

Our Next Generation

School Leadership in

New York State

Availability Equity Viability

**Funded by The Wallace Foundation and
The RAND Corporation**

Acknowledgments

The research reported in this paper was supported by the University of the State of New York through their Wallace Foundation grant on school leadership and through the RAND Corporation, also through a Wallace Foundation grant. The views expressed do not necessarily reflect those of the University of the State of New York, the Wallace Foundation, or the RAND Corporation.

Frank Papa, Jr. was a coauthor of two of the reports included in this summary and substantially contributed to the results reported here. We thank Ronald Danforth, Susan Gates, Cassie Guarino, Emily Hess, Peter Hopke, Edith Hunsberger, Steve Jacobson, Kim Jinnett, James Kadamus, Raymond Kesper, Susanna Loeb, Charles Mackey, Kevin McGuire, Pat O'Brien, Jeanne Ringel, Tom Rogers, and Istvan Vanyolos for their contributions to the research and reports that served as the basis for this report. Any errors are solely attributable to the authors.



Our Next Generation

School Leadership in New York State

Availability Equity Viability

R. Hamilton Lankford
Raymond W. O'Connell
James H. Wyckoff
University at Albany

Sponsored by:

The University of the State of New York and
The New York State Board of Regents through a grant from
The Wallace Foundation, and
The RAND Corporation

October 2003



THE UNIVERSITY OF THE STATE OF NEW YORK

Regents of The University

ROBERT M. BENNETT, <i>Chancellor</i> , B.A., M.S.	Tonawanda
ADELAIDE L. SANFORD, <i>Vice Chancellor</i> , B.A., M.A., P.D.	Hollis
DIANE O'NEILL MCGIVERN, B.S.N., M.A., Ph.D.	Staten Island
SAUL B. COHEN, B.A., M.A., Ph.D.	New Rochelle
JAMES C. DAWSON, A.A., B.A., M.S., Ph.D.	Peru
ROBERT M. JOHNSON, B.S., J.D.	Huntington
ANTHONY S. BOTTAR, B.A., J.D.	North Syracuse
MERRYL H. TISCH, B.A., M.A.	New York
GERALDINE D. CHAPEY, B.A., M.A., Ed.D.	Belle Harbor
ARNOLD B. GARDNER, B.A., LL.B.	Buffalo
HARRY PHILLIPS, 3rd, B.A., M.S.F.S.	Hartsdale
JOSEPH E. BOWMAN, JR., B.A., M.L.S., M.A., M.Ed., Ed.D.	Albany
LORRAINE A. CORTÉS-VÁZQUEZ, B.A., M.P.A.	Bronx
JUDITH O. RUBIN, A.B.	New York
JAMES R. TALLON, JR., B.A., M.A.	Binghamton
MILTON L. COFIELD, B.S., M.B.A., Ph.D.	Rochester

President of The University and Commissioner of Education

RICHARD P. MILLS

Chief Operating Officer

RICHARD H. CATE

The State Education Department does not discriminate on the basis of age, color, religion, creed, disability, marital status, veteran status, national origin, race, gender, genetic predisposition or carrier status, or sexual orientation in its educational programs, services and activities. Portions of this publication can be made available in a variety of formats, including braille, large print or audio tape, upon request. Inquiries concerning this policy of nondiscrimination should be directed to the Department's Office for Diversity, Ethics, and Access, Room 530, Education Building, Albany, NY 12234.

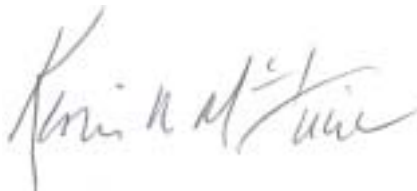
Forward

Successful school leaders improve student achievement. With that knowledge in hand, the Board of Regents and the education community began a five-year review of school leadership in New York State. We targeted our review on the exploration of the question: *How will New York find, prepare, certify, and keep current a sufficient number of leaders of character, skill, and diversity to enable all children to reach the standards?*

To learn more about the issues embedded in this question, my colleagues and I traveled around the State and met aspiring administrators who are eager to tackle the rewarding, and challenging, job of school leadership. Despite the many people I met, we will always face the need for qualified and capable school leaders.

Research on potential leadership candidates and the factors that encourage them to enter administration is critical to engaging a sufficient number of school leaders. This timely report provides essential data on New York State's next generation of school leaders that have significant implications for policy and legislation. We now have data to aid in recruiting and retaining quality school leaders.

Effective school leadership is vital to student success. We *must* have highly-qualified leaders in every school and district whose primary mission is helping all children achieve at high levels. This report provides recommendations imperative to advancing that goal.



Kevin McGuire
Director, New York State Center for School Leadership

Contents

Forward.....	v
Executive Summary	1
Introduction	7
Research Methods.....	8
Research Themes	9
Policy Issues	11
<i>Is there an available talent pool for the forecasted openings in school leadership?</i>	11
Is there an administrative shortage in New York State?	11
What do we know about the individuals who become administratively certified?	13
What are the attributes of certified administrators?	14
<i>Is this pool of administratively certified educators interested in school leadership?</i>	15
What was the primary motivation for seeking administrative certification?	15
Do these administratively certified educators feel adequately prepared to assume a school leadership role?	15
What have been candidates' experiences when applying for administrative positions?	16
<i>Under what conditions are the members of the talent pool willing to serve?</i>	20
What is the role of financial incentives?	20
What is the role of working conditions?	22
What is the role of encouragement and mentoring?	23
Recommendations.....	24
References	27
Appendices	A-1
Executive Summary: The Attributes and Career Paths of Principals	A-1
Executive Summary: The Supply of School Leaders	A-3
Executive Summary: Identifying the Next Generation of School Leaders	A-5
Introduction: Hiring Teachers in New York's Public Schools	A-7

Figures

Figure 1:	<i>Numbers of Provisional Certificates Awarded - In Total, To Individuals in the NYS Workforce, and New Principals Hired</i>	9
Figure 2:	<i>Age Distribution of Principals, 1990, 1995, 2000.....</i>	11
Figure 3:	<i>Percentage of Principals at Least 50 Years Old in 2000, Urban and Rural</i>	12
Figure 4:	<i>Age Distribution of all Teachers and Administrators for Select Years</i>	12
Figure 5:	<i>Percent of Individuals Receiving Provisional Administrative Certification (by Year)..</i>	13
Figure 6:	<i>What was Your <u>Primary</u> Motivation for Securing Administrative Certification?</i>	15
Figure 7:	<i>In Which Areas Do You Need Additional Training Prior to Seeking an Administrative Position?</i>	16
Figure 8:	<i>For How Many Administrative Positions Have You Applied?</i>	16
Figure 9:	<i>In How Many Cases Were You Granted an Interview?</i>	17
Figure 10:	<i>What Was Your <u>Primary</u> Reason for Deciding Not to Apply for an Administrative Position?</i>	17
Figure 11a:	<i>For Which Positions Have You Applied? (By Gender)</i>	18
Figure 11b:	<i>For Which Positions Have You Applied? (By Age)</i>	18
Figure 11c:	<i>For Which Positions Have You Applied? (By Years Since Administrative Certification)</i>	19
Figure 12:	<i>For How Many Years After Administrative Certification Did You Apply for Administrative Positions?</i>	19
Figure 13a:	<i>UPSTATE CITIES, Real Salaries of Teachers with 25 Years of Experience and Principals with No More than 5 Years of Experience (Salaries Prorated to 10 Months and Indexed to 2000 dollars)</i>	20
Figure 13b:	<i>UPSTATE SUBURBS, Real Salaries of Teachers with 25 years of Experience and Principals with No More than 5 Years Experience (Salaries Prorated to 10 Months and Indexed to 2000 dollars)</i>	20
Figure 14a:	<i>The Degree to Which Salary Influenced the Decision to Obtain Administrative Certification (By Gender).....</i>	21
Figure 14b:	<i>The Degree to Which Salary Influenced the Decision to Obtain Administrative Certification (by Age)</i>	21
Figure 14c:	<i>The Degree to Which Salary Influenced the Decision to Obtain Administrative Certification (by Years Since Administrative Certification).....</i>	21
Figure 15:	<i>What is the Additional Minimum Compensation Necessary to Encourage You to Consider an Administrative Position?</i>	22
Figure 16:	<i>What Would Encourage You to Consider an Administrative Position?.....</i>	23

EXECUTIVE SUMMARY

This report summarizes the key findings of four studies (see appendices) conducted by researchers from the University at Albany under the sponsorship of the University of the State of New York, the Wallace Foundation, and the RAND Corporation. The studies focused on various New York State school leadership issues and were intended to inform the policy initiatives of the New York State Education Department.

Overall, the studies focused on the availability of potential administrative applicants, gender similarities and differences, and the viability of those already administratively certified but not serving as administrators. Specifically, the four studies examined the attributes and career paths of principals; the principal's role in the teacher hiring process; the factors that influenced the career decisions of administratively certified educators who are not currently serving as school leaders; and the attributes of individuals who have sought administrative certification, and whether they transitioned to administrative positions at some point during their careers. While the individual studies were not designed as part of a larger research initiative, they nonetheless address overlapping aspects of school leadership and, therefore, provide useful information as we attempt to understand the complex dimensions of the school leadership situation in New York State.

Each study capitalized on a data set created by the researchers that combined previously separate data from the New York State Basic Education Data System (BEDS), New York State teachers' certification system and the Chapter 655 Report (district statistical profiles). The linking of these data sets enabled the researchers to examine data related to career issues that were previously unavailable for this type of investigation. Additionally, the researchers conducted a survey of all individuals age 50 or younger that are certified to be administrators but are not currently serving in administrative positions. This survey (with a sample size of 2898) provided greater understanding about the career decisions of those individuals. Since nearly everyone currently serving in the principalship has come from another position within education, the researchers wanted to find out more about the individuals who have sought administrative certification. They are, in a very real sense, the "ready" members of the pipeline for school and district leadership positions.

Key Findings

Note: Sample sizes vary across the studies. Percentages cited in the executive summary refer primarily to the survey with a sample size of 2898. The one exception is identified in the text.

Administrative certification

Fewer than 15 percent of administratively certified candidates reported pursuing certification to obtain permanent *teaching* certification.

- ◆ Those responding to the survey reported that they pursued administrative certification primarily because they wanted to serve as school leaders. In fact, fewer than 15 percent pursued administrative certification in order to obtain permanent *teaching* certification.
- ◆ Sixty percent reported that they were influenced to some degree to pursue administrative certification by the encouragement of another administrator.
- ◆ Many individuals seek to become certified within the first few years of their careers.
- ◆ Females are proportionately less likely to become certified as administrators than males. However, from 1984 to 2000, more women than men earned administrative certification.
- ◆ Once certified, males are more likely to become entry-level administrators (e.g., assistant principals, department chairs, etc.) but females are just as likely to become principals.

Do administratively certified educators feel adequately prepared to assume a leadership role?

- ◆ Nearly all (93 percent) believe that they were adequately prepared at some point in their careers for an administrative position and 90 percent still feel adequately prepared to assume a school leadership post.
- ◆ However, 60 percent of these individuals want additional training in school finance and facilities management, and approximately a third want more training in staff supervision and program evaluation prior to assuming an administrative role.

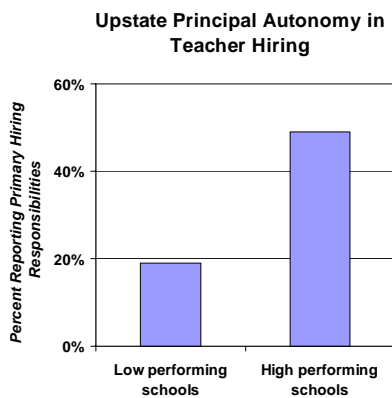
What have applicants experienced when seeking administrative positions?

- ◆ Sixty-eight percent of those administratively certified individuals who responded to the survey reported that they had applied for at least one administrative position during their careers with males reporting that they applied more frequently than did females.
- ◆ These educators reported that they were most active in the job search process immediately after receiving administrative certification.
- ◆ Approximately half applied for between two and five administrative positions while 10 percent applied for eleven or more positions. Women and men exhibited similar patterns of persistence when applying for administrative positions.
- ◆ Of these applicants, 87 percent of the women and 93 percent of the men were interviewed at least once. In fact, 42 percent of the men and 31 percent of the women were offered administrative positions that they subsequently turned down.
- ◆ Personal reasons, salary and working conditions were given as the reasons for declining an offer. Of those who never applied for an administrative position, insufficient rewards and enjoyment of their current position were the reasons cited most frequently.

Do financial incentives make a difference?

- ◆ Novice principals often receive salaries less than or only slightly greater than the experienced teachers in their schools.
- ◆ Urban principals now typically receive somewhat higher salaries than the principals in the surrounding suburbs.
- ◆ Salary was cited as both a reason for seeking administrative certification initially and one of the factors that would entice a certified individual to consider a school leadership post now.

Over half of those who had declined an administrative post indicated that salary was a reason.



Sixty percent reported that the encouragement of an administrator influenced their decision to seek administrative certification.

- ◆ Approximately 60 percent reported that it would take an additional \$10,000 or more to induce them to make the move to administration.
- ◆ In addition, over half of those declining an offered administrative post indicated that salary was one of the reasons.

Do working conditions make a difference?

- ◆ Among those administratively certified individuals who had never applied for an administrative position, about one-fourth said the primary reason was that the demands were too great.
- ◆ Among those who had been offered and turned down an administrative position, nearly half said that working conditions were one of the reasons.
- ◆ Only 19 percent of upstate principals in the lowest performing schools reported that they have primary responsibility for hiring compared to well over 50 percent in higher performing schools. (Approximately 90 percent of the low performing schools were in Buffalo, Rochester, or Syracuse.) In an environment where principals and schools are being held accountable for the performance of students, it is problematic to hold principals accountable when they do not have substantial control of and/or involvement in the process by which teachers are hired. [Survey with a sample size of 254.]

Are encouragement and mentoring important?

- ◆ Sixty percent of survey respondents reported that the encouragement of an administrator influenced their decision to seek administrative certification.
- ◆ When asked to indicate the factors that would encourage them to consider an administrative position, 79 percent replied that being approached would make a difference, and 70 percent responded that mentoring during the first year was important to them.

The researchers also examined the attributes of those serving in administrative positions to learn more about their preparation and career paths.

Attributes of certified administrators

- ◆ Urban school principals are older, yet have less experience on the job than principals from either suburban or rural school districts.
- ◆ Low-performing schools, as measured by student test scores on mandatory 4th and 8th grade examinations, are much more likely to have principals who are less experienced.
- ◆ Female principals are more likely to lead schools with disproportionate numbers of high-need, low-performing students.
- ◆ Urban principals are much less likely to take administrative positions in other districts than are suburban principals. In addition, urban principals are much more likely to take other administrative positions within the same district or leave the New York State public school system than are suburban principals.

Recommendations

As a result of these studies, several policy recommendations appear to be warranted. These recommendations address availability, equity and viability concerns.

Provide early encouragement, training, and support for each stage of the transition to school leadership.

- 1) Identify and encourage prospective school leaders early in their careers when they appear to be most receptive to considering an administrative position, when they are least likely to be financially disadvantaged by accepting a school leadership position, and when they are early enough in their careers that they can serve longer in these positions.
- 2) Expand efforts to attract women to administrative positions. Develop strategies that respond to their stated needs for additional education and mentoring.
- 3) Develop in-service support strategies (mentoring and in-service training) for the influx of less experienced school leaders as the baby-boom generation retires.
- 4) Develop in-service programs for those educators who already hold administrative certification to encourage them to consider school leadership posts.
- 5) Provide training and support for each stage (entry and senior level) of the transition to school leadership.
- 6) Develop strategies that address the leadership needs of each type of school (urban, rural and suburban; high- and low-performing).
- 7) Revisit the salary structure to ensure that senior teachers are financially encouraged to seriously pursue school leadership positions if they so desire.
- 8) Explore the specific reasons that “working conditions” and “the demands of the position” prevent administratively certified educators from actively seeking or accepting school leadership posts.

INTRODUCTION

School leadership has been the subject of considerable national attention over the past decade or more. In part, this focus has been the result of anecdotal reports of “shortages” for school leadership positions. Those responsible for filling vacant administrative posts have often reported too few qualified applicants interested in these positions. Few would dispute the central role of the school leader in the effectiveness of the organizations that they lead. So a “shortage” would leave at least some schools without the high-quality leaders they will need to meet increasing demands for accountability with respect to improving student achievement.

A “shortage” would leave schools without the high-quality leaders they need to improve student achievement.

Amid the national attention, the University of the State of New York and the Wallace Foundation embarked on a partnership to examine leadership issues that were specific to New York State but would have national implications. This research initiative built upon the earlier efforts of the Blue Ribbon Panel on School Leadership, a diverse group appointed by the Commissioner of Education to study school leadership issues in New York State. The panel’s report, issued in February 2000, made three broad recommendations to the New York State Education Department:

- 1) provide quality preparation for school leaders,
- 2) expand the scope and incentives for recruiting and retaining effective school leaders, and
- 3) create an environment where leaders can succeed in improving student achievement.

To provide more of an empirical foundation on which to proceed, the staff of the University of the State of New York and the New York State Center for School Leadership approached researchers from the University at Albany to conduct a series of studies that collectively would increase the understanding of school leadership issues in New York State.

Research Methods

The research effort was comprised of four separate but related studies. Each study capitalized on a data set created by the researchers that combined previously separate data from the New York State BEDS system, New York State teachers' certification system and the Chapter 655 Report (district statistical profiles). The linking of these data sets enabled the researchers to examine career issues previously unavailable for this type of investigation. In the first study Papa, Lankford & Wyckoff (2002) examined the attributes and career paths of New York State principals. The second investigation, by Lankford & Wyckoff (2003), examined which teachers were most likely to seek administrative certification and which were most likely to actually take an administrative position.

Researchers were able to examine the career paths of current administrators and the career decisions of those who could most quickly assume a school leadership position.

The third study (Lankford, O'Connell & Wyckoff, 2003) examined the responses of 2898 administratively certified educators to a survey that explored their decisions with respect to school leadership. The survey was administered to individuals, 50 years old or younger, holding New York State administrative certification, most of whom were not serving in an administrative position at the time of the study. It could be argued that they were a "ready pool" of potential applicants for open administrative positions since they were already certified.

The fourth investigation (Papa, Lankford & Wyckoff, 2003) reported on the responses of 254 principals to a survey instrument that explored the process and structure of teacher hiring and the ways in which the qualifications of teachers vary with respect to the attributes of principals. By utilizing these varied approaches, the researchers were able to examine the career paths of current administrators as well as the career decisions of those who could most quickly assume a school leadership position if interested in doing so.

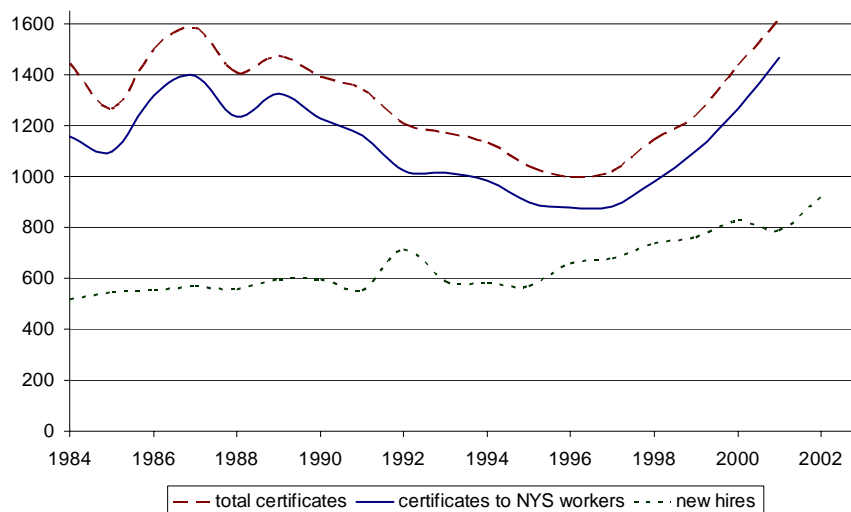
Research Themes

In order to learn more about the supply and demand issues related to school leadership in New York State, the researchers moved away from the discussion of an administrative “shortage” to a discussion of three themes related to administrative supply and demand.

The first theme to be explored was that of administrative “availability.” Are there really no administratively certified educators available or are they simply unwilling to move into the open school

Are there no administratively certified educators available or are they simply unwilling to move into school leadership positions?

**Figure 1: Numbers of Provisional Certificates Awarded
In Total, To Individuals in the NYS Workforce, and New Principals Hired**



leadership positions? From a purely numerical perspective, there are more educators currently certified in school administration than there are projected openings. Indeed, the number of administrative certificates awarded since 1984 has exceeded the number of new principals hired by a substantial margin (See Figure 1).

Another research theme was “equity” and it has two important aspects. First, there is the dimension of gender equity. Do women and men report similar experiences when pursuing administrative positions?

Is the available pool of administratively certified educators distributed where they are needed?

Do they identify similar concerns and needs? Second, there is the dimension of district equity. Do all districts feel the “shortages” equally? Are high need districts able to attract administrators with the same level of experience as their more affluent suburban counterparts? Is the available pool of administratively certified educators distributed where they are needed?

The third major research theme was “viability.” Did the pool of certified educators actively seek school leadership positions and what were their reasons for seeking administrative certification? Can these administratively certified individuals be drawn into school leadership roles? With what salary and under what working conditions are they willing to move from their current positions into the role of school administrator? Are they even still interested in school leadership positions? Did they ever and do they now feel qualified to serve in a school leadership post? If not, what types of training do they say that they need? What do we know about the differences between the career paths of administrators and non-administrators? What do these differences mean from a recruitment and retention perspective? It is important to note that these studies (nor any other studies of which we are aware) did not examine whether these administratively certified individuals are also judged to be viable replacements in the eyes of the hiring authorities.

The themes of availability, equity and viability were pursued by reflecting on a series of practical questions facing school districts as they search for our next generation of school leaders.

POLICY ISSUES

Is there an available talent pool for the forecasted openings in school leadership?

Is there an administrative shortage in New York State?

As is often the case, the answer to this question is complex and requires an understanding of the nuances associated with the administrative certification and job search processes. Yes, a shortage has been projected based largely upon the anticipated retirement of the baby-boomers that represent a large part of the current administrative corps. In fact, up to 60 percent of current principals may retire over the next five years, and the problem is worse in urban, relative to suburban and rural, schools. However, there is also a pool of administratively certified educators that exceeds the projected shortage.

The number of individuals certified to be principals exceeds the number of principalships by more than 50 percent.

Indeed, the number of individuals in New York State under the age of 45 and certified to be principals exceeds the number of principalships by more than 50 percent. Generally, the supply of these certified individuals exceeds the available positions across all ten regions of the State. (The exception to this generalization is that in upstate rural districts there are fewer administratively certified individuals than principalships.)

Importantly however, this does not address the issue of whether these individuals are willing to accept positions, especially

Figure 2: Age Distribution of Principals, 1990, 1995, 2000

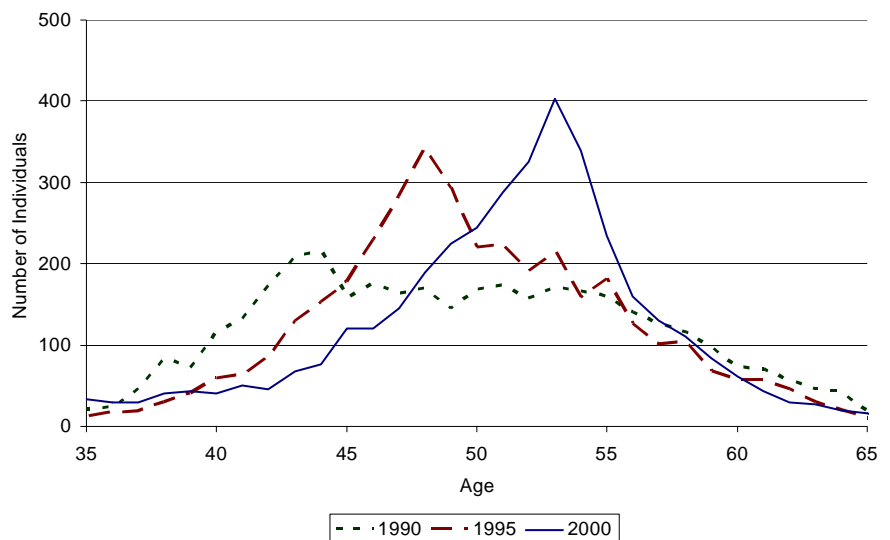
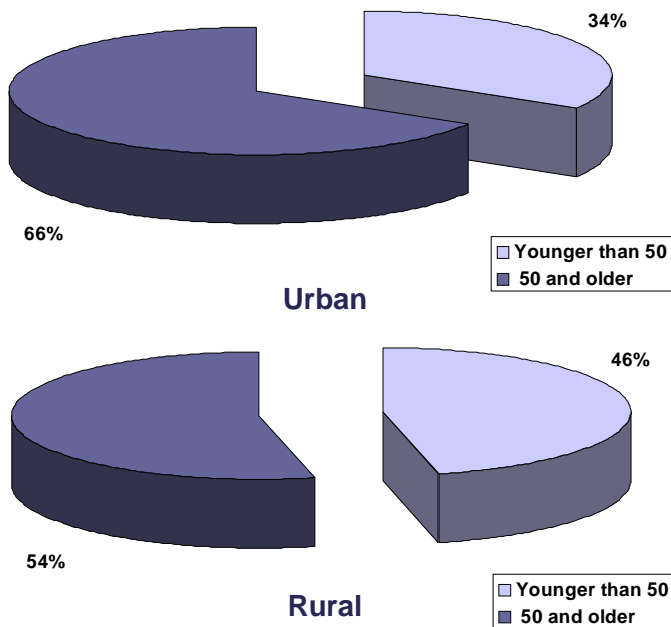


Figure 3: Percentage of Principals at Least 50 Years Old in 2000
Urban and Rural

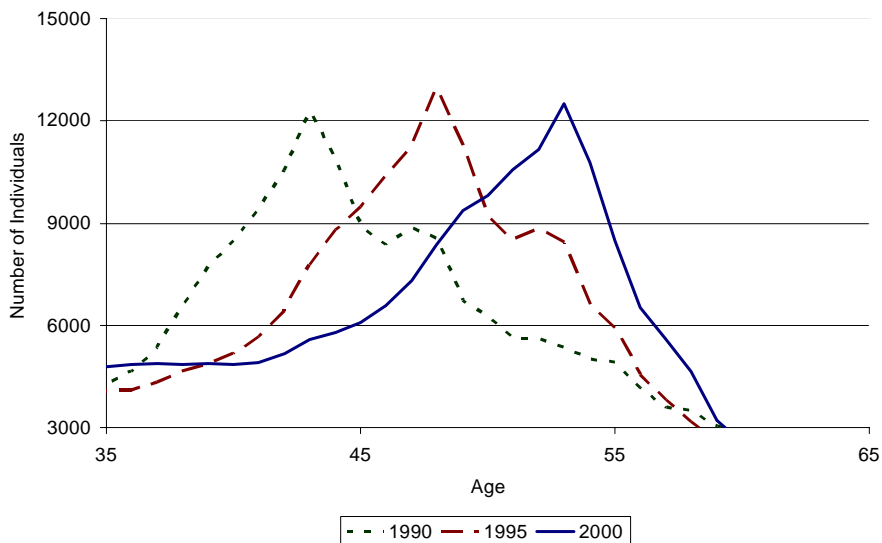


positions in hard-to-staff schools. Whether these administratively certified individuals are also judged to be viable replacements was not examined in these or any other studies of which we are aware.

It is also important to note that the modal age of newly hired principals increased from 43 years old in 1990 to 53 years old in 2000 (See Figure 2).

In fact, two-thirds of the principals in 2000 were at least 50 years old, putting them within five to ten years of typical retirement ages (See Figure 3).

Figure 4: Age Distribution of all Teachers and Administrators for Select Years



If retirement ages remain constant over time, this means that these individuals will have significantly less time to serve in school leadership posts. It appears that many districts' hiring practices have focused on short-term needs rather than efforts to attract a younger workforce that could continue to provide school and district leadership over an extended period of time.

What do we know about the individuals who become administratively certified?

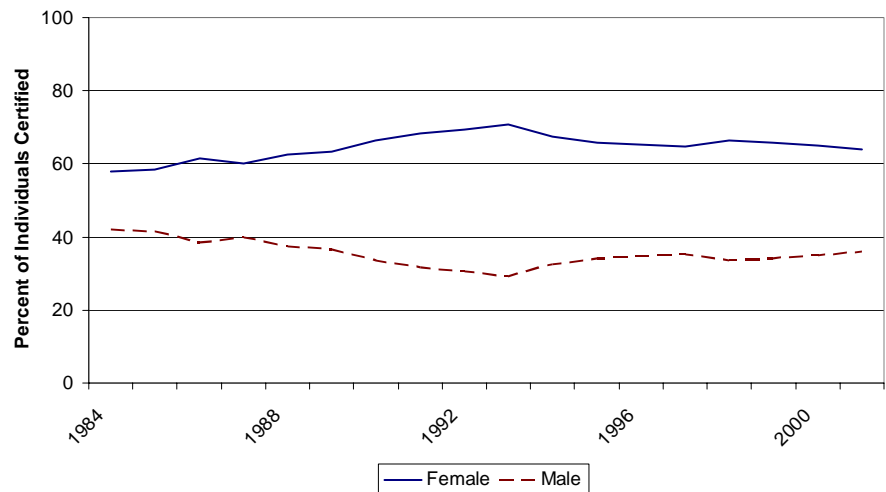
First, we know that males are proportionately more likely to become certified as administrators than females. Other factors held constant, women are 30 percent less likely to become certified than men. However, it is also true that from 1984 to 2000, over 60 percent of those earning administrative certification were women (See Figure 5).

If that trend continues, the proportion of administratively certified women will continue to increase.

Once certified, males are more likely to become entry-level administrators (e.g., assistant principals, department chairs, etc.) but females are just as likely to become principals. Urban teachers are more likely to become certified as a school leader and, once certified, appear to be more likely to assume administrative positions.

From the research there is evidence that many individuals seek to become certified within the first few years of their careers. They are also most likely to assume entry-level administrative positions immediately following certification and move to higher level positions over time. The implication is that early efforts to identify and “tap” prospective administrators are likely to meet with the most success.

Figure 5: Percent of Individuals Receiving Provisional Administrative Certification by Year



Early efforts to identify and tap prospective leaders are likely to meet with the most success.

Poorly performing students in New York City are substantially more likely to have inexperienced principals than are better performing students.

What are the attributes of certified administrators?

The research indicates that there are consistent demographic differences among principals in urban, suburban and rural schools. First, on average, urban school principals are older, have less experience on the job and graduated from lower ranked colleges, as compared to principals from either suburban or rural school districts. Next, low-performing schools as measured by student test scores on mandatory 4th and 8th grade examinations are much more likely to have principals who are less experienced and attended less competitive colleges.

In fact, poorly performing students in New York City are substantially more likely to have inexperienced principals than are better performing students. While there is no evidence suggesting that females are less qualified than males to be teachers or school leaders, it is noteworthy that female principals are more likely to lead schools with disproportionate numbers of high-need, low-performing students.

The routes to becoming a principal vary by type of school (e.g., elementary versus high school), urbanicity, and school enrollment size. Although difficult to assess, there is also evidence in both urban and suburban districts that more qualified individuals have quicker paths to the principalship than do less qualified individuals. Urban principals are much less likely to take administrative positions in other districts than are suburban principals. In addition, urban principals are much more likely to take other administrative positions within the same district or leave the New York State public school system than are suburban principals.

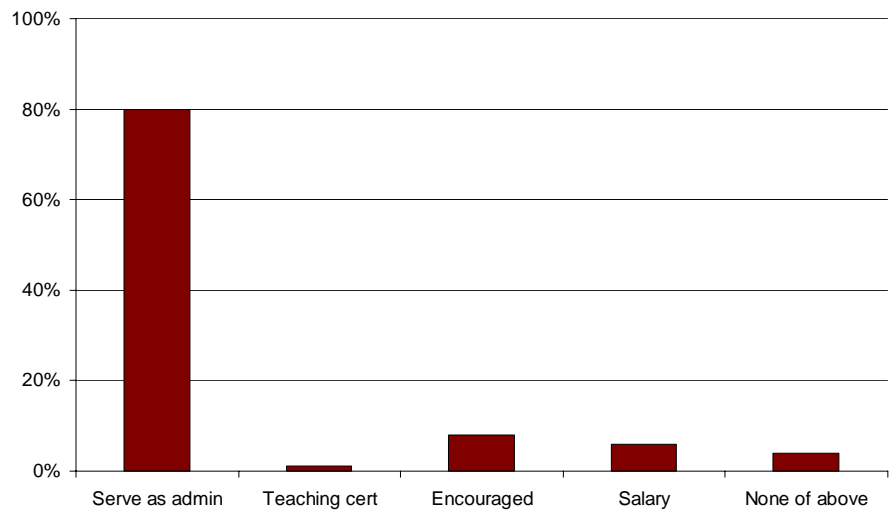
Is this pool of administratively certified educators interested in school leadership?

What was the primary motivation for seeking administrative certification?

Those responding to the survey reported that they pursued administrative certification primarily because they wanted to serve as school leaders (See Figure 6).

Contrary to popular belief, fewer than two percent of survey respondents cited obtaining permanent teaching certification as their primary motivation for seeking administrative certification. Sixty percent reported that they were influenced to some degree to pursue administrative certification by the encouragement of another administrator.

Figure 6: What was Your Primary Motivation for Securing Administrative Certification?



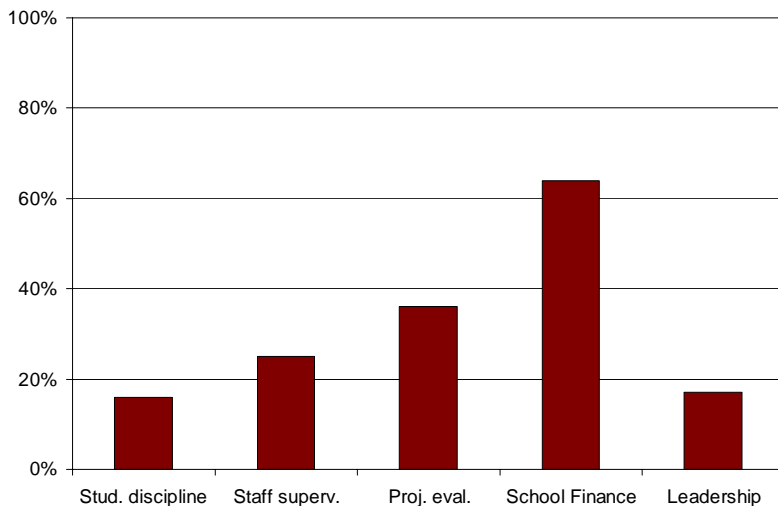
Do these administratively certified educators feel adequately prepared to assume a school leadership role?

Nearly all (93 percent) survey respondents believe that they were adequately prepared at some point in their careers for an administrative position. Perhaps somewhat surprisingly, 90 percent still feel adequately prepared to assume a school leadership position.

However, sixty percent of these individuals wanted additional training in school finance and facilities management and approximately a

third wanted more training in staff supervision and project evaluation (See Figure 7). Across all categories, women were more likely to indicate the desire for additional training than were men.

Figure 7: In Which Areas Do You Need Additional Training Prior to Seeking an Administrative Position?



What have been candidates' experiences when applying for administrative positions?

Sixty-eight percent of those with administrative certification reported that they had applied for at least one administrative position during their careers and males reported that they had applied more frequently than females. Half applied for between two and five administrative positions while 10 percent applied for 11 or more positions (See Figure 8).

Figure 8: For How Many Administrative Positions Have You Applied?

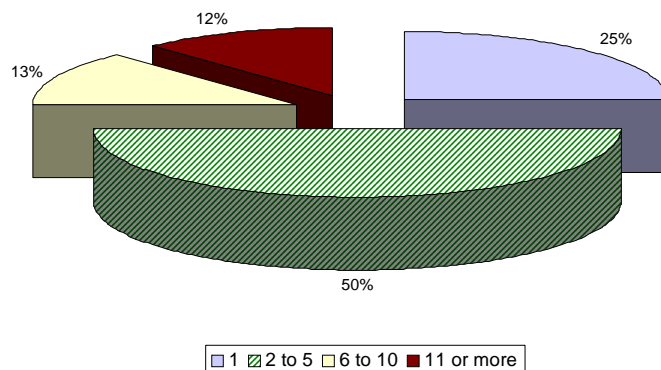
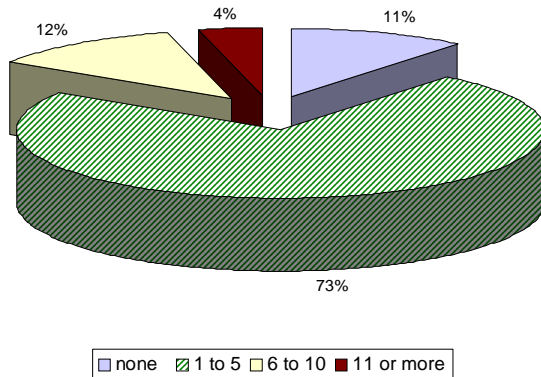


Figure 9: In How Many Cases Were You Granted an Interview?

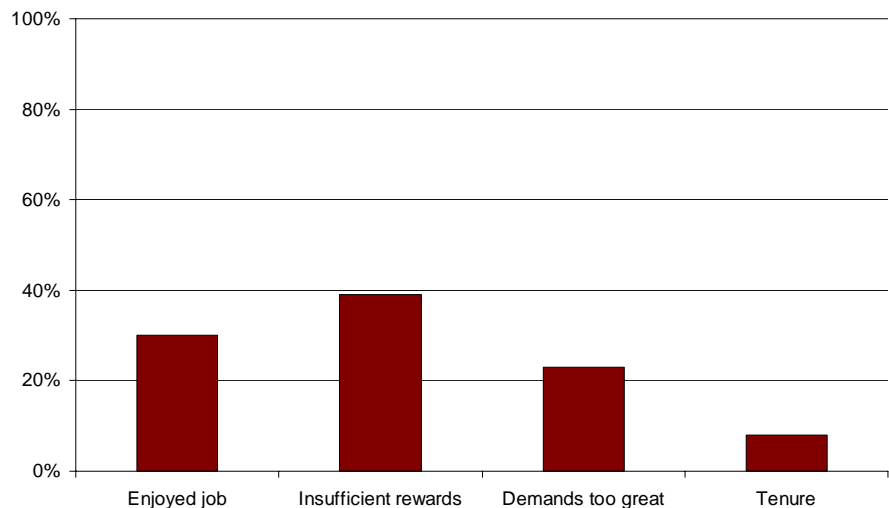


Sixty-eight percent of administratively certified individuals apply for at least one administrative position.

Women and men exhibited similar patterns of persistence when applying for administrative positions. Of these applicants, 87 percent of the women and 93 percent of the men were interviewed at least once (See Figure 9).

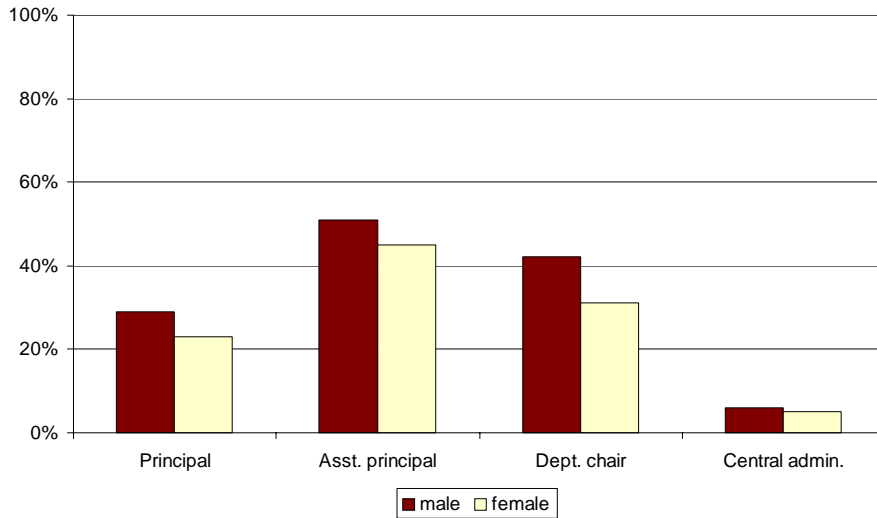
In fact, 42 percent of the men and 31 percent of the women were offered positions that they turned down. Personal reasons, salary and working conditions were given as the reasons for declining an offer. Of those who never applied for an administrative position, insufficient rewards and enjoyment of their current position were the reasons cited most frequently (See Figure 10).

Figure 10: What Was Your Primary Reason for Deciding Not to Apply for an Administrative Position?



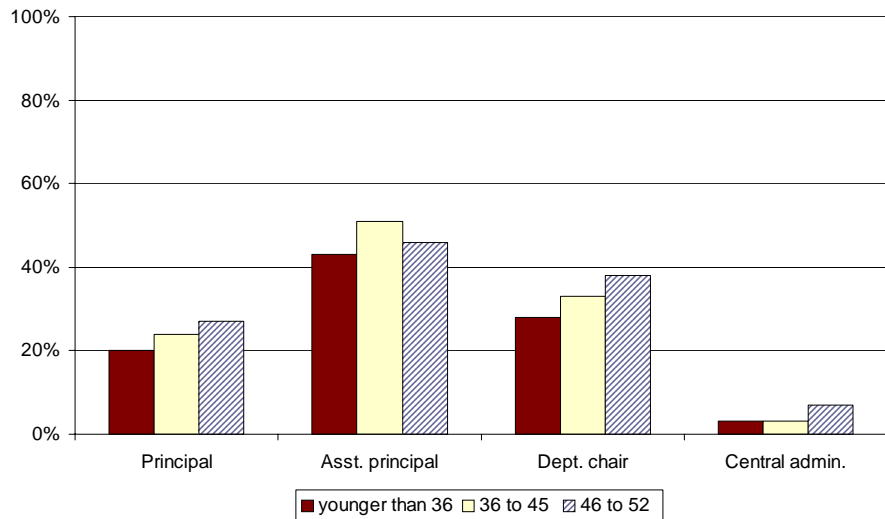
Predictably, most of those responding to the survey had applied for entry-level administrative positions including department chairperson and assistant principal (See Figures 11a, 11b and 11c).

Figure 11a: For Which Positions Have You Applied?
(By Gender)

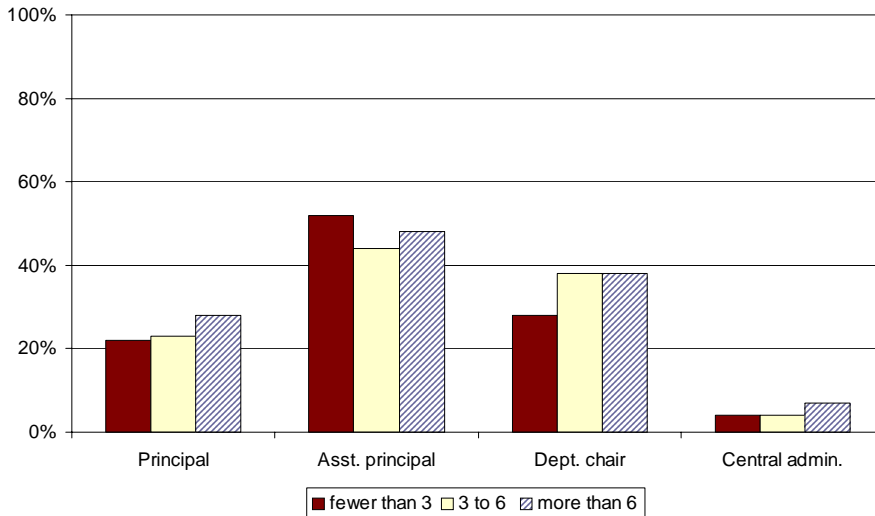


Just over 20 percent of these individuals reported applying for a position as building principal. Smaller percentages of women reported that they had applied for each of the listed positions (See Figure 11a).

Figure 11b: For Which Positions Have You Applied?
(By Age)



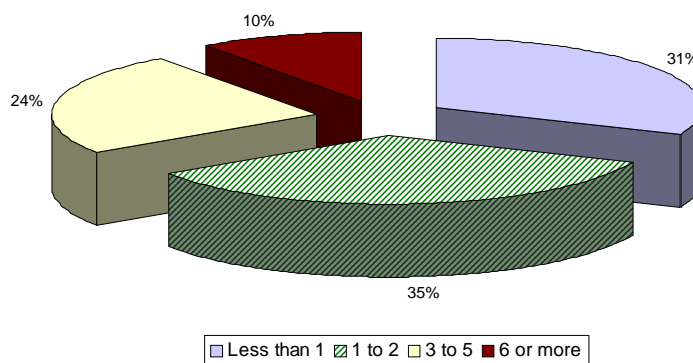
**Figure 11c: For Which Positions Have You Applied?
(By Years Since Administrative Certification)**



Two years after receiving administrative certification, 66 percent of certified administrators (not serving in administrative posts) stopped applying for administrative positions.

These administratively certified educators also reported that they were most active in the job search process immediately after receiving administrative certification. If they had not already been hired as an administrator, 66 percent of survey respondents stopped applying for administrative positions two years after receiving certification (See Figure 12). After five years, 90 percent had stopped applying for positions.

Figure 12: For How Many Years After Administrative Certification Did You Apply for Administrative Positions?



Under what conditions are the members of the talent pool willing to serve?

What is the role of financial incentives?

Figure 13a: UPSTATE CITIES, Real Salaries of Teachers with 25 Years of Experience and Principals with No More than 5 Years of Experience (Salaries Prorated to 10 Months and Indexed to 2000 dollars)

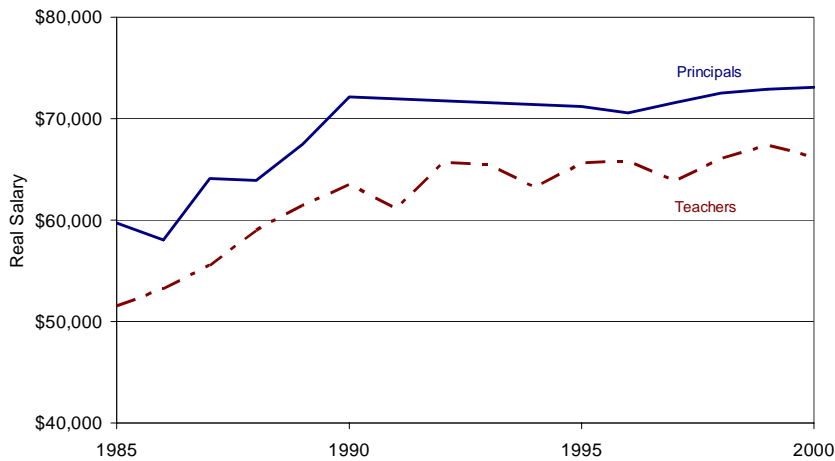
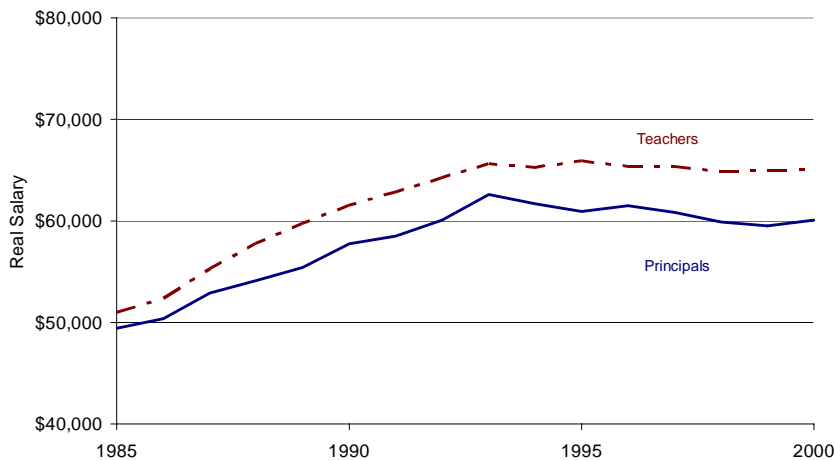


Figure 13b: UPSTATE SUBURBS, Real Salaries of Teachers with 25 years of Experience and Principals with No More than 5 Years Experience (Salaries Prorated to 10 Months and Indexed to 2000 dollars)



Generally, novice principals either receive salaries less than or only slightly greater than the experienced teachers in their schools. Figures 13a and 13b show the salaries of teachers with 25 years of experience compared to principals with no more than five years of experience in Buffalo, Rochester and Syracuse and their suburbs. All salaries have been prorated to 10 months.

Suburban principals actually make less than experienced teachers, while their urban counterparts earn about 8 percent more than experienced teachers.

The data also show that New York City and other urban principals now typically receive somewhat higher salaries than the principals in the surrounding suburbs. On average, salaries to inexperienced urban

principals are about 12 percent higher than their suburban counterparts.

Salary was cited as both a reason for seeking administrative certification initially and one of the factors that would entice a certified individual to consider a school leadership post now. More than 60 percent of respondents indicated that salary influenced their decisions regardless of their gender, age or time since certification (See Figures 14a, 14b, and 14c).

Figure 14a: The Degree to Which Salary Influenced Decision to Obtain Administrative Certification (By Gender)

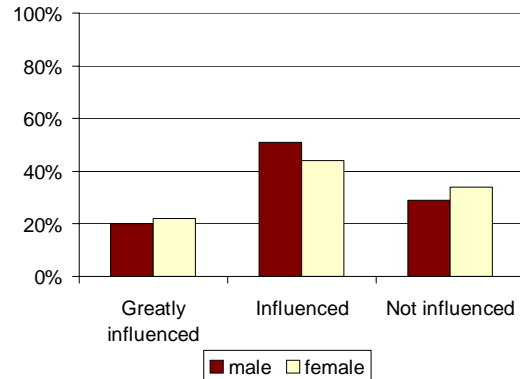
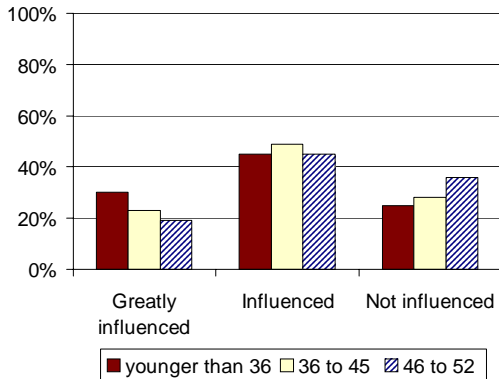


Figure 14b: The Degree to Which Salary Influenced Decision to Obtain Administrative Certification (by Age)



Sixty percent of survey respondents report that it would take \$10,000 or more to induce them into an administrative post.

Approximately sixty percent reported that it would take \$10,000 or more to induce them to make the move to an administrative position (See Figure 15).

In addition, over half of those declining to accept an administrative post indicated that salary was one of the reasons.

Figure 14c: The Degree to Which Salary Influenced Decision to Obtain Administrative Certification (by Years Since Administrative Certification)

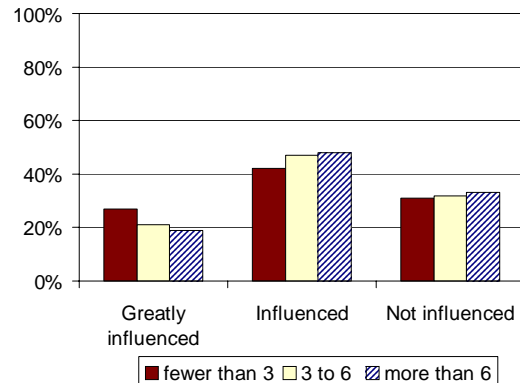
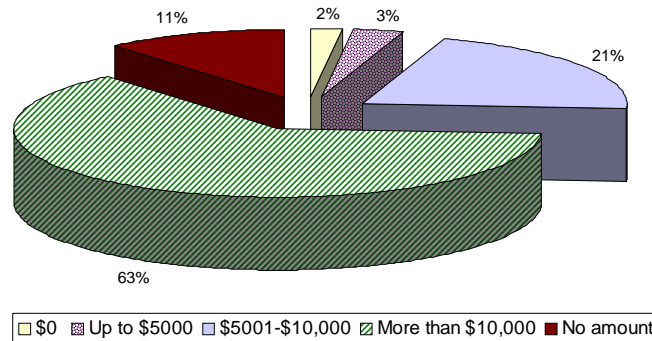


Figure 15: What is the Additional Minimum Compensation Necessary to Encourage You to Consider an Administrative Position?



Twenty-five percent of certified individuals who never applied for an administrative position said the primary reason was that the demands were too great.

What is the role of working conditions?

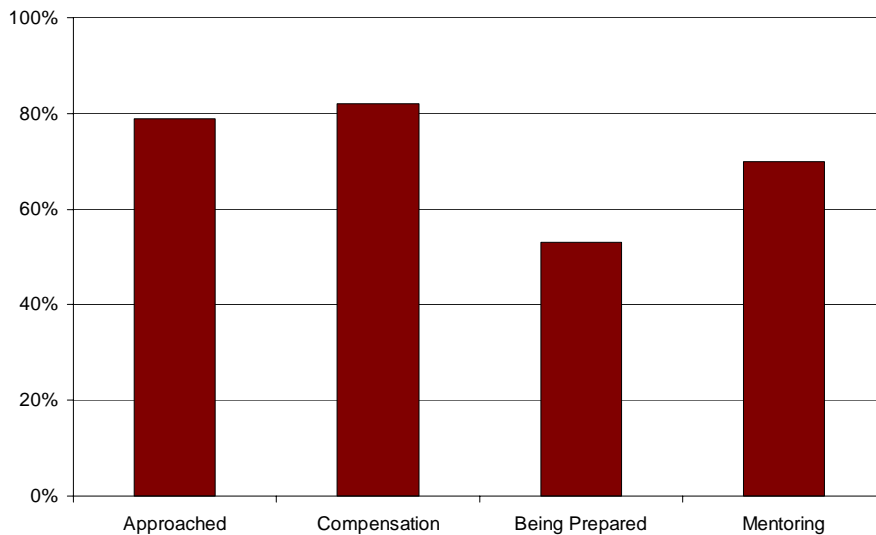
Among those administratively certified individuals who had never applied for an administrative position, about one-fourth said the primary reason was that the demands of administrative positions were too great. Among those who had been offered and turned down an administrative position, nearly half said that working conditions were one of the reasons.

Only nineteen percent of upstate principals in lowest performing schools reported that they have primary responsibility for hiring compared to well over 50 percent in higher performing schools. (Approximately 90 percent of the low performing schools were in Buffalo, Rochester, or Syracuse.) In an environment where principals and schools are being held accountable for the performance of students, it is problematic to hold principals accountable when they do not have substantial control and involvement in the process by which teachers are hired.

What is the role of encouragement and mentoring?

Sixty percent reported that the encouragement of an administrator influenced their decision to seek administrative certification. When asked to indicate the factors that would encourage them to consider an administrative position, 79 percent replied that being approached would make a difference, and 70 percent responded that mentoring during the first year was important to them (See Figure 16).

Figure 16: What Would Encourage You to Consider an Administrative Position?



RECOMMENDATIONS

Availability

The data show that more educators earn administrative certification than there are available posts. Most of those who are administratively certified still hold the desire to serve in an administrative position and, with some notable exceptions, are generally distributed where they are needed across the state. In order to maximize this available talent pool, the following strategies are recommended:

Most of those who are administratively certified still hold the desire to serve in an administrative position.

- ◆ Identify and encourage prospective administrators early in their careers, when they may be most receptive and will still find financial incentive. Active encouragement and support from practicing school leaders will increase the likelihood that they will become administratively certified and then pursue school leadership posts. This approach should be combined with long term leadership strategies within each district, rather than district procedures that focus on simply filling pending vacancies.
- ◆ Develop in-service support strategies for the influx of less experienced administrators. Concentrate on creating and expanding mentoring and in-service training opportunities.
- ◆ Develop in-service programs targeting those already holding administrative certification (in essence a refresher course).

Equity

The data show that women are still under-represented in administrative ranks even though they earn over 60 percent of the administrative certificates awarded each year. They apply for administrative positions less frequently than men but are selected for the principalship at approximately the same rate. Women are also more likely to serve in principalships in low-performing schools. With respect to schools themselves, urban districts, while paying more than their suburban counterparts, are less able to hire experienced school leaders. In order to address these inequities, the following recommendations are made:

- ◆ Expand efforts to attract women to administrative positions. Develop strategies that respond to their stated needs for additional education and mentoring. (Other minority groups may also desire additional professional education and mentoring, but that can not be documented by these data.)
- ◆ Recognize and develop differential strategies to deal with the fact that each district type is unique and may require a somewhat different approach when recruiting and retaining high quality leaders.

Viability

Even though they hold administrative certification, many educators have not actively pursued administrative posts. The respondents cited salary, working conditions, and the demands of the positions as barriers to becoming school leaders. In order to increase the viability of the currently certified educators, the following recommendations are made:

- ◆ Recognize the differential needs of those seeking certification, those seeking interviews and those actually serving in administrative positions. Provide training and support to address each stage of the transition from teaching to administration.
- ◆ Revisit the salary structure to ensure that senior teachers have financial incentives to seriously pursue school leadership positions if they so desire. While higher salaries alone will likely not be sufficient to encourage more educators to consider administrative positions, it appears clear that higher salaries are a minimally necessary condition for them to consider such a career change.
- ◆ Explore the specific reasons that “working conditions” and “the demands of the position” prevent administratively certified educators from actively seeking school leadership posts. Both were cited frequently by respondents as the reasons they did not seek an initial administrative position and the reasons they declined an administrative post that had been offered to them.

REFERENCES

Lankford, H. & Wyckoff, J. (April 2003). The Supply of School Leaders: A Multivariate Analysis of Administrative Certification and Transitions to Leadership Positions. Unpublished paper. University at Albany, SUNY.

Lankford, H., O'Connell, R. & Wyckoff, J. (April 2003). Identifying the Next Generation of School Leaders. Unpublished paper. University at Albany, SUNY.

Papa, F., Lankford, H. & Wyckoff, J. (March 2002). The Attributes and Career Paths of Principals: Implications for Improving Policy. Unpublished paper. University at Albany, SUNY.

Papa, F., Lankford, H. & Wyckoff, J. (April 2003). Hiring Teachers in New York's Public Schools: Can the Principal Make a Difference? Unpublished paper. University at Albany, SUNY.

APPENDIX

The Attributes and Career Paths of Principals: Implications for Improving Policy

Executive Summary

Most observers believe that school leadership is crucial to realizing the high expectations for student achievement that have been put in place in most states and school districts over the last several years. There is a growing consensus regarding the attributes of effective school leaders. However, many of these attributes are difficult to clearly define and more difficult to objectively measure. Thus, despite a great deal of conventional wisdom and folklore about school leadership, little is actually known.

This paper examines the attributes and career paths of New York States principals. We believe a better understanding of the attributes and career paths of principals and how these have changed over time, are the foundation for additional analysis that will inform policies for the recruitment and retention of effective school leaders. We find that many of the commonly held beliefs about principals are supported by a systematic examination of the data. In many of these cases, going beyond a surface description reveals dynamics that are little understood but have important policy implications. In other cases, we find that some widely held beliefs about principals are more myth than fact. These, too, result in implications for policy. Table 1 summarizes our major findings.

Finally, the analysis in this paper raises a number of questions for which our descriptive analysis cannot provide answers.

- ❖ What induces some individuals to become principals while others remain in teaching or leave the public school system altogether?
- ❖ Why does it seem that the least qualified principals end up at schools where students are performing worst?
- ❖ Where have the certified leaders who are no longer in the system gone? Private schools? Non-educational occupations?
- ❖ To what extent do absolute and relative salaries affect these decisions? How important are working conditions?
- ❖ Why aren't more females in leadership positions?
- ❖ What can be done to attract and retain high quality individuals into the principalship, especially in low-performing schools?
- ❖ Are there hiring strategies that would work better than those used over the last decade?

Table 1: Major Findings (The Attributes and Career Paths of Principals)

Commonly Held Beliefs	Findings from Our Analysis
➤ There is a shortage of principals that will grow over the next five years.	<ul style="list-style-type: none"> ➤ In fact, up to 60 percent of current principals may retire over the next five years, and the problem is worse in urban, relative to suburban and rural, schools. Less discussed has been the fact that some portion of this “shortage” has resulted from the hiring practices of districts over the last 10 years. A fact not widely recognized ➤ However, the number of individuals under the age of 45 and certified to be principals exceeds the number of principalships by more than 50 percent.
➤ Lower performing schools have less qualified leaders	<ul style="list-style-type: none"> ➤ Although quality of leadership is difficult to assess, urban schools are much more likely to have less experienced principals and principals who received their bachelors degrees from lower ranked colleges. ➤ Within New York City, schools where students performed poorly on standardized exams are much more likely to have less experienced principals and principals who received their bachelors degrees from lower ranked colleges. The same pattern is not so evident among other large urban schools.
➤ Paths to the principalship vary across several dimensions.	<ul style="list-style-type: none"> ➤ The routes to becoming a principal do vary by type of school (e.g., elementary v. high school), urbanicity, and school enrollment size. ➤ However, although difficult to assess, there is evidence in both urban and suburban districts that more qualified individuals have quicker paths to the principalship than do less qualified individuals.
➤ Compensation for urban principals is low.	<ul style="list-style-type: none"> ➤ Until quite recently this was the case for New York City principals, who received substantially less than their suburban peers. New York City and other urban principals now typically receive somewhat higher salaries than do suburban principals. ➤ Generally, novice principals receive only slightly higher salaries than do the experienced teachers in their schools. ➤ It is not clear that these modest premiums compensate for the additional demands placed on many urban principals.
➤ Large numbers of urban principals are recruited to the suburbs for administrative positions.	<ul style="list-style-type: none"> ➤ In fact, urban principals are much less likely to take administrative positions in other districts than are suburban principals. ➤ In addition, urban principals are much more likely to take administrative positions within the same district or leave the New York state public school system than are suburban principals.

The Supply of School Leaders: A Multivariate Analysis of Administrative Certification and Transitions to Leadership Positions

Executive Summary

Much has been made of the impending shortage of school leaders. However, there has been very little systematic evidence on which to base these assertions and even less research as to how policymakers might respond. Ultimately, we believe the issue of recruiting and retaining effective school leaders is much more nuanced than a simple story of numbers and shortages. Rather, it involves understanding and identifying the attributes of effective school leadership across very diverse environments, as well as how to attract effective leaders to the schools where student performance is worst. Such an analysis is well beyond the scope of this research or any large-scale analysis of which we are aware. Our goals are much more modest.

This paper examines the issue of recruiting school leaders from the perspective that we need a far better understanding the decisions that individuals make to put themselves in a position to apply for school leadership positions and ultimately to take those positions. Which teachers are most likely to be interested in administrative certification? How has that changed over time? Of those having the required certification, which are most likely to take administrative positions? By better understanding these questions we believe that educational policymakers will be in a better position to understand the depth of the so-called administrative shortage and how to begin to address it.

We employ a database that links all teachers and administrators employed in New York State since 1984 to examine individuals' decisions to obtain administrative certification and transitions among teaching, lower level administration, higher level administration and leaving the public school system. We explore these issues both descriptively and with multivariate statistical models that focus on the attributes of individuals. We believe these models are a first step towards understanding policies that might influence the recruitment of school leaders. These estimates do not include specific school or district variables but rather these variables are accounted for by regional fixed effects.

Some of what we find conforms to what many people believe about the process by which people move into leadership positions, some of it does not. Table 2 summarizes our key results.

Table 2: Major Findings (The Supply of School Leaders)

Commonly Held Beliefs	Results from Our Analysis
➤ Females are disadvantaged in the hiring process for leadership positions	➤ Females are less likely to become certified as administrators than males. Conditional on being certified males are more likely to become lower level administrators but females are just as likely to become principals.
➤ Urban teachers are less likely to become leaders due to the extraordinary challenges facing urban school leaders	➤ In fact, urban teachers are more likely to become certified for administrative positions and once certified appear to be more likely to assume administrative positions.
➤ Individuals typically decide upon moving to administration early in their careers	➤ There is evidence that many individuals seek to become certified within the first few years of their careers.
➤ If someone does not secure a leadership position soon after becoming certified for one, they are unlikely to do so later on	➤ Yes, individuals are most likely to assume lower level administrative positions immediately following certification and move to higher level positions over time.
➤ The labor market for school leaders has become much tighter in recent years, making it increasingly difficult to recruit leaders	➤ The implication of the preceding two bullets is that early efforts to identify and “tap” prospective administrators are likely to meet with the most success.
	➤ We find some evidence for this with a substantial increase in the proportion of individuals moving into administrative positions earlier in their careers.

Identifying the Next Generation of School Leaders

Executive Summary

School districts across the country are struggling with recruiting a new generation of school leaders as the baby-boom generation of leaders retires. The dramatic increase in vacancies for school leaders has caused many observers to conclude that there is an administrator shortage.

We surveyed all individuals, 50 years old or younger, employed in New York State public schools that are certified to be school leaders but are not currently serving as a principal or superintendent. Based on the responses of over 2800 individuals certified to be leaders we examined a number of questions regarding their interest and ability to take on leadership positions.

- ❖ Why did they complete the requirements for administrative certification and then not enter the profession?
- ❖ Did they ever seek an administrative post and, if so, what were their experiences in the job search process?
- ❖ What are their current career aspirations?
- ❖ Are any still interested in pursuing a school leadership position?
- ❖ Do they still feel prepared to assume an administrative position?
- ❖ Under what conditions might they consider moving into an administrative position?

There is remarkably little research on the pool of potential administrators and how to recruit well-qualified individuals to leadership positions. The findings from our analysis often support commonly held beliefs about this group but, at times, our results do not support these beliefs. These findings are summarized in Table 3.

Table 3: Major Findings (Identifying the Next Generation of School Leaders)

Commonly Held Beliefs	Results from our Analysis
➤ Many individuals pursue administrative certification to obtain permanent teaching certification	➤ Fewer than 15 percent of our respondents cite this a factor that influenced their decision at all. Rather, they pursued administrative certification primarily due to a desire to serve as administrators.
➤ Most individuals with administrative certification never apply for administrative positions	➤ 68 percent of all certified non-administrators have applied for an administrative position.
➤ Job security and demands of the position is the primary reason that individuals decide not to apply for administrative positions.	➤ Surprisingly, giving up tenure and the need to relocate were cited less frequently than expected by both men and women and only about 20 percent indicated that they had not applied for an administrative position because the demands of the job were too great.
➤ Men are more likely than women to apply for administrative positions	➤ Men do apply more frequently than women (74% v. 64%). Additionally men are more likely than women to apply to be principals (29% v. 23%), assistant principals (51% v. 45%) and department chairs (42% v. 31%).
➤ Men are more likely to be successful in receiving a job offer than women	➤ Among non-administrators men are more likely to report being interviewed (13% of women 7% of men who applied did not receive an interview. Men are also more likely to report that they have turned down a position that was offered (42% v. 31%).
➤ Compensation and concerns about giving up tenure are the most important reasons that individuals turn down administrative positions when offered	➤ Personal reasons were cited most frequently (71%) but salary (62%) and working conditions (53%) were also frequently mentioned as important reasons.
➤ Most potential leaders are in general adequately prepared to assume leadership positions	➤ Over 90 percent of respondents believe they are well prepared to assume leadership positions. However, about 60 percent believe they need additional training in finances and facilities management.
➤ There is a large pool of potential leaders to meet the increasing demand for school administrators	➤ Only half of all individuals holding administrative certification and employed in New York public schools are actively searching for an administrative position. However, 85 percent would be willing to consider a position under the right circumstances. Most also indicate that high stress, low pay and poor working conditions have reduced their interest.

Hiring Teachers in New York’s Public Schools: Can the Principal Make a Difference?

Introduction

Schools across the nation are searching for ways to improve student performance. Rightfully, much has been written on the important role that teachers play in this process. We know relatively less about the role of principals in altering student outcomes. The principal’s position has evolved so that in addition to being a leader in curriculum and instruction, the principal often is responsible for managing the human, physical and financial resources of the building, representing the school to the public with respect to a variety of issues including assessment and accountability, and representing the interests of the school within the district. So, effective principals have the potential to affect student outcomes through a variety of paths. Arguably, the hiring of new teachers has the potential to affect student outcomes as much as any decision made within a school system. What are the teacher hiring practices of schools and what role do principals play in this decision? This paper provides information on these issues by addressing the following questions.

- ❖ What are the teacher hiring practices employed by public schools in New York State? How do these practices vary by the type of school or principal?
- ❖ How do the qualifications of teachers hired vary by the hiring practices employed and the attributes of principals?

A better understanding of these issues may provide insights to the improvement of student outcomes.