



Public Schools of North Carolina
State Board of Education
Department of Public Instruction

Report to the Joint Legislative Education Oversight Committee

Draft Framework for North Carolina
Board Certification for Principals
and Assistant Principals

SL 2008-181, Sec. 24.1

Date Due: December 1, 2008

Report #21

DPI Chronological Schedule

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STATE BOARD OF EDUCATION STUDY OF NORTH CAROLINA BOARD CERTIFICATION FOR PRINCIPALS AND ASSISTANT PRINCIPALS

BACKGROUND

Session Law 2008-181 directs the State Board of Education, in cooperation with the Board of Governors of The University of North Carolina, to conduct a study to develop a framework for a North Carolina Board Certified Principal and Assistant Principal Program. The law specifies that the purpose of the program shall be (i) to strengthen the leadership and professional skills of principals and assistant principals, (ii) to assist with the State's efforts to attract and retain highly qualified school leaders, and (iii) to enhance the learning environment in public schools to promote student achievement. The law requires that the program:

- (1) Aligns continued professional development with the North Carolina Standards for School Executives.
- (2) Supports the development of principals and assistant principals as 21st century leaders.
- (3) Models the principal certification program after the teacher certification program developed by the National Board for Professional Teaching Standards.
- (4) Addresses the growing shortage of highly qualified leaders in North Carolina public schools by recommending strategies to attract and retain principals and assistant principals.
- (5) Provides principals and assistant principals who have successfully participated in the program with a supplementary salary incentive commensurate with the increased demands and responsibilities of the principalship.

A copy of the law is included in Appendix A.

SCHOOL LEADERSHIP IN NORTH CAROLINA

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 committee found that at a time when the critical importance of school leadership in student achievement was being realized, North Carolina was faced with a looming shortage of school administrators. Many administrators were quickly approaching retirement age; almost half were aged 50 or older. They were being replaced with younger, less experienced educators at a time when school leaders were expected to do even more and the sense of urgency for improved student achievement was greater than ever before.

The committee concluded that public education's changed mission dictated the need for a new type of school leader -- an executive instead of an administrator. No longer were school leaders just maintaining the status quo by managing complex operations, but like their colleagues in business, they had to be able to create schools as organizations that could learn and change

quickly if they were to improve performance. Schools need executives 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 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 successful work of the new executive will 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.

The committee drafted new standards for school executives which were subsequently adopted by the State Board of Education in December 2006 (Appendix B). The standards, organized around strategic leadership, instructional leadership, cultural leadership, human resource leadership, managerial leadership, external development leadership, and micropolitical leadership, 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 required the development of a new assessment instrument for school administrators which is being implemented statewide this year. The standards also required the re-visioning of school administrator preparation programs which is currently underway.

The committee report included 17 recommendations focused on the recruitment and retention, preparation, and induction and continuing professional development of school leaders. The committee recommended that a "board certification" for principals, modeled after National Board Certification for teachers, be explored at either the state or national level, and that principals who earned "board certification" receive a salary differential similar to that for teachers.

The State Board of Education subsequently convened two additional ad hoc committees focused on school leadership. The first of these two committees articulated new standards for school superintendents aligned with the new standards for school executives. The standards were adopted by the Board in September 2007 and work is underway on the development of a new evaluation instrument based on these standards. The second of the two committees focused on professional development for school leaders and proposed a comprehensive delivery system to ensure all school leaders had access to high quality professional development.

THE NEED FOR SCHOOL LEADERS

Like a number of other states, North Carolina has a teacher shortage and a graying teaching force. The shortage is widely acknowledged, and at both the local and state levels, programs and services are being implemented to address the problem. **North Carolina has another looming shortage: school administrators.** This shortage is not widely acknowledged, nor is there much being done systematically to address it.

Close to half (45%) of our current school administrators are age 50 or older. Close to two-thirds (62%) of our current school administrators are age 45 or older. More than half (55%) have 20 or more years of experience.

Over the last five years, the demand for new principals has increased 15% with an average of 282 new principals hired each year. Over the same time period there has been a slight increase (3%) in the number of new assistant principals hired annually with approximately 460 new assistant principals hired each year. Projected increases in average daily membership (ADM), efforts to redesign schools into smaller, focused learning communities, and approaching retirements suggest a gradual but constant increase in the number of school administrators required in North Carolina each year for the next few years.

Of the new principals hired in the 2007-08 school year, 79% had been employed in NC as an assistant principal the previous year. This is comparable to the percent of new principals who had been employed as assistant principals in NC the previous year in most of the preceding five years. Of the new principals employed in the 2007-08 school year, 6% had not been employed in NC the previous year. This is also comparable to the percentages for most of the preceding five years.

NATIONAL BOARD FOR PROFESSIONAL TEACHING STANDARDS

The National Board for Professional Teaching Standards (NBPTS) is an independent, nonprofit, nonpartisan and nongovernmental organization. As reflected on its website (www.nbpts.org), NBPTS was formed in 1987 “to advance the quality of teaching and learning by developing professional standards for accomplished teaching, creating a voluntary system to certify teachers who meet those standards and integrating certified teachers into educational reform efforts.” Five Core Propositions undergird National Board Certification for teachers:

Proposition 1: Teachers are Committed to Students and Their Learning

Proposition 2: Teachers Know the Subjects They Teach and How to Teach Those Subjects to Students.

Proposition 3: Teachers are Responsible for Managing and Monitoring Student Learning.

Proposition 4: Teachers Think Systematically about Their Practice and Learn from Experience.

Proposition 5: Teachers are Members of Learning Communities.

Building from the five core propositions, the NBPTS has articulated standards for 25 specialty areas (Appendix C). Standards are developed by committees of outstanding educators who are broadly representative of accomplished professionals in their field. While the majority of each committee is made up of classroom teachers, other members may include experts in child development, teacher education and relevant disciplines. The committee provides recommendations to the National Board and advises those involved in developing the corresponding assessment.

The standards for each area reflect the five core propositions, identify specific knowledge, skills, and attitudes that support accomplished practice and illustrate how a teacher’s professional judgment is reflected in action. Before adoption by the NBPTS Board of Directors, a draft of the standards is widely distributed for public comment.

Teachers are required to submit four portfolio entries. Three are classroom based, where video recordings and examples of student work serve as supporting documentation. A fourth entry is focused on the teacher’s accomplishments outside of the classroom – with families, the

community or colleagues – and how they impact student learning. Additionally, teachers must also demonstrate content knowledge in response to six exercises developed for their chosen certificate area. Teachers have up to 30 minutes to complete each exercise. Assessments are administered at over 300 computer-based testing centers across the United States.

NATIONAL BOARD CERTIFICATION FOR PRINCIPALS

The National Board for Professional Teaching Standards has embarked on the development of *advanced certification* for principals. NBPTS will convene experts and current practitioners to identify core propositions that undergird the principal's job, develop performance standards, and define highly accomplished practice. NBPTS expects this process will take one year and that an additional two years will be needed to develop performance-based activities and assessments and to complete field-testing. Dr. Joseph A. Aguerrebere, Jr., President and CEO of the National Board for Professional Teaching Standards, has indicated that North Carolina can be represented on the committee working on the development of National Board Certification for Principals and become a field-testing site. A letter to this effect is in Appendix D. NBPTS estimates that the cost of the development and implementation of National Board Certification for Principals will be \$5 million dollars.

STUDY GROUP

In studying North Carolina Board Certification for Principals and Assistant Principals, input was solicited from the following individuals:

- Alisa Chapman, Associate Vice President for University-School Programs, UNC-GA
 - The Honorable Tricia Ann Cotham, NC House of Representatives
 - Dr. Jesse Dingle, Director, Talent Management and Development Division, DPI
 - Emily Doyle, Assistant Executive Director, NCPAPA
 - Dr. Nancy Farmer, Executive Director, PEP
 - Karen Garr, Regional Outreach Coordinator, NBPTS
 - Dr. Ken Jenkins, Professor, Appalachian State University
 - Katherine Joyce, Assistant Executive Director, NCASA
 - Bill McNeal, Executive Director, NCASA
 - Brad Sneed, Superintendent, Carteret County Schools
 - Dr. Kathy Sullivan, Senior Policy Advisor, NC SBE
 - Lloyd Thrower, Executive Director, NCPAPA
 - Dr. Mike Williams, Executive Director, UNC Center for School Leadership Development
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GUIDING PRINCIPLES

In arriving at its recommendations, the study group considered information provided by the National Board for Professional Teaching Standards as well as potential costs to the state. The study group was guided by the following principles:

- (1) School leadership is critical to student achievement. Twenty-first century schools require 21st century leaders who are skilled in strategic leadership, instructional leadership, cultural leadership, human resource leadership, managerial leadership, external development leadership, and micropolitical leadership, if all students are to leave school prepared for their successful participation in the 21st century economy.
 - (2) North Carolina must act to build the “bench strength” and increase the pool of qualified candidates for school leadership positions. North Carolina must also act to support and retain qualified school leaders. In so doing, the state should create incentives for qualified educators to pursue and remain in principal roles. Teachers who pursue roles as school leaders should not be financially disadvantaged.
 - (3) National Board Certification for teachers has a positive impact on student achievement, teacher retention, and professional development. Similarly, National Board Certification for principals should enhance school leadership skills and positively impact schools.
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RECOMMENDATIONS

Based on the preceding guiding principles, the study group recommends that:

- (1) National Board Certified Teachers who move into the role of assistant principals should receive the higher of their salary as a teacher or their salary as an assistant principal, provided they are working with teachers [instruction] in their roles as assistant principals.

This could be implemented at **no additional cost** to the state, since the individuals would already qualify for the higher salary.

- (2) North Carolina utilize the *Advanced Principal Certification* being developed by the National Board for Professional Teaching Standards rather than develop its own board certification for principals and assistant principals.

Like teachers, principals and assistant principals participating in the National Board Certification process for *Advanced Principal Certification* should be eligible for 3 days of paid leave time subject to the approval of the superintendent, payment of the participation fee, and a salary differential upon earning certification from the National Board for Professional Teaching Standards (NBPTS).

For principals earning *Advanced Principal Certification* through the National Board for Professional Teaching Standards, a 12% salary differential is recommended. This is in line with the salary differential provided teachers.

For assistant principals earning *Advanced Principal Certification* through the National Board for Professional Teaching Standards, a 6% salary differential is recommended. They should receive an additional 6% salary differential after moving into the principalship.

- (3) Principals and assistant principals earning National Board for Professional Teaching Standards *Advanced Principal Certification* or completing the National Board for

Professional Teaching Standards *Advanced Principal Certification* process be awarded fifteen (15) units of renewal credit.

- (4) North Carolina actively pursue the opportunity to participate in development and field-testing of the NBPTS Certification for Principals.
- (5) The Principals' Executive Program (PEP) develop programs to support individuals participating in the *Advanced Principal Certification* process.
- (6) In the event that assistant principals are not eligible for *Advanced Principal Certification* through the National Board for Professional Teaching Standards, North Carolina develop a comparable state process for assistant principals.

ESTIMATED COSTS

The cost estimates are based on the following:

Number of state allotted principal positions	2,225
Number of state allotted assistant principal positions.....	1,724
Average state principal salary (including social security and retirement)	\$79,835
12% salary differential based on average salary	\$9580
Average state assistant principal salary (including social security and retirement)	\$58,019
6% salary differential based on average salary	\$3481
Current National Board for Professional Teaching Standards application fee	\$2500

Approximately 10% of North Carolina's teachers hold National Board Certification.

In the early years of National Board Certification, approximately 40% of candidates were successful on their first attempt.

Estimated Costs	
If 10% of principals (223) applied, the application fee would be	\$557,500
If 10% of assistant principals (173) applied, the application fee would be	\$432,500
Estimated Application Fee	\$990,000
If 40% of principal candidates achieved NBC (90), the projected cost of the salary differential would be	\$862,200
If 40% of assistant principal candidates achieved NBC (70), the projected cost of the salary differential would be	\$243,670
Estimated Salary Differential	\$1,105,870

APPENDIX A
GENERAL ASSEMBLY OF NORTH CAROLINA
SESSION 2007
SESSION LAW 2008-181
HOUSE BILL 2431

PART XXIV. DIRECTING THE STATE BOARD OF EDUCATION TO CONDUCT A STUDY TO DEVELOP A FRAMEWORK FOR A NORTH CAROLINA BOARD CERTIFICATION PROCESS FOR PRINCIPALS AND ASSISTANT PRINCIPALS (H.B. 2513 – Cotham)

SECTION 24.1. The State Board of Education, in cooperation with the Board of Governors of The University of North Carolina, shall conduct a study to develop a framework for a North Carolina Board Certified Principal and Assistant Principal Program (Program). The purpose of the Program shall be (i) to strengthen the leadership and professional skills of principals and assistant principals, (ii) to assist with the State's efforts to attract and retain highly qualified school leaders, and (iii) to enhance the learning environment in public schools to promote student achievement.

SECTION 24.2. In developing the framework, the State Board of Education and the Board of Governors shall consult with the Center for School Leadership Development, the Principals Executive Program, the North Carolina Association of School Administrators, the N. C. Principals/Assistant Principals Association, Inc., and the National Board for Professional Teaching Standards.

SECTION 24.3. As part of its study, the State Board of Education shall ensure that the framework for the Program:

- (1) Aligns continued professional development with the North Carolina Standards for School Executives.
- (2) Supports the development of principals and assistant principals as 21st century leaders.
- (3) Models the principal certification program after the teacher certification program developed by the National Board for Professional Teaching Standards.
- (4) Addresses the growing shortage of highly qualified leaders in North Carolina public schools by recommending strategies to attract and retain principals and assistant principals.
- (5) Provides principals and assistant principals who have successfully participated in the program with a supplementary salary incentive commensurate with the increased demands and responsibilities of the principalship.

SECTION 24.4. The State Board of Education shall develop a process to evaluate the effectiveness of the Program.

SECTION 24.5. The State Board of Education shall deliver a draft proposed framework to the Joint Legislative Education Oversight Committee by December 1, 2008, and report on the cost of implementing the Program for the 2009-2010 fiscal year.

APPENDIX B

STANDARDS FOR SCHOOL EXECUTIVES ADOPTED BY THE STATE BOARD OF EDUCATION DECEMBER 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 Foundation for the School Executive Standards

The following points underlie this work:

- 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;
- 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

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 Principalship* (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 seven standards and their practices are:

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.

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.

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.

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 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.

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.

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.

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;
- Garners 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.

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 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.

APPENDIX C

NATIONAL BOARD FOR PROFESSIONAL TEACHING STANDARDS CERTIFICATION AREAS

NBPTS offers the following 25 certificate areas that cover 15 subject areas and are classified into seven student age categories. Candidates may choose to pursue a generalist certificate or one that is subject-specific.

Art

Early and Middle Childhood
Early Adolescence through Young Adulthood

Career and Technical Education

Early Adolescence through Young Adulthood

English as a New Language

Early and Middle Childhood
Early Adolescence through Young Adulthood

English Language Arts

Early Adolescence
Adolescence and Young Adulthood

Exceptional Needs Specialist

Early Childhood through Young Adulthood

Generalist

Early Childhood
Middle Childhood

Health

Early Adolescence through Young Adulthood

Library Media

Early Childhood through Young Adulthood

Literacy: Reading – Language Arts

Early and Middle Childhood

Mathematics

Early Adolescence
Adolescence and Young Adulthood

Music

Early and Middle Childhood
Early Adolescence through Young Adulthood

Physical Education

Early and Middle Childhood
Early Adolescence through Young Adulthood

School Counseling

Early Childhood through Young Adulthood

Science

Early Adolescence
Adolescence and Young Adulthood

Social Studies – History

Early Adolescence
Adolescence and Young Adulthood

World Languages Other than English

Early Adolescence through Young Adulthood

Age Categories

Early Childhood (Ages 3-8)

Middle Childhood (Ages 7-12)

Early & Middle Childhood (Ages 3-12)

Early Childhood through Young Adulthood (Ages 3-18+)

Early Adolescence (Ages 11-15)

Adolescence and Young Adulthood (Ages 14-18+)

Early Adolescence through Young Adulthood (Ages 11-18+)

APPENDIX D

LETTER FROM DR. JOSEPH A. AGUERREBERE, JR.



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James A. Kelly, *Founding President*

October 23, 2008

Howard Lee
Chairman
NC State Board of Education
6302 Mail Service Center
Raleigh, NC 27699-6302

Dear Chairman Lee:

I am pleased to hear that North Carolina is examining standards for administrators and am happy to provide support from the National Board for Professional Teaching Standards. At the request of and in collaboration with the American Association of School Administrators, the National Association of Elementary School Principals, and the National Association of Secondary School Principals, we are developing National Board Certification for principals. The certificate is on track to be developed within three years.

I know that North Carolina has had some questions about how the state can be involved. We can make sure that we use North Carolina as a pilot site for this new certificate. We can also make sure that NC is represented on our committee work.

I know that you are also concerned about assistant principals. Whether assistant principals will be eligible for an advanced principal certification is to be determined through our committee deliberation process. As you may recall, eligibility requirements for teacher certification took some time to agree on. Our decision that teachers are required to have a bachelor's degree but not a master's degree took some time to decide. If it is ultimately decided that assistant principals are not eligible to participate, there could still be an opportunity at some point to create something "developmental" for them. This could serve a purpose similar to *Take One!* for teachers. At this point, it is too early to answer this question.

North Carolina has been such an important state for us and a leader in the field of National Board Certification. It would be prudent to include you in the development of this work.

If you have any questions for me, I would be very happy to talk with you.

Sincerely,

A handwritten signature in cursive script that reads "Aguerrebere".

Joseph A. Aguerrebere, Ed.D.
President and CEO