

# THE WALLACE FOUNDATION

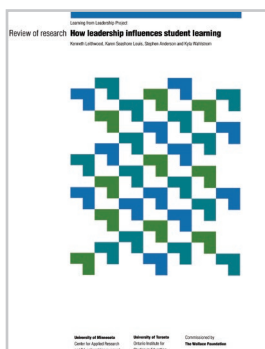
## Annotated Bibliography of Selected Publications on School Leadership\*

March 2016



### CURRENT PUBLICATIONS

(All available without charge at [www.wallacefoundation.org](http://www.wallacefoundation.org))

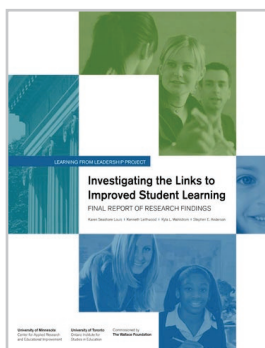


#### EVIDENCE CONNECTING SCHOOL LEADERSHIP TO STUDENT ACHIEVEMENT

***How Leadership Influences Student Learning***, Kenneth Leithwood, Karen Seashore Louis, et al., University of Minnesota and University of Toronto, 2004

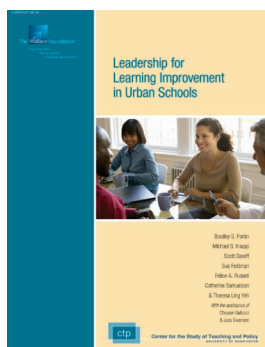
Leadership not only matters: It is second only to teaching among school-related factors that affect student learning. Its impact is greatest in schools with the greatest needs, according to a comprehensive review of evidence on school leadership. This report, the first in a series that seeks to establish how leadership promotes student achievement, summarizes the basics of successful leadership and sets out what leaders must do — including setting a clear vision, supporting and developing a talented staff, and building a solid organizational structure — to meet the challenge of school reform.

***Learning From Leadership: Investigating the Links to Improved Student Learning***, by Karen Seashore Louis, Kenneth Leithwood, et al., University of Minnesota and University of Toronto, 2010



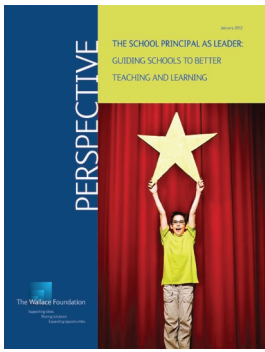
The largest in-depth study of school leadership to date, this report gathers and analyzes quantitative data confirming that education leadership has a strong impact on student achievement, as measured by student test scores. The study shows that leadership makes its mark largely by strengthening a school’s “professional community” – an environment where teachers work together to improve classroom instruction. It also finds that rapid turnover of principals reduces student achievement. In addition, the study shows that although the principal remains the central source of leadership in schools, he or she is far from the only source. Indeed, the highest performing schools operate by a “collective leadership” that involves many interested players – including parents and teachers – in decision-making.

***Leadership for Learning Improvement in Urban Schools***, Bradley S. Portin, Michael S. Knapp, et al., Center for the Study of Teaching and Policy, University of Washington, 2009



This report is part of a series that investigates a range of topics concerned with how leaders can effectively and equitably contribute to improved student achievement, particularly in challenging school and district contexts. The questions examined in this report included: (1) what it means for leaders to work in a demanding environment; (2) what “supervisory leaders” (principals, assistant principals, department heads) do in these kinds of settings; and (3) what nonsupervisory leaders do. Examining 15 schools in four diverse districts, the authors conclude, among other things, that in these demanding settings, principals need to behave as “leaders of instructional teams, as much as individual instructional leaders.”

\*An online copy of this annotated bibliography is available at [www.wallacefoundation.org/ESSA](http://www.wallacefoundation.org/ESSA) that includes hyperlinks to all current publications.



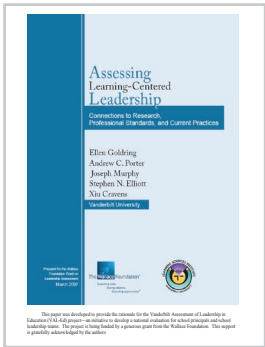
## EFFECTIVE PRACTICES OF SCHOOL LEADERS

***The School Principal as Leader: Guiding Schools to Better Teaching and Learning***, The Wallace Foundation, 2013

This Wallace Perspective summarizes a decade of foundation research and work in school leadership to identify what it is that effective school principals do. It concludes that they carry out five key actions particularly well, including shaping a vision of academic success for all students and cultivating leadership in others. The Perspective is an expanded edition of a report originally published in 2012.

***Assessing Learning-Centered Leadership: Connections to Research, Professional Standards, and Current Practices***, by Ellen Goldring, Andrew C. Porter, Joseph Murphy, et al., Learning Sciences Institute, Vanderbilt University, 2007

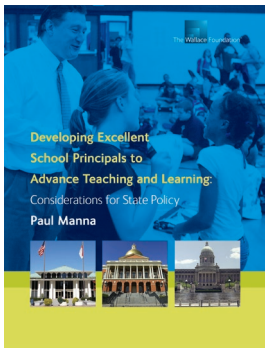
Effective school leadership is key to students' academic success. But the development of effective school leadership has been hampered by the lack of technically sound tools to assess and monitor leaders' performance. With support from The Wallace Foundation, a team from Vanderbilt developed such an assessment system. This paper presents the research base and conceptual framework for a learning-centered assessment tool; the Vanderbilt assessment system contrasts sharply with existing tools by focusing "100 percent" on topics related to instructional leadership and by clearly defining and measuring the leader behaviors that can improve learning. Unlike existing tools, it also assesses both individual leaders and leadership teams.



## STATE POLICIES TO SUPPORT SCHOOL LEADERS

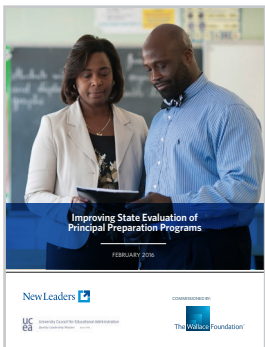
***Developing Excellent School Principals to Advance Teaching and Learning: Considerations for State Policy***, by Paul Manna, The Wallace Foundation, 2015

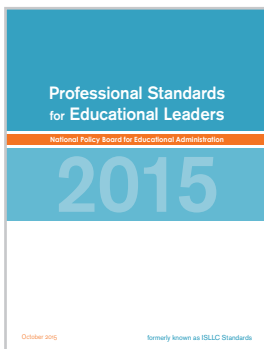
School principals are "invaluable multipliers of teaching and learning in the nation's schools," according to this report by political scientist Paul Manna, but to date it's been unclear what state policymakers could do to boost their effectiveness. Drawing from sources including the experiences of states that have focused on developing stronger principal policy, this report aims to fill that gap by offering guidance in the form of three sets of considerations for those who want to take action. These include: appraising the principal's current status on the list of state priorities and the rationale for placing the principal higher on the agenda; examining six policy levers that states can pull; and assessing four important contextual matters for the state, including its diversity of urban, suburban and rural locales.



***Improving State Evaluation of Principal Preparation Programs***, by Gina Ikemoto, Michelle Young, et al., New Leaders and University Council for Educational Administration, 2016

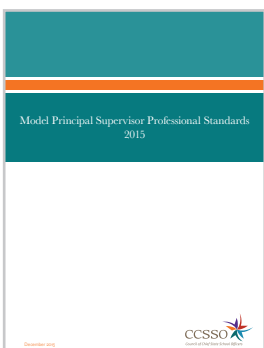
Intended for state officials involved in the assessment and approval of university and other programs to train future school principals, this report describes five design principles for effective program evaluation. The report describes principles that emerged from a New Leaders/UCEA project to develop a model evaluation system and accompanying tools, including: structure the review process in a way that is conducive to continuous program improvement; and adhere to characteristics of high-quality program evaluation.





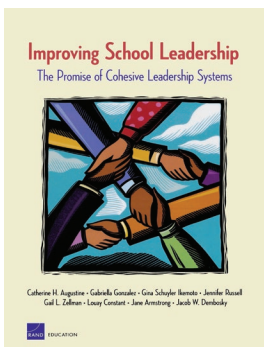
***Professional Standards for Educational Leaders 2015***, by the National Policy Board for Educational Administration, 2015

This document updates a set of voluntary school leadership standards first developed in 1996, then revised in 2008 and long known by the initials ISLLC. This revision differs from its predecessors by focusing more strongly and clearly on students and student learning. It lists and describes 10 standards for principals, assistant principals and others. The standards, developed by the National Policy Board for Educational Administration, which includes the Council of Chief State School Officers and a consortium of other scholarly and professional organizations, reflect more than a year of work and extensive public comment.



***Model Principal Supervisor Professional Standards 2015***, by the Council of Chief State School Officers, 2015

This document contains what are believed to be the first-ever set of standards of the job of principal supervisor. Based on the idea that supervisors can help shape effective principal practice, the standards emphasize aspects of the job involving developing principals as professionals who can help strengthen teaching and learning in schools. A 12-person committee of educators working under the leadership of the Council of Chief State School Officers developed the standards.



***Improving School Leadership: The Promise of Cohesive Leadership Systems***, by Catherine H. Augustine, Gabriella Gonzalez, Gina Ikemoto, et al, The Rand Corporation, 2009

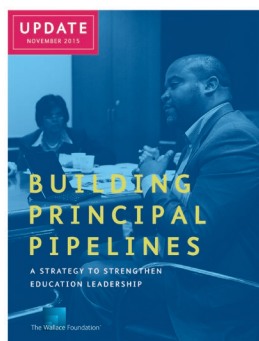
This evaluation examines the experience of 10 states and 17 districts funded by Wallace to build “cohesive leadership systems” to align school district and state policies so principals can focus more on improving teaching and learning. The study found that achieving cohesive policies on leadership is difficult, but in states that have made the most progress toward it, principals say they are better able to devote more time to improving instruction. Researchers identified key factors that enabled success, like political support from top leaders, and inhibiting factors like turnover of key staff.

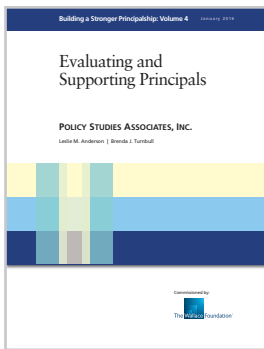
## ROLE OF DISTRICTS IN SUPPORTING EFFECTIVE PRINCIPALS

### PRINCIPAL PIPELINES

***Building Principal Pipelines: A Strategy to Strengthen Education Leadership***, by Sarosh Syed, The Wallace Foundation, 2015

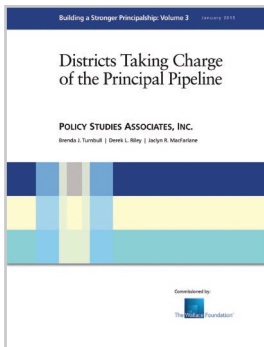
This Wallace Update describes early findings from two related Wallace initiatives seeking to understand what a school district can do to produce a large and steady supply of school principals and then support their effective supervision. The report describes the four components of a Pipeline – standards, high-quality training, leader evaluation and on-the-job support. It describes the areas that districts are focusing on to shift principal supervision from compliance to supporting principal development.





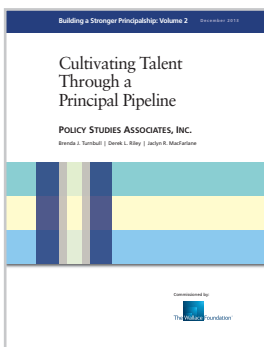
***Building a Stronger Principalship, Vol. 4: Evaluating and Supporting Principals***, by Leslie M. Anderson, Brenda J. Turnbull, Policy Studies Associates, 2016

The fourth report in a series of studies examining six districts' experiences in the foundation's Principal Pipeline Initiative explores changes in how the districts sought to refine principal evaluation and support. The report describes how performance evaluation helped principals, especially novices, grow into their jobs and concentrate on improving teaching and learning in their classrooms, rather than to penalize them for shortcomings. The evaluations also emphasized student achievement and encouraged regular conversations between principals and their supervisors.



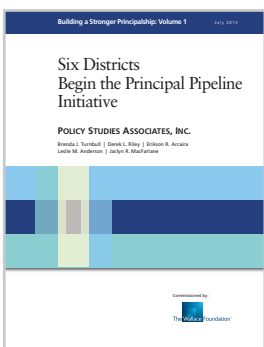
***Building a Stronger Principalship, Volume 3: Districts Taking Charge of the Principal Pipeline***, Brenda J. Turnbull, Derek L. Riley, Jaclyn R. MacFarlane, Policy Studies Associates, January 2015

This study evaluating a multi-year Wallace initiative documents ways in which six districts are working to improve school leadership districtwide. It describes several new measures districts are implementing, including systematic support for assistant principals; the use of performance standards to hire principals, and to shape training and support; and the establishment of data systems to promote more effective hiring, to identify principals in need of support, and to provide feedback to the programs that trained them.



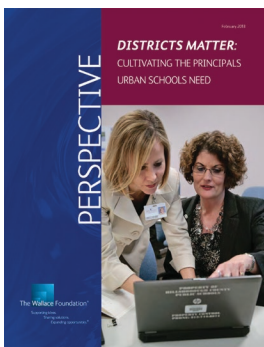
***Building a Stronger Principalship, Volume 2: Cultivating Talent Through a Principal Pipeline***, Brenda J. Turnbull, Derek L. Riley, Jaclyn R. MacFarlane, Policy Studies Associates, December 2013

This study evaluating a multi-year Wallace initiative describes early efforts of six districts to improve school leadership, including early changes in recruiting, training and support of new principals.



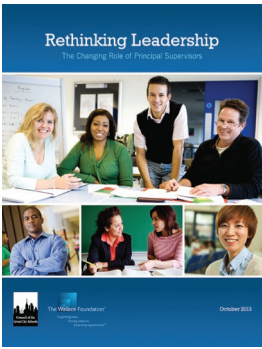
***Building a Stronger Principalship, Volume 1: Six Districts Begin the Principal Pipeline Initiative***, Brenda J. Turnbull, Derek L. Riley, Erikson R. Arcaira, Leslie M. Anderson, Jaclyn R. MacFarlane, Policy Studies Associates, July 2013

This study evaluating a multi-year Wallace initiative describes year one of the effort. One key finding: Most of the districts were interested in boosting the number of strong principal candidates in part because they had seen a decrease in the size and quality of the applicant pool.



***Districts Matter: Cultivating the Principals Urban Schools Need***, by Lee Mitgang, The Wallace Foundation, 2013

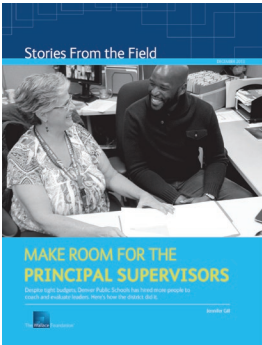
An effective school requires an effective leader, but great principals rarely just happen. They are cultivated. This Wallace Perspective draws on a decade of foundation research and work in school leadership to show how urban school districts can play a major role in ensuring they have principals who can boost teaching and learning in troubled schools. Key actions identified include establishing selective hiring procedures and providing mentoring to novice leaders.



## PRINCIPAL SUPERVISORS

***Rethinking Leadership: The Changing Role of Principal Supervisors***, by Amanda Corcoran, Michael Casserly, et al., The Council of the Great City Schools, 2013

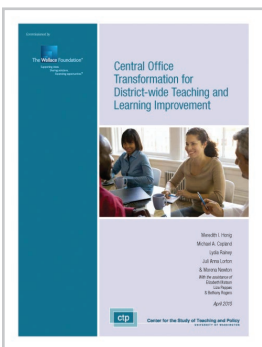
This report, among the first to provide a detailed look at the principal supervisor role, finds that these administrators often face daunting problems in carrying out their jobs effectively – including having to oversee too many schools (an average of 24). The report offers recommendations for how districts can improve matters. One suggestion is to make sure supervisors are matched with schools suitable to their skills and expertise.



***Make Room for the Principal Supervisors***, by Jennifer Gill, The Wallace Foundation, 2013

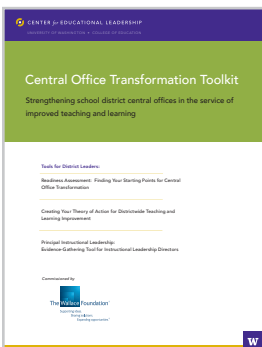
This “Story from the Field” describes how Denver Public Schools hired more people to coach and evaluate its principals—despite tight budgets. A major feature of the district’s overhaul was what’s known in the business world as “reducing the span of control,” or decreasing the number of people a supervisor manages so he or she can better support each one.

## OTHER TOPICS



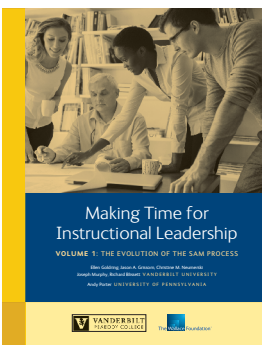
***Central Office Transformation for District-Wide Teaching and Learning Improvement***, by Meredith I. Honig, Michael A. Copland, et al., Center for the Study of Teaching and Policy, University of Washington, 2010

One of the first and most comprehensive studies of its kind, this report identifies five major changes that can help transform the focus of school district central offices from administration and compliance to improving classroom instruction. The report is based on an in-depth study of central office reform efforts in Atlanta, New York City, and Oakland, California. The changes identified include the offices’ strong engagement with school principals on improving instruction in their schools, and the reorganizing and “re-culturing” of every central office so it centers its work on the classroom.



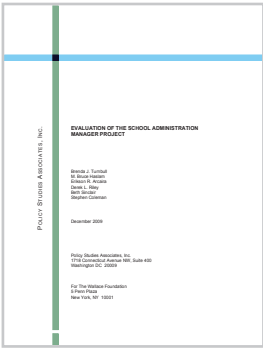
***Central Office Transformation Toolkit***, by Meredith I. Honig, Center for Education Leadership, University of Washington, 2013

Principals are key to improving teaching and learning in schools, but how can school district central offices give principals the support they need? Three tools designed by education researchers at the University of Washington are meant to help. Two focus on the redesign of central offices in ways that foster effective leadership in schools. The last is an aid for principal supervisors seeking to develop principals’ instructional capabilities.



***Making Time for Instructional Leadership***, by Ellen Goldring, Jason A. Grissom, Christine M. Neumerski, Joseph Murphy, Richard Blissett, and Andy Porter, Vanderbilt University and University of Pennsylvania, 2015

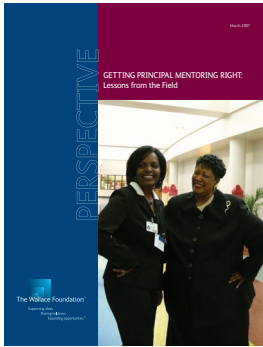
Principals are often mired in matters of day-to-day administration and have little time to cultivate better teaching; the SAM process, in about 700 schools at the time of the report’s writing, is designed to free up principals’ time for focusing on improving instruction. The authors conclude in Volume 1 of this three-volume report that the findings “are consistent with the idea that the SAM process helps principals focus on and find ways to increase the time they engage with the school’s instructional program.”



***Evaluation of The School Administration Manager Project***, by Brenda J. Turnbull, M. Bruce Haslam, et al., Policy Studies Associates, 2009

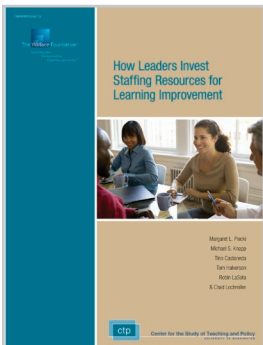
An evaluation finds that the project allowed principals to reallocate time to instructional matters. Among the 75 principals who had participated in the SAMs project for at least a full year by April 2009, the time they devoted to instruction-related tasks increased by an average of 58 minutes per day or almost five hours per week.

***A Wallace Perspective: Getting Principal Mentoring Right: Lessons from the Field***, by Jody Spiro, Lee Mitgang, The Wallace Foundation, 2007.



Mentoring for principals during their first years on the job, once a relative rarity, is now required by half the nation's states – a major advance from a long-standing “sink-or-swim” attitude toward new school leaders and a belated sign of recognition of the role that well-prepared principals can play in lifting student achievement. But an analysis of this new trend by Wallace concludes that too often, many such programs are not yet tailored to develop principals capable of driving better teaching and learning in their schools – and shaking up the status quo when necessary.

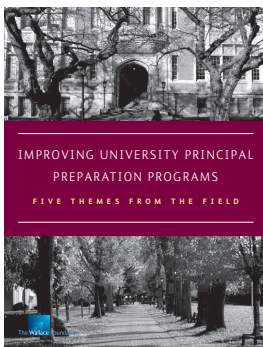
***How Leaders Invest Staffing Resources for Learning Improvement***, by Margaret L. Plecki, Michael S. Knapp, Center for the Study of Teaching and Policy, University of Washington, 2009



Urban districts and their leaders face a set of common challenges with respect to staffing high-needs schools: how to maximize the quality and longevity of high-quality teaching staff; how to deploy and support novice teachers; how to manage and minimize teacher mobility and attribution; and how to align the diversity of teaching staff with the diversity of the student body.

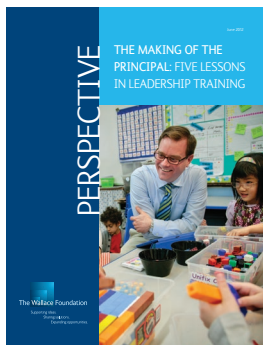
## DEVELOPING SCHOOL PRINCIPALS

***Improving University Principal Preparation Programs: Five Themes From the Field***, The Wallace Foundation, 2016

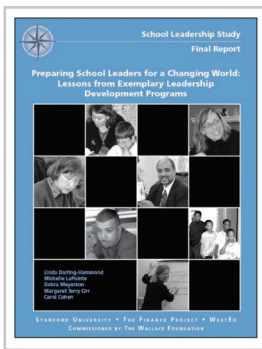


This publication seeks to help answer questions about the state of university-based principal preparation programs by bringing together findings from four Wallace-commissioned reports to inform its development of a new University Principal Preparation Initiative. In addition to confirming close-to-unanimous agreement among university educators and school superintendents about the important role principals play in advancing student achievement, it finds five themes. Among them: district leaders are largely dissatisfied with the quality of principal preparation programs, and many universities believe that their programs have room for improvement.

***The Making of the Principal: Five Lessons in Leadership Training***, by Lee Mitgang, The Wallace Foundation, 2012

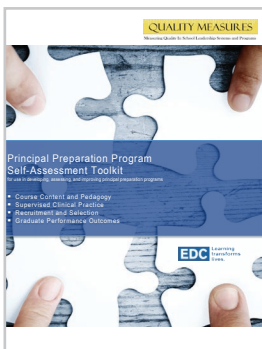


Too often, training for principals fails to prepare them for the difficult task of guiding schools to better teaching and learning. This Wallace Perspective plumbs foundation research and work in school leadership to identify five lessons for better training, including: more selective admission to training programs, a focus on instructional leadership and mentoring for new principals.



***Preparing School Leaders for a Changing World: Lessons from Exemplary Leadership Development Programs – Final Report***, by Linda Darling-Hammond, et al., Stanford University and The Finance Project, 2007

This groundbreaking report documents the qualities of eight effective programs and concludes, in the author’s words, that “high-performing principals are not just born, but can be made.” This Wallace-commissioned report comes in response to longstanding criticism of how future principals are trained and then developed on the job.



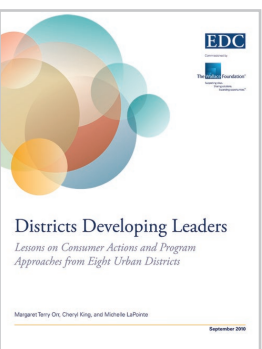
***Quality Measures: Principal Preparation Program Self-Assessment Toolkit***, by Cheryl King, Education Development Center, 2009 and 2013.

Designed to help principal preparation programs assess the quality of the training offered, this kit was developed originally for use by states and districts taking part in Wallace-foundation funded efforts to improve school leadership. It was first published in 2009 and updated in 2013. The kit includes ratings or “rubrics” (ratings with descriptions of what they mean) on course content, candidate recruitment, and other matters. A related Principal Preparation Program Self-Assessment Handbook is available to guide people through effective use of the tool.



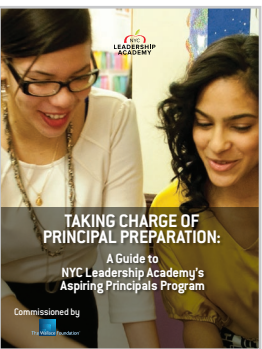
***Quality Measures: Partnership Effectiveness Continuum***, by Cheryl King, Education Development Center, 2009 and 2013.

Research suggests that principal preparation programs are more effective when school districts and training providers work together to improve principal performance. This tool is designed not to evaluate, but rather to help guide discussions between school districts and principal preparation programs with the goal of helping both work together constructively.



***Districts Developing Leaders: Lessons on Consumer Actions and Program Approaches from Eight Urban Districts***, by Margaret Terry Orr, Cheryl King, and Michelle La Pointe, Education Development Center, 2010.

Developing school leaders who are equipped with the knowledge, skills, and dispositions needed to effectively lead low-performing schools is a critical goal for local school districts. This study suggests that school districts, as direct “consumers” of program graduates, are strategically positioned to exercise meaningful influence over the content and design of program practices. And it suggests that programs preparing candidates are more effective when they understand the challenges districts face, collaborate with the districts on redesigning programs, and share accountability for new leaders support and performance.



***Taking Charge of Principal Preparation: A Guide to NYC Leadership Academy's Aspiring Principals Program***, by the NYC Leadership Academy, 2015

This report describes the approach to training aspiring principals taken by the New York City Leadership Academy. Strategies include having the program set clear standards for principal performance, tailoring curricula to student needs and responding to feedback from alumni.

## FORTHCOMING PUBLICATIONS

(Will be available without charge at [www.wallacefoundation.org](http://www.wallacefoundation.org))

### ROLE OF DISTRICTS IN SUPPORTING EFFECTIVE PRINCIPALS

#### ***Building a Stronger Principalship***, by Policy Studies Associates and RAND Corporation

Final series of studies examining six districts' experiences in The Wallace Foundation's Principal Pipeline Initiative, a six-year effort designed to help these districts build larger pools of strong principals and then study the results.

- **Vol. 5**, by Brenda J. Turnbull, et al., Policy Studies Associates; expected publication date: August 2016

The fifth and final implementation study in the series will provide a comprehensive overview of the efforts of the six participating school districts to identify key changes in the principal pipelines from the start of the initiative through spring 2015 and draw lessons to inform the field.

- **Vol. 6**, by Susan Gates, et al., RAND Corporation; expected publication date: December 2018

In this concluding sixth report, the authors will measure the effects on key outcomes of the principal pipelines, including student achievement of novice principals' exposure to the pipeline.

#### ***Principal Pipeline Cost Study***, by Susan Gates, et al., RAND Corporation; expected publication date: March 2017

In a study related to the Building a Stronger Principalship series studying the Principal Pipeline Initiative, this analysis will measure the cost of building principal pipelines to help district and other leaders understand and estimate costs for program features. The study will compare annual costs to operate a pipeline (business as usual) before the foundation's involvement, to modify the pipeline according to the initiative's specifications, and to operate the revised and improved pipeline once the initiative is over.

#### ***Building Leadership Pipelines in America's Great City Schools: Results from a Survey on the Role of Assistant Principals and Teacher Leaders***, by the Council of the Great City Schools; expected publication date: Summer 2016

This report describes results from a survey of 40 urban districts in 2015 on the prevalence of assistant principals and designated teacher leaders, as well as their tenure, responsibilities, and the professional development provided to them.

#### **Reports on the Principal Supervisor Initiative**, by Mathematica and Vanderbilt University

Three reports will examine The Wallace Foundation's Principal Supervisor Initiative, a six-year effort of six large districts working to strengthen the principal supervisor position so that supervisors, in turn, can develop more effective school principals. There will be three evaluative studies:

- **Interim Report**, by Ellen Goldring, et al., Vanderbilt; expected publication date: October 2017

This report will document and analyze the six districts' early implementation experiences in changing the role of principal supervisors. The report will include case studies to understand the unique experiences of each district and the commonalities in implementation across the districts. The report will also analyze relationships between the key features of the Principal Supervisor Initiative and principal performance, with the aim of identifying elements of implementation that have the greatest potential for improving principals' performance.



- **Special Report**, by Ellen Goldring, *et al.*, Vanderbilt; expected publication date: August 2018

In this special topical study, the authors will explore a specific, policy-relevant topic that comes to light over the course of the evaluation.

- **Final Report**, by Melissa Clark, *et al.*, Mathematica; expected publication date: June 2019

In this final effects study, the authors will describe ways in which the six districts participating in the Principal Supervisor Initiative changed the supervision system, how supervisors and principals responded to the changes, how these changes affected principal performance and lessons policymakers and practitioners could take from the districts' experience. To measure principals' effectiveness, they will use teachers' ratings of principals from the Vanderbilt Assessment of Educational Leadership (VAL-ED).

**Leader Tracking Systems**, by The Wallace Foundation; expected publication date: June 2016

A journalistic account of how school districts are using databases of information about principals and candidates for school leader positions to strengthen recruitment and hiring, with attention to how they are set up, and the benefits and barriers to use.

**Reports assessing the evidence on school leadership for use as ESSA "tiered evidence,"** by Dr. Rebecca Herman *et al.*, RAND Education

- Report on the evidence on school leadership that meets ESSA Tier 1-3 standards, as well as a synthesis of evidence on the importance of school leaders for school improvement; expected publication date: April 2016
- Report on the evidence on school leadership that meets ESSA Tier 1-4 standards; expected publication date: November 2016