State) approved in January of 2008 was an outcome based program approval process
- m. Each candidate's evidence has to be available for review after the candidate finishes...program gets to stay in business ...based on whether or not external reviewers of individual candidate's work...had demonstrated the ability to meet the Standards

- n. We came up with...a framework that said we want electronic evidences
- o. ...in the case of school administrators...six to eight (electronic evidences) ...of the six that they had to do one focused on student achievement, one focused on teacher empowerment, one focused on management
- p. Colleges and universities were directed to revise their programs and come up with these electronic evidences
- q. Institutions are now going to have to provide evidence that their candidates meet the Standards...you're not getting a license until we have evidence you meet them...a huge, huge philosophical difference
- r. Forcing colleges and universities that don't want to change their programs to have to change their programs

For Research Question 1, there were two Secondary Findings. These are listed below followed by the supporting comments.

1. Increasing IHE Internal Collaboration

- a. Move universities from ... being an island unto themselves to a place where there can be collaboration and connections among the schools of education
- b. An excellent professor at one university...do a great online module about assessing teacher performance

- c. Share resources across university boundaries...they would rely on each other to prepare all principals and school leaders in a more effective and efficient way

2. Improving Internship Experiences

- a. The year-long internship
- b. Biggest weaknesses in the MSA Program is the whole internship

3. Outliers

- a. Trying to attack both the shortages and the quality, if we shut down and redesign and go through a competitive process we're going to lose cohorts of folks that could come out and address the shortages
- b. For these new programs (IHEs) that were submitted, some institutions had an easier time than others of figuring out how to have their candidates demonstrate they meet these Standards. And in some cases, institutions simply tried to retro fit what they were doing to meet the Standards...based on the reviews that's not acceptable
- c. Going to take a restructuring of how universities are funded

Research Question 2 consists of a total of 52 responses categorized as primary, secondary, or outlier findings. The researcher further categorized within the primary and secondary findings. The four Primary Findings categories are:

1. Developing Reflective Practitioners
2. Providing Professional Development
3. Mentoring and Support Systems
4. Evaluating Principals

There were no Secondary Findings for Research Question 2 as all responses were categorized in one of the four Primary Findings categories or as an Outlier.

Primary Findings Research Question 2

Among the 49 Primary Findings, there is a high degree of agreement among the participants that the perceived impact of the 2006 NCSEE on practicing principals will occur in four categories. Below is a summary of these findings listed by each of the four categories of the Primary Findings.

Within the category, *Developing Reflective Practitioners*, participants cited the impact on principals becoming more reflective in comments such as, “(The standards) forced them to be more reflective of their own role as a leader in the process”, “(the standards have) the potential to make practitioners think, act and become accountable in very, very, different and...better ways,” and “(the standards) made them focus on what they were going to do differently as leaders.”

Providing Professional Development illustrated the perceived impact the new standards will have on professional development for principals. Participants stated, “They (superintendents) need to grow their own (leaders),” School districts

themselves will see the need to have education leadership training programs for their principals on a consistent basis,” and “We can no longer sit back and expect Universities to train people... they can begin the training process but school districts are going to have to do their own too.”

The third category of Primary Findings, *Mentoring and Support System*, highlights the perceived impact the new standards will have on creating a need for new and improved mentoring and support systems for practicing school leaders. One participant stated the need for, “A triangle of mentors...a person who would have the content expertise...public relations expertise...administrative expertise,” while another said the new standards “Almost becomes a framework for coaching and mentoring.”

Evaluating Principals is the final of four categories for the Primary Findings of Research Question 2. This category illustrates the perceived impact the new standards will have on the evaluation process implemented to assess school leaders based on these new standards. One participant said, “It’s going to come down to the superintendent...it always has... if the superintendent values it, values the process and values the Standards and is able to link them to the local district priorities, there is certainly the potential for it to be very meaningful.” Another participant stated that, “There are 115 school districts in the state and 115 superintendents all of whom may have their own interpretation of how much rigor and how much attention they might pay to the intent of that evaluation

system... if they don't monitor it...evaluate it...don't question it then it probably won't get done.”

Secondary Findings and Outliers Research Question 2

There were no Secondary Findings for Research Question 2. Of the 52 total responses to Research Question 2, 3 were categorized as Outliers. One such comment suggests a vastly different approach to the current funding and principal staffing patterns in North Carolina, the participant said, “(I am) hoping another outgrowth of having the Standards is that we will begin to differentiate the principal business...could have administrators of schools, operational principals...we will move toward a model of having chief operation officers of schools and chief academic officers of schools”

Research Question 2 states, “What is the perceived impact of the 2006 NC Standards for School Executives on practicing principals?” Each of the four Primary Findings are listed below followed by the supporting comments.

1. Developing Reflective Practitioners

- a. Gets them to think at a higher level....
- b. But they had to think harder... go through some of those things that effective leaders do and how can you do some of those things
- c. Has the potential to make practitioners think, act and become accountable in very, very, different and...better ways

- d. Forced them to be more reflective of their own role as a leader in the process
- e. Forced them to look at the evidence, the artifacts it's going to do for principals what the National Board Certification process has done for teachers. It's going to make them more self reflective
- f. A phenomenally powerful structure for conversation.
- g. Changing leadership behaviors
- h. Made them focus on what they were going to do differently as leaders
- i. This forced us to discuss with them (principals) how do you apply some of this theory to what you concretely will do as a principal
- j. Allowed us to discuss how they can become more effective as principals using a...theoretical framework as opposed to kind of nuts and bolts
- k. It will make them more strategic in their decision making
- l. It's (the standards) more developmental...more structure than the one did before
- m. It will lead to much greater accountability
- n. One of my hot buttons in this process is to hopefully initiate some sort of process at the individual District level where there is much more active recruitment around Succession Planning,

Strategic Planning for Leadership in the District to insure that we have effective teaching going on in the schoolhouse is to have a leader that sets high standards by his leadership to have a delivery system that works

- o. These standards will address leadership quality as just tweaking of them would not be adequate.

2. Providing Professional Development

- a. Use the standards in our own professional development...a good point of departure in talking about effective leadership
- b. It is a growth and development model and not a “gotcha” model.
- c. Looking for some means of support for new principals or struggling principals or just evolving principals... It’s not at the State level so we’re going to build it internally.
- d. They (superintendents) need to grow their own (leaders)
- e. Believe more are embracing some sort of formalized principal PD with leadership development within their district...they (principals) seem to be more involved in district level support stuff
- f. That school districts themselves will see the need to have education leadership training programs for their principals on a consistent basis...

- g. Assess whether or not their current principals have the skills needed to address (key) issues and if not to provide that training on a consistent basis
- h. We need to have a professional development structure in place
- i. The principals in our [IHE cohort] who are now interns, a number of them have used the template for their growth plans
- j. So the data will be used to ...continue to validate and refine the instrument...the data will also allow the Department, if it will do it, to look at the ratings across systems, across schools, across grade levels, across areas of the state to determine first of all are there some state-wide gaps that we can identify that we need to go fill
- k. Working with NCASA to come up with some professional development to fill the holes and move people forward
- l. We can no longer sit back and expect Universities to train people... they can begin the training process but school districts are going to have to do their own too
- m. Whole notion of being a learning organization... role of the University is to prepare people for their jobs... role of the School District is to make sure that people are learning their work
- n. This framework is a powerful structure for that conversation (learning organization) to happen you can give the best people

the most outstanding training in the world but if you don't put them in a context that supports it you've wasted your time...started with the Principals Working Conditions Survey

3. Mentoring and Support Systems

- a. That we (State/DPI) would, the universities or someone, would need to assign mentors or coaches to principals who have gone through programs and who have become practicing leaders, to provide them feedback to be a sounding board.
- b. Need a triangle of mentors...a person who would have the content expertise...public relations expertise...administrative expertise
- c. Have an online catalogue where principals can access virtually the assistance that they need
- d. The fact that the growth plan really does align with preparation programs is kind of neat...puts [IHE] in the position of being able to support their reflections on efforts they're making there on the job
- e. And even in a time of extreme stress...the Standards seem to be helpful to the principals.
- f. Very optimistic that they (principals) will be better prepared because they're going to hit the ground running in terms of their

whole programs have been predicated on their developing evidence that they meet these Standards.

- g. When they (new practicing principals) start they will already have provided the institution evidence, they'll be familiar with the rubric, they know how to gather evidence, they will have demonstrated their ability to impact student learning and empower teachers and manage processes.
- h. Leadership academies ...would provide mentors for beginning principals that it would provide PD that was tailored ... don't need to go back and reinvent what already exists...make sure we identify what principals need and number two, then to hold them accountable for getting it
- i. It almost becomes a framework for coaching and mentoring

4. Evaluating Principals

- a. One of the most challenging pieces for us as a district is getting principals around the notion of “developing”, “proficient”, “accomplished”, and its new language. And I think when a principal, who's highly successful, goes into a new school environment and begins the journey as the leader and finds themselves at a developing stage in some of the Standards, that's a hard sell

- b. One of my worries...we're taking our most talented principals and placing them in our lowest performing schools... if we're going to get our truly best and most accomplished principals in our highest need schools...we have to have some way of saying to them, yes, we're going to evaluate you against the instrument because we're required to do that but we've also got to hold you harmless in terms of any compensation tied to that for three years or figure out what that time frame is in order to have people willing to make that leap
- c. There are 115 school districts in the state and 115 superintendents all of whom may have their own interpretation of how much rigor and how much attention they might pay to the intent of that evaluation system... if they don't monitor it...evaluate it...don't question it then it probably won't get done
- d. Hope that the whole idea is that the Standards will lead to stronger leaders and higher performing schools
- e. It's going to come down to the superintendent...it always has... if the superintendent values it, values the process and values the Standards and is able to link them to the local district priorities, there is certainly the potential for it to be very meaningful.

- f. So we're using the same evaluation process across all the different levels of the school (teacher through superintendent).
- g. The Board (State) has put in place a policy that said ratings on the evaluation instruments are going to come to the Department. And that's not because we care how an [individual] is evaluated. But it is number one, to make sure that the instrument is really targeting, as an outcome, kind of, student behavior, student performance, because if you can be distinguished or accomplished on the rubric and the student performance at your school stinks then there's something wrong with the rubric.
- h. ...are there parts of the state where, let's say, student performance is lousy in a school system but the superintendent rates every principal as accomplished. Then you have a little meeting with the superintendent and say whoa, whoa, whoa, either you don't get the Standards or there's some... I think that it will make evaluation much more transparent.
- i. Going to vary from place to place...a system is only as good as the people
- j. It is contextually driven. It's possible for me to be in a school and be outstanding in all areas at that school and go to a new school and be developing in all Standards

- k. The biggest of these is an increase in student achievement and student outcomes (K-12), that's the goal of everything

Research Question 2 had no Secondary Findings and three comments categorized as Outliers. These are listed below:

1. Hoping another outgrowth of having the Standards is that we will begin to differentiate the principal business...could have administrators of schools, operational principals...we will move toward a model of having chief operation officers of schools and chief academic officers of schools
2. Hope it would have a positive impact on them...all of them want to be successful
3. Perhaps make more economic sense, given limited resources, to focus on what I'll characterize as the aspiring Principal category, as opposed to Principals in the field

Research Question 3 includes a total of 38 responses categorized as primary, secondary, or outlier findings. The researcher further categorized within the primary and secondary findings. The Primary Findings categories are:

1. Enhancing Principal Leadership Skills and Behaviors
2. Improving Preparation Programs
3. Developing Professional Development
4. Evaluating Principals

The one secondary finding category was:

1. Improving the Learning Environment

Primary Findings Research Question 3

Among the 35 Primary Findings, there is a high degree of agreement among the participants that the perceived benefits of the 2006 NCSEE will be in leadership performance, preparation programs, and the evaluation process. Below is a summary of these findings listed by each of the four categories of the Primary Findings.

Enhancing Principal Leadership Skills and Behaviors consisted of participant responses such as, "That the culture bred by these changes is a disincentive for less capable individuals to work in the field (leadership) and an incentive for folk who are themselves curious," and "The benefits are pretty clear. We're going to have more successful leaders," and "That there is a much greater or will be a much greater emphasis on data decision making."

A second category, *Improving Preparation Programs*, emerged from the findings on this research question as well. This category is evidenced by one participant responses such who said, "At the end of their program (MSA), this is what they've got to be able to know and do...have to document it in a way that is condensing...to be clearly indicative to those people who will review the professor's assessments." Another remarked "(It's) important for Deans and Schools of Education, when they hire new faculty, that the faculty really understand the Standards as a whole, that they understand the evaluation instrument so that we can have some consistency. So it will take perseverance

on the Schools of Education preparing principals.” A third stated that, “The culture in the state is going to change and is changing so that Colleges of Education are going to have to take greater ownership for their graduates in terms of tracking their success. I think we have a University President who... with a business approach and if a branch bank isn’t effective you close it or you put somebody else in there to lead it.”

An additional perceived benefit is illustrated in the category, *Developing Professional Development*. This category of Primary Findings, while not as robust as the other three in this category, is still informative. As an example, one participant stated, “We are collecting those data (from principal evaluations) and that we’ll be able to see, according to the evaluators, principals are weak in “x”... so alright we need to focus some professional development for “x”. So it will help us to discern where we need to place our emphasis when it comes to helping practicing principals.” Another simply stated that the new standards would, “Help us to institutionalize the whole professional development notion as it relates to the Standards.”

The final category of Primary Findings for Research Question 3, *Evaluating Principals*, demonstrates the perception of the benefits the new standards will have on assessing the effectiveness of school principals. One participant stated, “There is an expectation, that we’ve not had before, in the state as a state, that there be a consistency in practice of principal evaluation and a consistency in what is being assessed.” Another participant said,

“Principals are going to be expected to produce. The burden has shifted, in this process, which I think is wonderful, to the building level principal...show me this has happened in your school...Show me how this is being implemented in the classroom with your teachers...show me how it’s impacting what you’re doing in the classroom.” An additional participant remarked that the standards and process, “(The standards process) requires all kinds of artifacts for principals to present. So I think that that will take us to a better place.”

Secondary Findings Research Question 3

There was one category that emerged from the data as a Secondary Finding. This category, *Improving the Learning Environment*, cited two examples of the perceived benefits of the new standards. One illustration is the participant who remarked on the new expectation for school leaders by asking, “How is a 21st century executive responsible for facilitating professional learning communities and modeling professional learning communities so the instruction remains at the heart of a school?”

Outliers Research Question 3

Of the 38 total responses to Research Question 3, only one was categorized as an Outlier.

Research Question 3 states, “What is the perceived benefit of the 2006 North Carolina Standards for School Executives?” Each of the four Primary Findings are listed below followed by the supporting comments.

1. Enhancing Principal Leadership Skills and Behaviors

- a. That our group, across the board, the top level barrier here is low expectations of children and what we hope is that all these forces, including the new standards, are going to make it to get the field to the point where those low expectations are obvious in a leader before that leader steps into the chair
- b. That the culture bred by these changes is a disincentive for less capable individuals to work in the field (leadership) and an incentive for folk who are themselves curious...who want to know more about the world and bring that into their school day to day
- c. Because a leader who believes they can do it (lead for 21st century) acts differently than one that's just complying with the law
- d. Locals are assuming some responsibility growing their own...that's going to lend to an increased pool and greater stability
- e. The benefits are pretty clear. We're going to have more successful leaders
- f. Successful leaders tend to have less turnover. You have greater stability
- g. So anything we do to make good leadership important, you know, bad leadership is important from the lessons that we

learn but its good leadership that's important with regard to benefits for kids and for communities and stability and all that.

- h. That there is a much greater or will be a much greater emphasis on data decision making
- i. Part of the process that I enjoyed the most was the competency piece...my personal experience (in university preparation program) would tell me that the Competencies were not a significant focus. My experience working and hiring principals in this district would tell me that it still isn't...that's more just from observation, interaction, the kinds of questions that principals ask me a lot

2. Improving Preparation Programs

- a. [IHE] have used the Pre-Service Rubric and I've used the Certificate of Competencies...gone into schools talking with principals about the kinds of activities and functions that need to happen in the year long internship...
- b. Setting up internships between our MSA students and principals is to talk about those two documents as the interns' end-game.
- c. At the end of their program (MSA), this is what they've got to be able to know and do...have to document it in a way that is condensing...to be clearly indicative to those people who will review the professor's assessments

- d. Helped me to be far more specific in terms of the kinds of suggested activities that I can talk with the principal about in terms of the internship...able to speak authoritatively and clearly about the fact that the student (MSA) needs to be not just an observer but an engaged individual in school improvement efforts
- e. They (MSA students) have to do something, not just study the teaching/working conditions results, but to do something with them
- f. They (MSA students) have to do data analysis and then my authority for that is the Rubric that the student will be judged by for licensure and the Certificate of Competencies.....
- g. Important for Deans and Schools of Education, when they hire new faculty, that the faculty really understand the Standards as a whole, that they understand the evaluation instrument so that we can have some consistency. So it will take perseverance on the Schools of Education preparing principals
- h. One of the pieces in particular that, in my judgment, has not been addressed well by our Colleges of Education is this notion of micro political leadership. It's the one our principals are struggling with the most, quite honestly, even our very experienced ones

- i. Paying attention to the titles of those Standards...there's lots of literature around this notion of instructional leadership. I'm not sure how much time is invested in our Colleges of Education in really exploring that.....not talking about exploring it by calling a course title Instructional Leadership. This has to go deeper and the Colleges of Education have to really start looking at the artifacts
- j. Think there is a burden on our Colleges of Education to equip future principals with the ability to do that (show evidence of impact) and not get into the mentality that they've got to, you know, haul four wagon loads of stuff into their supervisor's office
- k. There's got to be a change in the way the Colleges of Education approach this notion of the Competencies. And to me, you don't address the Competencies and check the box off of the College of Education by having a course called Change Management. It's about what your folks were able to do as a leader of change on their first assignment into a school
- l. The culture in the state is going to change and is changing so that Colleges of Education are going to have to take greater ownership for their graduates in terms of tracking their success. I think we have a University President who... with a business

approach and if a branch bank isn't effective you close it or you put somebody else in there to lead it

m. I think that the Standards required the Colleges of Education to start with a clean slate

3. Developing Professional Development

- a. But looking at different online modules, I did mention that, but looking at different on line modules based on the needed improvements, that we may see in principals, will take us to a better place also
- b. We are collecting those data (from principal evaluations) and that we'll be able to see, according to the evaluators, principals are weak in "x"... so alright we need to focus some professional development for "x". So it will help us to discern where we need to place our emphasis when it comes to helping practicing principals
- c. Professional development for new principals in the state
- d. Help us to institutionalize the whole professional development notion as it relates to the Standards

4. Evaluating Principals

- a. There is an expectation, that we've not had before, in the state as a state, that there be a consistency in practice of principal evaluation and a consistency in what is being assessed

- b. Requires us, as we have new superintendents, to make sure that through some process all new superintendents have, as a part as their professional development, the evaluation system
- c. We had a new superintendent from [state]...he wanted to do immediately was to bring his evaluation from [state] to use with his principals...all of his principals had already gone through the training...we said that will be fine as long as you as you share the validation and reliability studies that have been done with your instrument...that had not been in place...helped to say well maybe you need to learn more about this and maybe you can add to it...
- d. Very important for the [institution] to continue to be persistent in making sure that that new superintendents know about it, that they are familiar and that they have the necessary support to carry through
- e. Important part, for the [institution] to make sure that the instrument really is institutionalized in all school districts and that would require that we do or coordinate or we make sure that it happens
- f. Principals are going to be expected to produce. The burden has shifted, in this process, which I think is wonderful, to the building level principal...show me this has happened in your

school...Show me how this is being implemented in the classroom with your teachers...show me how it's impacting what you're doing in the classroom

- g. It takes a lot of time (evaluation process), if you're going to do the evaluation process right
- h. Requires all kinds of artifacts for principals to present. So I think that that will take us to a better place
- i. The artifacts and some of the pieces of information are different from just having a school improvement plan

For Research Question 3, there was one Secondary Finding. This is listed below followed by the supporting statements.

1. Improving the Learning Environment

- a. The creation of more authentic learning environments as we evolve that it tends to attract smarter teachers and administrators because there's authentic adult learning is required
- b. How is a 21st century executive responsible for facilitating professional learning communities and modeling professional learning communities so the instruction remains at the heart of a school

Research Question 3 had one comment categorized as an Outlier. This is listed below:

1. All this requires, for it to be effective, is follow-up and perseverance

Research Question 4 includes a total of 35 responses categorized as primary, secondary, or outlier findings. The researcher further categorized within the primary and secondary findings. The four Primary Findings are:

1. Increasing Principal Effectiveness
2. Evaluating Principals
3. Preparing and Supporting Principals
4. Improving Student Outcomes

There were no Secondary Findings for Research Question 4 and four Outliers.

Primary Findings Research Question 4

Among the four Primary Findings, there is a high degree of agreement among the participants that the overall perception of the perceived impact of the 2006 NCSEE will be in areas related to enhancing the effectiveness of principals, the evaluation of principals, and the preparation of principals. In addition, there were primary findings to support the perception that the new standards will have a positive impact on improving student outcomes. Below is a summary of these findings listed by each of the four categories of the Primary Findings.

Increasing Principal Effectiveness emerged as a primary finding with participants making statement such as, “The instrument helps principals be more effective principals,” and that “The Standards could actually transform school leadership.” Another participant commented that the new standards would result

in having “High performing administrators and our schools will be functioning at the highest level.”

The category, *Evaluating Principals*, illustrates the participants’ perceptions of how significant the new standards will be in the process used to evaluate principals. One participant said, “(The standards will lead to) having an outcome based performance system in which we clearly articulated what it was we expected people (principals) to know and to do.” While another said, “As we arrive at a P20 (pre-school through college senior) data system in North Carolina my greatest hope is that data is going to track not just teacher performance but principal performance aligned back to standards for both.”

The third category of Primary Findings, *Preparing and Supporting Principals*, had the highest number of responses from the participants and illustrates their perceptions of the impact the new standards should have on university and school system development of school leaders. For instance, one participant said, “(The standards should) be transformational for our Colleges of Education, specifically the Educational Leadership program and the way they approach preparing principals.” Another commented that, “To me this is a sea change...significantly changing the MSA program is for the better and I think it has the potential to do that.” As related to the support from the local school system, one participant responded by saying it should, “(The standards) change the way superintendents and their HR directors would look at the preparation process.”

Improving Student Outcomes emerged as a primary finding for Research Question 4 as well. One participant remarked that, “So it’s, sort of, backward mapping from the ultimate conversation that was around 21st century skills (for students first, now principals),” while another stated that, “Every school would have a principal that recognizes that children can learn.”

Secondary Findings and Outliers Research Question 4

There were no Secondary Findings for Research Question 4. Of the 35 total responses to Research Question 4, four responses were identified as Outliers. The range of these responses included from, “(The standards would be) a process that would be meaningful to the principals,” to “How can we make this something we can live with that does have potential to be positive without having it be something we absolutely cannot live with.”

Research Question 4 states, “What are the overall perceptions of what the 2006 North Carolina Standards for School Executives would accomplish?” The four Primary Findings are listed below followed by their supporting comments.

1. Increasing Principal Effectiveness

- a. That the instrument helps principals be more effective principals
- b. Have high performing administrators and our schools will be functioning at the highest level
- c. A shot at real and significant reform in school administration
- d. The Standards could actually transform school leadership

- e. Will have very effective school leaders...the kind of school leaders in place that we need to transform the public schools
- f. Helps people know how to focus their job

2. Evaluating Principals

- a. Be an effective evaluation tool
- b. As we arrive at a P20 data system in North Carolina my greatest hope is that data is going to track not just a teacher performance but principal performance aligned back to standards for both
- c. Standards would be turned into a multi media strategy on the Internet so that like what's done in pharmaceuticals and medicine and in other areas that are highly certificated that people have to be continually assessed...that they become very present
- d. Have an outcome based performance system in which we clearly articulated what it was we expected people to know and to do
- e. If we had enough guts as educators to really have honest conversations about performance and to say to people, kind of like using a business model where you're coached every six months, here's what you need to do next or here's what you can do better...

- f. If we, as educators, had enough guts to really embrace a coaching model and provide the professional development that people need to keep going, then the Standards have the potential to transform how we do it and cause a sea change. so this was a means to an end in my opinion and I think that that was their (State Board) goal... was to say that we've got good leadership in place, we're developing the leaders, we're recruiting the leaders, we're rewarding the leaders on the things that they do that get these kids to where they need to be in the 21st century
- g. Used by everybody and consistently throughout the state
- h. Be a different journey of coaching that would be going on supervisor to principal
- i. A consensus on these (standards) and would be vested by the various stakeholders

3. Preparing and Supporting Principals

- a. Change the way we would prepare and develop school administrators
- b. Change the way superintendents and their HR directors would look at the preparation process

- c. Be transformational for our Colleges of Education, specifically the Education Leadership program and the way they approach preparing principals
- d. There would be improvements in strengthening our programs (iHE)
- e. Focus on training and development
- f. Regional Academy...I see as a model for doing this (training and development)
- g. What does it take for leaders to want to hire the teachers to do that and to manage effectively communities...all those skill sets that are different than just the old school boss/management kind of stuff...everything from savvy technology to appreciation of international context...
- h. To me this is a sea change...significantly changing the MSA program is for the better and I think it has the potential to do that
- i. For the standards and system to reflect the true needs of what school leaders need to be for 21st century schools
- j. Have differentiated leadership roles for principals in the state....we could have a two pathway system...university will look at those Standards and say we want to have a dual coursework for principals...tied in to a career

advancement...someone moving in the operations area then there's associate superintendents' availability

- k. If you are strategic in your thinking...focused on Succession Planning...highly selective in terms of approving candidates that's a lot of the job
- l. Will get to the place sooner that people really understand that one person really cannot have all of that expertise

4. Improving Student Outcomes

- a. The hopes of the (State) board were that you can talk about students (21st Century Students) as your deliverable or your product in raising that standard
- b. So it's, sort of, backward mapping from the ultimate conversation that was around 21st century skills (for students first, now principals)
- c. Every school would have a principal that recognizes that children can learn
- d. Be a focus on improving student achievement

Research Question 4 had no Secondary Findings. There were four

Outliers as listed below:

- 1. A process that would be meaningful to the principals
- 2. (Principals) communicate to its publics the good things about public schools

3. Finish them before I was ninety-eight
4. How can we make this something we can live with that does have potential to be positive without having it be something we absolutely cannot live with

Research Question 5 includes a total of 55 responses. All findings were categorized as either Primary or Outliers. The researcher further categorized within the Primary Findings. The Primary Findings categories are:

1. Limited or No Relationship or Reference
2. Some Relationship or Reference
3. Strong Relationship or Reference

There were no Secondary Findings for Research Question 4.

Primary Findings Research Questions 5

Among the three categories of Primary Findings, there is a high degree of agreement among the participants that there was limited or no relationship or reference to the previous North Carolina Principal Standards in the development of the 2006 NCSSE. Below is a summary of these findings listed by each of the five categories of the Primary Findings.

Within the category of *Limited or No Reference or Relationship* to the previous standards, there were 35 responses in this category. One participant said, "(I) don't recall a single time that anyone mentioned the 1996 Standards," while another remarked that, "The old Standards were fairly irrelevant and I don't

recall the committee giving much attention to them,” while another commented that, “In terms of did we consciously look at the Standards (1996), not at all.”

There were 12 responses with the category, *Some Relationship or Reference*. Among these was the comment that, “If you were to go from purely the language of the new Standards and the language of the old Standards you could probably achieve a fairly, I’d say, 85%-90% crosswalk between the two.” Another participant said, “If you looked, I mean look at the ISLLC Standards and these Standards... probably find stuff that’s similar.”

Only 2 responses were categorized as *strong Relationship or Reference* to the previous standards. One such response was, “When you lay the Standards that were done in 1996 or the Standards for previous school administrator programs versus the current Standards (2006) there are lots of similarities between them. So, like, you can lay the two sets of Standards for the programs down now side by side and you can go oh yes, you know, this is... but in terms of did we consciously look at the Standards (1996), not at all.”

Secondary Findings and Outliers Research Question 5

There were no Secondary Findings for Research Question 5. Of the 55 total responses to Research Question 5, 6 were categorized as Outliers. These primarily related to the void of statewide leadership for the implementation and support of the new standards. For example, one participant stated, that, “And at the Department (NC Department of Public Instruction), there is a void in School

Leadership. There's nobody paying attention to it. There is nobody in this state that worries about School Leadership 24/7."

Research Question 5 states, "What is the relationship of the 2006 North Carolina Standards for School Executives to any previous standards work?" The three Primary Findings and their supporting comments are listed below:

1. Limited or No Relationship or Reference

- a. Frankly I hadn't paid much attention to the old Standards
- b. The old Standards were fairly irrelevant and I don't recall the committee giving much attention to them
- c. I think the 90s Standards were much more the managerial standards
- d. Vision for the principal and the new Standards are very much the principals' as leaders of leaders (unlike old standards)
- e. I do not have enough knowledge on the prior Standards. What I heard were consistent reactions that the new Standards were a throw forward...people really thought that it aligned with a new type of a school and a new type of leader
- f. They were perceived as being weak and not being appropriate to the needs of 21st century schools
- g. They were mostly based upon ISLLC and they were mostly based around more theoretical constructs rather than around specific applications...that thinking was a part of what drove the

Standards to be more executive in their nature rather than just administrative

- h. They weren't strong enough to do the job for what schools need (principals) to be in this new century
- i. Moving increasingly to this whole notion of instructionally focused and what it means to lead versus manage
- j. What we really are measuring and holding folks accountable for is different
- k. The 1996 Standards were outdated. They had not been redone for a number of years so there were big gaps in it
- l. There'll be gaps in the new ones too, after a few years, so we'll have to certainly continue doing/looking at those and improving on them on a consistent basis
- m. Don't recall the 1996 Standards really being part of the discussion...part of the discussion were the Draft Standards that were developed by the Deans and Representatives...what was missing from those Draft Standards and what was added was the whole micro political area...innovation and technology.
- n. Don't recall a single time that anyone mentioned the 1996 Standards
- o. (New standards) certainly has more of an executive feel to it, which was the intent in terms of the Standard titles

- p. The Standard (new) titles send a message and are symbolic and feel different than obviously the Standard titles from the previous document and that was intentional
- q. The Standard around Strategic Leadership, Cultural Leadership and the Micro Political Leadership...were probably less obvious than the previous instrument... we've lifted those up as something that is worth paying attention to particularly the notion of Strategic Leadership...
- r. No, I don't think it (old standards) did
- s. I didn't find them (old standards) particularly intriguing one way or another
- t. The previous one for me was simply going through the motions
- u. They (1996) were very easily aligned with the National Standards. And so, you know when they were abandoned that really was not a major shock for our (IHE) programs
- v. It was an attempt to start fresh
- w. There was definitely a political climate where folks just wanted, just thought everything was broken and they just wanted to show they were taking charge and going to fix it all
- x. No there wasn't
- y. The Evaluation Standards (PEP) that the Board had for school administrators were not very good...reason they were not very

good is because instead of basing them...on what people (teachers, principals, central office staff) ought to know and be able to do they were based upon, the Board (State) strategic priorities (at the time) that were like, vision, effective and efficient operation, and so the Standards were written around those. So they didn't make sense

- z. I'm not sure that those instruments that were developed were really based on any Standards...I think they were, kind of, developed and validated but so the, what was on/in Board policy as the Standards for evaluation were poorly conceptualized
- aa. When we were doing these Standards, the new Standards for school administrators and ultimately for the preparation programs, we looked at the Standards that were in Board (State) policy and when we made the change we went into Board policy and deleted the old Standards that were focused on vision, effective and efficient operations and put in the new ones
- bb. The Standards (1996) that the Administrators' Board (NCSBPSA) did were never even looked at in this whole process
- cc. The other thing that's really different with these and the others is a whole notion of context...the (new) process here really puts

the onus much more on the evaluatee than it does the evaluator for getting a good evaluation

dd. I don't think we had...we didn't talk about those other ones.

ee. to be perfectly honest we didn't dwell a lot on the old Standards

ff. this was more of what I characterize as a fresh slate approach, which is to say what do we want not necessarily what can we do with these (1996) to make them better

gg. Old ones were not being enforced or used

hh. Built to some degree off the old ones but were substantially different from the old standards as they (2006) were based on the needed leadership skills for 21st century schools

ii. But in terms of did we consciously look at the Standards (1996), not at all

2. Some Relationship or Reference

a. If you were to go from purely the language of the new Standards and the language of the old Standards you could probably achieve a fairly, I'd say, 85%-90% crosswalk between the two

b. The real difference occurs in the elements and the indicators that come under the Standards...an easy comparison is you can see instructional leadership in virtually any set of Standards...typically don't see are what those elements and

- indicators are and what the kinds of artifacts that might exist where you would find the execution of instructional leadership
- c. ISLLC doesn't have that, ELCC doesn't have that but the NC Standards had that kind of, if you'll excuse the poor metaphor, "you're the meat on the bone"...that's a substantive difference is that there's more guidance in the new systems as to what it is we ought to be looking for than there was in the old Standards
 - d. Really do believe that it was an evolution (2006 Standards) more than a revolution
 - e. Didn't seem like such a shock because the conversation evolved before the actual move to an evaluation (new) instrument
 - f. Have to really refresh my memory back to 1996. But I think we grew into what was coming...that doesn't mean we were ready for it but I do think it was not new language to people necessarily
 - g. I don't know for sure, but I'm confident that they probably used the 1996 Standards as a way of determining what the Draft Standards should be
 - h. I had actually, I mean, I had been aware of them (previous standards) being developed at PEP
 - i. I don't know how those (1996 Standards) were developed...

- j. I don't know those school Standards well enough to speak (on them)
- k. If you looked, I mean look at the ISLLC Standards and these Standards... probably find stuff that's similar...
- l. Did we pay attention to the old Standards, yes, I mean, if there was stuff there that we liked we didn't want it to leave, if we needed it to be incorporated in the new stuff we paid attention to it. But in large measure, in large measure we took the approach of what does the research say about impactful leadership in the schoolhouse

3. Strong Relationship and Reference

- a. That is not something that I am even comfortable saying. I've not done my proper homework on that one...I do not know the answer but I would bet that they're built on the same... I would assume that if I pulled them out and started comparing them that they would be comparable but I don't know
- b. When you lay the Standards that were done in 1996 or the Standards for previous school administrator programs versus the current Standards (2006) there are lots of similarities between them. So, like, you can lay the two sets of Standards for the programs down now side by side and you can go oh yes,

you know, this is... but in terms of did we consciously look at the Standards (1996), not at all

There were no Secondary Findings for Research Question 5 and six Outliers as listed below:

1. Had that Board (NCSBPSA) still been in place, that they probably would have been the ones that did the Standards (2006 NCSSE) because a similar, kind of, thing happened with the teacher ones (NC Professional Teachers Standards Commission)
2. Had the School Administrator Board (NCSBPSA) still been in place they'd have turned them over there and said go do it. That's huge
3. And at the Department (DPI), there is a void in School Leadership. There's nobody paying attention to it. [name] knows that, [name] knows that...there is nobody in this state that worries about School Leadership 24/7
4. I mean, [name] and [name] probably do [they] are professional trade associations, there's nobody in a regulatory capacity, in the state of North Carolina that worries 24/7 about School Leadership
5. When J. B. Buxton was here there was discussion at one point about under [name] having, like an office of School Leadership that...,then J.B. left a change of leadership and different focuses...As important as School Leadership is there is nobody worrying about it 24/7

6. If you were to call the switchboard (DPI) and say I need to talk to somebody about School Leadership there's nobody to send it to. And that's a huge gap in this state

Summary

This study examined North Carolina's policy leader's most recent attempt in raising standards for school administrators through the creation of the 2006 North Carolina Standards for School Executives (NCSSE). The purpose of this study was to identify the perceived impact of the 2006 North Carolina Standards for School Executives on university preparation programs. The participants interviewed in this study included 13 of the 26 members or staff of the Ad Hoc Committee on School Administration. Participants perceived that the 2006 North Carolina Standards for School Executives would have a significant impact on university educational leadership preparation programs and practicing principals.

An analysis of all significant responses from the transcripts resulted in 20 categories of Primary Findings. Of the 20 categories, 6 categories directly related to the perceived impact on university preparation programs for educational leaders. They are: (1) Assessing Level of Anticipated Impact, (2) Changing Curriculum and Assessment, (3) Relating to Practitioner and Real-World Relevance, (4) Creating Alternative Licensing, (5) Driving Uniform Standards for Preparation Programs, and (6) Improving Preparation Programs (see Figure 1).

Three categories relate to supporting principals. Figure 1 indicates these categories designated in orange: (1) Developing Reflective Practitioners, (2) Mentoring and Support Systems, and (3) Preparing and Supporting Principals. Across the five research questions, the category, Evaluating Principals emerged three times – indicated in blue. Another category relating to professional development emerged twice, Providing Professional Development and Developing Professional Development (see purple designation in Figure 1).

Research Question Five, dealing with the relationship to previous standards generated three categories (see Figure 1 denoted in brown). Of the remaining 3 categories, 2 categories were related to increasing principal effectiveness, Enhancing Principal Leadership Skills and Behaviors and Increasing Principal Effectiveness (denoted in green in Figure 1), and one related to Improving Student Outcomes (designated in black in Figure 1).

Conclusions and recommendations are included in chapter 5. Conclusions and recommendations relate to the impact of the 2006 NCSSE on university preparation programs for educational leaders and practicing principals. Specifically, these conclusions and recommendations suggest improving preparation and practice in areas such as: curriculum changes and assessment, professional development, support systems, evaluation processes, and increasing principal effectiveness.

KEY**Red - Perceived Impact on University Preparation Programs****Blue - Evaluating Principals****Orange - Supporting Principals****Green - Increasing Principal Effectiveness****Purple - Professional Development of Principals****Black - Improving K-12 Student Outcomes****Brown - Relationship to Previous Standards**

RQ1	RQ2	RQ3	RQ4	RQ5
Assessing Level of Anticipated Impact	Developing Reflective Practitioners	Enhancing Principal Leadership Skills and Behaviors	Increasing Principal Effectiveness	No or Limited Relationship or Reference
Changing Curriculum and Assessment	Providing Professional Development	Improving Preparation Programs	Evaluating Principals	Some Relationship or Reference
Relating to Practitioner and Real-World Relevance	Mentoring and Support Systems	Developing Professional Development	Preparing and Supporting Principals	Strong Relationship or Reference
Creating Alternative Licensing	Evaluating Principals	Evaluating Principal	Improving K-12 Student Outcomes	
Driving Uniform Standards for Preparation Programs				

Figure 1. Summary of the primary findings categories.

CHAPTER 5: CONCLUSIONS AND RECOMMENDATIONS

This chapter presents the conclusions and recommendations on the perceived impact of the 2006 North Carolina Standards for School Executives on university educational leadership preparation programs and practicing principals. Based upon research collected through interviews with thirteen leaders who served on the North Carolina State Board of Education, Ad Hoc Committee on School Administration, the anticipated impact of the new standards can be described as significant. Initially, the researcher notes the relevance of the findings of this study to related literature and the North Carolina context for contemporary standards for principals. These related conclusions are presented as: implications for higher education, implications for policy makers, implications for the private sector and professional organizations, and implications for practicing principals.

Implications for Higher Education

The National Commission on Excellence on Educational Administration (NCEEAA) made a number of recommendations in the mid 1980s specific to the design of educational leadership preparation programs (University Council for Educational Administration, 1987, p. 19). A strand for principal preparation programs included in the recommendations was “the study of administration.” While in 1987 the discussion was about the need for future principals to understand the theory and practice of administration, the contemporary language and focus has turned to the study of leadership theory and practice. An evidence

in the 2006 North Carolina Standards for School Executives is the use of leadership in each of the seven standards. More compelling was the pervasive perspective of all participants that these standards represent a major shift for principals from a focus on effectively performing managerial tasks to demonstrating 21st century leadership behaviors. In fact, this perspective resulted in a significant shift in the language of the previous standards where all references to principal have been replaced by “school executive.” This notion was reported as a non-negotiable by several leading members of the Ad Hoc Committee on School Administration and was one which appears not to have resonated well with many practitioners due in part to the very nature of the larger organizational constraints on this position.

Findings and recommendations of the NCEEA also included recommendations for university professors (University Council for Educational Administration, 1987, pp. 20-21). Central to these recommendations was the desirability for preparation programs to emulate other professional school models linking theory, knowledge, and clinical practice. Twenty years later, the debate related to this recommendation remains and while little attention was paid to addressing this model during the development of the new standards, it emerged again as a strong recommendation from the Ad Hoc Committee. A potential barrier to incorporating such models in the public universities of North Carolina, as perceived by an interview participant, is the existing Full Time Equivalency

(FTE) funding formula and its application. The FTE funding model generates revenue based on student enrollment.

More recently, the Southern Regional Education Board (SREB) issued recommendations related to principal preparation program standards. Among the recommendations was to promote state policies that shift from episodic improvement to deep changes in the redesign of principal preparation to produce effective leaders and increased urgency for this redesign. SREB also discussed the need for principal preparation to address the impact on the needs of schools and student achievement (SREB, 2006, p. 79). Consistent with the SREB recommendations, this study found that deep change, urgency, and a focus on improving student achievement were central to the development of the North Carolina standards. In addition to the development of the new standards, the Ad Hoc Committee's recommendations resulted in new legislation in 2007, HB (House Bill) 536, which required the university educational leadership programs to align preparation with the 2006 NCSSE. Improving student achievement, while explicitly emerging as only 1 of 20 categories of Primary Findings in this study, was a primary motivator for the development of the 2006 NCSSE, a guiding belief of the standards, as well as a required element within each of the seven standards.

Implications for Policymakers

The 1987 recommendations of NCEE suggested that each state establish an administrative licensure board for school administrators. The

purpose of each board would be to establish standards, examine candidates, and issue licenses. Boards would also have the authority to revoke licenses (University Council for Educational Administration, 1987, pp. 25-29). An early response in North Carolina was the 1994 legislatively created North Carolina Standards Board for Public School Administration (NCSBPSA). This board established and implemented the first set of contemporary standards for North Carolina principals and superintendents. The NCSBPSA also made recommendations which were adopted by the State Board of Education as the state process for candidate examination and licensing. While the NCSBPSA was dissolved in 2001, the need for such a board or other entity to provide leadership and oversight of school executives' standards emerged as a recommendation of this study. The need to re-institute this, or create a similar board with corresponding authority and accountability, was voiced by a number of the participants in this study. A 2010 North Carolina Standards Board for School Executives would fill the current void for a sustained and substantive voice for the continuous improvement of preparation and ongoing development of school executives – a voice that this study found currently does not exist.

Implications for Private Sector and Professional Organizations

While the literature suggests implications for private sector and professional organizations relative to improving principal preparation, this study found only limited connection and that connection was limited to the areas of developing and providing professional development. There is a potential place for

professional organizations in North Carolina to become involved in the induction, mentoring, and ongoing professional development of principals.

Implications for Practice: Standards for Principals

Among the foundational work done on contemporary principal standards were the 21 domains defined by the National Commission on the Principals in 1990. A major outcome of this commission was the identification of the “core of what principals must know and be able to do” (NPBEA, 1993). These domains and the work of the commission influenced the early initiatives to develop contemporary principal standards in North Carolina. The 1996 North Carolina Standards and the 1996 ISLLC Standards, approved simultaneously, were well grounded in the research of the commission. While the Ad Hoc Committee on School Administration did not review or consider the previously existing standards for North Carolina (1996 NCSBPSA Standards), there was a shared view among several participants that if the 2006 NCSSE were to be compared to the 1996 Standards there would be a substantial correlation across the two sets of standards. This study found that this recent statewide process to create new principal standards was initiated and concluded with little if any review of the current or established standards for principals.

Much like the commission’s 1993 findings related to preparation programs needing a “serious overhaul” (NPBEA, 1993), this study found that among the primary motivations for the 2006 NCSSE was a pervasive perception by the state’s policy leaders that the North Carolina university preparation programs

needed an overhaul to match the needs of schools and students in the 21st century. Based upon the predictability of ever changing circumstances in the global economy and the public policy arena, it is reasonable to assume within the next five to ten years another call for a “serious overhaul” of standards and revamping university preparation programs is foreseeable. North Carolina needs to be positioned to have an established protocol to address such concerns in a systematic manner which will be based on data and supported by the best available research.

Based upon the review of the literature, the foundation work presented in *Leaders for America's Schools: The Report of the National Commission on Excellence in Educational Administration* in 1987, and the subsequent creation of the National Policy Board for Educational Administration, the stage was set for North Carolina's pursuit of contemporary standards for school principals. North Carolina's legislation of 1991 and the resulting recommendations of the 1993 North Carolina Educational Leadership Task Force led to the creation of the fully independent North Carolina Standards Board for Public School Administration in 1994. In 1996, the NCSBPSA: Standards for School Leaders were adopted as the first set of contemporary principal standards in North Carolina. While independent standards, these new North Carolina standards were developed to be purposefully aligned with the 1996 ISLLC Standards. The second generation of North Carolina principal standards was developed by the NC State Board of Education Ad Hoc Committee on School Administration and was approved by the

North Carolina State Board of Education on December 7, 2006. This study found there remains a great deal of importance placed on the role standards play in university preparation programs and practice. Further, additional attention to the impact of the changing environment and needs of students necessitates a responsive and relevant university preparation program and ongoing professional development and support systems to cultivate school leaders well into the 21st century. Effective evaluation processes based upon standards requires an appropriate balance between assessing performance for continuing employment and supporting ongoing professional growth of practicing school leaders. Finally, student achievement is a driver that should be central to the discussion of what constitutes an effective school leader.

Conclusions

There are thirteen conclusions listed below. While there were a number of conclusions with direct links to the literature (as described earlier in this chapter), the following conclusions relate more to the North Carolina context. While more relevant to North Carolina, other states may find these conclusions instructive in taking on a similar task.

1. Central to the context of the contemporary standards movement for school leaders was the theme that the overarching purpose of the standards was to assure all school leaders possessed the necessary knowledge, skills, and attributes to effectively lead schools and their communities in creating school environments where all students

achieve at high levels. The 2006 NCSSE process is no exception as throughout the study participants frequently referenced that the bottom line intent of the new standards was to increase student achievement by all students.

2. The 2006 NCSSE, in association with the state's new teacher's standards, university preparation programs for educational leader's standards, and the new standards for superintendents, has resulted in a closely aligned set of standards for professional practice in the 21st century. This is the first time in the state's history that an aligned set of standards and common language around expectations for professional practice exists.
3. The primary driver for the creation of the 2006 NCSSE was a pervasive perception by state policymakers that many school principals were ill-equipped to effectively lead schools into the 21st century.
4. Consistent with this view, policymakers also perceived an ineptness and unwillingness of the university principal preparation programs to transform their curriculum and programs to meet the responding needs of emerging school leaders and their school communities.
5. While the need for rigorous and relevant standards for school administrators is beyond question, the development and implementation of new standards outside of a larger systemic plan for a corresponding evaluation system, professional development

program, ongoing support and mentoring system, resource plan, and implementation oversight for the integrity and accountability of the new standards creates a fragmented and at best a hit and miss approach.

6. While North Carolina had been recognized as a national pacesetter in the development of contemporary standards for school administrators and educational leadership programs as a result of the work of the NC Standards Board for Public School Administrators in 1996, the process for creating the new standards did not include a review of these previously existing standards for potential transferability or lessons learned. A thorough and comprehensive evaluation of these previously existing standards had never been undertaken by the state or other entity to assess its impact on university preparation programs or principal performance.
7. As a consequence of rushing the implementation of the new standards and with limited state resources, the readiness in the field for a full and robust implementation suffered. In addition, the decision to close the Principals Executive Program (PEP) left a void in principal development programs. The loss of this resource - PEP – eliminated a potential strategy to assist in multiple aspects of the implementation and ongoing improvement of the new standards process.
8. There are potential conflicts within the stated intended purposes of the standards and the principal's evaluation process. One such potential

conflict is that the standards are stated to be a guide for professional development and not a “gotcha” type evaluation tool. However, it was clear by comments of multiple participants that the evaluation instrument should be used to identify ineffective leaders. Furthermore, it was stated that if a principal received a high evaluation and the school had low student achievement that the evaluation had been inappropriately applied. Stated differently, the evaluation instrument that was generated around the standards focuses on leadership development versus overall school results. North Carolina remains a high stakes accountability state, yet created a principal evaluation instrument that doesn’t align with high stakes accountability.

9. A second conflicting statement is the clearly stated belief that “no one person can do it all,” yet, the standards and related evaluation instrument will hold the school executive ultimately responsible for achieving “it all” within the seven standards.
10. Part of the genesis of the 2006 Standards movement was to create standards to open the door for alternative licensure for principal development of non-university or non-degree granting entities or programs.
11. The implementation of the new standards are intended to lead to an increased level of uniformity in the performance of pre-service

principals as evidenced by the electronic portfolio that will be used to evaluate the effectiveness of university preparation programs.

12. There is a necessity for school district and university collaboration in the preparation and support for beginning school leaders based on real work experiences and internship experiences.

13. While the 2006 North Carolina Standards for School Executives include 7 standards: Strategic Leadership; Instructional Leadership; Cultural Leadership; Human Resource Leadership; Managerial Leadership; External Development Leadership; and Micropolitical Leadership; and the July 1996 North Carolina Standards Board for Public School Administration Standards include 10 standards: Vision; Learning; Climate; Professional Ethics; Collaboration and Empowerment; School Operations; Human Relationships; Development of Self and Others; Information Management, Evaluation, and Assessment; and Continuous Improvement, a comparison of the two sets of standards and accompanying descriptions, reveals a high degree of alignment between the two generations of North Carolina standards. While the Ad Hoc Committee indicated that they did not review the 1996 Standards, their set showed little new in what was determined 14 years ago. Another approach might have been to look at existing standards to determine if they remain relevant.

Recommendations

The following recommendations relate to the findings and conclusions of this study and include potential areas for action. Further study may relate to any number of aspects relevant to contemporary principal standards. In the North Carolina context, further study could examine issues concerning the implementation of the 2006 NCSSE, implementation of the North Carolina Principal Evaluation Process, and implementation of the new principal preparation programs in North Carolina – both within the university system and outside the system.

1. Establish a North Carolina Standards Board for Public School Executives similar to the North Carolina Professional Teaching Standards Board or establish a senior level leadership position at DPI to provide ongoing program evaluation and implementation oversight to the standards and program implementation.
2. Develop and implement an evaluation model to assess at a minimum the impact of the new standards on: (1) university preparation programs (public and private), (2) impact on practicing principals, (3) impact on the principal evaluation process and results, and (4) the fidelity of the university implementation of the new pre-service rubrics and quality of graduates placed into leadership assignments, etc.
3. Develop and fund a collaborative (DPI, professional associations, etc.) statewide professional development strategy to support assistant

principals, new principals, and principals across the range of performance from developing to distinguished in each of the seven standards.

4. Assess university barriers to innovation on creating robust and flexible preparation programs for both degree and non-degree candidates and eliminate or revise related policies and procedures to eliminate or reduce these barriers while also enhancing incentives for universities to establish high quality programs and results.
5. Engage school and school based leaders in developing a monitoring system for the implementation of the new evaluation instrument with school leaders including assistant principals, principals, and superintendents with the expressed purpose of assuring the continuous improvement of the evaluation system processes, procedures, and timeline.
6. Based upon the predictability of ever changing circumstances in the global economy and the public policy arena, it is reasonable to assume within the next five to ten years another call for a “serious overhaul” of standards and revamping university preparation programs, North Carolina needs to be positioned to have an established protocol to address such concerns in a systematic manner beginning with a data system on the current standards for school leaders.

7. Future standards work should begin with a comprehensive review and evaluation of all existing standards, and preparation programs to determine if: (1) the standards are the correct ones and, (2) if they made any difference based on their intended outcomes for preparation programs, school leaders practice, and student achievement.
8. If improving student achievement is indeed the urgent imperative now and in the future for schools, assure teacher, assistant principal, principal, central office, and superintendent evaluation systems are a fully aligned evaluation system that is directly linked and leads to increased student achievement and success. Build into the standards and evaluation system those indicators which are correlated to student achievement.

Summary

The quest for identifying and implementing contemporary standards for school leaders has been and will continue to be a matter of primary interest and responsibility of educational leaders and stakeholders of the public education system. It remains essential that current and future state leaders create a system for the continuous review and improvement of contemporary standards to meet the ever changing demands of a global economy. This process should be non-episodic, transparent, and based upon current research and best practices which are predicated upon success for all students.

Recognizing the desirable and inherent interrelationship of preparation programs and practice, all future revisions to standards governing the preparation, licensing, and evaluation of school leaders and teachers, should be undertaken simultaneously and systemically. Similarly, the development of revised standards should not stop with the standards themselves but rather should assure the needed evaluation system, professional development, implementation, and resources allocations are available at the onset of the process.

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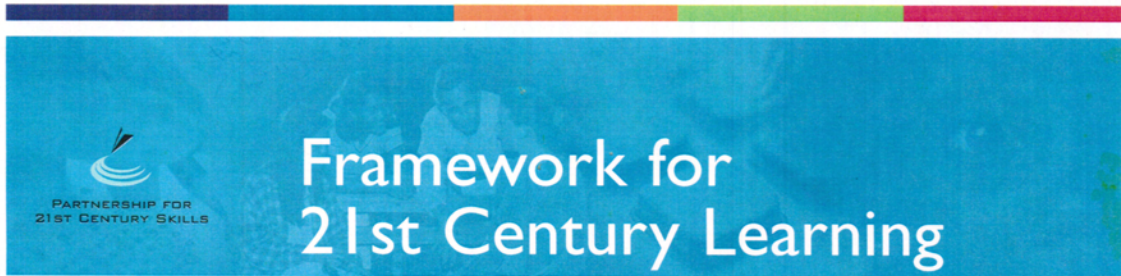
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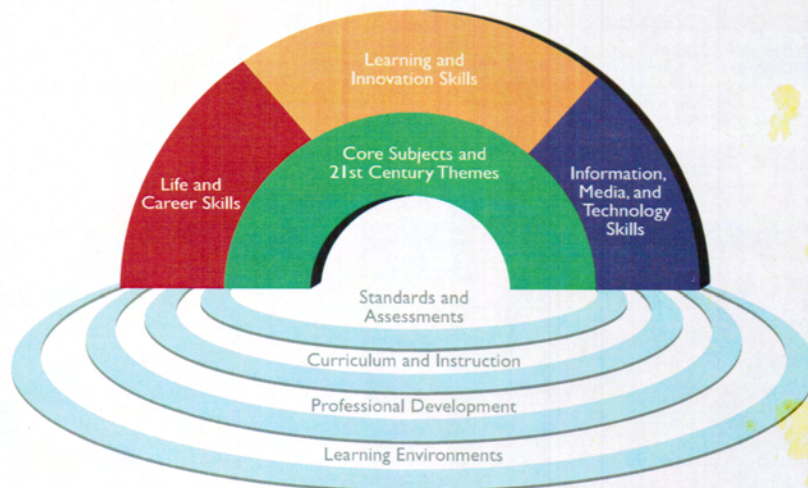
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APPENDIX A: PARTNERSHIP FOR 21ST CENTURY SKILLS: FRAMEWORK FOR 21ST CENTURY LEARNING



The Partnership for 21st Century Skills has developed a vision for 21st century student success in the new global economy.

21st Century Student Outcomes and Support Systems



21ST CENTURY STUDENT OUTCOMES

The elements described in this section as “21st century student outcomes” (represented by the rainbow) are the skills, knowledge and expertise students should master to succeed in work and life in the 21st century.

The Partnership for 21st Century Skills has developed a unified, collective vision for 21st century learning that will strengthen American education. The Partnership created the Framework for 21st Century Learning, which describes the skills, knowledge and expertise students must master to succeed in work and life. Only when a school or district combines the framework with 21st century professional development, assessments and standards, can the American public be sure that high school graduates are prepared to thrive in today’s global economy.

21st century skills represent the necessary student outcomes for the 21st century, i.e. students need to obtain Learning and Innovation Skills (creativity and innovation, critical thinking and problem solving, etc.), Information, Media and Technology Skills, Core Subjects and 21st Century Themes (global awareness, financial literacy, etc.) and Life and Career Skills (initiative and self-direction, among others) – the colored parts of the rainbow.

Publication date: 1/2/09

Core Subjects and 21st Century Themes

Mastery of **core subjects and 21st century themes** is essential for students in the 21st century. Core subjects include English, reading or language arts, world languages, arts, mathematics, economics, science, geography, history, government and civics.

We believe schools must move beyond a focus on basic competency in core subjects to promoting understanding of academic content at much higher levels by weaving **21st century interdisciplinary themes** into core subjects:

- **Global Awareness**
- **Financial, Economic, Business and Entrepreneurial Literacy**
- **Civic Literacy**
- **Health Literacy**

Learning and Innovation Skills

Learning and innovation skills are what separate students who are prepared for increasingly complex life and work environments in the 21st century and those who are not. They include:

- **Creativity and Innovation**
- **Critical Thinking and Problem Solving**
- **Communication and Collaboration**

Information, Media and Technology Skills

People in the 21st century live in a technology and media-driven environment, marked by access to an abundance of information, rapid changes in technology tools and the ability to collaborate and make individual contributions on an unprecedented scale. To be effective in the 21st century, citizens and workers must be able to exhibit a range of functional and critical thinking skills, such as:

- **Information Literacy**
- **Media Literacy**
- **ICT (Information, Communications and Technology) Literacy**

Life and Career Skills

Today's life and work environments require far more than thinking skills and content knowledge. The ability to navigate the complex life and work environments in the globally competitive information age requires students to pay rigorous attention to developing adequate life and career skills, such as:

- **Flexibility and Adaptability**
- **Initiative and Self-Direction**
- **Social and Cross-Cultural Skills**
- **Productivity and Accountability**
- **Leadership and Responsibility**

21ST CENTURY SUPPORT SYSTEMS

Developing a comprehensive framework for 21st century learning requires more than identifying specific skills, content knowledge, expertise and literacies. An innovative support system must be created to help students master the multi-dimensional abilities required of them in the 21st century. The Partnership has identified five critical support systems that ensure student mastery of 21st century skills:

- **21st Century Standards**
- **Assessments of 21st Century Skills**
- **21st Century Curriculum and Instruction**
- **21st Century Professional Development**
- **21st Century Learning Environments**

For more information, visit the Partnership's website at www.21stcenturyskills.org.



Member Organizations

- Adobe Systems, Inc.
- American Association of School Librarians
- Apple
- ASCD
- Atomic Learning
- Blackboard, Inc.
- Cable in the Classroom
- Cisco Systems Inc.
- Corporation for Public Broadcasting
- Davis Publications Inc.
- Dell, Inc.
- Discovery Education
- EF Education
- Education Networks of America
- Educational Testing Service
- Ford Motor Company Fund
- Gale, Cengage Learning
- Hewlett Packard
- Intel Corporation
- JA Worldwide®
- K12
- KnowledgeWorks Foundation
- Learning.com
- Learning Point Associates
- LEGO Group
- Lenovo
- McGraw-Hill
- Measured Progress
- Microsoft Corporation
- National Education Association
- Oracle Education Foundation
- Pearson
- PolyVision
- Scholastic Education
- Sesame Workshop
- THINKronize
- Verizon
- Wireless Generation

APPENDIX B: 2006 NORTH CAROLINA STANDARDS FOR SCHOOL EXECUTIVES

North Carolina Standards for School Executives

*As Approved by the State Board of Education
December 7, 2006*

A New Vision of School Leadership

Public education's changed mission dictates the need for a new type of school leader – an executive instead of an administrator. No longer are school leaders just maintaining the status quo by managing complex operations, but just like their colleagues in business, they must be able to create schools as organizations that can learn and change quickly if they are to improve performance. Schools need executives who are adept at creating systems for change and at building relationships with and across staff that not only tap into the collective knowledge and insight they possess but powerful relationships that also stir their passions for their work with children. Out of these relationships the executive must create among staff a common shared understanding for the purpose of the work of the school, its values that direct its action, and commitment and ownership of a set of beliefs and goals that focus everyone's decision making. The staff's common understanding of the school's identity empowers them to seek and build powerful alliances and partnerships with students, parents and community stakeholders in order to enhance their ability to produce increased student achievement. The successful work of the new executive will only be realized in the creation of a culture in which leadership is distributed and encouraged with teachers, which consists of open, honest communication, which is focused on the use of data, teamwork, research-based best practices, and which uses modern tools to drive ethical and principled, goal-oriented action. This culture of disciplined thought and action is rooted in the ability of the relationships among all stakeholders to build a trusting, transparent environment that reduces all stakeholders' sense of vulnerability as they address the challenges of transformational change.

Philosophical Foundations of the Standards

The standards are predicated on the following beliefs:

- ✳ Today schools must have proactive school executives who possess a great sense of urgency.
- ✳ The goal of school leadership is to transform schools so that large-scale, sustainable, continuous improvement becomes built in to their mode of operation.

- ✳ The moral purpose of school leadership is to create schools in which all students learn, the gap between high and low performance is greatly diminished and what students learn will prepare them for success in their futures, not ours.
- ✳ Leadership is not a position or a person. It is a practice that must be embedded in all job roles at all levels of the school district.
- ✳ The work of leadership is about working with, for and through people. It is a social act. Whether we are discussing instructional leadership, change leadership or leadership as learning, people are always the medium for the leader.
- ✳ Leadership is not about doing everything oneself but it is always about creating processes and systems that will cause everything to happen.
- ✳ Leadership is about the executive's ability to select and develop a strong executive staff whose complementary strengths promote excellence in all seven functions of leadership identified in this document.
- ✳ The concept of leadership is extremely complex and systemic in nature. Isolating the parts of leadership completely misses the power of the whole. It is not just knowing what to do, but why to do it, how to do it and when to do it.
- ✳ Within a school district there are nested leadership systems (local boards of education, central office, school, and classroom). For the organization to be successful these systems must be aligned and supportive, and function as a team.
- ✳ Leadership is about setting direction, aligning and motivating people to implement positive sustained improvement.
- ✳ Leaders bring their "person" to the practice of leadership. Matching the context of leadership to the "person" of the individual is important to the success of the leader.

Intended Purposes of the Standards

The North Carolina School Executive Standards have been developed as a guide for principals and assistant principals as they continually reflect upon and improve their effectiveness as leaders throughout all of the stages of their careers. Although there are many influences on a school executive's development, these standards will serve as an important tool for principals and assistant principals as they consider their growth and development as executives leading schools in the 21st century. Taken as a whole these standards, practices and competencies are overwhelming. One might ask, "How can one person possess all of these?" The answer is, one person cannot. It is, therefore, imperative that a school executive understands the importance of building an executive team that has complementary skills. The more diversity that exists on the team the more likely the team will be to demonstrate high performance in all critical function areas. The main responsibility of the school executive is to create aligned systems of leadership throughout the school and its community.

In addition, these standards will serve other audiences and purposes. These standards will:

- ✳ Inform higher education programs in developing the content and requirements of school executive degree programs;
- ✳ Focus the goals and objectives of districts as they support, monitor and evaluate their school executives;
- ✳ Guide professional development for school executives;
- ✳ Serve as a tool in developing coaching and mentoring programs for school executives.

Organization of the Standards

Each standard is formatted as follows:

- ✳ **Standard:** The standard is the broad category of the executive's knowledge and skills.
- ✳ **Summary:** The summary more fully describes the content and rationale of each Standard.
- ✳ **Practices:** The practices are statements of what one would see an effective executive doing in each Standard. The lists of practices are not meant to be exhaustive.
- ✳ **Artifacts:** The artifacts are evidence of the quality of the executive's work or places where evidence can be found in each Standard. Collectively they could be the components of a performance portfolio. The lists of artifacts are not meant to be exhaustive.

- ✳ **Competencies:** Although not articulated, there are many obvious competencies inherent in the practices of each critical leadership function. This document concludes with a list of those competencies which may not be obvious but that support practice in multiple leadership functions.

The Seven Standards of Executive Leadership and Their Connection

Relevant national reports and research in the field focused on identifying the practices of leadership that impact student achievement were considered in the development of these standards. Particularly helpful were the Maryland Instructional Leadership Framework, and work by the Wallace Foundation, the Mid-continental Regional Education Laboratory, the Charlotte Advocates for Education and the Southern Regional Education Board. Work by the National Staff Development Council, the National Association of Secondary School Principals, the National Association of Elementary School Principals, the National Middle School Association, the Interstate School Leader Licensure Consortium, and the National Policy Board for Educational Administration Education Leadership Constituent Council were also considered in the development of these standards. Additionally, input was solicited from stakeholders and leaders in the field.

The seven critical standards used as the framework for the North Carolina School Executive Standards are borrowed from a Wallace Foundation study, *Making Sense of Leading Schools: A Study of the School Principals* (2003). Unlike many current efforts that look at all of the things principals "might" or "should" do, this study examined what principals actually do. As such, it is grounded in practice, exploits story and narrative, and supports the distribution of leadership rather than the "hero leader."

North Carolina's Standards for School Executives are interrelated and connect in executives' practice. They are not intended to isolate competencies or practices. Executives' abilities in each standard will impact their ability to perform effectively in other standard areas. For example, the ability of an executive to evaluate and develop staff will directly impact the school's ability to reach its goals and will also impact the norms of the culture of the school. School executives are responsible for ensuring that leadership happens in all seven critical areas, but they don't have to provide it.

The standards and their practices follow.

Standard 1: Strategic Leadership

Summary: School executives will create conditions that result in strategically re-imagining the school's vision, mission, and goals in the 21st century. Understanding that schools ideally prepare students for an unseen but not altogether unpredictable future, the leader creates a climate of inquiry that challenges the school community to continually re-purpose itself by building on its core values and beliefs about its preferred future and then developing a pathway to reach it.

Practices: The school executive practices effective strategic leadership when he or she:

- ☞ Is able to share a vision of the changing world in the 21st century that schools are preparing children to enter;
- ☞ Systematically challenges the status quo by leading change with potentially beneficial outcomes;
- ☞ Systematically considers new ways of accomplishing tasks and is comfortable with major changes in how processes are implemented;
- ☞ Utilizes data from the NC Teacher Working Conditions Survey in developing the framework for continual improvement in the School Improvement Plan;
- ☞ Is a driving force behind major initiatives that help students acquire 21st century skills;
- ☞ Creates with all stakeholders a vision for the school that captures peoples' attention and imagination;
- ☞ Creates processes that provide for the periodic review and revision of the school's vision, mission, and strategic goals by all school stakeholders;
- ☞ Creates processes to ensure the school's identity (vision, mission, values, beliefs and goals) actually drive decisions and inform the culture of the school;
- ☞ Adheres to statutory requirements regarding the School Improvement Plan;
- ☞ Facilitates the collaborative development of annual school improvement plans to realize strategic goals and objectives;
- ☞ Facilitates the successful execution of the school improvement plan aligned to the mission and goals set by the State Board of Education;
- ☞ Facilitates the implementation of state education policy inside the school's classrooms;
- ☞ Facilitates the setting of high, concrete goals and the expectations that all students meet them;
- ☞ Communicates strong professional beliefs about schools, teaching, and learning that reflect latest research and best practice in preparing students for success in college or in work;
- ☞ Creates processes to distribute leadership throughout the school.

Artifacts:

- ☞ Degree to which school improvement plan strategies are implemented, assessed and modified
- ☞ Evidence of an effectively functioning, elected School Improvement Team
- ☞ NC Teacher Working Conditions Survey
- ☞ School improvement plan, its alignment with district and state strategic priorities, and a plan for growth on items of concern as evidenced in the NC TWC Survey
- ☞ The degree to which staff can articulate the school's direction and focus
- ☞ Student testing data

Standard 2: Instructional Leadership

Summary: School executives will set high standards for the professional practice of 21st century instruction and assessment that result in a no nonsense accountable environment. The school executive must be knowledgeable of best instructional and school practices and must use this knowledge to cause the creation of collaborative structures within the school for the design of highly engaging schoolwork for students, the on-going peer review of this work and the sharing of this work throughout the professional community.

Practices: The school executive practices effective instructional leadership when he or she:

- ☞ Focuses his or her own and others' attention persistently and publicly on learning and teaching by initiating and guiding conversations about instruction and student learning that are oriented towards high expectations and concrete goals;
- ☞ Creates an environment of practiced distributive leadership and teacher empowerment;
- ☞ Demonstrates knowledge of 21st century curriculum, instruction, and assessment by leading or participating in meetings with teachers and parents where these topics are discussed, and/or holding frequent formal or informal conversations with students, staff and parents around these topics;
- ☞ Ensures that there is an appropriate and logical alignment between the curriculum of the school and the state's accountability program;
- ☞ Creates processes and schedules that facilitate the collaborative (team) design, sharing, evaluation, and archiving of rigorous, relevant, and engaging instructional lessons that ensure students acquire essential knowledge;
- ☞ Challenges staff to reflect deeply on and define what knowledge, skills and concepts are essential to the complete educational development of students;
- ☞ Creates processes for collecting and using student test data and other formative data from other sources for the improvement of instruction;

- ☞ Creates processes for identifying, benchmarking and providing students access to a variety of 21st century instructional tools (e.g., technology) and best practices for meeting diverse student needs;
- ☞ Creates processes that ensure the strategic allocation and use of resources to meet instructional goals and support teacher needs;
- ☞ Creates processes to provide formal feedback to teachers concerning the effectiveness of their classroom instruction;
- ☞ Creates processes that protect teachers from issues and influences that would detract from their instructional time;
- ☞ Systematically and frequently observes in classrooms and engages in conversation with students about their learning.

Artifacts:

- ☞ School improvement plan
- ☞ NC Teacher Working Conditions Survey
- ☞ Student achievement data
- ☞ Dropout data
- ☞ Teacher retention data
- ☞ Documented use of formative assessment instruments to impact instruction
- ☞ Development and communication of goal-oriented personalized education plans for identified students (ESOL, exceptional children, Level I and Level II children)
- ☞ Evidence of the team development and evaluation of classroom lessons

Standard 3: Cultural Leadership

Summary: School executives will understand and act on the understanding of the important role a school's culture contributes to the exemplary performance of the school. School executives must support and value the traditions, artifacts, symbols and positive values and norms of the school and community that result in a sense of identity and pride upon which to build a positive future. A school executive must be able to "reculture" the school if needed to align with school's goals of improving student and adult learning and to infuse the work of the adults and students with passion, meaning and purpose. Cultural leadership implies understanding the school as the people in it each day, how they came to their current state, and how to connect with their traditions in order to move them forward to support the school's efforts to achieve individual and collective goals.

Practices: The school executive practices effective cultural leadership when he or she:

- ☞ Creates a collaborative work environment predicated on site-based management that supports the "team" as the basic unit of learning and decision-making within the school and promotes cohesion and cooperation among staff;
- ☞ Communicates strong ideals and beliefs about schooling, teaching, and professional learning communities with teachers, staff, parents, and students and then operates from those beliefs;
- ☞ Influences the evolution of the culture to support the continuous improvement of the school as outlined in the school improvement plan;
- ☞ Systematically develops and uses shared values, beliefs and a shared vision to establish a school identity that emphasizes a sense of community and cooperation to guide the disciplined thought and action of all staff and students;
- ☞ Systematically and fairly acknowledges failures and celebrates accomplishments of the school and staff;
- ☞ Visibly supports the positive, culturally-responsive traditions of the school community;
- ☞ Promotes a sense of well-being among staff, students and parents;
- ☞ Builds a sense of efficacy and empowerment among staff that result in a "can do" attitude when faced with challenges;
- ☞ Empowers staff to recommend creative 21st century concepts for school improvement.

Artifacts:

- ☞ Work of Professional Learning Communities within and tangential to the school
- ☞ Documented use of the SIT in decision-making throughout the year
- ☞ NC Teacher Working Conditions Survey
- ☞ School improvement plan
- ☞ Teacher retention data
- ☞ Student achievement data
- ☞ Awards structure developed by school

Standard 4: Human Resource Leadership

Summary: School executives will ensure that the school is a professional learning community. School executives will ensure that processes and systems are in place that result in the recruitment, induction, support, evaluation, development and retention of a high performing staff. The school executive must engage and empower accomplished teachers in a distributive leadership manner, including support of teachers in day-to-day decisions such as discipline, communication with parents, and protecting teachers

from duties that interfere with teaching, and must practice fair and consistent evaluation of teachers. The school executive must engage teachers and other professional staff in conversations to plan their career paths and support district succession planning.

Practices: The school executive practices effective human resource leadership when he or she:

- ☞ Provides structures for the development of effective professional learning communities aligned with the school improvement plan, focused on results, and characterized by collective responsibility for instructional planning and for 21st century student learning;
- ☞ Models the importance of continued adult learning by engaging in activities to develop personal knowledge and skill along with expanded self – awareness;
- ☞ Communicates a positive attitude about the ability of staff to accomplish substantial outcomes to improve their efficacy;
- ☞ Creates processes for teachers to assume leadership and decision making roles within the school that foster their career development;
- ☞ Creates and monitors processes for hiring, inducting and mentoring new teachers and other staff to the school;
- ☞ Uses the results of the Teacher Working Conditions Survey to create and maintain a positive work environment for teachers and other staff;
- ☞ Evaluates teachers and other staff in a fair and equitable manner and utilizes the results of evaluations to improve performance;
- ☞ Provides for results-oriented professional development that is aligned with identified 21st century curricular, instructional, and assessment needs, is connected to school improvement goals and is differentiated based on staff needs;
- ☞ Continuously searches for the best placement and utilization of staff to fully benefit from their strengths;
- ☞ Is systematically and personally involved in the school's professional activities.

Artifacts:

- ☞ School improvement plan
- ☞ NC Teacher Working Conditions Survey – with special emphasis on the leadership and empowerment domains
- ☞ Copy of master school schedule documenting the time provided for individual and collaborative planning for every teacher
- ☞ Number of National Board Certified teachers
- ☞ Teacher retention data
- ☞ Number of teachers pursuing school executive credentials, National Board Certification, or advanced licensure in their teaching areas
- ☞ Records of school visits for the purpose of adult learning

- ☞ Record of professional development provided staff and an assessment of the impact of professional development on student learning
- ☞ Mentor records, beginning teacher feedback, and documentation of correlation of assignment of mentor to mentee
- ☞ Copies of professional growth plans
- ☞ Student achievement data

Standard 5: Managerial Leadership

Summary: School executives will ensure that the school has processes and systems in place for budgeting, staffing, problem solving, communicating expectations and scheduling that result in organizing the work routines in the building. The school executive must be responsible for the monitoring of the school budget and the inclusion of all teachers in the budget decisions so as to meet the 21st century needs of every classroom. Effectively and efficiently managing the complexity of every day life is critical for staff to be able to focus its energy on improvement.

Practices: The school executive practices effective managerial leadership when he or she:

- ☞ Creates processes to provide for a balanced operational budget for school programs and activities;
- ☞ Creates processes to recruit and retain a high-quality workforce in the school that meets the diverse needs of students;
- ☞ Creates processes to identify and solve, resolve, dissolve or absolve school-based problems/ conflicts in a fair, democratic way;
- ☞ Designs a system of communication that provides for the timely, responsible sharing of information to, from, and with school and district staff;
- ☞ Designs scheduling processes and protocols that maximize staff input and addresses diverse student learning needs;
- ☞ Develops a master schedule for the school to maximize student learning by providing for individual and on-going collaborative planning for every teacher;
- ☞ Collaboratively develops and enforces clear expectations, structures, rules and procedures for students and staff.

Artifacts:

- ☞ NC Teacher Working Conditions Survey
- ☞ School Improvement Plan
- ☞ External reviews, such as budget
- ☞ Copies of master schedules/procedures
- ☞ Communication of safety procedures and behavioral expectations throughout the school community

Standard 6: External Development Leadership

Summary: A school executive will design structures and processes that result in community engagement, support, and ownership. Acknowledging that schools no longer reflect but in fact build community, the leader proactively creates with staff opportunities for parents, community and business representatives to participate as “stockholders” in the school such that continued investments of resources and good will are not left to chance.

Practices: The school executive practices effective external development leadership when he or she:

- ☘ Implements processes that empower parents and other stakeholders to make significant decisions;
- ☘ Creates systems that engage all community stakeholders in a shared responsibility for student and school success;
- ☘ Designs protocols and processes that ensure compliance with state and district mandates;
- ☘ Creates opportunities to advocate for the school in the community and with parents;
- ☘ Communicates the school’s accomplishments to the district office and public media in accordance with LEA policies;
- ☘ Gathers fiscal, intellectual and human resources from the community that support the 21st century learning agenda of the school;
- ☘ Builds relationships with individuals and groups to support specific aspects of the learning improvement agenda and also as a source of general good will.

Artifacts:

- ☘ PTSA participation
- ☘ PTSA meeting agendas, bulletins, etc.
- ☘ Parent attendance at school improvement team meetings
- ☘ Survey results from parents
- ☘ Evidence of visible support from community
- ☘ Booster club participation
- ☘ Number of school volunteers
- ☘ Plan for shaping the school’s image throughout the community
- ☘ PTSA membership
- ☘ Evidence of business partnerships and projects involving business partners

Standard 7: Micropolitical Leadership

Summary: The school executive will build systems and relationships that utilize the staff’s diversity, encourage constructive ideological conflict in order to leverage staff expertise, power and influence to realize the school’s vision for success. The executive will also creatively employ an awareness of staff’s professional needs, issues, and interests to build social cohesion and to facilitate distributed governance and shared decision-making.

Practices: The school executive practices effective micropolitical leadership when he or she:

- ☘ Uses the School Improvement Team to make decisions and provides opportunities for staff to be involved in developing school policies;
- ☘ Creates an environment and mechanisms to ensure all internal stakeholder voices are heard and respected;
- ☘ Creates processes and protocols to buffer and mediate staff interests;
- ☘ Is easily accessible to teachers and staff;
- ☘ Designs transparent systems to equitably manage human and financial resources;
- ☘ Demonstrates sensitivity to personal needs of staff;
- ☘ Demonstrates awareness of informal groups and relationships among school staff and utilizes these as a positive resource;
- ☘ Demonstrates awareness of hidden and potentially discordant issues in the school;
- ☘ Encourages people to express opinions contrary to those of authority;
- ☘ Demonstrates ability to predict what could go wrong from day to day;
- ☘ Uses performance as the primary criterion for reward and advancement;
- ☘ Maintains high visibility throughout the school;
- ☘ Maintains open, vertical and horizontal communications throughout the school community.

Artifacts:

- ☘ NC Teacher Working Conditions Survey
- ☘ Teacher retention data
- ☘ Dissemination of clear norms and ground rules
- ☘ Evidence of ability to confront ideological conflict and then reach consensus
- ☘ Evidence of shared decision-making
- ☘ Evidence of use of a decision matrix
- ☘ Evidence of a school that operates through teams
- ☘ Evidence of distributed leadership

Competencies

A competency is a combination of knowledge (factual and experiential) and skills that one needs to effectively implement the practices. Factual knowledge is simply “knowing” content; experiential knowledge is the knowledge one gains from understanding – it is knowing the when and why. Skills bring structure to experiential knowledge. It is when one can put their accumulated knowledge into a series of steps that – if followed – will lead to practice.

There are many competencies that are obviously inherent in the successful performance of all of the practices listed under each of the seven critical functions of leadership. The principal may or may not personally possess all of these competencies but must ensure that a team is in place that not only possesses them but can effectively and efficiently execute them. Although the principal may not personally possess them all, he or she is still responsible for their effective use in the various leadership practices.

The competencies listed below are not so obvious in the practices, can be applied to multiple practices and are absolutely essential for all school executives to possess to ensure their success. For example, the competency – conflict management is important in Micropolitical Leadership, Strategic Leadership, Cultural Leadership, and perhaps one could argue that this competency is necessary in all seven Standards. These competencies are listed here to emphasize their importance and to make sure they are incorporated into the development of school executives.

- ✳ **Communication** – Effectively listens to others; clearly and effectively presents and understands information orally and in writing; acquires, organizes, analyzes, interprets, maintains information needed to achieve school or team 21st century objectives.
- ✳ **Change Management** – Effectively engages staff and community in the change process in a manner that ensures their support of the change and its successful implementation.
- ✳ **Conflict Management** – Anticipates or seeks to resolve confrontations, disagreements, or complaints in a constructive manner.
- ✳ **Creative Thinking** – Engages in and fosters an environment for others to engage in innovative thinking.
- ✳ **Customer Focus** – Understands the students as customers of the work of schooling and the servant nature of leadership and acts accordingly.
- ✳ **Delegation** – Effectively assigns work tasks to others in ways that provide learning experiences for them and in ways that ensure the efficient operation of the school.
- ✳ **Dialogue/Inquiry** – Is skilled in creating a risk free environment for engaging people in conversations that explore issues, challenges or bad relationships that are hindering school performance.
- ✳ **Emotional Intelligence** – Is able to manage oneself through self awareness and self management and is able to manage relationships through empathy, social awareness and relationship management. This competency is critical to building strong, transparent, trusting relationships throughout the school community.
- ✳ **Environmental Awareness** – Becomes aware and remains informed of external and internal trends, interests and issues with potential impacts on school policies, practices, procedures and positions.
- ✳ **Global Perspective** – Understands the competitive nature of the new global economy and is clear about the knowledge and skills students will need to be successful in this economy.
- ✳ **Judgment** – Effectively reaching logical conclusions and making high quality decisions based on available information. Giving priority and caution to significant issues. Analyzing and interpreting complex information.
- ✳ **Organizational Ability** – Effectively plans and schedules one’s own and the work of others so that resources are used appropriately, such as scheduling the flow of activities and establishing procedures to monitor projects.
- ✳ **Personal Ethics and Values** – Consistently exhibits high standards in the areas of honesty, integrity, fairness, stewardship, trust, respect, and confidentiality.
- ✳ **Personal Responsibility for Performance** – Proactively and continuously improves performance by focusing on needed areas of improvement and enhancement of strengths; actively seeks and effectively applies feedback from others; takes full responsibility for one’s own achievements.
- ✳ **Responsiveness** – Does not leave issues, inquiries or requirements for information go unattended. Creates a clearly delineated structure for responding to requests/situations in an expedient manner.
- ✳ **Results Orientation** – Effectively assumes responsibility. Recognizes when a decision is required. Takes prompt action as issues emerge. Resolves short-term issues while balancing them against long-term goals.
- ✳ **Sensitivity** – Effectively perceives the needs and concerns of others; deals tactfully with others in emotionally stressful situations or in conflict. Knows what information to communicate and to whom. Relates to people of varying ethnic, cultural, and religious backgrounds.
- ✳ **Systems Thinking** – Understands the interrelationships and impacts of school and district influences, systems and external stakeholders, and applies that understanding to advancing the achievement of the school or team.
- ✳ **Technology** – Effectively utilizes the latest technologies to continuously improve the management of the school and enhance student instruction.
- ✳ **Time Management** – Effectively uses available time to complete work tasks and activities that lead to the achievement of desired work or school results. Runs effective meetings.
- ✳ **Visionary** – Encourages imagineering by creating an environment and structure to capture stakeholder dreams of what the school could become for all the students.

APPENDIX C: NORTH CAROLINA STANDARDS FOR SCHOOL
EXECUTIVES: PRINCIPAL EVALUATION PROCESS



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June St. Clair Atkinson, Ed. D., State Superintendent
301 N. Wilmington Street • Raleigh, North Carolina 27601-2825

North Carolina School Executive: Principal Evaluation Process

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Introduction

The mission of the North Carolina State Board of Education is that every public school student will graduate from high school, globally competitive for work and postsecondary education and prepared for life in the 21st century. This mission requires a new vision of school leadership and dictates the need for a new type of school leader—an executive instead of an administrator. No longer are school leaders just maintaining the status quo by managing complex operations. Like their colleagues in business, they must be able to create schools as organizations that can learn and change quickly if they are to improve performance. Schools need principals who are adept at creating systems for change and building relationships with and across staff. These systems not only tap into the collective knowledge and insight they possess but also into the powerful relationships that stir their passions for their work with children. Out of these relationships the executive must create among staff a shared understanding for the purpose of the work of the school, its values that direct its action and commitment and ownership of a set of beliefs and goals that focus everyone’s decision making. This common understanding of the school’s identity empowers them to seek and build powerful alliances and partnerships with students, parents and community stakeholders in order to enhance their ability to produce increased student achievement. The successful work of the new principal will only be realized in the creation of a culture in which leadership:

- Is distributed among all members of the school community;
- Consists of open, honest communication;
- Is focused on the use of data, teamwork, researched-based practices; and
- Uses tools to drive ethical and principled, goal-oriented action.

This culture of disciplined thought and action is rooted in the ability of the relationships among stakeholders to build a trusting, transparent environment that reduces stakeholders’ sense of vulnerability as they address the challenges of transformational change.

The Purposes of the Evaluation

The principal performance evaluation process will:

- Serve as a guide for principals as they reflect upon and improve their effectiveness as school leaders;
- Inform higher education programs in developing the content and requirements of degree programs that prepare future principals;
- Focus the goals and objectives of districts as they support, monitor and evaluate their principals;
- Guide professional development for principals; and
- Serve as a tool in developing coaching and mentoring programs for principals.

Definitions

For purposes of this evaluation process, the following terms are defined below:

1. *School Executives* – Principals licensed to work in North Carolina.
2. *Self-assessment* – Personal reflection about one’s professional practice to identify strengths and areas for improvement conducted without input from others.
3. *North Carolina School Executive Evaluation Rubric* – A composite matrix of the standards, components and elements of the *North Carolina Standards for School Administrators*
 - i. *Performance Standard* – The distinct aspect of leadership or realm of activities which form the basis for the evaluation of a school executive.
 - ii. *Performance Elements* – The sub-categories of performance embedded within the performance standard.
 - iii. *Performance Descriptors* – The specific performance responsibilities embedded within the components of each performance standard.

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4. *Performance Goals* – Goals for improvement in professional practice based on the self-assessment and/or supervisor recommendation.
 5. *Data* – Factual information used as the basis for reasoning, discussion or planning.
 6. *Artifact* – A product resulting from a school leader's work.

Possible artifacts are as follows:

- *School Improvement Plan* – A plan that includes strategies for improving student performance, how and when improvements will be implemented, use of state funds, requests for waivers, etc. Plans are in effect for no more than three years.
 - *School Improvement Team* – A team made up of the school executive and representatives of administration, instructional personnel, instructional support personnel, teacher assistants and parents of children enrolled in the school whose purpose is to develop a school improvement plan to strengthen student performance.
 - *North Carolina Teacher Working Conditions Survey* – A statewide survey of teacher working conditions in five areas—time, empowerment, facilities and resources, leadership and professional development—conducted on a biennial basis www.ncteachingconditions.org.
 - *Student Achievement Data* – Student achievement/testing data available from the North Carolina School Report Card. www.ncreportcards.org.
 - *Student Dropout Data* – Data about grade 9–12 students who drop out of high school. www.ncpublicschools.org/research/dropouts/reports/.
 - *Teacher Retention Data* – The teacher turnover rate, including the distribution of inexperienced teachers.
 - *National Board Certified Teachers* – Teachers who have earned National Board Certification.
 - *Professional Development* – Staff development, based on research, data, practice and reflection that focuses on deepening knowledge and pedagogical skills in a collegial and collaborative environment.
 - *PTSA* – The school's parent, teacher, student association.
7. *Evidence* – Documents that demonstrate or confirm the work of the person being evaluated and support the rating on a given element.
 8. *Summary Evaluation Form* – A composite assessment of the school executive's performance based on the evaluation rubric and supporting evidence.
 9. *Performance Rating Scale* – The following rating scale will be used for evaluating North Carolina school principals:
 - **Developing:** Principal demonstrated adequate growth toward achieving standard(s) during the period of performance, but did not demonstrate competence on standard(s) of performance.
 - **Proficient:** Principal demonstrated basic competence on standard(s) of performance.
 - **Accomplished:** Principal exceeded basic competence on standard(s) for performance most of the time.
 - **Distinguished:** Principal consistently and significantly exceeded basic competence on standards of performance.
 - **Not Demonstrated:** Principal did not demonstrate competence on or adequate growth toward achieving standard(s) of performance.

Note: If the "Not Demonstrated" rating is used, the superintendent must comment about why it was used.

10. *Code of Ethics for North Carolina Educators* – The standards of professional conduct required of educators. www.ncpublicschools.org/teacher_education/ethics
11. *Code of Professional Practice and Conduct for North Carolina Educators* – The uniform standards of professional conduct for licensed professional educators. www.ncpublicschools.org/teacher_education/conductcode

Evaluation Process

Principal Responsibilities:

- Know and understand the North Carolina Standards for School Executives.
- Understand the North Carolina School Executive: Principal Evaluation Process.
- Prepare for the Pre-Evaluation Conference, including a self-evaluation, identification of performance goals, and identifying change initiatives underway at their school.
- Gather data, artifacts, evidence to support performance in relation to standards and progress in attaining goals.
- Develop and implement strategies to improve personal performance/attain goals in areas individually or collaboratively identified.
- Participate in the Mid-year and Final Evaluation Conferences.

Evaluator Responsibilities:

- Know and understand the North Carolina Standards for School Executives.
- Participate in training to understand and implement the Principal Evaluation Process.
- Supervise the Principal Evaluation Process and ensure that all steps are conducted according to the approved process.
- Identify the principal's strengths and areas for improvement and make recommendations for improving performance.
- Ensure that the contents of the Principal Summary Evaluation Report contain accurate information and accurately reflect the principal's performance.

Instructions for Principal Evaluation Process

The intended purpose of the principal evaluation process is to assess the principal's performance in relation to the North Carolina Standards for School Executives in a collegial and non-threatening manner. The principal will take the lead in conducting the evaluation process through the use of self-assessment, reflection and by gathering input from the various stakeholders with an interest in the leadership in the school. The input and evidence gathered by the principal is **not** intended to become part of a portfolio. Rather, it should provide a basis for self-assessment, goal-setting, professional development, and demonstration of performance on specific standards. The following steps outline the required elements of the principal evaluation process.

Step 1: Orientation

At the beginning of the school year, the superintendent/designee will conduct a group orientation with all of the district principals. At this orientation, each principal will be provided a complete set of materials outlining the evaluation process.

Step 2: Pre-Evaluation Planning

Principals will complete a self-assessment using the North Carolina School Executive: Principal Evaluation Rubric. (pp.16–26) This self-assessment will serve as the basis for the preliminary goals form, which should be completed prior to Step 3.

Step 3: Meeting Between Principal and Superintendent/Designee

Principals will meet individually with the district superintendent or a designee who has been delegated the responsibility to discuss the results of self evaluation, preliminary performance goals and the evidence and data to be gathered for the evaluation process. The principal and superintendent will agree on the data, evidence, and artifacts necessary to complete the evaluation process and confirm the principal's level of performance.

Step 4: Data Collection

The principal will collect the data agreed upon in Step 3. These data may include the artifacts listed for each standard on the rubric; feedback from parents, students, and the school community; documentation of professional development completed during the year; and other data to document achievement of performance goals. The district superintendent/designee will visit the school during this period in order to observe the environment and interact with teachers and other members of the school community.

Step 5: Mid-Year Evaluation Between Principal and Superintendent/Designee

Principals will meet individually with the district superintendent or a designee who has been delegated the responsibility to discuss the principal's progress toward achieving his or her annual goals. This mid-year discussion will focus on the status of goal attainment and mid-year adjustments to action plans that must be made in order to achieve goals by the end of the school year.

Step 6: Prepare a Consolidated Performance Assessment

The principal will synthesize the information obtained under Steps 4 and 5 in order to prepare a consolidated assessment or comprehensive view of performance throughout the year. This brief summary of the data and artifacts used to judge performance should be provided to the superintendent/designee well in advance of the performance discussion at which final performance levels will be discussed.

Step 7: Meeting Between Principal and Superintendent/Designee

The principal and superintendent/designee will meet at the school to discuss progress in completing the evaluation process. They will discuss the self-assessment, consolidated assessment, and superintendent's summary evaluation of the principal, which have been prepared in advance of the meeting. Should additional data or artifacts need to be brought into the discussion, the principal will have them readily available to share at that time. At this meeting, the principal and superintendent/designee will agree upon performance goals and recommendations for the Professional Growth Plan.

All forms needed to complete this process are included in this packet. While all of the forms are highly recommended, use of the following is required:

- Rubric for Evaluating North Carolina Principals/Self-Assessment Form (pp. 16–26)
- Principal Summary Evaluation Rating Form (p. 35)

North Carolina Standards For School Executives

A New Vision of School Leadership

Public education's changed mission dictates the need for a new type of school leader — an executive instead of an administrator. No longer are school leaders just maintaining the status quo by managing complex operations but just like their colleagues in business, they must be able to create schools as organizations that can learn and change quickly if they are to improve performance. Schools need executives who are adept at creating systems for change and at building relationships with and across staff that not only tap into the collective knowledge and insight they possess but powerful relationships that also stir their passions for their work with children. Out of these relationships the executive must create among staff a common shared understanding for the purpose of the work of the school, its values that direct its action, and commitment and ownership of a set of beliefs and goals that focus everyone's decision making. The staff's common understanding of the school's identity empowers them to seek and build powerful alliances and partnerships with students, parents and community stakeholders in order to enhance their ability to produce increased student achievement. The successful work of the new executive will only be realized in the creation of a culture in which leadership is distributed and encouraged with teachers, which consists of open, honest communication, which is focused on the use of data, teamwork, research-based best practices, and which uses modern tools to drive ethical and principled, goal-oriented action. This culture of disciplined thought and action is rooted in the ability of the relationships among all stakeholders to build a trusting, transparent environment that reduces all stakeholders' sense of vulnerability as they address the challenges of transformational change.

Philosophical Foundation for the School Executive Standards

The standards are predicated on the following beliefs:

- Today, schools must have proactive school executives who possess a great sense of urgency.
- The goal of school leadership is to transform schools so that large-scale, sustainable, continuous improvement becomes built in to their mode of operation.
- The moral purpose of school leadership is to create schools in which all students learn, the gap between high and low performance is greatly diminished and what students learn will prepare them for success in their futures, not ours.
- Leadership is not a position or a person. It is a practice that must be embedded in all job roles at all levels of the school district.
- The work of leadership is about working with, for and through people. It is a social act. Whether we are discussing instructional leadership, change leadership or leadership as learning, people are always the medium for the leader.
- Leadership is not about doing everything oneself but it is always about creating processes and systems that will cause everything to happen.
- Leadership is about the executive's ability to select and develop a strong executive staff whose complementary strengths promote excellence in all seven functions of leadership identified in this document.
- The concept of leadership is extremely complex and systemic in nature. Isolating the parts of leadership completely misses the power of the whole. It is not just knowing what to do, but why to do it, how to do it and when to do it.
- Within a school district there are nested leadership systems (local boards of education, central office, school, and classroom). For the organization to be successful these systems must be aligned and supportive, and function as a team.
- Leadership is about setting direction, aligning and motivating people to implement positive sustained improvement.
- Leaders bring their "person" to the practice of leadership. Matching the context of leadership to the "person" of the individual is important to the success of the leader.

Intended Purposes of the Standards

The North Carolina School Executive Standards have been developed as a guide for principals and assistant principals as they continually reflect upon and improve their effectiveness as leaders throughout all of the stages of their careers. Although there are many influences on a school executive's development, these standards will serve as an important tool

for principals and assistant principals as they consider their growth and development as executives leading schools in the 21st century. Taken as a whole these standards, practices and competencies are overwhelming. One might ask, “How can one person possess all of these?” The answer is they can not. It is, therefore, imperative that a school executive understands the importance of building an executive team that has complementary skills. The more diversity that exists on the team the more likely the team will be to demonstrate high performance in all critical function areas. The main responsibility of the school executive is to create aligned systems of leadership throughout the school and its community.

In addition, these standards will serve other audiences and purposes. These standards will:

- Inform higher education programs in developing the content and requirements of school executive degree programs;
- Focus the goals and objectives of districts as they support, monitor and evaluate their school executives;
- Guide professional development for school executives; and
- Serve as a tool in developing coaching and mentoring programs for school executives.

Organization of the Standards

Each standard is formatted as follows:

- **Standard:** The standard is the broad category of the executive’s knowledge and skills;
- **Summary:** The summary more fully describes the content and rationale of each standard;
- **Practices:** The practices are statements of what one would see an effective executive doing in each standard;
- **Artifacts:** The artifacts are evidence of the quality of the executive’s work or places where evidence can be found in each standard. Collectively they could be the components of a performance portfolio. The lists of artifacts are not meant to be exhaustive.
- **Competencies:** Although not articulated there are many obvious competencies inherent in the practices of each critical leadership function. This document concludes with a list of those competencies which may not be obvious but that support practice in multiple leadership functions.

The Seven Standards of Executive Leadership and Their Connection

Relevant national reports and research in the field focused on identifying the practices of leadership that impact student achievement were considered in the development of these standards. Particularly helpful were the Maryland Instructional Leadership Framework, and work by the Wallace Foundation, the Mid-continental Regional Education Laboratory, the Charlotte Advocates for Education and the Southern Regional Education Board. Work by the National Staff Development Council, the National Association of Secondary School Principals, the National Association of Elementary School Principals, the National Middle School Association, the Interstate School Leader Licensure Consortium, and the National Policy Board for Educational Administration Education Leadership Constituent Council were also considered in the development of these standards. Additionally, input was solicited from stakeholders and leaders in the field.

The seven critical standards used as the framework for the North Carolina School Executive Standards are borrowed from a Wallace Foundation study, *Making Sense of Leading Schools: A Study of the School Principals* (2003). Unlike many current efforts that look at all of the things principals “might” or “should” do, this study examined what principals actually do. As such, it is grounded in practice, exploits story and narrative, and supports the distribution of leadership rather than the “hero leader.”

North Carolina’s Standards for School Executives are interrelated and connect in executives’ practice. They are not intended to isolate competencies or practices. Executives’ abilities in each standard will impact their ability to perform effectively in other standard areas. For example, the ability of an executive to evaluate and develop staff will directly impact the school’s ability to reach its goals and will also impact the norms of the culture of the school. School executives are responsible for ensuring that leadership happens in all seven critical areas, but they don’t have to provide it.

The Standards and Their Practices

Standard 1: Strategic Leadership

Summary: School executives will create conditions that result in strategically re-imagining the school's vision, mission, and goals in the 21st century. Understanding that schools ideally prepare students for an unseen but not altogether unpredictable future, the leader creates a climate of inquiry that challenges the school community to continually re-purpose itself by building on its core values and beliefs about its preferred future and then developing a pathway to reach it.

Practices: The school executive practices effective strategic leadership when he or she

- Is able to share a vision of the changing world in the 21st century that schools are preparing children to enter;
- Systematically challenges the status quo by leading change with potentially beneficial outcomes;
- Systematically considers new ways of accomplishing tasks and is comfortable with major changes in how processes are implemented;
- Utilizes data from the NC Teacher Working Conditions Survey in developing the framework for continual improvement in the School Improvement Plan;
- Is a driving force behind major initiatives that help students acquire 21st century skills;
- Creates with all stakeholders a vision for the school that captures peoples' attention and imagination;
- Creates processes that provide for the periodic review and revision of the school's vision, mission, and strategic goals by all school stakeholders;
- Creates processes to ensure the school's identity (vision, mission, values, beliefs and goals) actually drive decisions and inform the culture of the school;
- Adheres to statutory requirements regarding the School Improvement Plan;
- Facilitates the collaborative development of annual school improvement plans to realize strategic goals and objectives;
- Facilitates the successful execution of the school improvement plan aligned to the mission and goals set by the State Board of Education;
- Facilitates the implementation of state education policy inside the school's classrooms;
- Facilitates the setting of high, concrete goals and the expectations that all students meet them;
- Communicates strong professional beliefs about schools, teaching, and learning that reflect latest research and best practice in preparing students for success in college or in work; and
- Creates processes to distribute leadership throughout the school.

Artifacts:

- Degree to which school improvement plan strategies are implemented, assessed and modified
- Evidence of an effectively functioning, elected School Improvement Team
- NC Teacher Working Conditions Survey
- School improvement plan, its alignment with district and state strategic priorities, and a plan for growth on items of concern as evidenced in the NC TWC Survey
- The degree to which staff can articulate the school's direction and focus
- Student testing data

Standard 2: Instructional Leadership

Summary: School executives will set high standards for the professional practice of 21st century instruction and assessment that result in a no nonsense accountable environment. The school executive must be knowledgeable of best instructional and school practices and must use this knowledge to cause the creation of collaborative structures within the school for the design of highly engaging schoolwork for students, the on-going peer review of this work and the sharing of this work throughout the professional community.

Practices: The school executive practices effective instructional leadership when he or she

- Focuses his or her own and others' attention persistently and publicly on learning and teaching by initiating and guiding conversations about instruction and student learning that are oriented towards high expectations and concrete goals;
- Creates an environment of practiced distributive leadership and teacher empowerment;
- Demonstrates knowledge of 21st century curriculum, instruction, and assessment by leading or participating in meetings with teachers and parents where these topics are discussed, and/or holding frequent formal or informal conversations with students, staff and parents around these topics;
- Ensures that there is an appropriate and logical alignment between the curriculum of the school and the state's accountability program;
- Creates processes and schedules that facilitate the collaborative (team) design, sharing, evaluation, and archiving of rigorous, relevant, and engaging instructional lessons that ensure students acquire essential knowledge;
- Challenges staff to reflect deeply on and define what knowledge, skills and concepts are essential to the complete educational development of students;
- Creates processes for collecting and using student test data and other formative data from other sources for the improvement of instruction;
- Creates processes for identifying, benchmarking and providing students access to a variety of 21st century instructional tools (e.g., technology) and best practices for meeting diverse student needs;
- Creates processes that ensure the strategic allocation and use of resources to meet instructional goals and support teacher needs;
- Creates processes to provide formal feedback to teachers concerning the effectiveness of their classroom instruction;
- Creates processes that protect teachers from issues and influences that would detract from their instructional time; and
- Systematically and frequently observes in classrooms and engages in conversation with students about their learning.

Artifacts:

- School improvement plan
- NC Teacher Working Conditions Survey
- Student achievement data
- Dropout data
- Teacher retention data
- Documented use of formative assessment instruments to impact instruction
- Development and communication of goal-oriented personalized education plans for identified students (ESOL, exceptional children, Level I and Level II children)
- Evidence of the team development and evaluation of classroom lessons

Standard 3: Cultural Leadership

Summary: School executives will understand and act on the understanding of the important role a school's culture contributes to the exemplary performance of the school. School executives must support and value the traditions, artifacts, symbols and positive values and norms of the school and community that result in a sense of identity and pride upon which to build a positive future. A school executive must be able to "reculture" the school if needed to align with school's goals of improving student and adult learning and to infuse the work of the adults and students with passion, meaning and purpose. Cultural leadership implies understanding the school as the people in it each day, how they came to their current state, and how to connect with their traditions in order to move them forward to support the school's efforts to achieve individual and collective goals.

Practices: The school executive practices effective cultural leadership when he or she

- Creates a collaborative work environment predicated on site-based management that supports the "team" as the basic unit of learning and decision-making within the school and promotes cohesion and cooperation among staff;
- Communicates strong ideals and beliefs about schooling, teaching, and professional learning communities with teachers, staff, parents, and students and then operates from those beliefs;
- Influences the evolution of the culture to support the continuous improvement of the school as outlined in the school improvement plan;
- Systematically develops and uses shared values, beliefs and a shared vision to establish a school identity that emphasizes a sense of community and cooperation to guide the disciplined thought and action of all staff and students;
- Systematically and fairly acknowledges failures and celebrates accomplishments of the school and staff;
- Visibly supports the positive, culturally-responsive traditions of the school community;
- Promotes a sense of well-being among staff, students and parents;
- Builds a sense of efficacy and empowerment among staff that result in a "can do" attitude when faced with challenges; and
- Empowers staff to recommend creative 21st century concepts for school improvement.

Artifacts:

- Work of Professional Learning Communities within and tangential to the school
- Documented use of the SIT in decision making throughout the year
- NC Teacher Working Conditions Survey
- School improvement plan
- Teacher retention data
- Student achievement data
- Awards structure developed by school

Standard 4: Human Resource Leadership

Summary: School executives will ensure that the school is a professional learning community. School executives will ensure that processes and systems are in place that results in the recruitment, induction, support, evaluation, development and retention of a high performing staff. The school executive must engage and empower accomplished teachers in a distributive leadership manner, including support of teachers in day-to-day decisions such as discipline, communication with parents, and protecting teachers from duties that interfere with teaching, and must practice fair and consistent evaluation of teachers. The school executive must engage teachers and other professional staff in conversations to plan their career paths and support district succession planning.

Practices: The school executive practices effective human resource leadership when he or she

- Provides structures for the development of effective professional learning communities aligned with the school improvement plan, focused on results, and characterized by collective responsibility for instructional planning and for 21st century student learning;
- Models the importance of continued adult learning by engaging in activities to develop personal knowledge and skill along with expanded self – awareness;
- Communicates a positive attitude about the ability of staff to accomplish substantial outcomes to improve their efficacy;
- Creates processes for teachers to assume leadership and decision making roles within the school that foster their career development;
- Creates and monitors processes for hiring, inducting and mentoring new teachers and other staff to the school;
- Uses the results of the Teacher Working Conditions Survey to create and maintain a positive work environment for teachers and other staff;
- Evaluates teachers and other staff in a fair and equitable manner and utilizes the results of evaluations to improve performance;
- Provides for results-oriented professional development that is aligned with identified 21st century curricular, instructional, and assessment needs, is connected to school improvement goals and is differentiated based on staff needs;
- Continuously searches for the best placement and utilization of staff to fully benefit from their strengths; and
- Is systematically and personally involved in the school's professional activities.

Artifacts:

- School improvement plan
- NC Teacher Working Conditions Survey – with special emphasis on the leadership and empowerment domains
- Copy of master school schedule documenting the time provided for individual and collaborative planning for every teacher
- Number of National Board Certified teachers
- Teacher retention data
- Number of teachers pursuing school executive credentials, National Board Certification, or advanced licensure in their teaching areas
- Records of school visits for the purpose of adult learning
- Record of professional development provided staff and an assessment of the impact of professional development on student learning
- Mentor records, beginning teacher feedback, and documentation of correlation of assignment of mentor to mentee
- Copies of professional growth plans
- Student achievement data

Standard 5: Managerial Leadership

Summary: School executives will ensure that the school has processes and systems in place for budgeting, staffing, problem solving, communicating expectations and scheduling that result in organizing the work routines in the building. The school executive must be responsible for the monitoring of the school budget and the inclusion of all teachers in the budget decisions so as to meet the 21st century needs of every classroom. Effectively and efficiently managing the complexity of every day life is critical for staff to be able to focus its energy on improvement.

Practices: The school executive practices effective managerial leadership when he or she

- Creates processes to provide for a balanced operational budget for school programs and activities;
- Creates processes to recruit and retain a high-quality workforce in the school that meets the diverse needs of students;
- Creates processes to identify and solve, resolve, dissolve or absolve school-based problems/conflicts in a fair, democratic way;
- Designs a system of communication that provides for the timely, responsible sharing of information to, from, and with school and district staff;
- Designs scheduling processes and protocols that maximize staff input and addresses diverse student learning needs;
- Develops a master schedule for the school to maximize student learning by providing for individual and on-going collaborative planning for every teacher; and
- Collaboratively develops and enforces clear expectations, structures, rules and procedures for students and staff.

Artifacts:

- NC Teacher Working Conditions Survey
- School Improvement Plan
- External reviews, such as budget
- Copies of master schedules/procedures
- Communication of safety procedures and behavioral expectations throughout the school community

Standard 6: External Development Leadership

Summary: A school executive will design structures and processes that result in community engagement, support, and ownership. Acknowledging that schools no longer reflect but in fact build community, the leader proactively creates with staff opportunities for parents, community and business representatives to participate as “stockholders” in the school such that continued investments of resources and good will are not left to chance.

Practices: The school executive practices effective external development leadership when he or she

- Implements processes that empower parents and other stakeholders to make significant decisions;
- Creates systems that engage all community stakeholders in a shared responsibility for student and school success;
- Designs protocols and processes that ensures compliance with state and district mandates;
- Creates opportunities to advocate for the school in the community and with parents;
- Communicates the school’s accomplishments to the district office and public media in accordance with LEA policies;
- Gathers fiscal, intellectual and human resources from the community that support the 21st century learning agenda of the school; and
- Builds relationships with individuals and groups to support specific aspects of the learning improvement agenda and also as a source of general good will.

Artifacts:

- PTSA participation
- PTSA meeting agendas, bulletins, etc.
- Parent attendance at school improvement team meetings
- Survey results from parents
- Evidence of visible support from community
- Booster club participation
- Number of school volunteers
- Plan for shaping the school’s image throughout the community
- PTSA membership
- Evidence of business partnerships and projects involving business partners

Standard 7: Micro-political Leadership

Summary: The school executive will build systems and relationships that utilize the staff's diversity, encourage constructive ideological conflict in order to leverage staff expertise, power and influence to realize the school's vision for success. The executive will also creatively employ an awareness of staff's professional needs, issues, and interests to build social cohesion and to facilitate distributed governance and shared decision-making.

Practices: The school executive practices effective micro-political leadership when he or she:

- Uses the School Improvement Team to make decisions and provides opportunities for staff to be involved in developing school policies;
- Creates an environment and mechanisms to ensure all internal stakeholder voices are heard and respected;
- Creates processes and protocols to buffer and mediate staff interests;
- Is easily accessible to teachers and staff;
- Designs transparent systems to equitably manage human and financial resources;
- Demonstrates sensitivity to personal needs of staff;
- Demonstrates awareness of informal groups and relationships among school staff and utilizes these as a positive resource;
- Demonstrates awareness of hidden and potentially discordant issues in the school;
- Encourages people to express opinions contrary to those of authority;
- Demonstrates ability to predict what could go wrong from day to day;
- Uses performance as the primary criterion for reward and advancement;
- Maintains high visibility throughout the school; and
- Maintains open, vertical and horizontal communications throughout the school community.

Artifacts:

- NC Teacher Working Conditions Survey
- Teacher retention data
- Dissemination of clear norms and ground rules
- Evidence of ability to confront ideological conflict and then reach consensus
- Evidence of shared decision making
- Evidence of use of a decision matrix
- Evidence of a school that operates through teams
- Evidence of distributed leadership

Competencies

A competency is a combination of knowledge (factual and experiential) and skills that one needs to effectively implement the practices. Factual knowledge is simply “knowing” content; experiential knowledge is the knowledge one gains from understanding; it is knowing the *when* and *why*. Skills bring structure to experiential knowledge. It is when one can put their accumulated knowledge into a series of steps that, if followed, will lead to practice.

There are many competencies that are obviously inherent in the successful performance of all of the practices listed under each of the seven critical functions of leadership. The principal may or may not personally possess all of these competencies but must ensure that a team is in place that not only possesses them but can effectively and efficiently execute them. Although the principal may not personally possess them all, he or she is still responsible for their effective use in the various leadership practices.

The competencies listed below are not so obvious in the practices, can be applied to multiple practices and are absolutely essential for all school executives to possess to ensure their success. For example, the competency “conflict management” is important in Micro-political Leadership, Strategic Planning, Cultural Leadership, and perhaps one could argue that this competency is necessary in all seven Standards. These competencies are listed here to emphasize their importance and to make sure they are incorporated into the development of school executives.

- **Communication** – Effectively listens to others; clearly and effectively presents and understands information orally and in writing; acquires, organizes, analyzes, interprets, maintains information needed to achieve school or team 21st century objectives.
- **Change Management** – Effectively engages staff and community in the change process in a manner that ensures their support of the change and its successful implementation.
- **Conflict Management** – Anticipates or seeks to resolve confrontations, disagreements, or complaints in a constructive manner.
- **Creative Thinking** – Engages in and fosters an environment for others to engage in innovative thinking.
- **Customer Focus** – Understands the students as customers of the work of schooling and the servant nature of leadership and acts accordingly.
- **Delegation** – Effectively assigns work tasks to others in ways that provide learning experiences for them and in ways that ensure the efficient operation of the school.
- **Dialogue/Inquiry** – Is skilled in creating a risk free environment for engaging people in conversations that explore issues, challenges or bad relationships that are hindering school performance.
- **Emotional Intelligence** – Is able to manage oneself through self awareness and self management and is able to manage relationships through empathy, social awareness and relationship management. This competency is critical to building strong, transparent, trusting relationships throughout the school community.
- **Environmental Awareness** – Becomes aware and remains informed of external and internal trends, interests and issues with potential impacts on school policies, practices, procedures and positions.
- **Global Perspective** – Understands the competitive nature of the new global economy and is clear about the knowledge and skills students will need to be successful in this economy.
- **Judgment** – Effectively reaching logical conclusions and making high quality decisions based on available information. Giving priority and caution to significant issues. Analyzing and interpreting complex information.
- **Organizational Ability** – Effectively plans and schedules one’s own and the work of others so that resources are used appropriately, such as scheduling the flow of activities and establishing procedures to monitor projects.

- **Personal Ethics and Values** – Consistently exhibits high standards in the areas of honesty, integrity, fairness, stewardship, trust, respect, and confidentiality.
- **Personal Responsibility for Performance** – Proactively and continuously improves performance by focusing on needed areas of improvement and enhancement of strengths; actively seeks and effectively applies feedback from others; takes full responsibility for one’s own achievements.
- **Responsiveness** – Does not leave issues, inquiries or requirements for information go unattended. Creates a clearly delineated structure for responding to requests/situations in an expedient manner.
- **Results Orientation** – Effectively assumes responsibility. Recognizes when a decision is required. Takes prompt action as issues emerge. Resolves short-term issues while balancing them against long-term goals.
- **Sensitivity** – Effectively perceives the needs and concerns of others; deals tactfully with others in emotionally stressful situations or in conflict. Knowing what information to communicate and to whom. Relating to people of varying ethnic, cultural, and religious backgrounds.
- **Systems Thinking** – Understands the interrelationships and impacts of school and district influences, systems and external stakeholders, and applies that understanding to advancing the achievement of the school or team.
- **Technology** – Effectively utilizes the latest technologies to continuously improve the management of the school and enhance student instruction.
- **Time Management** – Effectively uses available time to complete work tasks and activities that lead to the achievement of desired work or school results. Runs effective meetings.
- **Visionary** – Encourages Imagineering by creating an environment and structure to capture stakeholder dreams of what the school could become for all the students.

Rubric for Evaluating North Carolina Principals/Self-Assessment Form (Required)

This form **must** be completed by the principal as a part of the self-assessment process and by the superintendent or designee in preparation for the summary evaluation conference.

Standard 1: Strategic Leadership

Principals will create conditions that result in strategically re-imagining the school's vision, mission, and goals in the 21st century. Understanding that schools ideally prepare students for an unseen but not altogether unpredictable future, the leader creates a climate of inquiry that challenges the school community to continually re-purpose itself by building on its core values and beliefs about its preferred future and then developing a pathway to reach it.

a. School Vision, Mission and Strategic Goals: The school's identity, in part, is derived from the vision, mission, values, beliefs and goals of the school, the processes used to establish these attributes, and the ways they are embodied in the life of the school community.				
Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<input type="checkbox"/> Develops his/her own vision of the changing world in the 21 st century that schools are preparing children to enter	... and <input type="checkbox"/> Leads and implements a process for developing a shared vision and strategic goals for student achievement that reflect high expectations for students and staff <input type="checkbox"/> Maintains a focus on the vision and strategic goals throughout the school year	... and <input type="checkbox"/> Creates with stakeholders a vision for the school that captures peoples' attention and imagination <input type="checkbox"/> Designs and implements collaborative processes to collect and analyze data about the school's progress for the periodic review and revision of the school's vision, mission, and strategic goals	... and <input type="checkbox"/> Ensures that the school's identity (vision, mission, values, beliefs and goals) actually drive decisions and inform the culture of the school <input type="checkbox"/> Initiates changes to vision and goals based on data to improve performance, school culture and school success	
b. Leading Change: The principal articulates a vision, and implementation strategies, for improvements and changes which result in improved achievement for all students.				
<input type="checkbox"/> Identifies changes necessary for the improvement of student learning	... and <input type="checkbox"/> Systematically considers new and better ways of leading for improved student achievement and engages stakeholders in the change process	... and <input type="checkbox"/> Adapts/varies leadership style according to the changing needs of the school and community <input type="checkbox"/> Is comfortable with major changes in implementing processes and accomplishing tasks <input type="checkbox"/> Routinely and systematically communicates the impacts of change	... and <input type="checkbox"/> Is a driving force behind major initiatives that help students acquire 21 st century skills <input type="checkbox"/> Systematically challenges the status quo by leading change with potentially beneficial outcomes	

c. School Improvement Plan: The school improvement plan provides the structure for the vision, values, goals and changes necessary for improved achievement for all students.				
Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<input type="checkbox"/> Understands statutory requirements regarding the School Improvement Plan	... and <input type="checkbox"/> Facilitates the collaborative development of the annual School Improvement Plan to realize strategic goals and objectives <input type="checkbox"/> Uses the NC Teacher Working Conditions Survey and other data sources to develop the framework for the School Improvement Plan and <input type="checkbox"/> Facilitates the successful execution of the School Improvement Plan aligned to the mission and goals set by the State Board of Education, the local Board of Education <input type="checkbox"/> Systematically collects, analyzes, and uses data regarding the school's progress toward attaining strategic goals and objectives	... and <input type="checkbox"/> Incorporates principles of continuous improvement and creative 21st century concepts for improvement into the School Improvement Plan	
d. Distributive Leadership: The principal creates and utilizes processes to distribute leadership and decision making throughout the school.				
<input type="checkbox"/> Seeks input from a variety of stakeholder groups, including teachers and parents/guardians <input type="checkbox"/> Understands the importance of providing opportunities for teachers to assume leadership and decision-making roles within the school	... and <input type="checkbox"/> Involves parents/guardians, the community, and staff members in decisions about school governance, curriculum and instruction. <input type="checkbox"/> Provides leadership development activities for staff members	... and <input type="checkbox"/> Ensures that parents/guardians, community members and staff members have autonomy to make decisions and supports the decisions made as a part of the collective decision-making process <input type="checkbox"/> Creates opportunities for staff to demonstrate leadership skills by allowing them to assume leadership and decision-making roles	... and <input type="checkbox"/> Encourages staff members to accept leadership responsibilities outside of the school building <input type="checkbox"/> Incorporates teachers and support staff into leadership and decision-making roles in the school in ways that foster the career development of participating teachers	

Suggested Artifacts for Standard 1:

- School Improvement Plan
- NC Teacher Working Conditions Survey
- Evidence of School Improvement Team
- Student achievement and testing data
- Statement of school vision, mission, values, beliefs and goals
- Evidence of stakeholder involvement in development of vision, mission, value, belief and goal statements
- Evidence of shared decision making and distributed leadership

Standard 2: Instructional Leadership

Principals set high standards for the professional practice of 21st century instruction and assessment that result in a no-nonsense accountable environment. The school executive must be knowledgeable of best instructional and school practices and must use this knowledge to cause the creation of collaborative structures within the school for the design of highly engaging schoolwork for students, the on-going peer review of this work, and the sharing of this work throughout the professional community.

a. Focus on Learning and Teaching, Curriculum, Instruction and Assessment: The principal leads the discussion about standards for curriculum, instruction and assessment based on research and best practices in order to establish and achieve high expectations for students.				
Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<ul style="list-style-type: none"> <input type="checkbox"/> Collects and analyzes student assessment data in adherence with instructional and legal requirements <input type="checkbox"/> Provides students access to a variety of 21st century instructional tools, including technology 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Systematically focuses on the alignment of learning, teaching, curriculum, instruction, and assessment to maximize student learning <input type="checkbox"/> Organizes targeted opportunities for teachers to learn how to teach their subjects well <input type="checkbox"/> Ensures that students are provided opportunities to learn and utilize best practices in the integrated use of 21st century instructional tools, including technology, to solve problems 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Ensures that the alignment of learning, teaching, curriculum, instruction, and assessment is focused to maximize student learning <input type="checkbox"/> Creates a culture that it is the responsibility of all staff to make sure that all students are successful 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Ensures that knowledge of teaching and learning serves as the foundation for the school's professional learning community <input type="checkbox"/> Encourages and challenges staff to reflect deeply on, and define, what knowledge, skills and concepts are essential to the complete educational development of students 	
b. Focus on Instructional Time: The principal creates processes and schedules which protect teachers from disruption of instructional or preparation time.				
<ul style="list-style-type: none"> <input type="checkbox"/> Understands the need for teachers to have daily planning time and duty-free lunch periods <input type="checkbox"/> Is knowledgeable of designs for age-appropriate school schedules which address the learning needs of diverse student populations 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Adheres to legal requirements for planning and instructional time <input type="checkbox"/> Develops a master schedule to maximize student learning by providing for individual and on-going collaborative planning for every teacher <input type="checkbox"/> Designs scheduling processes and protocols that maximize staff input and address diverse student learning needs 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Ensures that teachers have the legally required amount of daily planning and lunch periods <input type="checkbox"/> Routinely and conscientiously implements processes to protect instructional time from interruptions 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Structures the school schedule to enable all teachers to have individual and team collaborative planning time <input type="checkbox"/> Systematically monitors the effect of the master schedule on collaborative planning and student achievement <input type="checkbox"/> Ensures that district leadership is informed of the amounts and scheduling of individual and team planning time 	

Suggested Artifacts for Standard 2:

- School Improvement Plan
- NC Teacher Working Conditions Survey
- Student achievement and testing data
- Student drop-out data
- Teacher retention data
- Documented use of formative assessment instruments to impact instruction
- Development and communication of goal-oriented personalized education plans for identified students
- Evidence of team development and evaluation of classroom lessons
- Use of research-based practices and strategies in classrooms
- Master school schedule documenting individual and collaborative planning for every teacher

Standard 3: Cultural Leadership

Principals will understand and act on the understanding of the important role a school's culture plays in contributing to the exemplary performance of the school. Principals must support and value the traditions, artifacts, symbols and positive values and norms of the school and community that result in a sense of identity and pride upon which to build a positive future. A principal must be able to "re-culture" the school if needed to align with school's goals of improving student and adult learning and to infuse the work of the adults and students with passion, meaning and purpose. Cultural leadership implies understanding the school and the people in it each day, how they came to their current state, and how to connect with their traditions in order to move them forward to support the school's efforts to achieve individual and collective goals.

a. Focus on Collaborative Work Environment: The principal understands and acts on the understanding of the positive role that a collaborative work environment can play in the school's culture.				
Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<ul style="list-style-type: none"> <input type="checkbox"/> Understands characteristics of a collaborative work environment within the school <input type="checkbox"/> Understands the importance of data gained from the Teacher Working Conditions Survey and other data sources from parents, students, teachers and stakeholders that reflect on the teaching and learning environment within the school. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Designs elements of a collaborative and positive work environment within the school <input type="checkbox"/> Participates in and relies upon the School Improvement Team and other stakeholder voices to make decisions about school policies <input type="checkbox"/> Utilizes data gained from the Teacher Working Conditions Survey and other sources to understand perceptions of the work environment 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Utilizes a collaborative work environment predicated on site-based management and decision making, a sense of community, and cooperation within the school <input type="checkbox"/> Monitors the implementation and response to school policies and provides feedback to the School Improvement Team for their consideration <input type="checkbox"/> Initiates changes resulting from data gained from the Teacher Working Conditions Survey and other sources 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Establishes a collaborative work environment which promotes cohesion and cooperation among staff <input type="checkbox"/> Facilitates the collaborative (team) design, sharing, evaluation, and archiving of rigorous, relevant, and engaging instructional lessons that ensure students acquire essential knowledge and skills 	
b. School Culture and Identity: The principal develops and uses shared vision, values and goals to define the identity and culture of the school.				
<ul style="list-style-type: none"> <input type="checkbox"/> Understands the importance of developing a shared vision, mission, values, beliefs and goals to establish a school culture and identity 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Systematically develops and uses shared values, beliefs and a shared vision to establish a school culture and identity 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Establishes a culture of collaboration, distributed leadership and continuous improvement in the school which guides the disciplined thought and action of all staff and students 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Ensures that the school's identity and changing culture (vision, mission, values, beliefs and goals) actually drives decisions and informs the culture of the school 	

c. Acknowledges Failures; Celebrates Accomplishments and Rewards: The principal acknowledges failures and celebrates accomplishments of the school in order to define the identity, culture and performance of the school.				
Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<input type="checkbox"/> Recognizes the importance of acknowledging failures and celebrating accomplishments of the school and staff	. . . and <input type="checkbox"/> Uses established criteria for performance as the primary basis for reward and advancement	. . . and <input type="checkbox"/> Systematically recognizes individuals for reward and advancement based on established criteria <input type="checkbox"/> Recognizes individual and collective contributions toward attainment of strategic goals	. . . and <input type="checkbox"/> Utilizes recognition, reward, and advancement as a way to promote the accomplishments of the school <input type="checkbox"/> Utilizes recognition of failure as an opportunity to improve	
d. Efficacy and Empowerment: The principal develops a sense of efficacy and empowerment among staff which influences the school's identity, culture and performance.				
<input type="checkbox"/> Understands the importance of building a sense of efficacy and empowerment among staff <input type="checkbox"/> Understands the importance of developing a sense of well-being among staff, students and parents/guardians	. . . and <input type="checkbox"/> Identifies strategies for building a sense of efficacy and empowerment among staff <input type="checkbox"/> Identifies strategies for developing a sense of well-being among staff, students and parents/guardians	. . . and <input type="checkbox"/> Utilizes a variety of activities, tools and protocols to develop efficacy and empowerment among staff <input type="checkbox"/> Actively models and promotes a sense of well-being among staff, students and parents/guardians	. . . and <input type="checkbox"/> Builds a sense of efficacy and empowerment among staff that results in increased capacity to accomplish substantial outcomes <input type="checkbox"/> Utilizes a collective sense of well-being among staff, students and parents/guardians to impact student achievement	

Suggested Artifacts for Standard 3:

- School Improvement Plan
- School Improvement Team
- NC Teacher Working Conditions Survey
- Evidence of shared decision making and distributed leadership
- Recognition criteria and structure utilized
- Documented use of School Improvement Team in decision making
- Student achievement and testing data
- Existence and work of professional learning communities
- Teacher retention data

Standard 4: Human Resource Leadership

Principals will ensure that the school is a professional learning community. Principals will ensure that process and systems are in place which results in recruitment, induction, support, evaluation, development and retention of high performing staff. The principal must engage and empower accomplished teachers in a distributive manner, including support of teachers in day-to-day decisions such as discipline, communication with parents/guardians, and protecting teachers from duties that interfere with teaching, and must practice fair and consistent evaluations of teachers. The principal must engage teachers and other professional staff in conversations to plan their career paths and support district succession planning.

a. Professional Development/Learning Communities: The principal ensures that the school is a professional learning community.				
Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<ul style="list-style-type: none"> <input type="checkbox"/> Understands the importance of developing effective professional learning communities and results-oriented professional development <input type="checkbox"/> Understands the importance of continued personal learning and professional development 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Provides structures for, and implements the development of effective professional learning communities and results-oriented professional development <input type="checkbox"/> Routinely participates in professional development focused on improving instructional programs and practices 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Facilitates opportunities for effective professional learning communities aligned with the school improvement plan, focused on results, and characterized by collective responsibility for instructional planning and student learning 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Ensures that professional development within the school is aligned with curricular, instructional, and assessment needs, while recognizing the unique professional development needs of individual staff members 	
b. Recruiting, Hiring, Placing and Mentoring of staff: The school executive establishes processes and systems in order to ensure a high-quality, high-performing staff.				
<ul style="list-style-type: none"> <input type="checkbox"/> Understands the school's need to recruit, hire, appropriately place, and mentor new staff members 	<p>... and</p> <p>At the school level, creates and implements processes for:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Recruiting new teachers and staff <input type="checkbox"/> Hiring new teachers and staff <input type="checkbox"/> Placing new teachers and staff <input type="checkbox"/> Mentoring new teachers and staff 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Supports, mentors and coaches staff members who are new or emerging leaders or who need additional support 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Continuously searches for staff with outstanding potential as educators and provides the best placement of both new and existing staff to fully benefit from their strengths in meeting the needs of a diverse student population <input type="checkbox"/> Ensures that professional development is available for staff members with potential to serve as mentors and coaches 	

c. Teacher and Staff Evaluation: The principal evaluates teachers and other staff in a fair and equitable manner with the focus on improving performance and, thus, student achievement.				
Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<input type="checkbox"/> Adheres to legal requirements for teacher and staff evaluation	. . . and <input type="checkbox"/> Creates processes to provide formal feedback to teachers concerning the effectiveness of their classroom instruction and ways to improve their instructional practice <input type="checkbox"/> Implements district and state evaluation policies in a fair and equitable manner	. . . and <input type="checkbox"/> Utilizes multiple assessments to evaluate teachers and other staff members <input type="checkbox"/> Evaluates teachers and other staff in a fair and equitable manner and utilizes the results of evaluations to improve instructional practice	. . . and <input type="checkbox"/> Analyzes the results of teacher and staff evaluations holistically and utilizes the results to direct professional development opportunities in the school	

Suggested Artifacts for Standard 4:

- School Improvement Plan
- NC Teacher Working Conditions Survey
- Student achievement and testing data
- Teacher retention data
- National Board Certification
- Teacher professional growth plans
- Master school schedule documenting individual and collaborative planning for every teacher
- Number of National Board Certified Teachers
- Number of teachers pursuing advanced degrees
- Record of professional development provided staff
- Impact of professional development on student learning
- Mentor records and beginning teacher feedback

Standard 5: Managerial Leadership

Principals will ensure that the school has processes and systems in place for budgeting, staffing, problem solving, communicating expectations and scheduling that result in organizing the work routines in the building. The principal must be responsible for the monitoring of the school budget and the inclusion of all teachers in the budget decision so as to meet the 21st century needs of every classroom. Effectively and efficiently managing the complexity of everyday life is critical for staff to be able to focus its energy on improvement.

a. School Resources and Budget: The principal establishes budget processes and systems which are focused on, and result in, improved student achievement.				
Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<ul style="list-style-type: none"> <input type="checkbox"/> Is knowledgeable of school budget and accounting procedures <input type="checkbox"/> Utilizes input from staff to establish funding priorities and a balanced operational budget for school programs and activities 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Incorporates the input of the School Improvement Team in budget and resource decisions <input type="checkbox"/> Uses feedback and data to assess the success of funding and program decisions 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Designs transparent systems to equitably manage human and financial resources 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Ensures the strategic allocation and equitable use of financial resources to meet instructional goals and support teacher needs 	
b. Conflict Management and Resolution: The principal effectively and efficiently manages the complexity of human interactions so that the focus of the school can be on improved student achievement.				
<ul style="list-style-type: none"> <input type="checkbox"/> Demonstrates awareness of potential problems and/or areas of conflict within the school 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Creates processes to resolve problems and/or areas of conflict within the school 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Resolves school-based problems/conflicts in a fair, democratic way <input type="checkbox"/> Provides opportunities for staff members to express opinions contrary to those of authority or in relation to potentially discordant issues <input type="checkbox"/> Discusses with staff and implements solutions to address potentially discordant issues 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Monitors staff response to discussions about solutions to potentially discordant issues to ensure that all interests are heard and respected <input type="checkbox"/> Resolves conflicts to ensure the best interest of students and the school result 	
c. Systematic Communication: The principal designs and utilizes various forms of formal and informal communication so that the focus of the school can be on improved student achievement.				
<ul style="list-style-type: none"> <input type="checkbox"/> Understands the importance of open, effective communication in the operation of the school 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Designs a system of open communication that provides for the timely, responsible sharing of information to, from, and with the school community <input type="checkbox"/> Routinely involves the school improvement team in school wide communications processes 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Utilizes a system of open communication that provides for the timely, responsible sharing of information within the school community <input type="checkbox"/> Provides information in different formats in multiple ways through different media in order to ensure communication with all members of the community 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Ensures that all community stakeholders and educators are aware of school goals for instruction and achievement, activities used to meet these goals, and progress toward meeting these goals 	

d. School Expectations for Students and Staff: The principal develops and enforces expectations, structures, rules and procedures for students and staff.				
Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<ul style="list-style-type: none"> <input type="checkbox"/> Understands the importance of clear expectations, structures, rules and procedures for students and staff <input type="checkbox"/> Understands district and state policy and law related to student conduct, etc. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Collaboratively develops clear expectations, structures, rules and procedures for students and staff through the School Improvement Team <input type="checkbox"/> Effectively implements district rules and procedures 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Communicates and enforces clear expectations, structures, and fair rules and procedures for students and staff 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Systematically monitors issues around compliance with expectations, structures, rules and expectations. Utilizes staff and student input to resolve such issues <input type="checkbox"/> Regularly reviews the need for changes to expectations, structures, rules and expectations 	

Suggested Artifacts for Standard 5:

- School Improvement Plan
- NC Teacher Working Conditions Survey
- School financial information
- School safety and behavioral expectations
- Master school schedule documenting individual and collaborative planning for every teacher
- Evidence of formal and informal systems of communication
- Dissemination of clear norms and ground rules
- Evidence of ability to confront ideological conflict and then reach consensus

Standard 6: External Development Leadership

A principal will design structures and processes that result in community engagement, support, and ownership. Acknowledging that schools no longer reflect but, in fact, build community, the leader proactively creates with staff, opportunities for parents/guardians, community and business representatives to participate as “stockholders” in the school such that continued investment of resources and good will are not left to chance.

a. Parent and Community Involvement and Outreach: The principal designs structures and processes which result in parent and community engagement, support and ownership for the school.				
Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<ul style="list-style-type: none"> <input type="checkbox"/> Interacts with, and acknowledges that parents/guardians and community members have a critical role in developing community engagement, support and ownership of the school <input type="checkbox"/> Identifies the positive, culturally-responsive traditions of the school and community 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Proactively creates systems that engage parents/ guardians and all community stakeholders in a shared responsibility for student and school success reflecting the community's vision of the school 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Implements processes that empower parents/ guardians and all community stakeholders to make significant decisions 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Proactively develops relationships with parents/guardians and the community so as to develop good will and garner fiscal, intellectual and human resources that support specific aspects of the school's learning agenda 	
b. Federal, State and District Mandates: The principal designs protocols and processes in order to comply with federal, state, and district mandates.				
<ul style="list-style-type: none"> <input type="checkbox"/> Is knowledgeable of applicable federal, state and district mandates <input type="checkbox"/> Is aware of district goals and initiatives directed at improving student achievement 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Designs protocols and processes to comply with federal, state and district mandates <input type="checkbox"/> Implements district initiatives directed at improving student achievement 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Ensures compliance with federal, state and district mandates <input type="checkbox"/> Continually assesses the progress of district initiatives and reports results to district-level decision makers. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Interprets federal, state and district mandates for the school community so that such mandates are viewed as an opportunity for improvement within the school <input type="checkbox"/> Actively participates in the development of district goals and initiatives directed at improving student achievement 	

Suggested Artifacts for Standard 6:

- Parent involvement in School Improvement Team
- NC Teacher Working Conditions Survey
- PTSA/Booster club operation and participation
- Parent survey results
- Evidence of business partners and projects involving business partners
- Plan for shaping the school's image throughout the community
- Evidence of community support
- Number and use of school volunteers

Standard 7: Micro-political Leadership

Principals will build systems and relationships that utilize the staff's diversity, encourage constructive ideological conflict in order to leverage staff expertise, power and influence in order to realize the school's vision for success. The principal will also creatively employ an awareness of staff's professional needs, issues, and interests to build cohesion and to facilitate distributed governance and shared decision making.

School Executive Micro-political Leadership: The principal develops systems and relationships to leverage staff expertise and influence in order to influence the school's identity, culture and performance.				
Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<input type="checkbox"/> Maintains high visibility and is easily accessible throughout the school	... and <input type="checkbox"/> Is aware of the expertise, power and influence of staff members, and demonstrates sensitivity to their personal and professional needs	... and <input type="checkbox"/> Builds systems and relationships that utilize the staff's diversity, ideological differences and expertise to realize the school's goals	... and <input type="checkbox"/> Creatively employs an awareness of staff's professional needs, issues and interests to build cohesion and to facilitate distributed governance and shared decision-making	

Suggested Artifacts for Standard 7:

- NC Teacher Working Conditions Survey
- Teacher retention data
- Evidence of visibility and accessibility
- Evidence of shared decision making and distributed leadership

Scoring the Rubric

The Rubric for Evaluating North Carolina Principals is to be scored for each element within a standard. For example, Standard 1: Strategic Leadership has four elements: a) School Vision, Mission and Strategic Goals; b) Leading Change; c) School Improvement Plan; and d) Distributive Leadership. The rater will score each of the elements separately, and the individual element scores will determine the overall score for the standard.

The rater should begin with the left-hand column and mark each descriptor that describes the performance of the principal during the period for which he or she is being evaluated. If the rater is not able to mark any of the descriptors, then the "Not Demonstrated" column is used. In such a case, the rater must write a comment about why the principal was not able to demonstrate proficiency on the element.

The rating for each element is the lowest rating for which all descriptors are marked. As illustrated in the example that follows, the principal would be rated as "Proficient" on School Vision, Mission and Strategic Goals even though at least one descriptor for "Accomplished" and "Distinguished" was marked. This is because "Proficient" is the lowest rating for which all descriptors were marked. Likewise, the principal would be rated as "Proficient" on Leading Change, "Developing" on School Improvement Plan, and "Developing" on Distributive Leadership. This would result in an overall rating of "Proficient" for Standard 1 because of the number of marked items in the "Accomplished" and "Distinguished" columns.

When a principal is rated as "Developing" or "Not Demonstrated," the superintendent or designee should strongly encourage the principal to develop a goal to address the area(s) where proficiency has not been reached.

Example of How to Score the Rubric

Standard 1: Strategic Leadership

Principals will create conditions that result in strategically re-imagining the school's vision, mission, and goals in the 21st century. Understanding that schools ideally prepare students for an unseen but not altogether unpredictable future, the leader creates a climate of inquiry that challenges the school community to continually re-purpose itself by building on its core values and beliefs about its preferred future and then developing a pathway to reach it.

a. School Vision, Mission and Strategic Goals: The school's identity, in part, is derived from the vision, mission, values, beliefs and goals of the school, the processes used to establish these attributes, and the ways they are embodied in the life of the school community.				
Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<input checked="" type="checkbox"/> Develops his/her own vision of the changing world in the 21 st century that schools are preparing children to enter	... and <input checked="" type="checkbox"/> Leads and implements a process for developing a shared vision and strategic goals for student achievement that reflect high expectations for students and staff <input checked="" type="checkbox"/> Maintains a focus on the vision and strategic goals throughout the school year	... and <input type="checkbox"/> Creates with stakeholders a vision for the school that captures peoples' attention and imagination <input checked="" type="checkbox"/> Designs and implements collaborative processes to collect and analyze data about the school's progress for the periodic review and revision of the school's vision, mission, and strategic goals	... and <input type="checkbox"/> Ensures that the school's identity (vision, mission, values, beliefs and goals) actually drive decisions and inform the culture of the school <input checked="" type="checkbox"/> Initiates changes to vision and goals based on data to improve performance, school culture and school success	
b. Leading Change: The principal articulates a vision, and implementation strategies, for improvements and changes which result in improved achievement for all students.				
<input checked="" type="checkbox"/> Identifies changes necessary for the improvement of student learning	... and <input checked="" type="checkbox"/> Systematically considers new and better ways of leading for improved student achievement and engages stakeholders in the change process	... and <input type="checkbox"/> Adapts/varies leadership style according to the changing needs of the school and community <input checked="" type="checkbox"/> Is comfortable with major changes in implementing processes and accomplishing tasks <input checked="" type="checkbox"/> Routinely and systematically communicates the impacts of change processes to all stakeholders	... and <input type="checkbox"/> Is a driving force behind major initiatives that help students acquire 21 st century skills <input checked="" type="checkbox"/> Systematically challenges the status quo by leading change with potentially beneficial outcomes	

c. School Improvement Plan: The school improvement plan provides the structure for the vision, values, goals and changes necessary for improved achievement for all students.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Understands statutory requirements regarding the School Improvement Plan 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Facilitates the collaborative development of the annual School Improvement Plan to realize strategic goals and objectives <input checked="" type="checkbox"/> Uses the NC Teacher Working Conditions Survey and other data sources to develop the framework for the School Improvement Plan 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Facilitates the successful execution of the School Improvement Plan aligned to the mission and goals set by the State Board of Education, the local Board of Education <input checked="" type="checkbox"/> Systematically collects, analyzes, and uses data regarding the school's progress toward attaining strategic goals and objectives 	<p>... and</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Incorporates principles of continuous improvement and creative 21st century concepts for improvement into the School Improvement Plan 	

d. Distributive Leadership: The principal creates and utilizes processes to distribute leadership and decision making throughout the school.

<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Seeks input from a variety of stakeholder groups, including teachers and parents/guardians <input checked="" type="checkbox"/> Understands the importance of providing opportunities for teachers to assume leadership and decision-making roles within the school 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Involves parents/guardians, the community, and staff members in decisions about school governance, curriculum and instruction. <input checked="" type="checkbox"/> Provides leadership development activities for staff members 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Ensures that parents/guardians, community members and staff members have autonomy to make decisions and supports the decisions made as a part of the collective decision-making process <input checked="" type="checkbox"/> Creates opportunities for staff to demonstrate leadership skills by allowing them to assume leadership and decision-making roles 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Encourages staff members to accept leadership responsibilities outside of the school building <input checked="" type="checkbox"/> Incorporates teachers and support staff into leadership and decision-making roles in the school in ways that foster the career development of participating teachers 	
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Principal Summary Evaluation Worksheet (Optional)

This form may be used to summarize self-assessment and evaluation ratings in preparation for the mid-year and summary evaluation conferences. It may also be used as a record of walkthrough findings.

Name: _____ Date: _____

School: _____ District: _____

Evaluator: _____ Title: _____

Standard 1: Strategic Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. School Vision, Mission and Strategic Goals					
B. Leading Change					
C. School Improvement Plan					
D. Distributive Leadership					
Overall Rating for Standard 1					
Standard 2: Instructional Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Focus on Learning and Teaching, Curriculum, Instruction and Assessment					
B. Focus on Instructional Time					
Overall Rating for Standard 2					
Standard 3: Cultural Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Focus on Collaborative Work Environment					
B. School Culture and Identity					
C. Acknowledges Failures; Celebrates Accomplishments and Rewards					
D. Efficacy and Empowerment					
Overall Rating for Standard 3					
Standard 4: Human Resource Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Professional Development/Learning Communities					
B. Recruiting, Hiring, Placing and Mentoring of Staff					
C. Teacher and Staff Evaluation					
Overall Rating for Standard 4					

Standard 5: Managerial Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. School Resources and Budget					
B. Conflict Management and Resolution					
C. Systematic Communication					
D. School Expectations for Students and Staff					
Overall Rating for Standard 5					
Standard 6: External Development Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Parent and Community Involvement and Outreach					
B. Federal, State and District Mandates					
Overall Rating for Standard 6					
Standard 7: Micro-political Leadership	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. School Executive Micro-political Leadership					
Overall Rating for Standard 7					

Principal Evaluation Process Documentation (Optional)

Name: _____ ID#: _____

School: _____ School Year: _____

Evaluator: _____ Title: _____

The *North Carolina School Executive: Principal Evaluation* is based, in part, on a formal discussion of performance and conferences conducted on the following dates:

Site Visit Dates	Conf. Dates	Principal's Signature	Evaluator's Signature

Mid-year Evaluation Conference Date: _____

Summary Evaluation Conference Date: _____

The Mid-year and Summary Evaluation Conferences are required for every North Carolina Principal. In addition, observations and other relevant sources of performance may be considered in determining the final rating for the principal.

The guiding mission of the North Carolina State Board of Education is that every public school student will graduate from high school, globally competitive for work and postsecondary education and prepared for life in the 21st century. Pursuant to North Carolina Board of Education Policy, each LEA shall provide for the evaluation of all professional employees pursuant to G.S. 115C-333.

The following rating scale will be used for evaluating North Carolina school principals:

- **Developing:** Principal demonstrated adequate growth toward achieving standard(s) during the period of performance, but did not demonstrate competence on standard(s) of performance.
- **Proficient:** Principal demonstrated basic competence on standard(s) of performance.
- **Accomplished:** Principal exceeded basic competence on standard(s) for performance most of the time.
- **Distinguished:** Principal consistently and significantly exceeded basic competence on standard(s) of performance.
- **Not Demonstrated:** Principal did not demonstrate competence on or adequate progress toward achieving standard(s) of performance.

Note: If the "Not Demonstrated" rating is used, the superintendent must comment about why it was used.

Goal Setting Worksheet (Optional)

Use this form to identify professional growth goals based on data gathered from artifacts and other sources.

Targeted Professional Growth Goals:

Data Source	Identified Strengths and Growth Areas	Identified Data Patterns or Trends	Corresponding Standard and Element
	Strength:		
	Growth Area:		
	Strength:		
	Growth Area:		
	Strength:		
	Growth Area:		
	Strength:		
	Growth Area:		
	Strength:		
	Growth Area:		

North Carolina School Principal: Summary Goal Form (Optional)

Name: _____ ID#: _____

School: _____ School Year: _____

INSTRUCTIONS: This goal-setting form may be completed by the principal following the self-assessment process. The goals, as well as activities, outcomes and time line, will be reviewed by the principal's supervisor prior to the beginning work on the goals. The supervisor may suggest additional goals as appropriate. It is not necessary for the principal to have a goal for each standard.

Standard	Goal(s)	Key Activities/Strategies (What you need to accomplish the goal)	Outcomes (Measurement)	Time Line For Measuring Goal Outcome
1. Strategic Leadership				
2. Instructional Leadership				
3. Cultural Leadership				
4. Human Resource Leadership*				
5. Managerial Leadership				
6. External Development Leadership				
7. Micro-political Leadership				

* A goal for maintaining or improving the school's teacher turnover rate must be included.

Comments:

Principal Signature _____ Date _____

Supervisor Signature _____ Date _____

**Mid-Year Evaluation: Progress Toward Achieving Goals
(Required Meeting; Optional Form)**

Name: _____ District: _____

School: _____ School Year: _____

Evaluator: _____ Title: _____

The evaluator determines whether the principal is making acceptable progress toward goal(s) attainment within each standard. Mark this category as **(P) – progressing** or **(NP) – not progressing**.

Goal	P	NP	NA
Standard 1: Strategic Leadership			
Standard 2: Instructional Leadership			
Standard 3: Cultural Leadership			
Standard 4: Human Resource Leadership			
Standard 5: Managerial Leadership			
Standard 6: External Development Leadership			
Standard 7: Micro-political Leadership			

Goal: _____
Revised Plan/Comment: _____

Goal: _____
Revised Plan/Comment: _____

Goal: _____
Revised Plan/Comment: _____

Principal Signature _____ Date _____

Supervisor Signature _____ Date _____

Principal Summary Evaluation Rating Form (Required)

This form is to be jointly completed by the principal and superintendent or designee during the summary Evaluation Conference conducted at the end of the year.

Name: _____

School: _____ School Year: _____

Evaluator: _____ District: _____

Date Completed: _____ Evaluator's Title: _____

Standard 1: Strategic Leadership

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. School Vision, Mission and Strategic Goals: The school's identity, in part, is derived from the vision, mission, values, beliefs and goals of the school, the processes used to establish these attributes, and the ways they are embodied in the life of the school community.					
B. Leading Change: The school executive articulates a vision and implementation strategies for improvements and changes which result in improved achievement for all students.					
C. School Improvement Plan: The school improvement plan provides the structure for the vision, values, goals and changes necessary for improved achievement for all students.					
D. Distributive Leadership: The school executive creates and utilizes processes to distribute leadership and decision making throughout the school.					
Overall Rating for Standard 1					

<p>Comments:</p> <p>Recommended actions for improvement:</p> <p>Resources needed to complete these actions:</p>	<p>Evidence or documentation to support rating:</p> <p>___ School Improvement Plan.</p> <p>___ NC Teacher Working Conditions Survey.</p> <p>___ Evidence of School Improvement Team.</p> <p>___ Student achievement and testing data.</p> <p>___ Statement of school vision, mission, values, beliefs and goals.</p> <p>___ Evidence of stakeholder involvement in development of vision, mission, value, belief and goal statements.</p> <p>___ Evidence of shared decision making and distributed leadership.</p> <p>___ 360 Feedback.</p> <p>_____</p> <p>_____</p> <p>_____</p>
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Standard 2: Instructional Leadership

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Focus on Learning and Teaching, Curriculum, Instruction and Assessment: The school executive leads the discussion about standards for curriculum, instruction and assessment based on research and best practices in order to establish and achieve high expectations for students.					
B. Focus on Instructional Time: The school executive creates processes and schedules which protect teachers from disruption of instructional or preparation time.					
Overall Rating for Standard 2					

<p>Comments:</p> <p>Recommended actions for improvement:</p> <p>Resources needed to complete these actions:</p> 	<p>Evidence or documentation to support rating:</p> <ul style="list-style-type: none"> ___ School Improvement Plan. ___ NC Teacher Working Conditions Survey. ___ Student achievement and testing data. ___ Student drop-out data. ___ Teacher retention data. ___ Documented use of formative assessment instruments to impact instruction. ___ Development and communication of goal-oriented personalized education plans for identified students. ___ Evidence of team development and evaluation of classroom lessons. ___ Use of research-based practices and strategies in classrooms. ___ Master school schedule documenting individual and collaborative planning for every teacher.. ___ 360 Feedback. ___ _____ ___ _____ ___ _____
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Standard 3: Cultural Leadership

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Focus on Collaborative Work Environment: The school executive understands and acts on the understanding of the positive role that a collaborative environment can play in the school's culture.					
B. School Culture and Identity: The school executive develops and uses shared vision, values and goals to define the identity and culture of the school.					
C. Acknowledges Failures; Celebrates Accomplishments and Rewards: The school executive acknowledges failures and celebrates accomplishments of the school in order to define the identity, culture and performance of the school.					
D. Efficacy and Empowerment: The school executive develops a sense of efficacy and empowerment among staff which influences the school's identity, culture and performance.					
Overall Rating for Standard 3					

Comments:

Recommended actions for improvement:

Resources needed to complete these actions:

Evidence or documentation to support rating:

- ___ School Improvement Plan.
- ___ School Improvement Team.
- ___ Documented use of School Improvement Team in decision-making.
- ___ NC Teacher Working Conditions Survey.
- ___ Student achievement and testing data.
- ___ Teacher retention data.
- ___ Existence and work of professional learning communities.
- ___ Recognition criteria and structure utilized.
- ___ Evidence of shared decision-making and distributed leadership.
- ___ 360 Feedback.

Standard 4: Human Resources Leadership

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Professional Development/Learning Communities: The school executive ensures that the school is a professional learning community.					
B. Recruiting, hiring, Placing and Mentoring of Staff: The school executive establishes processes and systems in order to ensure a high-quality, high-performing staff.					
C. Teacher and Staff Evaluation: The school executive evaluates teachers and other staff in a fair and equitable manner with the focus on improving performance and, thus, student achievement.					
Overall Rating for Standard 4					

Note: If the school's teacher turnover rate, according to the school report card, is above the state average and/or identified as a problem in the school improvement plan, it must be addressed here along with recommendations for improvement. If the turnover is equal to or lower than the state average, the principal must set a goal to at least maintain that rate.

School's Teacher Turnover Rate during previous school year: _____

School's Teacher Turnover Rate for current school year: _____

State's Teacher Turnover Rate for current school year: _____

Teacher Turnover Rate goal for next school year: _____

Recommendations to achieve teacher turnover goal for next school year:

Comments:

Recommended actions for improvement:

Resources needed to complete these actions:

Evidence or documentation to support rating:

- ___ School Improvement Plan.
- ___ NC Teacher Working Conditions Survey
- ___ Student Achievement and testing data
- ___ Teacher retention data
- ___ Master school schedule documenting individual and collaborative planning for every teacher
- ___ Number of National Board Certified Teachers
- ___ Number of teachers pursuing advanced degrees, licensure, National Board certification etc.
- ___ Record of professional development provided staff and impact of professional development on student learning
- ___ Mentor records and beginning teacher feedback
- ___ Teacher professional growth plans
- ___ 360 Feedback.

Standard 5: Managerial Leadership

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. School Resources and Budget: The school executive establishes budget processes and systems which are focused on, and result in, improved student achievement.					
B. Conflict management and Resolution: The school executive effectively and efficiently manages the complexity of human interactions so that the focus of the school can be on improved student achievement.					
C. Systematic Communication: The school executive designs and utilizes various forms of formal and informal communication so that the focus of the school can be on improved student achievement.					
D. School Expectations for Students and Staff: The school executive develops and enforces expectations, structures, rules and procedures for students and staff.					
Overall Rating for Standard 5					

<p>Comments:</p> <p>Recommended actions for improvement:</p> <p>Resources needed to complete these actions:</p> 	<p>Evidence or documentation to support rating:</p> <ul style="list-style-type: none"> <input type="checkbox"/> School Improvement Plan. <input type="checkbox"/> NC Teacher Working Conditions Survey. <input type="checkbox"/> Master school schedule documenting individual and collaborative planning for every teacher. <input type="checkbox"/> School safety and behavioral Expectations. <input type="checkbox"/> School financial information. <input type="checkbox"/> Dissemination of clear norms and ground rules. <input type="checkbox"/> Evidence of ability to confront ideological conflict and then reach consensus. <input type="checkbox"/> Evidence of formal and informal systems of communication. <input type="checkbox"/> 360 Feedback. <hr/> <hr/> <hr/>
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Standard 6: External Development Leadership

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. Parent and Community Involvement and Outreach: The school executive designs structures and processes which result in parent and community engagement, support and ownership for the school.					
B. Federal, State and District mandates: The school executive designs protocols and processes in order to comply with federal, state and district mandates.					
Overall Rating for Standard 6					

Comments:

Recommended actions for improvement:

Resources needed to complete these actions:

Evidence or documentation to support rating:

- Parent involvement in School Improvement Team.
- NC Teacher Working Conditions Survey.
- PTSA/Booster club operation and participation.
- Parent survey results.
- Evidence of community support.
- Number and use of school volunteers.
- Plan for shaping the school's image throughout the community.
- Evidence of business partners and projects involving business partners.
- 360 Feedback.

Standard 7: Micro-political Leadership

Elements	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. School Executive Micro-political Leadership: The school executive develops systems and relationships to leverage staff expertise and influence in order to influence the school's identity, culture and performance.					
Overall Rating for Standard 7					

<p>Comments:</p> <p>Recommended actions for improvement:</p> <p>Resources needed to complete these actions:</p>	<p>Evidence or documentation to support rating:</p> <p><input type="checkbox"/> NC Teacher Working Conditions Survey.</p> <p><input type="checkbox"/> Teacher retention data.</p> <p><input type="checkbox"/> Evidence of visibility and accessibility.</p> <p><input type="checkbox"/> Evidence of shared decision making and distributed leadership.</p> <p><input type="checkbox"/> 360 Feedback.</p> <p>_____</p> <p>_____</p> <p>_____</p>
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Principal Signature

Date

Superintendent or Designee Signature

Date

Comments Attached: Yes No

Superintendent or Designee Signature

Date

Note: The principal's signature on this form represents neither acceptance nor approval of the report. It does, however, indicate that the principal has reviewed the report with the evaluator and may reply in writing. The signature of the supervisor verifies that the report has been reviewed and that the proper process has been followed according to North Carolina State Board of Education policy for Principal Evaluation process.

APPENDIX D: EMAIL DICK FLANARY RE: FOUNDING DATE OF NPBEA

Response from Dick Flanary of NASSP RE: NPBEA Foundation
3/17/09

Tom:

The first Planning Board meeting for the formation of NPBEA was held on July 14, 1987. The planning board submitted a proposal to the Danforth Foundation and they were awarded a three-year grant for \$179,000 for the time period 1988-1990. These funds were supplemented by annual dues from member organizations and support from the University of Virginia. The initial meeting was held on January 20, 1988. Scott Thomson, Executive director, of NASSP was elected chair of the Board of Directors and David Clark, University of Virginia, continued as Executive Secretary.

This information comes from *Educational Administration: A Decade of Reform*. Patrick Forsythe & Joe Murphy, Editors. Page 94. Corwin Press, 1999. ISBN 0-8039-6609-1

From: Tom Williams [mailto:twilliams@EdAlliances.com]
Sent: Thursday, March 12, 2009 8:56 PM
To: Flanary, Dick
Subject: RE: NC Question on NPBEA Founding Date

Thanks Dick so very much. Please travel safely and have a great conference!
Tom

Tom Williams
Cell: 919-815-6658

From: Flanary, Dick [mailto:FlanaryD@principals.org]
Sent: Thursday, March 12, 2009 8:52 PM
To: twilliams@EdAlliances.com
Subject: Re: NC Question on NPBEA Founding Date

Tom:

I think this is correct but I'll need to verify the date when I get back to the office. I'm currently in route to Orlando for ASCD and won't be back in the office until Tuesday. Scott Thomson was the founding director of NPBEA after he left NASSP.

Dick

----- Original Message -----

From: Tom Williams <twilliams@EdAlliances.com>

To: Flanary, Dick

Sent: Thu Mar 12 20:29:39 2009

Subject: NC Question on NPBEA Founding Date

Good evening Dick! I hope this finds you well?

This is Tom Williams here in North Carolina. I am continuing to make good progress on my dissertation research and writing and needed your assistance. I am trying to verify if 1989 is the correct year that the NPBEA was "founded", "created", or "established" by the UCEA based on the recommendation of the 1987 Report by the national Commission on Excellence in Educational Administration? I have been unable to see where it says this specifically in my review.

If you could verify this for me, or the correct date, I would greatly appreciate an email response so I can cite this in my study. Thanks so much Dick! Tom

Tom Williams

Cell: 919-815-6658

APPENDIX E: JANUARY 2002, NATIONAL POLICY BOARD
FOR EDUCATIONAL ADMINISTRATION POWERPOINT
PRESENTATION DOCUMENT

*Standards for
Advanced Programs in
Educational Leadership*

for

Principals, Superintendents,
Curriculum Directors, and Supervisors

NATIONAL POLICY BOARD FOR EDUCATIONAL ADMINISTRATION

Published January, 2002

Standard 1.0: Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by facilitating the development, articulation, implementation, and stewardship of a school or district vision of learning supported by the school community.

Elements	Meets Standards for School Building Leadership	Meets Standards for School District Leadership
1.1 Develop a Vision	<p>a. Candidates develop a vision of learning for a school that promotes the success of all students.</p> <p>b. Candidates base this vision on relevant knowledge and theories, including but not limited to an understanding of learning goals in a pluralistic society, the diversity of learners and learners' needs, schools as interactive social and cultural systems, and social and organizational change.</p>	<p>a. Candidates develop and demonstrate the skills needed to work with a board of education to facilitate the development of a vision of learning for a school district that promotes the success of all students.</p> <p>b. Candidates base development of the vision on relevant knowledge and theories applicable to school-level leaders applied to a school district context.</p> <p>c. Candidates use data-based research strategies to create a vision that takes into account the diversity of learners in a district.</p> <p>d. Candidates demonstrate knowledge of ways to use a district's vision to mobilize additional resources to support the vision.</p>
1.2 Articulate a Vision	<p>a. Candidates demonstrate the ability to articulate the components of this vision for a school and the leadership processes necessary to implement and support the vision.</p> <p>b. Candidates demonstrate the ability to use data-based research strategies and strategic planning processes that focus on student learning to inform the development of a vision, drawing on relevant information sources such as student assessment results, student and family demographic data, and an analysis of community needs.</p> <p>c. Candidates demonstrate the ability to communicate the vision to staff, parents, students, and community members through the use of symbols, ceremonies, stories, and other activities.</p>	<p>a. Candidates demonstrate the ability to articulate the components of this vision for a district and the leadership processes necessary to implement and support the vision.</p> <p>b. Candidates demonstrate the ability to use data-based research strategies and strategic planning processes that focus on student learning to develop a vision, drawing on relevant information sources such as student assessment results, student and family demographic data, and an analysis of community needs.</p> <p>c. Candidates demonstrate the ability to communicate the vision to school boards, staff, parents, students, and community members through the use of symbols, ceremonies, stories, and other activities.</p>

Elements	Meets Standards for School Building Leadership	Meets Standards for School District Leadership
1.3 Implement a Vision	<p>a. Candidates can formulate the initiatives necessary to motivate staff, students, and families to achieve the school's vision.</p> <p>b. Candidates develop plans and processes for implementing the vision (e.g., articulating the vision and related goals, encouraging challenging standards, facilitating collegiality and teamwork, structuring significant work, ensuring appropriate use of student assessments, providing autonomy, supporting innovation, delegating responsibility, developing leadership in others, and securing needed resources).</p>	<p>a. Candidates demonstrate the ability to plan programs to motivate staff, students, and families to achieve a school district's vision.</p> <p>b. Candidates design research-based processes to effectively implement a district vision throughout an entire school district and community.</p>
1.4 Steward a Vision	<p>a. Candidates demonstrate an understanding of the role effective communication skills play in building a shared commitment to the vision.</p> <p>b. Candidates design or adopt a system for using data-based research strategies to regularly monitor, evaluate, and revise the vision.</p> <p>c. Candidates assume stewardship of the vision through various methods.</p>	<p>a. Candidates demonstrate the ability to align and, as necessary, redesign administrative policies and practices required for full implementation of a district vision.</p> <p>b. Candidates understand the theory and research related to organizational and educational leadership and engage in the collection, organization, and analysis of a variety of information, including student performance data, required to assess progress toward a district's vision, mission, and goals.</p>
1.5 Promote Community Involvement in the Vision	<p>a. Candidates demonstrate the ability to involve community members in the realization of the vision and in related school improvement efforts.</p> <p>b. Candidates acquire and demonstrate the skills needed to communicate effectively with all stakeholders about implementation of the vision.</p>	<p>a. Candidates demonstrate the ability to bring together and communicate effectively with stakeholders within the district and the larger community concerning implementation and realization of the vision.</p>

Standard 1.0 Narrative Explanation: This standard addresses the need to prepare educational leaders who value and are committed to educating all students to become successful adults. Each educational leader is responsible for creating and articulating a vision of high standards for learning within the school or district that can be shared by all employees and is supported by the broader school-community of parents and citizens. This requires that educational leaders be willing to examine their own assumptions, beliefs, and practices; understand

and apply research; and foster a climate of continuous improvement among all members of the educational staff. Such educational leaders will commit themselves to high levels of personal and organizational performance in order to ensure implementation of this vision of learning.

Examples of Promising Practices for Candidate Performance Activities:

Candidates are required to write a vision statement for a school or district, share it with the executive team in the central office or with a site-based management team, and demonstrate how stakeholders were involved in the development.

Candidates are required to collect, interpret, and analyze school data. The analysis should reflect the candidate’s understanding of the school’s vision and mission statements, the level of involvement and actual contributions of the school community, and recommendations for inclusion in the school improvement plan.

Additional activities can be found beginning on page 25 of the *Instructions to Implement Standards for Advanced Programs in Educational Leadership* document.

Standard 2.0: Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by promoting a positive school culture, providing an effective instructional program, applying best practice to student learning, and designing comprehensive professional growth plans for staff.

Elements	Meets Standards for School Building Leadership	Meets Standards for School District Leadership
<p>2.1 Promote Positive School Culture</p>	<p>a. Candidates assess school culture using multiple methods and implement context-appropriate strategies that capitalize on the diversity (e.g., population, language, disability, gender, race, socio-economic) of the school community to improve school programs and culture.</p>	<p>a. Candidates develop a sustained approach to improve and maintain a positive district culture for learning that capitalizes on multiple aspects of diversity to meet the learning needs of all students.</p>

Elements	Meets Standards for School Building Leadership	Meets Standards for School District Leadership
<p>2.2 Provide Effective Instructional Program</p>	<p>a. Candidates demonstrate the ability to facilitate activities that apply principles of effective instruction to improve instructional practices and curricular materials.</p> <p>b. Candidates demonstrate the ability to make recommendations regarding the design, implementation, and evaluation of a curriculum that fully accommodates learners' diverse needs.</p> <p>c. Candidates demonstrate the ability to use and promote technology and information systems to enrich curriculum and instruction, to monitor instructional practices and provide staff the assistance needed for improvement.</p>	<p>a. Candidates demonstrate an understanding of a variety of instructional research methodologies and can analyze the comparable strengths and weaknesses of each method.</p> <p>b. Candidates are able to use qualitative and quantitative data, appropriate research methods, technology, and information systems to develop a long-range plan for a district that assesses the district's improvement and accountability systems.</p> <p>c. Candidates demonstrate the ability to use and promote technology and information systems to enrich district curriculum and instruction, monitor instructional practices, and provide assistance to administrators who have needs for improvement.</p> <p>d. Candidates demonstrate the ability to allocate and justify resources to sustain the instructional program.</p>
<p>2.3 Apply Best Practice to Student Learning</p>	<p>a. Candidates demonstrate the ability to assist school personnel in understanding and applying best practices for student learning.</p> <p>b. Candidates apply human development theory, proven learning and motivational theories, and concern for diversity to the learning process.</p> <p>c. Candidates demonstrate an understanding of how to use appropriate research strategies to promote an environment for improved student achievement.</p>	<p>a. Candidates demonstrate the ability to facilitate and engage in activities that use best practices and sound educational research to improve instructional programs.</p> <p>b. Candidates demonstrate an ability to assist school and district personnel in understanding and applying best practices for student learning.</p> <p>c. Candidates understand and can apply human development theory, proven learning, and motivational theories, and concern for diversity to the learning process.</p> <p>d. Candidates understand how to use appropriate research strategies to profile student performance in a district and analyze differences among subgroups.</p>

Elements	Meets Standards for School Building Leadership	Meets Standards for School District Leadership
<p>2.4 Design Comprehensive Professional Growth Plans</p>	<p>a. Candidates design and demonstrate an ability to implement well-planned, context-appropriate professional development programs based on reflective practice and research on student learning consistent with the school vision and goals.</p> <p>b. Candidates demonstrate the ability to use strategies such as observations, collaborative reflection, and adult learning strategies to form comprehensive professional growth plans with teachers and other school personnel.</p> <p>c. Candidates develop and implement personal professional growth plans that reflect a commitment to life-long learning.</p>	<p>a. Candidates demonstrate knowledge of adult learning strategies and the ability to apply technology and research to professional development design focusing on authentic problems and tasks, mentoring, coaching, conferencing, and other techniques that promote new knowledge and skills in the workplace.</p> <p>b. Candidates demonstrate the ability to use strategies such as observations and collaborative reflection to help form comprehensive professional growth plans with district and school personnel.</p> <p>c. Candidates develop personal professional growth plans that reflect commitment to life-long learning and best practices.</p>

Standard 2.0 Narrative Explanation: This standard addresses the need for educational leaders to position teaching and learning at the focal point of schools. It accepts the proposition that all students can learn and that student learning is the fundamental purpose of schools. To this end, educational leaders are responsible for ensuring that decisions about curriculum, instructional strategies (including instructional technology), assessment, and professional development are based on sound research, best practice, school and district data, and other contextual information and that observation and collaboration are used to design meaningful and effective experiences that improve student achievement. Educational leaders must capitalize on diversity to create a school culture that promotes respect and success for all students. All members of the school community should have confidence in the integrity of the decision-making process for school improvement and the appropriateness of that process, thus ensuring dignity and respect for all. Successful educational leaders must be able to identify, clarify, and address barriers to student learning and communicate the importance of developing learning strategies for diverse populations. In addition, this standard requires that educational leaders be learners who model and encourage life-long learning. They should establish a culture of high expectations for themselves, their students, and their staff. Candidates preparing to lead schools or districts must be able to assess the culture and climate on a regular basis. They must also understand the importance of supervision and be able and willing to evaluate teacher and staff performance using a variety of supervisory models.

Examples of Promising Practices for Candidate Performance Activities:

Candidates are required to organize and lead parent and teacher focus groups about high-stakes testing and alternative methods of measuring student performance.

Candidates are required to present a multimedia report to a community forum about the latest instructional technologies, including the use of the Web and teaching strategies.

Additional activities can be found beginning on page 25 of the *Instructions to Implement Standards for Advanced Programs in Educational Leadership* document.

Standard 3.0: Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by managing the organization, operations, and resources in a way that promotes a safe, efficient, and effective learning environment.

Elements	Meets Standards for School Building Leadership	Meets Standards for School District Leadership
<p>3.1 Manage the Organization</p>	<p>a. Candidates demonstrate the ability to optimize the learning environment for all students by applying appropriate models and principles of organizational development and management, including research and data driven decision-making with attention to indicators of equity, effectiveness, and efficiency.</p> <p>b. Candidates develop plans of action for focusing on effective organization and management of fiscal, human, and material resources, giving priority to student learning, safety, curriculum, and instruction.</p> <p>c. Candidates demonstrate an ability to manage time effectively and deploy financial and human resources in ways that promote student achievement.</p>	<p>a. Candidates demonstrate the ability to use research-based knowledge of learning, teaching, student development, organizational development, and data management to optimize learning for all students.</p> <p>b. Candidates demonstrate effective organization of fiscal, human, and material resources, giving priority to student learning and safety, and demonstrating an understanding of district budgeting processes and fiduciary responsibilities.</p> <p>c. Candidates demonstrate an ability to manage time effectively and to deploy financial and human resources in a way that promotes student achievement.</p> <p>d. Candidates demonstrate the ability to organize a district based on indicators of equity, effectiveness, and efficiency and can apply legal principles that promote educational equity.</p> <p>e. Candidates demonstrate an understanding of how to apply legal principles to promote educational equity and provide a safe, effective, and efficient facilities.</p>

Elements	Meets Standards for School Building Leadership	Meets Standards for School District Leadership
<p>3.2 Manage Operations</p>	<p>a. Candidates demonstrate the ability to involve staff in conducting operations and setting priorities using appropriate and effective needs assessment, research-based data, and group process skills to build consensus, communicate, and resolve conflicts in order to align resources with the organizational vision.</p> <p>b. Candidates develop communications plans for staff that includes opportunities for staff to develop their family and community collaboration skills.</p> <p>c. Candidates demonstrate an understanding of how to apply legal principles to promote educational equity and provide a safe, effective, and efficient facilities.</p>	<p>a. Candidates demonstrate the ability to involve stakeholders in aligning resources and priorities to maximize ownership and accountability.</p> <p>b. Candidates can use appropriate and effective needs assessment, research-based data, and group process skills to build consensus, communicate, and resolve conflicts in order to align resources with the district vision.</p> <p>c. Candidates develop staff communication plans for integrating district's schools and divisions.</p> <p>d. Candidates develop a plan to promote and support community collaboration among district personnel.</p>
<p>3.3 Manage Resources</p>	<p>a. Candidates use problem-solving skills and knowledge of strategic, long-range, and operational planning (including applications of technology) in the effective, legal, and equitable use of fiscal, human, and material resource allocation and alignment that focuses on teaching and learning.</p> <p>b. Candidates creatively seek new resources to facilitate learning.</p> <p>c. Candidates apply and assess current technologies for school management, business procedures, and scheduling.</p>	<p>a. Candidates use problem-solving skills and knowledge of strategic, long-range, and operational planning (including applications of technology) in the effective, legal, and equitable use of fiscal, human, and material resource allocation that focuses on teaching and learning.</p> <p>b. Candidates creatively seek new resources to facilitate learning.</p> <p>c. Candidates apply an understanding of school district finance structures and models to ensure that adequate financial resources are allocated equitably for the district.</p> <p>d. Candidates apply and assess current technologies for management, business procedures, and scheduling.</p>

Standard 3.0 Narrative Explanation: This standard addresses the need to enhance student learning through effective, efficient, and equitable utilization of resources. Educational leaders must use their knowledge of organizations to create a learning environment conducive to the success of all students. Proper allocation of resources such as personnel, facilities, and technology are essential to creating an effective learning environment. Resource management decisions should give priority to teaching, student achievement, and student development.

Also, operational procedures and policies must be established to maintain school safety and security and to strengthen the academic environment. All management decisions, including those regarding human resources, fiscal operations, facilities, legal issues, time management, scheduling, technology, and equipment, should be based on sound organizational practice. Educational leaders must monitor and evaluate operational systems to ensure that they enhance student learning and reflect the school's and district's accountability to the community. Skills in job analysis, supervision, recruitment, selection, professional development, and appraisal of staff positions, as well as an understanding of relevant collective bargaining agreements, strengthen the ability to use personnel resources. Effective educational leaders define job roles, assign tasks, delegate appropriately, and require accountability. They also actively seek additional sources of financial, human, and physical support. They involve stakeholders to ensure that management and operational decisions take into consideration the needs of multiple constituencies while at the same time focusing the entire community on student achievement as the ultimate goal. To include stakeholders in management decisions, educational leaders must be competent in conflict resolution, consensus building, group processes, and effective communication.

Examples of Promising Practices for Candidate Performance Activities:

Candidates are required to conduct a cost-benefit analysis of a school or district instructional improvement plan.

Candidates are required to analyze the school/district budget and identify how specific budget allocations support the school improvement plan/district strategic plan.

Additional activities can be found beginning on page 25 of the *Instructions to Implement Standards for Advanced Programs in Educational Leadership* document.

Standard 4.0: Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by collaborating with families and other community members, responding to diverse community interests and needs, and mobilizing community resources.

Elements	Meets Standards for School Building Leadership	Meets Standards for School District Leadership
<p>4.1 Collaborate with Families and Other Community Members</p>	<p>a. Candidates demonstrate an ability to bring together the resources of family members and the community to positively affect student learning.</p>	<p>a. Candidates demonstrate the ability to facilitate the planning and implementation of programs and services that bring together the resources of families and the community to positively affect student learning.</p>

Elements	Meets Standards for School Building Leadership	Meets Standards for School District Leadership
	<p>b. Candidates demonstrate an ability to involve families in the education of their children based on the belief that families have the best interests of their children in mind.</p> <p>c. Candidates demonstrate the ability to use public information and research-based knowledge of issues and trends to collaborate with families and community members.</p> <p>d. Candidates apply an understanding of community relations models, marketing strategies and processes, data-based decision-making, and communications theory to create frameworks for school, family, business, community, government, and higher education partnerships.</p> <p>e. Candidates develop various methods of outreach aimed at business, religious, political, and service organizations.</p> <p>f. Candidates demonstrate the ability to involve families and other stakeholders in school decision-making processes, reflecting an understanding that schools are an integral part of the larger community.</p> <p>g. Candidates demonstrate the ability to collaborate with community agencies to integrate health, social, and other services.</p> <p>h. Candidates develop a comprehensive program of community relations and demonstrate the ability to work with the media.</p>	<p>b. Candidates demonstrate an ability to use public information and research-based knowledge of issues and trends to collaborate with community members and community organizations to have a positive affect on student learning.</p> <p>c. Candidates apply an understanding of community relations models, marketing strategies and processes, data driven decision-making, and communication theory to craft frameworks for school, business, community, government, and higher education partnerships.</p> <p>d. Candidates demonstrate an ability to develop and implement a plan for nurturing relationships with community leaders and reaching out to different business, religious, political, and service organizations to strengthen programs and support district goals.</p> <p>e. Candidates demonstrate the ability to involve community members, groups, and other stakeholders in district decision-making, reflecting an understanding of strategies to capitalize on the district's integral role in the larger community.</p> <p>f. Candidates demonstrate the ability to collaborate with community agencies to integrate health, social, and other services in the schools to address student and family conditions that affect learning.</p> <p>g. Candidates demonstrate the ability to conduct community relations that reflects knowledge of effective media relations and that models effective media relations practices.</p> <p>h. Candidates develop and implement strategies that support the involvement of families in the education of their children that reinforces for district staff a belief that families have the best interests of their children in mind.</p>

Elements	Meets Standards for School Building Leadership	Meets Standards for School District Leadership
<p>4.2 Respond to Community Interests and Needs</p>	<p>a. Candidates demonstrate active involvement within the community, including interactions with individuals and groups with conflicting perspectives.</p> <p>b. Candidates demonstrate the ability to use appropriate assessment strategies and research methods to understand and accommodate diverse school and community conditions and dynamics.</p> <p>c. Candidates provide leadership to programs serving students with special and exceptional needs.</p> <p>d. Candidates demonstrate the ability to capitalize on the diversity (cultural, ethnic, racial, economic, and special interest groups) of the school community to improve school programs and meet the diverse needs of all students.</p>	<p>a. Candidates facilitate and engage in activities that reflect an ability to inform district decision-making by collecting and organizing formal and informal information from multiple stakeholders.</p> <p>b. Candidates demonstrate the ability to promote maximum involvement with, and visibility within the community.</p> <p>c. Candidates demonstrate the ability to interact effectively with individuals and groups that reflect conflicting perspectives.</p> <p>d. Candidates demonstrate the ability to effectively and appropriately assess, research, and plan for diverse district and community conditions and dynamics and capitalize on the diversity of the community to improve district performance and student achievement.</p> <p>e. Candidates demonstrate the ability to advocate for students with special and exceptional needs.</p>
<p>4.3 Mobilize Community Resources</p>	<p>a. Candidates demonstrate an understanding of and ability to use community resources, including youth services, to support student achievement, solve school problems, and achieve school goals.</p> <p>b. Candidates demonstrate how to use school resources and social service agencies to serve the community.</p> <p>c. Candidates demonstrate an understanding of ways to use public resources and funds appropriately and effectively to encourage communities to provide new resources to address emerging student problems.</p>	<p>a. Candidates demonstrate an understanding of and ability to use community resources, including youth services that enhance student achievement, to solve district problems and accomplish district goals.</p> <p>b. Candidates demonstrate how to use district resources to the community to solve issues of joint concern.</p> <p>c. Candidates demonstrate an understanding of ways to use public resources and funds appropriately and effectively to encourage communities to provide new resources to address emerging student problems.</p>

Standard 4.0 Narrative Explanation: This standard addresses the fact that cooperation among schools, the district, and the larger community is essential to the success of educational leaders and students. Educational leaders must see schools as an integral part of the

larger community. Collaboration and communication with families, businesses, governmental agencies, social service organizations, the media, and higher education institutions are critical to effective schooling. The ability to analyze emerging issues and trends that might affect schools and districts enables educational leaders to plan effective instructional programs and school services. Effective and appropriate communications, coupled with the involvement of families and other stakeholders in decisions, helps to ensure continued community support for schools. Seeing families as partners in the education of their youngsters, and believing that families have the best interests of their children in mind, encourages educational leaders to involve them in decisions at the school and district levels. Family and student issues that negatively affect student learning must be addressed through collaboration with community agencies that can integrate health, social, and other services. Such collaboration relies on good relationships with community leaders and outreach to a wide array of business, religious, political, and service agencies. Providing leadership to programs serving all students, including those with special and exceptional needs, further communicates to internal and external audiences the importance of diversity. To work with all elements of the community, educational leaders must recognize, value, and communicate effectively with various cultural, ethnic, racial, and special interest groups. Modeling community collaboration for staff and then offering opportunities for staff to develop collaborative skills maximizes positive interactions between schools and the community.

Examples of Promising Practices for Candidate Performance Activities:

Candidates are required to develop and present a plan recommending alignment of social service agency programs with school improvement needs.

Candidates are required to identify at least five key community leaders in a school community, justify why each was selected, and identify their roles or potential roles in school improvement in the district. A confidential analysis of this power structure is shared with the superintendent or board of education.

Additional activities can be found beginning on page 25 of the *Instructions to Implement Standards for Advanced Programs in Educational Leadership* document.

Standard 5.0: Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by acting with integrity, fairly, and in an ethical manner.

Elements	Meets Standards for School Building Leadership	Meets Standards for School District Leadership
5.1 Acts with Integrity	a. Candidates demonstrate a respect for the rights of others with regard to confidentiality and dignity and engage in honest interactions.	a. Candidates demonstrate a respect for the rights of others with regard to confidentiality and dignity and engage in honest interactions.
5.2 Acts Fairly	a. Candidates demonstrate the ability to combine impartiality, sensitivity to student diversity, and ethical considerations in their interactions with others.	a. Candidates demonstrate the ability to combine impartiality, sensitivity to student diversity, and ethical considerations in their interactions with others.
5.3 Acts Ethically	a. Candidates make and explain decisions based upon ethical and legal principles.	a. Candidates make and explain decisions based upon ethical and legal principles.

Standard 5.0 Narrative Explanation: This standard addresses the educational leader’s role as the “first citizen” of the school/district community. Educational leaders should set the tone for how employees and students interact with one another and with members of the school, district, and larger community. The leader’s contacts with students, parents, and employees must reflect concern for others as well as for the organization and the position. Educational leaders must develop the ability to examine personal and professional values that reflect a code of ethics. They must be able to serve as role models, accepting responsibility for using their position ethically and constructively on behalf of the school/district community. Educational leaders must act as advocates for all children, including those with special needs who may be underserved.

Examples of Promising Practices for Candidate Performance Activities:

Candidates are required to develop a code of ethics using personal platforms, professional leadership association examples, and a variety of additional source documents focusing on ethics.

Candidates are required to conduct a self-analysis of a transcript of a speech delivered to a community organization and look for examples of integrity, fairness, and ethical behavior.

Additional activities can be found beginning on page 25 of the *Instructions to Implement Standards for Advanced Programs in Educational Leadership* document.

Standard 6.0: Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context.

Elements	Meets Standards for School Building Leadership	Meets Standards for School District Leadership
<p>6.1 Understand the Larger Context</p>	<p>a. Candidates act as informed consumers of educational theory and concepts appropriate to school context and can demonstrate the ability to apply appropriate research methods to a school context.</p> <p>b. Candidates demonstrate the ability to explain how the legal and political systems and institutional framework of schools have shaped a school and community, as well as the opportunities available to children and families in a particular school.</p> <p>c. Candidates demonstrate the ability to analyze the complex causes of poverty and other disadvantages and their effects on families, communities, children, and learning.</p> <p>d. Candidates demonstrate an understanding of the policies, laws, and regulations enacted by local, state, and federal authorities that affect schools, especially those that might improve educational and social opportunities.</p> <p>e. Candidates demonstrate the ability to describe the economic factors shaping a local community and the effects economic factors have on local schools.</p> <p>f. Candidates demonstrate the ability to analyze and describe the cultural diversity in a school community.</p> <p>g. Candidates can describe community norms and values and how they relate to the role of the school in promoting social justice.</p> <p>h. Candidates demonstrate the ability to explain various theories of change and conflict resolution and the appropriate application of those models to specific communities.</p>	<p>a. Candidates demonstrate the ability to use appropriate research methods, theories, and concepts to improve district operations.</p> <p>b. Candidates demonstrate an understanding of the complex causes of poverty and other disadvantages and their effects on families, communities, children, and learning.</p> <p>c. Candidates demonstrate an understanding of the policies, laws, and regulations enacted by local, state, and federal authorities affecting a specific district.</p> <p>d. Candidates can explain the system for financing public schools and its effects on the equitable distribution of educational opportunities within a district.</p> <p>e. Candidates demonstrate the ability to work with political leaders at the local, state, and national level.</p> <p>f. Candidates can apply an understanding of how specific laws at the local, state, and federal level affect school districts and residents.</p> <p>g. Candidates espouse positions in response to proposed policy changes that would benefit or harm districts and explain how proposed policies and laws might improve educational and social opportunities for specific communities.</p>

Elements	Meets Standards for School Building Leadership	Meets Standards for School District Leadership
<p>6.2 Respond to the Larger Context</p>	<p>a. Candidates demonstrate the ability to communicate with members of a school community concerning trends, issues, and potential changes in the environment in which the school operates, including maintenance of an ongoing dialogue with representatives of diverse community groups.</p>	<p>a. Candidates demonstrate the ability to engage students, parents, members of the school board, and other community members in advocating for adoption of improved policies and laws. b. Candidates apply their understanding of the larger political, social, economic, legal, and cultural context to develop activities and policies that benefit their district and its students. c. Candidates demonstrate the ability to communicate regularly with all segments of the district community concerning trends, issues, and policies affecting the district.</p>
<p>6.3 Influence the Larger Context</p>	<p>a. Candidates demonstrate the ability to engage students, parents, and other members of the community in advocating for adoption of improved policies and laws. b. Candidates apply their understanding of the larger political, social, economic, legal, and cultural context to develop activities and policies that benefit students and their families. c. Candidates advocate for policies and programs that promote equitable learning opportunities and success for all students, regardless of socioeconomic background, ethnicity, gender, disability, or other individual characteristics.</p>	<p>a. Candidates demonstrate an understanding of how to develop lines of communication with local, state, and federal authorities and actively advocate for improved policies, laws, and regulations affecting a specific district, both directly and through organizations representing schools, educators, or others with similar interests. b. Candidates demonstrate the ability to advocate for policies and programs that promote equitable learning opportunities and success for all students, regardless of socioeconomic background, ethnicity, gender, disability, or other individual characteristics.</p>

Standard 6.0 Narrative Explanation: This standard addresses the need for educational leaders to understand and be able to operate within the larger context of the community and beyond, which affects opportunities for all students. Educational leaders must respond to and influence this larger political, social, economic, and cultural context. Of vital importance is the ability to develop a continuing dialogue with economic and political decision makers concerning the role of schools and to build collaborative relationships that support improved social and educational opportunities for children. Educational leaders must be able to participate actively in the political and policy-making context in the service of education, including proactive use of the legal system to protect students' rights and improve students' opportunities.

Examples of Promising Practices for Candidate Performance Activities:

Candidates are required to interview state legislators and/or lobbyists and present a report about the state’s strategies used to influence change.

Candidates are required to participate in a simulated public debate about the pros and cons of selected international educational practices compared to practices in the United States.

Additional activities can be found beginning on page 25 of the *Instructions to Implement Standards for Advanced Programs in Educational Leadership* document.

Standard 7.0: Internship. The internship provides significant opportunities for candidates to synthesize and apply the knowledge and practice and develop the skills identified in Standards 1-6 through substantial, sustained, standards-based work in real settings, planned and guided cooperatively by the institution and school district personnel for graduate credit.

Elements	Meets Standards for School Building Leadership	Meets Standards for School District Leadership
<p>7.1 Substantial</p>	<p>a. Candidates demonstrate the ability to accept genuine responsibility for leading, facilitating, and making decisions typical of those made by educational leaders. The experience(s) should provide interns with substantial responsibilities that increase over time in amount and complexity and involve direct interaction and involvement with staff, students, parents, and community leaders.</p> <p>b. Each candidate should have a minimum of six-months (or equivalent, see note below) of full-time internship experience.</p>	<p>a. Candidates demonstrate the ability to accept genuine responsibility for leading, facilitating, and making decisions typical of those made by district leaders. The experience(s) should provide interns with substantial responsibilities that increase over time in amount and complexity and involve direct interaction and involvement with staff, school board members, students, parents, and school and community leaders.</p> <p>b. Each candidate should have a minimum of six-months (or equivalent, see note below) of full-time internship experience.</p>

Elements	Meets Standards for School Building Leadership	Meets Standards for School District Leadership
7.2 Sustained	<p>a. Candidates participate in planned intern activities during the entire course of the program, including an extended period of time near the conclusion of the program to allow for candidate application of knowledge and skills on a full-time basis.</p>	<p>a. Candidates participate in planned intern activities during the entire course of the program, including an extended period of time near the conclusion of the program to allow for candidate application of skills and knowledge on a full-time basis.</p>
7.3 Standards-based	<p>a. Candidates apply skills and knowledge articulated in these standards as well as state and local standards for educational leaders.</p> <p>b. Experiences are designed to accommodate candidates' individual needs.</p>	<p>a. Candidates apply skills and knowledge articulated in these standards as well as state and local standards for educational leaders.</p> <p>b. Experiences are designed to accommodate candidates' individual needs.</p>
7.4 Real Settings	<p>a. Candidates' experiences occur in multiple settings that allow for the demonstration of a wide range of relevant knowledge and skills.</p> <p>b. Candidates' experiences include work with appropriate community organizations such as social service groups and local businesses.</p>	<p>a. Candidates' experiences occur in multiple district administrator settings and allow for the demonstration of relevant knowledge and skills.</p> <p>b. Candidates' experiences include work with appropriate community organizations, parent groups, and school boards.</p>
7.5 Planned and Guided Cooperatively	<p>a. Candidates' experiences are planned cooperatively by the individual, the site supervisor, and institution personnel to provide inclusion of appropriate opportunities to apply skills, knowledge, and research contained in the standards. These three individuals work together to meet candidate and program needs.</p> <p>b. Mentors are provided training to guide the candidate during the intern experience.</p>	<p>a. Candidates' experiences are planned cooperatively by the individual, the site supervisor, and institution personnel to provide inclusion of appropriate opportunities to apply skills, knowledge, and research contained in the standards. The three individuals work together to meet candidate and program needs.</p> <p>b. Mentors are provided training to guide the candidate during the intern experience.</p>
7.6 Credit	<p>a. Candidates earn graduate credit for their intern experience.</p>	<p>a. Candidates earn graduate credit for their intern experience.</p>

Standard 7.0 Narrative Explanation: This standard addresses the importance of structured, sustained, standards-based experiences in authentic settings. The internship is defined as the process and product that results from applying the knowledge and skills described in the previous standards in a workplace environment. Application of standards-based knowledge, skills, and research in real settings over time is a critical aspect of any institutional program. The provision of graduate credit allows institutions to underscore the importance of this activity.

Note: Length Equivalency: The six-month internship experience need not be consecutive, and may include experiences of different lengths. However, all internships must include an extended, capstone experience to maximize the candidates' opportunities to practice and refine their skills and knowledge. This culminating experience may be two noncontiguous internships of three months each, a four-month internship and two field practicums of one month each, or another equivalent combination. Full-time experience is defined as the number of hours per week required for attendance by a full-time student, receiving federal financial assistance (generally 9-12 hours per week).

Examples of Promising Practices for Candidate Performance Activities:

Candidates are required to complete a self-inventory based on state or national standards, and develop a self-improvement plan based on the results, which serves as the basis for activities during the internship.

Candidates are required to maintain a daily reflection journal throughout the time of the internship.

Candidates are required to meet on a regular basis throughout the internship with a team of "critical friends" to discuss the achievement of the goals in their self-improvement plan.

Additional activities can be found beginning on page 25 of the *Instructions to Implement Standards for Advanced Programs in Educational Leadership* document.

APPENDIX F: 1996 INTERSTATE SCHOOL LEADERS LICENSURE

CONSORTIUM – STANDARDS FOR SCHOOL LEADERS

◆ COUNCIL OF CHIEF STATE SCHOOL OFFICERS ◆

Interstate School Leaders Licensure Consortium

Standards For School Leaders

The Council of Chief State School Officers (CCSSO) is a nationwide, nonprofit organization composed of the public officials who head departments of elementary and secondary education in the states, the District of Columbia, the Department of Defense Education Activity, and five extra-state jurisdictions. CCSSO seeks its members' consensus on major educational issues and expresses their view to civic and professional organizations, federal agencies, Congress, and the public. Through its structure of standing and special committees, the Council responds to a broad range of concerns about education and provides leadership on major education issues.

The State Education Assessment Center is a permanent, central part of the Council of Chief State School Officers. This Center was established through a resolution by membership of CCSSO in 1984.

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Council of Chief State School Officers

Attr: Publications

One Massachusetts Avenue, NW

Suite 700

Washington, DC 20001-1431

Phone: 202-336-7016

Fax: 202-408-8072

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◆ COUNCIL OF CHIEF STATE SCHOOL OFFICERS ◆

Interstate School Leaders Licensure Consortium

Standards For School Leaders

*Adopted by Full Consortium
November 2, 1996*

Council of Chief State School Officers
State Education Assessment Center
Supported by a grant from The Pew Charitable Trusts

Dear Colleague:

For the past two years, the Interstate School Leaders Licensure Consortium (ISLLC), a program of the Council of Chief State School Officers, has been at work crafting model standards for school leaders. Forged from research on productive educational leadership and the wisdom of colleagues, the standards were drafted by personnel from 24 state education agencies and representatives from various professional associations. The standards present a common core of knowledge, dispositions, and performances that will help link leadership more forcefully to productive schools and enhanced educational outcomes. Although developed to serve a different purpose, the standards were designed to be compatible with the new National Council for the Accreditation of Teacher Education (NCATE) *Curriculum Guidelines* for school administration — as well as with the major national reports on reinventing leadership for tomorrow's schools. As such, they represent another part of a concerted effort to enhance the skills of school leaders and to couple leadership with effective educational processes and valued outcomes.

One intent of the document is to stimulate vigorous thought and dialogue about quality educational leadership among stakeholders in the area of school administration. A second intent is to provide raw material that will help stakeholders across the education landscape (e.g., state agencies, professional associations, institutions of higher education) enhance the quality of educational leadership throughout the nation's schools. Our work is offered, therefore, with these two goals in mind.

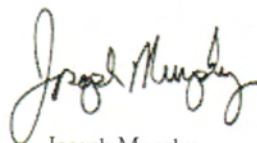
It is the desire of the Consortium to raise the bar for the practice of school leadership. Thus the standards and indicators reflect the magnitude of both the importance and the responsibility of effective school leaders.

We encourage you to heavily use this document — circulate it widely to members of the public and the profession as well as to the policy-making community. It is through this shared vision of education that school leaders will be successful and that our children will be assured of the education they will need to carry out the responsibilities of the future.

Sincerely,



Neil Shipman
Director, ISLLC



Joseph Murphy
Chair, ISLLC

Preface

Over the past quarter-century, significant changes have been reshaping our nation. At the same time, new viewpoints have redefined the struggle to restructure education for the 21st century. From these two foundations, educators and policy makers have launched many helpful initiatives to redefine the roles of formal school leaders. In this document, you see the results of one of these efforts — the work of the Interstate School Leaders Licensure Consortium (ISLLC) to establish common standards for school leaders. In this report, we describe the portrait of leadership and the understanding of society and education that guided the work of the ISLLC team. We also provide an overview of ISLLC activity, describing the process we used to develop the standards and discussing central issues embedded in that process. Finally, we present the ISLLC standards and indicators.

Redesigning Leadership

The model of leadership standards one develops depends a good deal on how the design issue is framed. The Consortium tackled the design strategy in two ways. First, we relied heavily on the research on the linkages between educational leadership and productive schools, especially in terms of outcomes for children and youth. Second, we sought out significant trends in society and education that hold implications for emerging views of leadership — and subsequently for the standards that give meaning to those new perspectives on leadership.

An Understanding of Effective Leadership

Formal leadership in schools and school districts is a complex, multi-faceted task. The ISLLC standards honor that reality. At the same time, they acknowledge that effective leaders

often espouse different patterns of beliefs and act differently from the norm in the profession. Effective school leaders are strong educators, anchoring their work on central issues of learning and teaching and school improvement. They are moral agents and social advocates for the children and the communities they serve. Finally, they make strong connections with other people, valuing and caring for others as individuals and as members of the educational community.

The Changing Nature of Society

Looking to the larger society that envelops schooling, the Consortium identified a handful of powerful dynamics that will likely shape the future of education and, perforce, the types of leadership required for tomorrow's schools. To begin with, our vision of education is influenced by the knowledge that the social fabric of society is changing, often in dramatic ways. On the one hand, the pattern of the fabric is being rewoven. In particular, we are becoming a more diverse society — racially, linguistically and culturally. On the other hand, the social fabric is unraveling for many children and their families. Poverty is increasing. Indexes of physical, mental, and moral well-being are declining. The stock of social capital is decreasing as well.

The perspective of the Consortium on schooling and leadership is also colored by the knowledge that the economic foundations of society are being recast as well. The shift to a post-industrial society, the advance of the global marketplace, the increasing reliance on technology, and a growing infatuation with market-based solutions to social needs pose significant new challenges for education. We believe that these challenges will require new types of leadership in schools.

An Evolving Model of Schooling

Turning to schooling itself, Consortium members distilled three central changes, all of which augur for a redefined portfolio of leadership skills for school administrators. On one level, we are seeing a renewed struggle to redefine learning and teaching to more successfully challenge and engage all youngsters in the education process. Educators are rethinking long-prevailing views of knowledge, intelligence, assessment and instruction. On a second level, we are hearing strong rumblings that community-focused and caring-centered conceptions of schooling will increasingly compete for legitimacy with more established notions of school organizations as hierarchies and bureaucracies. Finally, stakeholders external to the school building — parents, interested members of the corporate sector and leaders in the community — will increasingly play significantly enhanced roles in education.

ISLLC Initiative

The Consortium's initiative builds on research about skillful stewardship by school administrators and emerging perspectives about society and education. At one level, our work is a continuation of a century's quest to develop a deeper and more productive understanding of school leadership. At the same time, however, primarily because of the fundamental nature of the shift from an industrial to an information society, our work represents one of the two or three major transition points in that voyage.

The Consortium is not alone in its attempt to define the current era of transition in society and schooling and to capture its meaning for educational leadership. Since the 1987 publication of the *Leaders for America's Schools* by the National Commission on Excellence in Educational Administration, all the major professional associa-

tions, both practitioner and university based, have devoted productive energy to this issue. Indeed, the National Policy Board for Educational Administration (NPBEA) was created largely in response to this need and in an effort to generate better and more coordinated purchase on the task. Thus, the work of ISLLC is part of the long tradition of regularly upgrading the profession and, we believe, is a central pillar in the struggle to forge a vision of educational leadership for tomorrow's schools.

The ISLLC initiative began in August 1994. Fueled by the contributions of the 24 member states, a generous foundational grant from The Pew Charitable Trusts, and assistance from the Danforth Foundation and the NPBEA, the program operates under the aegis of the Council of Chief State School Officers. The 24 member states are Arkansas, California, Connecticut, Delaware, Georgia, Illinois, Indiana, Kansas, Kentucky, Maryland, Massachusetts, Michigan, Mississippi, Missouri, New Jersey, North Carolina, Ohio, Pennsylvania, Rhode Island, South Carolina, Texas, Virginia, Washington and Wisconsin. In addition, the following professional associations are affiliated with ISLLC: American Association of Colleges for Teacher Education, American Association of School Administrators, Association for Supervision and Curriculum Development, Association of Teacher Educators, National Association of Elementary School Principals, National Association of Secondary School Principals, National Association of State Boards of Education, National Council of Professors of Educational Administration, National Policy Board of Educational Administration, National School Boards Association, and University Council for Educational Administration.

Representatives of the member states and affiliated organizations have crafted standards and in-

dicators. As noted previously, in the drafting process the Consortium team drew extensively on the research about productive leadership. We also relied heavily on the knowledge of the representatives themselves. Finally, we employed the collective wisdom of colleagues in schools and school districts, institutions of higher education, and various professional associations at both state and national levels to enrich and leaven the work throughout the development process.

Guiding Principles

At the outset of the project, it became clear that our work would be strengthened considerably if we could craft a set of overarching principles to guide our efforts. Over time we saw that these principles actually could serve two functions. First, they have acted as a touchstone to which we regularly returned to test the scope and focus of emerging products. Second, we believe that they help give meaning to the standards and indicators. Here are the seven principles that helped orient all of our work:

- Standards should reflect the centrality of student learning.
- Standards should acknowledge the changing role of the school leader.
- Standards should recognize the collaborative nature of school leadership.
- Standards should be high, upgrading the quality of the profession.
- Standards should inform performance-based systems of assessment and evaluation for school leaders.
- Standards should be integrated and coherent.

- Standards should be predicated on the concepts of access, opportunity, and empowerment for all members of the school community.

Comments on the Standards

Many strategies are being used to upgrade the quality of leadership in the educational arena. For example, institutions of higher education have done extensive work on revising preparation programs for prospective school administrators. Many states have also strengthened licensing requirements and revised procedures for approval of university-based preparation programs. The ISLLC team decided at the outset of this project, however, to focus on standards. This strategy made sense for several reasons. First, based on the work on standards in other arenas of educational reform, especially the efforts of the Interstate New Teachers Assessment and Support Consortium (INTASC), we were convinced that standards provided an especially appropriate and particularly powerful leverage point for reform. Second, we found a major void in this area of educational administration — a set of common standards remains conspicuous by its absence. Finally, we believed that the standards approach provided the best avenue to allow diverse stakeholders to drive improvement efforts along a variety of fronts — licensure, program approval and candidate assessment.

Within that framework, we began work on a common set of standards that would apply to nearly all formal leadership positions in education, not just principals. We acknowledge full well that there are differences in leadership that correspond to roles, but ISLLC members were unanimous in their belief that the central aspects of the role are the same for all school leadership positions.

While acknowledging the full range of responsibilities of school leaders, we decided to focus on those topics that formed the heart and soul of effective leadership. This decision led us in two directions. First, because we didn't want to lose the key issues in a forest of standards, we deliberately framed a parsimonious model at the standard level. Thus, we produced only six standards. Second, we continually focused on matters of learning and teaching and the creation of powerful learning environments. Not only do several standards directly highlight learning and teaching, but all the standards take on meaning to the extent that they support a learning environment. Throughout, the success of students is paramount. For example, every standard begins with the words "A school administrator is an educational leader who promotes the success of all students by ..."

Finally, a word about the framework for the indicators is in order. The design we employed

(knowledge, dispositions, and performances), is borrowed from the thoughtful work of our INTASC colleagues. While there was little debate about the importance of knowledge and performances in the framework, the inability to "assess" dispositions caused some of us a good deal of consternation at the outset of the project. As we became more enmeshed in the work, however, we discovered that the dispositions often occupied center stage. That is, because "dispositions are the proclivities that lead us in one direction rather than another within the freedom of action that we have" (Perkins, 1995, p. 275),¹ in many fundamental ways they nourish and give meaning to performance. Over time, we have grown to understand that these elements — knowledge, dispositions, and performances — belong together. We also find ourselves agreeing with Perkins (1995) that "dispositions are the soul of intelligence, without which the understanding and know-how do little good" (p. 278).

¹ David Perkins (1995). *Outsmarting I.Q.: The Emerging Science of Learnable Intelligence*. New York: The Free Press.

Standards for School Leaders

Standard 1

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

Knowledge

The administrator has knowledge and understanding of:

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

Dispositions

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

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

Performances

The administrator facilitates processes and engages in activities ensuring that:

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

Standard 2

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

Knowledge

The administrator has knowledge and understanding of:

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

Dispositions

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

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

Performances

The administrator facilitates processes and engages in activities ensuring that:

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

Standard 3

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

Knowledge

The administrator has knowledge and understanding of :

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

Dispositions

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

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

Performances

The administrator facilitates processes and engages in activities ensuring that:

- knowledge of learning, teaching, and student development is used to inform management decisions
- operational procedures are designed and managed to maximize opportunities for successful learning
- emerging trends are recognized, studied, and applied as appropriate
- operational plans and procedures to achieve the vision and goals of the school are in place
- collective bargaining and other contractual agreements related to the school are effectively managed
- the school plant, equipment, and support systems operate safely, efficiently, and effectively
- time is managed to maximize attainment of organizational goals
- potential problems and opportunities are identified
- problems are confronted and resolved in a timely manner
- financial, human, and material resources are aligned to the goals of schools
- the school acts entrepreneurially to support continuous improvement
- organizational systems are regularly monitored and modified as needed
- stakeholders are involved in decisions affecting schools
- responsibility is shared to maximize ownership and accountability
- effective problem-framing and problem-solving skills are used
- effective conflict resolution skills are used
- effective group-process and consensus-building skills are used
- effective communication skills are used
- there is effective use of technology to manage school operations
- fiscal resources of the school are managed responsibly, efficiently, and effectively
- a safe, clean, and aesthetically pleasing school environment is created and maintained
- human resource functions support the attainment of school goals
- confidentiality and privacy of school records are maintained

Standard 4

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

Knowledge

The administrator has knowledge and understanding of:

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

Dispositions

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

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