



**Lessons for States: The *Every Student Succeeds Act* (ESSA) Increases Focus on and Investment in Supporting Principal Preparation and Development**

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**INTRODUCTION**

The original *Elementary and Secondary Education Act* (ESEA) of 1965 was developed to promote civil rights through legislation aimed at ensuring that the federal government provided funding to states to ensure every student had access to a quality education (ESEA, 1965). ESEA established a vital group of education programs that were funded through the *U.S. Department of Education* (ED) and administered by each state. The original act was purposefully designed to require reauthorization every three to five years, allowing Congress to consider necessary revisions over time.

In 2001, Congress reauthorized ESEA under a new title: *No Child Left Behind* (NCLB). In an effort to address the growing achievement gap, the new legislation set high standards and established a strict accountability system. As former President George W. Bush asserted, “The fundamental principle of this bill is that every child can learn, we expect every child to learn, and you must show us whether or not every child is learning” (Bush, 2002). Unfortunately, provisions within NCLB proved to be a barrier in some respects to the very goals it was designed to address. While the emphasis on closing the achievement gap through high standards and accountability were commendable, many found that the prescriptive requirements forced all school districts to adopt the same approaches regardless of local needs and context, and many felt the amount of time devoted to testing reduced the quality and quantity of instruction (ED, 2015).

Recent efforts aimed at the reauthorization of ESEA resulted in the passage of the *Every Student Succeeds Act* (ESSA) of 2015. Revisions found in ESSA reflect current research and emerging best practices, and were designed to address many of the barriers and challenges found in NCLB (Dynarski, 2015).

## BACKGROUND ON THE IMPORTANCE OF SCHOOL PRINCIPALS

The focus on principal effectiveness is crucial as empirical evidence demonstrates that principals can: create school environments conducive to teaching and learning (Clotfelter, Ladd, Vigdor, & Wheeler, 2007; Seashore-Lewis, Leithwood, Wahlstrom & Anderson, 2010), and attract, support, and retain high-quality teachers (Branch, Hanushek, & Rivkin, 2013; Clotfelter et al., 2007). In fact, the impact of school leadership is recognized as second only to teaching regarding school influences on student success (Leithwood, Louis, Anderson & Wahlstrom 2004). Further, the impact of leadership is greatest in schools with the greatest needs (Leithwood, et al., 2004; Branch, Hanushek & Rivkin 2009; Hallinger & Heck 1998).

Although the research evidences the impact that principals have on teaching and learning, the absence of an explicit focus on the principalship has long been evident in national and state policy. A report by Paul Manna (2015), argues that despite growing recognition of principal impact on school and student outcomes, policy makers tend to overlook the needs of the specific role. “The principal’s role has received consistently less attention relative to other topics... policy makers give much more attention to teachers and teacher-related issues than principals” (p. 3). **Yet, it is principals that act as “powerful multipliers of effective teaching and leadership practices in schools” (p. 7), impacting teaching and learning not only in single classrooms but school-wide.** The tendency of policy makers to *combine* strategies aimed at teachers **and** principals fails to adequately support and provide for the unique professional development required for educators in these discrete roles. While funding and support for teacher development is important, neglecting to adequately fund leadership development ignores the larger impact and greater return on investment that could be achieved by investing in improving principal quality with strategies aimed at building their capacity to scale effective teaching and leadership practices.

## NEED FOR GREATER INVESTMENT IN PRINCIPAL PREPARATION AND DEVELOPMENT

When funding for programs or research is targeted at both teachers and principals, or when principals are grouped with other focus areas rather than treated as a separate entity, leadership programs and studies are disproportionately burdened in grant competitions that pit them against programs and studies designed to support teachers or other types of classroom or student interventions. For example, ED has typically allocated program funds aimed at supporting principals under a broader topic area of *Teacher and Leader Effectiveness* (e.g. Title II, Supporting Effective Educators Development (SEED), etc.).<sup>1</sup> Grouping principals and teachers together, or grouping principals with other focus areas, does not just occur with program funding, but is also the standard practice for allocating research funds as well. For example, within the Institute of Education Science’s (IES) current research funding areas, the grant competition that would include studies on principals falls into the more broadly conceptualized topic area of *Improving Education Systems: Policies, Organizations, Management, and Leadership*. In that category, research studies on principals must compete with other studies focused on policies, organizations, and management structures. As a result, IES has only funded two research studies exploring leadership. (IES, 2016).

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<sup>1</sup> <http://www2.ed.gov/admins/tchrqual/learn/tpr/index.html>.

Leadership development is also disadvantaged by research funding requirements that are difficult to meet and in turn lead to further disadvantage in pursuit of program funding. Leadership studies are often considered to be underpowered due to small sample sizes and requirements for propensity score matching that are very challenging to meet. In addition, it takes a longer period of time to demonstrate the impact of principals on student achievement because their actions have an indirect effect (unlike the direct effect of teachers). These factors yield a unique research base that cannot compete with the much larger and directly correlated research base associated with teacher effectiveness. This is demonstrated by the narrow outcome focus on student achievement and teacher retention included in the What Works Clearinghouse (WWC) research standards.<sup>2</sup> This creates a catch-22 for applicants pursuing competitive funding for leadership development since many federal grant programs require either an intervention with evidence from a qualifying study that meets WWC standards, or that the program includes an evaluation component that will meet WWC standards. Projects focused on principals are at a decided disadvantage.

ED's Investing in Innovation (i3) grant program illustrates this disadvantage and lack of attention to principal preparation and leadership development. The i3 program is structured to award funding at three levels of implementation: development, validation, and scale-up. A requirement at each level was evidence of effectiveness as demonstrated by studies that met WWC standards. The FY15 competition was the first year that an explicit focus on principal development was included when ED added *Absolute Priority 1: Improving the Effectiveness of Principals* to the i3 grant competition. Initially, 24 applications under Absolute Priority 1 were deemed "highly rated" by reviewers and invited to submit a full proposal. Ultimately, though, **not one proposal that focused on principal effectiveness was funded** in any of the three program levels for the i3 competition. The absence of an award in the principal effectiveness area supports Manna's (2015) claim that despite a growing body of research demonstrating the crucial role of the principal in improving schools, policy-makers continue to overlook the role in terms of providing funding for leadership-specific programs and supports.

It should be noted that ED does have one small discretionary grant program dedicated specifically to school leaders: the *School Leadership Program*<sup>3</sup> awarded through the Office of Innovation and Improvement. However, that program does not accept applications each year, and continuation funding for multi-year grants is subject to annual congressional appropriation. Further, **the School Leadership Program has only accepted proposals in one of the last five years.**<sup>4</sup>

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<sup>2</sup> <http://ies.ed.gov/ncee/wwc>

<sup>3</sup> In ESSA, the School Leadership Program was included although renamed the "School Leadership Recruitment and Support Program" (Sec. 2243). Its inclusion in ESSA, rather than it being eliminated, may suggest that more attention will be directed to its annual funding.

<sup>4</sup> <http://www2.ed.gov/programs/leadership/index.html>

## NEW OPPORTUNITIES FOR PRINCIPAL DEVELOPMENT AND SUPPORT: TITLE II NCLB vs. ESSA

### Principal Development and Support under NCLB

Under NCLB, the vast majority of Title II funds (97.5%) were to be distributed through sub-grants to local educational agencies (LEAs) (95%) and local partnerships (2.5%) throughout the state. Only *four* of the LEA activities were targeted toward the development and retention of principals, including:

1. Developing and implementing mechanisms to assist schools in effectively recruiting and retaining highly qualified teachers, principals, and personnel;
2. Providing professional development activities that improve the knowledge of teachers and principals;
3. Developing and implementing initiatives to promote retention of highly qualified teachers and principals;
4. Carrying out professional development activities designed to improve the quality of principals and superintendents.

The State Education Agency (SEA) was allowed discretion for the remaining 2.5% of the funds (1% of which could be used to cover the agency's administrative costs). Activities allowed to be administered by the state were to focus on strategies that "increase student academic achievement, such as improving teacher and principal quality" (NCLB, 2002, §2101). There were 18 activities that SEAs could adopt to support educational improvements. Of those 18 activities, only *seven* specifically referenced principals.

Those seven activities included:

1. Reform teacher and principal certification to ensure principals have the instructional leadership skills to help teachers teach and students learn;
2. Carry out programs that provide support to teachers or principals, including those new to the profession;
3. Carry out programs that establish, expand, or improve alternative routes for State certification of teachers and principals;
4. Develop and implement mechanisms to effectively recruit and retain highly qualified teachers, principals, and pupil services personnel;
5. Provide professional development for teachers and principals;
6. Create projects to promote reciprocity of teacher and principal certification or licensing between or among States;
7. Provide assistance to LEAs for the development and implementation of professional development programs for principals that enable the principals to be effective school leaders and support school leadership academics to help exceptionally talented, aspiring or current principals and superintendents become outstanding managers and educational leaders.

Further exploration of the seven state activities allowed to support principals under Title II of NCLB finds that only three activities were actually designed to support principals that were currently serving in school leadership positions, and all of those were focused

exclusively on professional development strategies provided by districts with little focus in terms of guidance to states regarding research-based best practices.

In conclusion, NCLB did little to provide direction to districts as to the identification of research-based elements or practices that could be included in strategies aimed at supporting and developing school principals.

### Principal Development and Support Under ESSA

Compared to NCLB – Title II, the corresponding section in ESSA, allows for an expanded potential role that SEAs can take in supporting principal preparation and development. In fact, ESSA – Title II aligns with the recommendation made by Manna (2015), that the role of the principal be treated separately and distinctly from teachers. A clear example of this is the new provision that **allows states to set aside up to 3% of the funds otherwise reserved for LEA sub-grants to be allocated for activities supporting principals** and other school leaders. While the overall purpose of Title II remains the same between NCLB and ESSA (i.e. preparing, training and recruiting high quality teachers, principals, and other school leaders), the level of specificity and inclusion of research-based strategies aimed specifically at principals sets ESSA apart. ESSA has the advantage of being informed by over a decade of practice and research on effective principal preparation and development strategies. ESSA provides guidance to states and districts that seek to improve principal quality.

Refinements under ESSA: to the Title II state-level funding formula:

- Increases the percentage of Title II funds the state agency can use to support teacher and principal effectiveness (up to 5% from 2.5%)<sup>5</sup>.
- Allows the state to reserve up to an additional 3% of Title II funds to be used in support of activities specifically targeted to principals. These funds would be reserved from the 95% that would otherwise be sub-granted to LEAs.

Refinements under ESSA to the Title II SEA applications that support principal preparation and development:

- Clearly defines the components of a School Leader Residency Program, including a year-long residency, relevant coursework, clinical experiences as a school leader, and supervision and support from a mentor principal.
- Requires SEAs to describe how they will work with LEAs to develop and evaluate a principal support system and how they will provide technical assistance to districts if they choose to implement such a system.
- Requires the SEAs to assure how they will encourage collaboration between educator preparation programs and LEAs to promote the readiness of new educators.
- Requires SEAs to describe how they will use data and ongoing consultation to continually update and improve activities, including preparation programs and supports for principals based on the needs of the state.

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<sup>5</sup> As in NCLB, up to 1% can be used to cover SEA administrative costs.

Refinements under ESSA to Title II state activities that support principal preparation and development:

- Approve and establish School Leader Residency Programs, set performance goals, and terminate programs that fail to produce effective principals.
- Develop and implement selective admissions standards in Residency Programs to ensure admittance only to those that demonstrate effective performance in education.
- Provide training for principals, other school leaders, coaches, mentors, and evaluators on how to accurately differentiate performance, provide useful and timely feedback, and use evaluation results to inform decision-making.
- Develop, improve, and implement mechanisms to assist LEAs and schools in effectively recruiting and retaining teachers, principals, or other school leaders who are effective in improving student academic achievement.
- Provide new principals/school leaders with induction and mentoring programs.
- Provide assistance to LEAs for the development and implementation of high-quality professional development programs.
- Establish or expand principal or other school leader, preparation academies.
- Improve the skills of principals to enable them to identify students with specific learning needs—particularly children with disabilities, English learners, students who are gifted and talented, and students with low literacy levels.
- Improve preparation programs and strengthen supports for principals, or other school leaders, based on the specific needs of the state.

Refinements under ESSA to Title II LEA applications to SEAs that support principal preparation and development:

- Requires the LEA to demonstrate how they will work with principals to develop and evaluate a support system for developing school leaders.
- Requires the LEA to demonstrate how they will provide technical assistance to schools to increase leader effectiveness.

Refinements under ESSA to Title II district-level activities involving principals:

- Provide induction programs that support professional growth of new principals.
- Provide an emphasis on leadership opportunities, multiple career paths, and pay differentiation.
- Develop and provide training for school leaders, coaches, mentors, and evaluators on how to accurately differentiate performance, provide useful feedback, and use evaluation results to inform decision-making about professional development, improvement strategies, and personnel decisions.
- Provide principals with high-quality, personalized professional development that is evidence-based (e.g. using data to improve student achievement, effectively engaging parents, families, and community partners, coordinating services, etc.).
- Provide programs and activities to increase the knowledge base of principals on instruction in the preschool, and the transition to elementary school.
- Provide training, technical assistance, and capacity-building to assist principals

- with developing appropriate assessment systems, using data for school improvement, developing in-service support for school personnel, developing high quality professional development plans, and developing feedback mechanisms on school conditions.
- Provide professional development and other comprehensive systems of support for principals and other school leaders to promote high-quality instruction and instructional leadership in science, technology, engineering, and mathematics subjects, including computer science.
  - Provide high-quality professional development for principals and other school leaders on effective strategies to integrate rigorous academic content, career and technical education, and work-based learning (if appropriate).

The revised elements found in ESSA – Title II reflect the emerging body of research substantiating the impact principals have on teaching and learning. In recent years, Illinois has made progress on policy specifically responding to the research-based best practices in expanding principal preparation to support the critical principal role. A key achievement was the passage of Illinois Public Act 96-0903. Many components of the new Illinois statute and rules pertaining to principal preparation correspond to requirements in ESSA – Title II.

### **EVERY STUDENT SUCCEEDS ACT (ESSA) TITLE II ALIGNMENT WITH ILLINOIS PUBLIC ACT 096-0903**

The passage of ESSA creates new opportunities for innovation and improvement in the area of principal preparation and development. In 2010, Illinois passed new legislation (Illinois Public Act 96-0903) that radically reformed the way principals were recruited, prepared and credentialed. The Act eliminated the old general administrative programs that had largely been shown to be ineffective in preparing principals for today’s schools. Additionally, the new act mandated that all preparation programs throughout the state apply for program approval under the new requirements. Illinois’ work has been lauded and disseminated by several national organizations<sup>6</sup>.

The key elements of PA 96-0903 were based on evidenced-based practices for effective leadership development such as those found by Darling-Hammond, LaPointe, Meyerson,

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<sup>6</sup> Illinois was the Education Commission of the States recipient of the 2014 *Frank Newman Award for State Innovation*. Nominated by the National Conference of State Legislators (NCSL), Illinois was recognized with this award for the collaborative efforts of the Illinois State Board of Education (ISBE), the Illinois Board of Higher Education (IBHE), and the Center for the Study of Education Policy at Illinois State University (CSEP). Illinois’ principal preparation redesign has been featured in National Conference of State Legislators (NCSL) *Preparing a Pipeline of Effective Principals: A Legislative Approach* (2013) and a 2012 webinar hosted by the National Governors Association, NCSL, and the Council of Chief State School Officers (CCSSO). Several organizations have identified Illinois as the only state that includes early childhood content specifically in their licensure and accreditation processes (Center for Enhancing Early Learning Outcomes, 2013, *What Do We Know about Principal Preparation, Licensure Requirements, and Professional Development for School Leaders?*); National Governors Association (NGA) *Leading for Early Success: Building School Principals’ Capacity to Lead High-Quality Early Education*, 2013; and Institute of Medicine, *Transforming the Workforce for Children Birth Through Age 8: A Unifying Foundation*, 2014.

Orr, & Cohen (2007), including: 1) rigorous and targeted recruitment and selection; 2) cohesive program aligned with leadership standards that emphasize instructional leadership; 3) faculty who are knowledgeable in their subject areas—both university professors and practitioners; and 4) well-designed and supervised administrative internships that allow candidates to engage in leadership responsibilities for substantial periods of time under the supervision of expert mentors. These statewide requirements were also drawn from evidence-based practices in three demonstration sites in Illinois: University of Illinois at Chicago Urban Education Leadership Program, and New Leaders, both for their demonstrated impact on teaching and learning in the Chicago Public Schools (Davis and Darling-Hammond, 2012; Burkhauser, Gates, Hamilton, and Ikemoto, 2012); and Illinois State University and Springfield District #186 for their intentional collaborative model (Orr, King, and LaPointe, 2010).

Key Elements of Illinois Public Act 96-0903 included:

1. Terminated programs leading to a General Administrative (Type 75) certificate that had prepared a wide variety of administrative positions, but had proven insufficient to meet the increasing demands of the principalship.
2. Established a targeted PK-12 Principal Endorsement designed specifically to prepare principals capable of addressing the challenges faced by today's schools.
3. Mandated formal partnerships be established between principal preparation programs and districts that require faculty to collaborate with school district officials in the design, delivery, and continuous improvement of the principal preparation programs.
4. Required rigorous selection criteria requiring aspiring candidates to submit a portfolio that includes evidence of positive impact on student growth, previous leadership experiences, and exemplary inter-personal skills that will also be evidenced through participation in face-to-face interviews.
5. Established minimum qualifications and training requirements for mentor principals and faculty supervisors, including minimum years of experience as a successful school principal and/or superintendent as evidenced by positive student growth data, and successfully completing state mandated training and assessments on the new teacher evaluation system and mentoring of principal interns.
6. Established a PK-12 grade span focus that: requires coursework and internship experiences be aligned to local and national performance standards; and provides development across the PK-12 grade span including a focus on specific student subgroups (special education, English Language Learners, gifted students, and early childhood).
7. Mandated a year long, performance-based internship designed to provide the candidates with authentic leadership experiences intended to increase their proficiency in areas shown to improve student learning.
8. Mandated competency-based assessments of candidate performance aligned to both the Interstate School Leadership Licensure Consortium (ISLLC) Standards, and the Southern Regional Education Board's (SREB) 13 critical success factors and 36 leadership tasks.



9. Required collaborative supervision and support of candidates by a faculty supervisor and a mentor principal—requiring both supervisors to have a minimum of two years of experience as a successful school principal, as demonstrated by evidence of positive student growth.
10. Required candidates to pass an 8-hour exam, administered by the state, prior to being awarded a PK-12 Principal Endorsement.

These key elements represent a dramatic paradigm shift in Illinois. The policy has forced preparation programs and districts to shift their understanding and approach from “candidate as consumer” to “district as consumer.” This has forced university/district partnerships to go beyond a typical focus on whether or not program graduates secure administrative positions, to a much broader understanding of the ultimate program and partnership outcomes on aspects of school improvement and student achievement.

Table 1 contains a crosswalk of key elements found in ESSA Title II and the Illinois statute governing principal preparation. The crosswalk demonstrates alignment between requirements for Illinois principal preparation programs, and specific elements in ESSA Title II including the framework for the new School Leader Residency Program, SEA activities and LEA activities.

**Table 1: Crosswalk of Key Elements Found in ESSA - Title II and the Illinois Statute Governing Principal Preparation: Public Act 096-0903**

<p><b>EVERY STUDENT SUCCEEDS ACT (ESSA) 2015: 20 U.S.C.A. § 6301.</b></p> <p><b>TITLE II—PREPARING, TRAINING, AND RECRUITING HIGH QUALITY TEACHERS, PRINCIPALS, OR OTHER SCHOOL LEADERS</b></p>	<p><b>ILLINOIS PUBLIC ACT 096-0903: 23 ILLINOIS ADMINISTRATIVE CODE PART 30 § 30.10-30.</b></p> <p><b>A PROGRAMS FOR THE PREPARATION OF PRINCIPALS IN ILLINOIS</b></p>
<p><b>Sec. 2001. PURPOSE.</b> The purpose of this title is to provide grants to SEAs and sub-grants to local educational agencies to:</p> <ol style="list-style-type: none"> <li>1. Increase student achievement consistent with challenging State academic standards;</li> <li>2. Improve the quality and effectiveness of teachers, principals, and other school leaders;</li> <li>3. Increase the number of teachers, principals, and school leaders who are effective in improving student academic achievement in schools.</li> </ol>	<p><b>Section 30.20 Purpose and Applicability</b> a) This Part sets forth the requirements for the approval of programs to prepare individuals <i>to be highly effective in leadership roles to improve teaching and learning and increase academic achievement and the development of all students</i> [105 ILCS 5/21B-60].</p>
<p><b>Sec. 2002. 1 – SCHOOL LEADER RESIDENCY PROGRAM</b> (1, A ) For 1 academic year engages in sustained and rigorous clinical learning with substantial leadership responsibilities and an opportunity to practice and be evaluated in an authentic school setting...</p>	<p><b>Section 30.10 Definitions</b> "Internship" means a candidate's placement in public or nonpublic schools for a sustained, continuous, structured and supervised experience lasting no more than 24 months, during which the candidate engages in experiences and leadership opportunities to demonstrate proficiencies in required competencies expected of a principal. (Also see Section 30.40(g).)</p>
<p>(1, B, i) participates in evidence-based coursework that is integrated with the clinical residency experience (1, B ,ii) receives ongoing support from a mentor principal or other school leader, who is effective</p>	<p><b>Section 30.50 Coursework Requirements</b> a) A portion of the required coursework shall include "field experiences", i.e., multiple experiences that are embedded in a school setting and relate directly to the core subject matter of the course.</p> <p><b>Section 30.10 Definitions</b> "Mentor" means the principal of the public or nonpublic school in which a candidate is placed who works directly with the candidate on the day-to-day activities associated with the principal's role as the school leader. Individuals employed as a superintendent, assistant superintendent or director of special education who hold a valid and current professional educator license endorsed for general administrative, principal, superintendent or director of special education may serve as a mentor for the candidate, provided that the individual is assigned to the location where the internship is conducted and possesses at least two years of experience relevant to the role of a principal.</p>
<p><b>Sec. 2002. 4 – TEACHER, PRINCIPAL OR OTHER SCHOOL LEADER PREPARATION ACADEMY</b> (4, A, iv) award a certificate of completion... to a principal or other school leader only after the principal or other school leader demonstrates a record of success in improving student performance</p>	<p><b>Section 30.20 Purpose and Applicability</b> c) <i>Candidates successfully completing a principal preparation program shall obtain a principal endorsement and are eligible to work as a principal or asst. principal or in related positions.</i></p> <p><b>Section 30.45 Assessment of the Internship</b> a) 5- A principal preparation program shall rate a candidate's demonstration of having achieved the competencies... in accordance with Section 30. Appendix A of the Part. A. Candidate must achieve "meets the standards" on each competency to complete the internship</p>

ESSA – Title II Statutory Language	ILLINOIS PUBLIC ACT 096-0903
<p>(4, C) limits admissions to its program to prospective principals who demonstrate strong potential to improve student achievement, based on a rigorous selection process that reviews a candidate’s prior academic achievement or record of professional accomplishment;</p>	<p><b>Section 30.70 Candidate Selection</b>  Candidates admitted to a program for principal preparation shall be selected through an in-person interview process and meet the following minimum requirements.</p> <p>a) Holds either:</p> <ol style="list-style-type: none"> <li>1) a valid and current Illinois professional educator license endorsed in a teaching field (i.e., early childhood, elementary, secondary, special K-12 or special preschool-age -21) or, until June 30, 2019, endorsed in a school support personnel area (i.e., school counselor, school psychologist, speech language pathologist, school nurse, school social worker, school marriage and family counselor); or</li> <li>2) a valid and current teaching or, until June 30, 2019, school support personnel, certificate, license or endorsement issued by another state authorizing employment in an out-of-state public school or in an out-of-state nonpublic school.</li> </ol> <p>b) Passage of the test of basic skills if the candidate had not been required to take the test for receipt of his or her Illinois professional educator license or previously issued teaching certificate or school support personnel endorsement.</p> <p>c) Submission of a portfolio that presents evidence of a candidate’s achievements.</p> <p>1) Evidence of teaching experience in each of the following categories:</p> <ol style="list-style-type: none"> <li>A) Support of all students in the classroom to achieve high standards of learning;</li> <li>B) Accomplished classroom instruction, including evidence of two years of student growth within the last five years;</li> <li>C) Significant leadership roles in the school;</li> <li>D) Strong oral and written communication skills;</li> <li>E) Analytic abilities needed to collect and analyze data for student improvement;</li> <li>F) Demonstrated respect for family and community;</li> <li>G) Strong interpersonal skills; and</li> <li>H) Knowledge of curriculum/instructional practices.</li> </ol>
<p><b>PART A – SUPPORTING EFFECTIVE INSTRUCTION</b>  <b>Sec. 2101. (c) – STATE USE OF FUNDS</b> (c, 4, B, i.)  (i) Reforming teacher, principal, or other school leader certification, recertification, licensing, or tenure system ...  (II) Principals or other school leaders have the instructional leadership skills to help teachers teach and to help students meet such challenging State academic standards</p>	<p><b>Section 30.20 Purpose and Applicability</b>  a) This Part sets forth the requirements for the approval of programs to prepare individuals <i>to be highly effective in leadership roles to improve teaching and learning and increase academic achievement and the development of all students</i> [105 ILCS 5/21B-60].</p>
<p>(c, 4, B, xi) Reforming or improving teacher, principal, or other school leader preparation programs, such as through establishing teacher residency programs and school leader residency programs.</p>	<p><b>Section 30.10 Definitions</b>  "Internship" means a candidate's placement in public or nonpublic schools for a sustained, continuous, structured and supervised experience lasting no more than 24 months, during which the candidate engages in experiences and leadership opportunities to demonstrate proficiencies in required competencies expected of a principal (also see Section 30.40(g).)</p>

<b>ESSA – Title II Statutory Language</b>	<b>ILLINOIS PUBLIC ACT 096-0903</b>
(d, 2, H) An assurance that the SEA will ...encourage collaboration between educator preparation programs, the State, and local educational agencies to promote the readiness of new educators entering the profession.	<p><b>Section 30.30 General Program Requirements</b></p> <p>a) The program shall be jointly established by one or more institutions or not-for-profit entities and one or more public school districts or nonpublic schools.</p> <p>b) The responsibility and roles of each partner in the design, implementation and administration of the program shall be set forth in a written agreement signed by each partner.</p>
(d, 2, J) A description of how the SEA will improve the skills of teachers, principals, or other school leaders in order to enable them to identify students with specific learning needs, particularly children with disabilities, English learners, students who are gifted and talented, and students with low literacy levels, and provide instruction based on the needs of such students.	<p><b>Section 30.30 General Program Requirements</b></p> <p>d) Each program shall offer curricula that address student learning and school improvement and focus on:</p> <ol style="list-style-type: none"> <li>1) all grade levels (i.e., preschool through grade 12);</li> <li>2) the role of instruction (with an emphasis on literacy and numeracy), curriculum, assessment, and needs of the school or district in improving learning;</li> <li>3) the Illinois Professional Teaching Standards;</li> <li>4) all students, students with special needs (e.g., students with disabilities, English language learners, gifted students, students in early childhood programs); and</li> <li>5) collaborative relationships with all members of the school community (e.g., parents, school board members, local school councils or other governing councils, community partners).</li> </ol>
(d, 3, A) meaningfully consult with teachers, principals, other school leaders, paraprofessionals (including organizations representing such individuals), specialized instructional support personnel, charter school leaders, parents, community partners, and other organizations or partners with relevant and demonstrated experience in programs and activities designed to meet the purpose of this title.	<p><b>Section 30.30 General Program Requirements</b></p> <p>a) The program shall be jointly established by one or more institutions or not-for-profit entities and one or more public school districts or nonpublic schools.</p> <p>b) The responsibility and roles of each partner in the design, implementation and administration of the program shall be set forth in a written agreement signed by each partner.</p>
<p><b>Sec. 2103 LOCAL USES OF FUNDS</b></p> <p><b>(b) – TYPES OF ACTIVITIES</b></p> <p>(2) shall address the learning needs of all students, including children with disabilities, English learners, and gifted and talented students.</p>	<p><b>Section 30.30 General Program Requirements</b></p> <p>d) Each program shall offer curricula that address student learning and school improvement and focus on:</p> <ol style="list-style-type: none"> <li>1) all grade levels (i.e., preschool through grade 12);</li> <li>2) the role of instruction (with an emphasis on literacy and numeracy), curriculum, assessment and needs of the school or district in improving learning;</li> <li>3) the Illinois Professional Teaching Standards;</li> <li>4) all students, students with special needs (e.g., students with disabilities, English language learners, gifted students, students in early childhood programs); and</li> <li>5) collaborative relationships with all members of the school community (e.g., parents, school board members, local school councils or other governing councils, community partners).</li> </ol>

<b>ESSA – Title II Statutory Language</b>	<b>ILLINOIS PUBLIC ACT 096-0903</b>
(3, G, i) providing programs and activities to increase the knowledge base of teachers, principals, or other school leaders on instruction in the early grades and on strategies to measure whether young children are progressing;	<p><b>Section 30.30 General Program Requirements</b></p> <p>d) Each program shall offer curricula that address student learning and school improvement and focus on:</p> <ol style="list-style-type: none"> <li>1) all grade levels (i.e., preschool-grade 12);</li> <li>2) the role of instruction (with an emphasis on literacy and numeracy), curriculum, assessment and needs of the school or district in improving learning;</li> </ol>
(3, G, ii) the ability of principals and other school leaders to support teachers, teacher leaders, early childhood educators, and other professionals to meet the needs of students through age 8, ...	<p><b>Section 30.30 General Program Requirements</b></p> <p>d) Each program shall offer curricula that address student learning and school improvement and focus on: 1) all grade levels (i.e., preschool-grade 12);</p>
(3, H) providing training, technical assistance, and capacity building in local educational agencies to assist teachers, principals, or other school leaders with selecting and implementing formative assessments, designing classroom based assessments, and using data from such assessments to improve instruction and student achievement...	<p><b>Section 30.45 Assessment of the Internship</b></p> <p>The candidate conveys an understanding of how the school’s mission and vision affect the work of the staff in enhancing student achievement. He or she understands and is able to perform activities related to data analysis and can use the results of that analysis to formulate a plan for improving teaching and learning. The candidate shall:</p> <ol style="list-style-type: none"> <li>A) review school-level data, including, but not limited to, State assessment results or, for nonpublic schools, other standardized assessment results; use of interventions; and identification of improvement based on those results;</li> <li>B) participate in a school improvement planning (SIP) process, including a presentation to the school community explaining the SIP and its relationship to the school’s goals; and</li> <li>C) present a plan for communicating the results of the SIP process and implementing the school improvement plan.</li> </ol>
<p><b>Subpart 4 – Programs of National Significance</b>  <b>Sec. 2242. SUPPORTING EFFECTIVE EDUCATOR DEVELOPMENT</b></p> <p>(a, 1) ...purposes of – providing teachers, principals, or other school leaders from nontraditional preparation and certification routes or pathways to serve in traditionally underserved local educational agencies;</p>	<p><b>Section 30.30 General Program Requirements</b></p> <p>a) The program shall be jointly established by one or more institutions or not-for-profit entities and one or more public school districts or nonpublic schools.</p> <p>b) The responsibility and roles of each partner in the design, implementation and administration of the program shall be set forth in a written agreement signed by each partner. The written agreement shall address at least the following:</p> <ol style="list-style-type: none"> <li>1) the process and responsibilities of each partner for the selection and assessment of candidates;</li> <li>2) the establishment of the internship and any field experiences, and the specific roles of each partner in providing those experiences, as applicable;</li> <li>3) the development and implementation of a training program for mentors and faculty supervisors that supports candidates’ progress during their internships in observing, participating, and demonstrating leadership to align with the SREB 13 critical success factors and 36 associated competencies;</li> <li>4) names and locations of non-partnering school districts and nonpublic schools where the internship and any field experiences may occur; and</li> <li>5) the process to evaluate the program, including the partnership, and the role of each partner in making improvements based on the results of the evaluation.</li> </ol>

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<p>(a, 4) making freely available services and learning opportunities to local educational agencies, through partnerships and cooperative agreements or by making the services or opportunities publicly accessible through electronic means</p>	<p><b>Section 30.50 Coursework Requirements</b>  c) Programs providing 50 percent or more of coursework via distance learning or video-conferencing technology shall be approved only if they meet the following conditions.</p> <ol style="list-style-type: none"> <li>1) Candidates must be observed by a full-time tenure track faculty member who provides instruction in the principal preparation program. The observations, which must take place in person, shall be for a minimum of two full days each semester, and for a minimum of 20 days throughout the length of the program. The observations must include time spent interacting and working with the candidate in a variety of settings (i.e., observing the candidate’s teaching, attending meetings with the candidate, observing the candidate during the internship portion of the program).</li> <li>2) Each candidate shall be required to spend a minimum of one day per semester, exclusive of internship periods, at the program’s Illinois facility in order to meet with the program’s full-time faculty, to present and reflect on projects and research for coursework recently completed, and to discuss the candidate’s progress in the program.</li> <li>3) Each candidate shall be required to attend in person the meetings outlined in Section 30.40(c) of this Part.</li> </ol>
<p><b>Sec. 2243. SCHOOL LEADER RECRUITMENT AND SUPPORT</b>  (a, 1) developing or implementing leadership training programs designed to prepare and support principals or other school leaders in high need schools,</p>	<p><b>Section 30.20 Purpose and Applicability</b>  a) This Part sets forth the requirements for the approval of programs to prepare individuals <i>to be highly effective in leadership roles to improve teaching and learning and increase academic achievement and the development of all students</i> [105 ILCS 5/21B-60].</p>
<p>(a, 3) developing or implementing programs for recruiting, developing, and placing school leaders to improve schools implementing comprehensive support and improvement activities and targeted support and improvement activities under section 1111(d), including through cohort-based activities that build effective instructional and school leadership teams and develop a school culture, design, instructional program, and professional development program focused on improving student learning;</p>	<p><b>Section 30.30 General Program Requirements</b>  d) Each program shall offer curricula that address student learning and school improvement and focus on:</p> <ol style="list-style-type: none"> <li>1) all grade levels (i.e., preschool through grade 12);</li> <li>2) the role of instruction (with an emphasis on literacy and numeracy), curriculum, assessment and needs of the school or district in improving learning;</li> <li>3) the Illinois Professional Teaching Standards</li> <li>4) all students, students with special needs (e.g., students with disabilities, English language learners, gifted students, students in early childhood programs); and</li> <li>5) collaborative relationships with all members of the school community (e.g., parents, school board members, local school councils or other governing councils, community partners).</li> </ol>

## OPPORTUNITIES FOR ILLINOIS UNDER ESSA

The passage of ESSA provides a policy lever in Illinois that has the potential to create new opportunities for innovation and improvement in principal preparation and development. With the enactment of ESSA, the Illinois State Board of Education (ISBE) is able to receive up to 5% of the total annual Title II funds allocated to Illinois.<sup>7</sup> This represents a 2.5% increase compared to the funding formula established for Title II under NCLB. ESSA also includes a provision that allows an additional 3% of the amount reserved for sub-grants to LEAs to be used by the SEA for allowable state activities involving principals and other school leaders.<sup>8</sup> These changes result in a net increase in funding to support principal preparation and development. That means that if Illinois were to receive level funding under Title II in FY17<sup>9</sup>, there would be **an additional \$8.56M in Title II funds that can be allocated by the state to support improvements to leadership preparation and development.**<sup>10</sup>

The enactment of ESSA is particularly timely in Illinois where the groundwork is laid to support continuous improvements to nationally-recognized policies and programs that support principal preparation and development. In September 2014, (ISBE) and the Illinois Board of Higher Education (IBHE) convened a group of stakeholders from across the state for the purpose of exploring the impact of Public Act 096-0903 on principal preparation in Illinois, and to gain a better understanding of the implementation challenges and opportunities faced in the field. Through funding from the McCormick Foundation and The Wallace Foundation, the Center for the Study of Education Policy (CSEP) at Illinois State University steered the ISBE- and IBHE-convened group: the Illinois School Leadership Advisory Council (ISLAC), which was charged with developing a five-year strategic plan to support and sustain a high-quality school leader pipeline throughout Illinois (ISLAC, 2016). Six statewide meetings were convened between September 2014 and June 2015, resulting in a final report released in March, 2016. ISLAC recommendations outlined in the final report are tightly aligned to the new requirements found in ESSA - Title II.

Table 2 provides a crosswalk indicating alignment between the ISLAC recommendations and ESSA - Title II, as it pertains to principal preparation and development.

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<sup>7</sup> ESSA – Title II - Section 2101 – c (1) and NCLB – Title II – Section 2113 – a (3)

<sup>8</sup> ESSA – Title II - Section 2101 – c (3)

<sup>9</sup> The new regulations will gradually increase the poverty factor and decrease the population factor for state funding from the current 65/35 ratio to 80/20 beginning with FY20. ESSA phases in the new formula for Title II gradually, so there aren't any sudden or drastic shifts. While some have anticipated that the proportional share to Illinois will ultimately decrease over time with the new funding formula, that will be determined by population and poverty rates beginning after FY20. According to calculations to a report from the Congressional Research Service, downloaded from: <https://assets.documentcloud.org/documents/2644885/ESEA-Title-II-a-State-Grants-Under-Pre.pdf>

<sup>10</sup> ISBE FY16 budget downloaded from <http://www.isbe.net/budget/fy16/FY16-budget-book.pdf>. Additional funding calculations based on the following assumptions: FY16 Title II allocation to ISBE = \$160M. An increase of 2.5% of the total = \$4M and 3% set aside from the 95% of the total allocated to LEAs = \$4.56M. Assuming that both the additional 2.5% SEA allocation and the 3% set aside for leadership were both allocated to support leadership preparation and development efforts, the increase would be \$8.56M.



**Table 2: Alignment between ISLAC Recommendations, and ESSA - Title II**

ISLAC Recommendations	ESSA - Title II Statutory Language
<p><i>Establish a state-level Office of School Leadership</i>, advised by multiple stakeholders to increase understanding of the importance of school leadership as a vital and cost effective lever for improved student learning. The Office of School Leadership should be charged with ensuring the quality of school leadership preparation and development is supported as a statewide priority by policy-makers and education leaders at all levels.</p>	<p><b>Section 2101 (d)(3)(B)</b> – SEAs shall seek advice from stakeholders regarding how best to improve the State’s activities to meet the purpose of Title II</p> <p><b>Section 2101 (d)(2)(M)</b> – SEAs shall describe plans for improvement to preparation programs and strengthening supports for principals based on the needs of the state</p> <p><b>Section 2101 (d)(3)(C)</b> – SEAs will coordinate the State’s activities with other related strategies, programs, and activities</p>
<p><i>Establish a collaboration system among state agencies (ISBE &amp; IBHE) and Institutions of Higher Education, School Districts and Regional Offices of Education in development of a robust shared data system</i> that informs continuous program improvement and state accountability needs. Districts shall be required to report annually to ISBE a limited set of data providing evidence of district partnerships with principal preparation providers, as well as provide the state with disaggregated data on their employees as it pertains to principal performance evaluations covered under PERA. ISBE shall serve as a repository for data collected from preparation programs, districts and/or regional offices of education and will provide access to each on a range of metrics.</p>	<p><b>Section 2101 (d)(2)(K)</b> – SEAs shall describe how they will use data and ongoing consultation to continually update and improve activities</p> <p><b>Section 2101 (d)(2)(M)</b> – SEAs shall describe how they will improve preparation programs and strengthen supports for principals based on the needs of the state</p> <p><b>Section 2101 (d)(3)(A)</b> – SEAs shall describe how they will consult with a wide variety of stakeholders with relevant and demonstrated expertise in programs and activities designed to meet the purpose of Title II</p> <p><b>Section 2101 (d)(3)(C)</b> – SEAs shall describe how they will coordinate the State’s activities with other related strategies, programs, and activities</p> <p><b>Section 2104 (a)(3)</b> – SEAs will report to ED on performance evaluation results for principals and teachers<sup>11</sup></p> <p><b>Section 2104 (a)(4)</b> – SEAs will report to ED the retention rates of effective and ineffective principals, where available</p> <p><b>Section 2104 (b)</b> – LEAs will submit to the SEA data required by the state (including data it needs to comply with Section 2104 a, 3 and 4)</p>
<p><i>Establish a statewide community of practice that includes university faculty, district administrators, and networks</i> that bridge higher education, district administrators and professional associations. The purpose of the network will be to develop local capacity for high-quality implementation and support through networked improvement strategies responsive to district and regional diversity. The network will also provide a platform for improved communication, professional development and for sharing effective practices, tools and research.</p>	<p><b>Section 2101 (d)(2)(F)</b> – SEAs shall describe how they will work with local educational agencies to develop or implement State or local principal and teacher evaluation and support systems<sup>12</sup></p> <p><b>Section 2101 (d)(2)(H)</b> – SEAs shall describe how they will provide an assurance that it will encourage collaboration between educator preparation programs, and local educational agencies to promote the readiness of new educators</p> <p><b>Section 2101 (d)(3)(A)</b> – SEAs shall describe how they will consult with a wide variety of stakeholders with relevant and demonstrated expertise in programs and activities designed to meet the purpose of Title II</p>

<sup>11</sup> This activity is only for states to implement optional evaluation and support systems.

<sup>12</sup> Again, this activity is only for states to implement optional evaluation and support systems.



ISLAC Recommendations	ESSA - Title II Statutory Language
<p><i>Establish regional partnership “hubs” to optimize and equalize resources throughout the state</i>, including increasing opportunities for high potential principal candidates to access high-quality preparation programs. Ensure that district and regional partnerships have the necessary resources, flexibility and support they need to implement robust, effective and collaborative programs for the preparation and development of school leaders.</p>	<p><b>Section 2101 (c)(4)(B)(viii)</b> – SEAs shall describe how they will provide assistance to local educational agencies for the development and implementation of high-quality professional development programs for principals that enable the principal to be effective, and/or</p> <p><b>Section 2101 (c)(4)(B)(x)</b> – SEAs shall describe how they will provide training, technical assistance and capacity-building to local educational agencies, and/or</p> <p><b>Section 2101 (d)(3)(C)</b> – SEAs shall describe how they will coordinate the State’s activities with other related strategies, programs, and activities</p>
<p><i>Establish a state task force to explore the impact of the new Teacher Leadership Endorsement</i> and develop strategies to coordinate teacher leader development with recruitment and selection of interested teacher leaders into principal preparation programs. The task force should recommend actions that ensure a robust and diverse preparation pipeline in the context of state and local succession planning needs, including principals, assistant principals and teacher leaders.</p>	<p><b>Section 2101 (d)(2)(K)</b> – SEAs shall describe how they will use data and ongoing consultation to continually update and improve activities</p> <p><b>Section 2101 (d)(3)(A)</b> – SEAs shall describe how they will consult with a wide variety of stakeholders with relevant and demonstrated expertise in programs and activities designed to meet the purpose of Title II</p> <p><b>Section 2101 (d)(3)(B)</b> – SEAs shall describe how they will seek advice from stakeholders regarding how best to improve the State’s activities to meet the purpose of Title II</p> <p><b>Section 2101 (d)(3)(C)</b> – SEAs shall describe how they will coordinate the State’s activities with other related strategies, programs, and activities</p>

## CONCLUSION

The revisions to federal policy reflected in ESSA suggest that federal policy makers are acknowledging the growing research-base on principal effectiveness, and responding by shaping policy to create new opportunities for innovation and improvement in principal preparation and development. Principals, as multipliers of effective practice, are a critical and fiscally prudent lever for improving and sustaining effective teaching and learning at scale. Illinois leads the nation in its attention to a comprehensive overhaul of principal preparation programs to more effectively lead PK-12 instruction. The promise of ESSA depends upon the ability of state and local educational agencies, and their partners, to harness their collective expertise and resources toward this common goal. In this case, if policy becomes tightly coupled with implementation, then Illinois could be on the verge of another major paradigm shift ultimately leading to positive school and student outcomes statewide.

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