

111TH CONGRESS
1ST SESSION

S. _____

To recruit, support, and prepare principals to improve student academic achievement at high-need schools.

IN THE SENATE OF THE UNITED STATES

Mr. FRANKEN (for himself, Mr. HATCH, Mr. BENNET, Mr. BROWN, Mr. CARPER, _____) introduced the following bill; which was read twice and referred to the Committee on _____

A BILL

To recruit, support, and prepare principals to improve student academic achievement at high-need schools.

1 *Be it enacted by the Senate and House of Representa-*
2 *tives of the United States of America in Congress assembled,*

3 **SECTION 1. SHORT TITLE.**

4 This Act may be cited as the “School Principal Re-
5 cruitment and Training Act of 2009”.

6 **SEC. 2. PURPOSE.**

7 The purpose of this Act is to recruit, support, and
8 prepare principals to improve student academic achieve-
9 ment at high-need schools.

1 **SEC. 3. FINDINGS.**

2 Congress finds the following:

3 (1) Research shows that school leadership qual-
4 ity is second only to teacher quality among school-
5 related factors in its impact on student learning.

6 (2) While teacher quality has the greatest im-
7 pact on student learning, principal quality is a key
8 determinant of whether schools can attract and re-
9 tain effective teachers.

10 (3) Many districts have reported shortages of
11 qualified principals. In most areas of the country,
12 the problem is not a shortage of certified principals,
13 but rather a shortage of qualified principals who are
14 willing to take on the challenge of working in high-
15 need schools and underserved communities.

16 (4) The quality of preparation that principals
17 receive influences their willingness to take on the
18 challenge of leading high-need schools. It also influ-
19 ences their ability to succeed and their willingness to
20 remain in their positions. Investing in principal
21 preparation is therefore critical to satisfying the de-
22 mand for qualified principals in high-need schools,
23 and decreasing the turnover rate among principals
24 in those schools.

25 (5) The Stanford Educational Leadership Insti-
26 tute recently found that principals who participated

1 in high-quality pre- and in-service leadership devel-
2 opment programs feel significantly better prepared
3 for virtually every aspect of principal practice, are
4 more committed to staying in their jobs, spend more
5 time on instructionally focused work, and make de-
6 veloping and supporting their teachers a priority.

7 (6) Most high-need school districts lack ade-
8 quate strategies for identifying school staff who
9 demonstrate the potential to be effective principals,
10 preparing them to lead high-need schools, and sup-
11 porting them once they commence their work as
12 principals.

13 (7) Principals need both management and in-
14 structional leadership skills to be effective. Yet most
15 principal preparation programs fail to devote ade-
16 quate attention and resources to training principals
17 in instructional leadership.

18 (8) Without effective principals, struggling
19 schools will have difficulty using resources provided
20 under the Elementary and Secondary Education Act
21 of 1965 and other Federal laws to improve student
22 learning.

1 **SEC. 4. PROGRAM ESTABLISHMENT AND ACTIVITIES.**

2 Part A of title II of the Elementary and Secondary
3 Education Act of 1965 (20 U.S.C. 6601 et seq.) is amend-
4 ed by adding at the end the following:

5 **“Subpart 6—Principal Recruitment and Training**
6 **Grant Program**

7 **“SEC. 2161. PROGRAM ESTABLISHMENT AND ACTIVITIES.**

8 “(a) DEFINITIONS.—In this section:

9 “(1) ELIGIBLE ENTITY.—The term ‘eligible en-
10 tity’ means—

11 “(A) a local educational agency; or

12 “(B) at least 1 of the following organiza-
13 tions that has a partnership with 1 or more
14 local educational agencies:

15 “(i) a nonprofit organization;

16 “(ii) an educational service agency;

17 “(iii) an institution of higher edu-
18 cation; or

19 “(iv) a State educational agency.

20 “(2) HIGH-NEED SCHOOL.—The term ‘high-
21 need school’ means a public school, including a pub-
22 lic charter school, that meets 1 or more of the fol-
23 lowing criteria:

24 “(A) Not less than 40 percent of the stu-
25 dents enrolled are eligible for the school lunch

1 program established under the Richard B. Rus-
2 sell National School Lunch Act.

3 “(B) In the case of a public high school,
4 has a graduation rate of 65 percent or less.

5 “(C) In the case of a public school con-
6 taining middle grades, feeds into a public high
7 school that has a graduation rate of 65 percent
8 or less.

9 “(D) Is a rural school served by a local
10 educational agency that is eligible within the
11 meaning of section 6211(b)(1) or 6221(b)(1).

12 “(3) HIGH SCHOOL.—The term ‘high school’
13 means a secondary school in which the—

14 “(A) entering grade of the school is not
15 lower than grade 6; and

16 “(B) highest grade of the school is—

17 “(i) grade 12; or

18 “(ii) in the case of a secondary school
19 approved by a State to issue a regular di-
20 ploma concurrently with a postsecondary
21 degree or with not more than 2 years’
22 worth of postsecondary academic credit,
23 grade 13.

24 “(4) MIDDLE GRADES.—The term ‘middle
25 grades’ means any of grades 5 through 8.

1 “(5) GRADUATION RATE.—The term ‘gradua-
2 tion rate’ has the meaning given the term in section
3 1111(b)(2)(C)(vi), as clarified in section
4 200.19(b)(1) of title 34, Code of Federal Regula-
5 tions.

6 “(b) PROGRAM AUTHORIZED.—

7 “(1) NATIONAL PRINCIPAL RECRUITMENT AND
8 TRAINING GRANT PROGRAM.—The Secretary shall
9 establish a multiyear national principal recruitment
10 and training grant program to award grants to eligi-
11 ble entities to enable such entities to carry out ac-
12 tivities described in subsection (e).

13 “(2) DURATION.—

14 “(A) IN GENERAL.—

15 “(i) 5 YEAR DURATION.—A grant
16 awarded under this section shall be 5 years
17 in duration.

18 “(ii) RENEWAL.—The Secretary
19 may—

20 “(I) renew a grant awarded
21 under this section based on perform-
22 ance; and

23 “(II) in renewing a grant under
24 subclause (I), award the grantee in-

1 increased funding to scale up or rep-
2 licate the grantee's program.

3 “(B) PERFORMANCE.—The primary con-
4 sideration in determining performance shall be
5 the impact of the grantee's program, as evi-
6 denced by improved student learning and out-
7 comes, and improved school functioning in high-
8 need schools led by principals who have received
9 training or other support from a program car-
10 ried out with funds from a grant awarded
11 under this section. With respect to schools led
12 for 3 or more years by such principals, the Sec-
13 retary shall examine whether such schools are
14 making greater gains in student learning and
15 outcomes, as evidenced by multiple measures,
16 including secondary school graduation rates,
17 academic assessments, Advanced Placement and
18 International Baccalaureate enrollment rates
19 and test scores, and other student-level outcome
20 data, than similar schools elsewhere. In deter-
21 mining performance, the Secretary shall con-
22 sider information provided in accordance with
23 subsections (f) and (i).

24 “(c) APPLICATION.—An eligible entity that desires a
25 grant under this section shall submit to the Secretary an

1 application at such time, in such manner, and accom-
2 panied by such information as the Secretary may require.

3 Such application shall include—

4 “(1) a demonstration that the entity has suffi-
5 cient capacity to implement the activities described
6 in subsection (e) that the entity proposes to imple-
7 ment;

8 “(2) a demonstration that the entity has a
9 track record or a clear plan for preparing principal
10 trainees and principals to improve student academic
11 achievement in high-need schools; and

12 “(3) a demonstration that the entity has a
13 track record or a clear plan for providing principals
14 trained by the entity with the guidance, support, and
15 tools they need to improve student academic achieve-
16 ment in high-need schools, which may include pro-
17 viding principals with tangible resources, such as
18 funding to ensure supports for quality teaching, and
19 decision-making authority over areas such as per-
20 sonnel, budget, curriculum, or scheduling.

21 “(d) PRIORITY.—In awarding grants under this sec-
22 tion, the Secretary shall give priority to eligible entities
23 that are focused on high-need schools in urban or rural
24 areas.

25 “(e) ACTIVITIES.—

1 “(1) IN GENERAL.—Each eligible entity that re-
2 ceives a grant under this section shall use grant
3 funds for the following:

4 “(A) To recruit, select, train, and support
5 aspiring or current principals, or both, for work
6 in high-need schools, which may include identi-
7 fying current principals with track records of
8 transforming student learning and outcomes,
9 and preparing such principals to lead the high-
10 est-need schools.

11 “(B) To provide aspiring principals se-
12 lected by the entity with a pre-service residency
13 that is not less than 1 year in length, combined
14 with focused coursework on instructional leader-
15 ship, organizational management, and the use
16 of a variety of data for purposes of instruc-
17 tional leadership and organizational manage-
18 ment, as well as ongoing support and profes-
19 sional development for at least 2 years after the
20 aspiring principals complete the residency and
21 commence work as school leaders.

22 “(C) To provide mentoring and profes-
23 sional development to current principals se-
24 lected by the entity to strengthen the principals’
25 capacity to—

1 “(i) engage in effective instructional
2 leadership practices; and

3 “(ii) use a variety of data for pur-
4 poses of instruction, supervision, evalua-
5 tion, and development of teachers and de-
6 velopment of highly-effective school organi-
7 zations.

8 “(2) SPECIFIC ACTIVITIES.—Each eligible enti-
9 ty that receives a grant under this section shall
10 carry out the following activities:

11 “(A)(i) Recruiting, selecting, and providing
12 training and professional development to indi-
13 viduals who—

14 “(I) are or aspire to be principals in
15 high-need schools;

16 “(II) share the belief that every stu-
17 dent, regardless of background, can
18 achieve at high levels;

19 “(III) with respect to aspiring prin-
20 cipals, have been effective teachers, school
21 counselors, or assistant principals, have
22 knowledge of effective instruction, and
23 have demonstrated a capacity for leader-
24 ship; and

1 “(IV) sign an agreement to serve for
2 not less than 4 years in a high-need school,
3 and upon qualification for and placement
4 in principalships, work to ensure that the
5 schools they will lead improve student aca-
6 demic achievement substantially within 3
7 to 6 years.

8 “(ii) The Secretary shall establish, by reg-
9 ulation, categories of extenuating circumstances
10 under which an individual who is unable to ful-
11 fill all or part of the individual’s service obliga-
12 tion under clause (i)(IV) may be excused from
13 fulfilling that portion of the service obligation.

14 “(B) Assessing the skills of each aspiring
15 principal prior to the individual’s pre-service
16 residency to determine the individual’s
17 strengths and improvement needs, and using
18 such data to assist in developing and refining a
19 data-based professional development plan that
20 guides the individual’s year-long residency.
21 Such assessment may occur through the aspir-
22 ing principal selection process described in sub-
23 paragraph (A).

24 “(C) For selected aspiring principals, pro-
25 viding training during a year-long pre-service

1 residency that includes coaching from an effective
2 principal, hands-on instructional leadership
3 experience, and a curriculum that may include
4 topics such as—

5 “(i) effective instructional practices;

6 “(ii) recruiting, supporting, and retaining effective staff;

7 “(iii) improving instructional practices
8 through the purposeful observation and
9 evaluation of teachers, and through the
10 provision of regular and direct feedback to
11 teachers;

12 “(iv) providing teachers and staff with
13 focused, sustained, and research-based professional
14 development, including job-embedded professional
15 development that supports teachers and staff in setting their
16 own goals and working in collaboration
17 with fellow teachers and staff to meet
18 those goals;

19 “(v) developing distributed leadership
20 teams, which may include principals, assistant
21 principals, and effective teachers and staff, to implement school
22 improvement strategies;

1 “(vi) facilitating the development and
2 implementation of a school vision and stra-
3 tegic plan using a variety of data providing
4 evidence of student and school outcomes;

5 “(vii) aligning all aspects of a school
6 culture to student and adult learning;

7 “(viii) monitoring and improving the
8 alignment and effectiveness of curriculum,
9 instruction, and assessment, using a vari-
10 ety of data providing evidence of student
11 and school outcomes;

12 “(ix) addressing the needs of specific
13 student populations served, such as stu-
14 dents with disabilities, students who are
15 limited English proficient, rural students,
16 and students who have experienced trau-
17 ma, homelessness, or placement in the
18 child welfare system;

19 “(x) using technology and multiple
20 sources of data to improve classroom in-
21 struction;

22 “(xi) ensuring the integration of high-
23 quality formative and summative assess-
24 ments into classroom instruction;

1 “(xii) developing and managing school
2 organizations, including managing budget
3 resources and school time to support high-
4 quality instruction and student academic
5 achievement, such as by extending the
6 school day and year and providing common
7 planning time to teachers and staff; and

8 “(xiii) engaging community members,
9 including parents, the local educational
10 agency, and other community leaders, to
11 leverage additional resources to improve
12 student success.

13 “(D) Providing targeted professional devel-
14 opment and training on topics which may in-
15 clude the topics described in subparagraph (C),
16 to individuals who have completed the year-long
17 pre-service residency for at least 2 years after
18 the individuals commence their work as school
19 leaders in high-need schools or to participating
20 current principals of high-need schools, or to
21 both.

22 “(E) Developing and delivering high-qual-
23 ity, differentiated, school-level support services
24 to meet the specific needs of high-need schools

1 led by individuals described in subparagraph
2 (D), which may include—

3 “(i) support for the design of school-
4 wide improvement plans based on the diag-
5 nosis of school conditions and needs in-
6 formed by data and analysis of classroom
7 and school practices;

8 “(ii) support in conducting successful
9 school-wide assessments;

10 “(iii) support in organizing and train-
11 ing distributed leadership teams; and

12 “(iv) other assistance from expert
13 mentors or coaches to support—

14 “(I) analysis and evaluation of
15 school practices;

16 “(II) development of strong in-
17 structional and organizational capac-
18 ity;

19 “(III) productive use of assess-
20 ments and data; and

21 “(IV) professional development
22 for staff.

23 “(f) REPORTS.—

24 “(1) ANNUAL REPORT TO SECRETARY.—An eli-
25 gible entity that receives a grant under this section

1 shall submit an annual report to the Secretary at
2 such time, in such manner, and containing such in-
3 formation as the Secretary may require, including at
4 minimum—

5 “(A) data on the number and characteris-
6 tics of individuals who have received training or
7 other support from the grantee’s program;

8 “(B) data on the schools led by such indi-
9 viduals, including—

10 “(i) characteristics of the schools and
11 the students they serve, including the num-
12 ber and percentage of students in each of
13 the subgroups listed in section
14 1111(b)(2)(C)(v)(II);

15 “(ii) student academic achievement
16 growth and other evidence of student aca-
17 demic success, disaggregated, where pos-
18 sible, by the subgroups listed in section
19 1111(b)(2)(C)(v);

20 “(iii) student attendance;

21 “(iv) student secondary school grad-
22 uation and college-going rates, if applica-
23 ble;

1 “(v) Advanced Placement and Inter-
2 national Baccalaureate enrollment rates
3 and test scores, if applicable; and

4 “(vi) recruitment, development, and
5 retention of teachers who are deemed to be
6 effective based on multiple measures;

7 “(C) evidence that high-need schools led by
8 individuals described in subparagraph (A) have
9 improved in areas in which those individuals re-
10 ceived training or other support from the grant-
11 ee’s program; and

12 “(D) data on the policies, systems, and
13 processes developed by the eligible entity for—

14 “(i) identifying and recruiting aspir-
15 ing or current principals, or both;

16 “(ii) identifying schools with the high-
17 est need for effective school leaders; and

18 “(iii) providing aspiring or current
19 principals, or both, with training, support,
20 and tools to improve student learning and
21 outcomes at high-need schools.

22 “(2) DISAGGREGATION OF DATA.—In providing
23 the information pursuant to paragraph (1), each
24 grantee that serves both aspiring and current prin-
25 cipals shall disaggregate the information relating to

1 principals who were trained to lead high-need
2 schools by the grantee's program before they com-
3 menced their work as principals and principals who
4 were in principal positions before they received train-
5 ing or other support from the grantee's program.

6 “(3) PERMISSIBLE.—An eligible entity that re-
7 ceives a grant under this section may include in the
8 annual report under paragraph (1) other evidence of
9 progress in schools led by principals trained by the
10 entity.

11 “(g) MATCHING REQUIREMENT.—

12 “(1) MATCHING REQUIREMENT.—

13 “(A) IN GENERAL.—An eligible entity that
14 receives a grant under this section shall con-
15 tribute to the activities assisted under such
16 grant matching funds in an amount equal to
17 not less than 20 percent of the amount of the
18 grant from non-Federal sources.

19 “(B) MATCHING FUNDS.—The matching
20 funds requirement under subparagraph (A) may
21 be met by—

22 “(i) contributions that are—

23 “(I) in cash or in kind, fairly
24 evaluated; and

1 “(II) from any private source,
2 State educational agency, or local edu-
3 cational agency-determined allocation
4 of public funding; and

5 “(ii) payments of a salary or stipend
6 to an aspiring principal during the aspiring
7 principal’s residency year.

8 “(C) INDIRECT COST.—An eligible entity
9 that anticipates using matching funds for a
10 programmatic cost that is not directly tied to
11 the application’s proposed project shall include
12 in the entity’s application a request to the Sec-
13 retary to do so, along with a statement of the
14 basis for the request.

15 “(2) WAIVER.—The Secretary may waive or re-
16 duce the matching requirement under paragraph (1)
17 if the eligible entity demonstrates a need for such
18 waiver or reduction due to financial hardship.

19 “(h) SUPPLEMENT, NOT SUPPLANT.—Grant funds
20 provided under this section shall be used to supplement,
21 and not supplant, any other Federal or State funds other-
22 wise available to carry out the activities described in this
23 section.

24 “(i) RESEARCH, EVALUATION, AND DISSEMINA-
25 TION.—

1 “(1) AVAILABLE FUNDS.—Of the amounts ap-
2 propriated to carry out this section for a fiscal year,
3 the Secretary may use not more than 5 percent to
4 carry out this subsection.

5 “(2) IN GENERAL.—

6 “(A) RESEARCH, EVALUATION, AND DIS-
7 SEMINATION PROGRAM.—The Secretary shall
8 award a grant to 1 or more research groups for
9 the development of a high-quality evaluation
10 and information clearinghouse system to facili-
11 tate a sharing of best practices and inform—

12 “(i) the recruitment, selection, train-
13 ing, and ongoing development of principals
14 for high-need schools;

15 “(ii) the development of standards
16 and definitions of principal effectiveness;
17 and

18 “(iii) the development of system-wide
19 supports and policies critical to fostering
20 the school and principal-level actions
21 known to most often differentiate the most
22 dramatically improved schools from others.

23 “(B) SPECIFIC ACTIVITIES.—The evalua-
24 tion and information clearinghouse system de-

1 scribed in subparagraph (A) shall accomplish
2 the following:

3 “(i) ASSESSMENT OF PROGRAM.—

4 “(I) IN GENERAL.—Assess the
5 impact of each grantee’s program,
6 using evidence of program outcomes,
7 including—

8 “(aa) the movement of prin-
9 cipals who received training or
10 other support through a grant
11 awarded under this section into
12 principal positions in high-need
13 schools;

14 “(bb) the retention of such
15 individuals in those positions;
16 and

17 “(cc) evidence that prin-
18 cipals who have received training
19 or other support through a grant
20 awarded under this section are
21 prepared to lead high-need
22 schools, and are effective in im-
23 proving and leading such schools.

1 “(II) EXAMINATION.—The as-
2 sessment described in subclause (I)
3 shall—

4 “(aa) examine school im-
5 provement and success based on
6 multiple indicators, including stu-
7 dent academic achievement, stu-
8 dent attendance, and graduation
9 and college-going rates; and

10 “(bb) include an analysis of
11 gains which, where possible,
12 should include a value-added
13 analysis of gains on the indica-
14 tors described in item (aa) as
15 compared to gains on such indi-
16 cators in similar schools;

17 “(cc) include, where pos-
18 sible, an examination of the re-
19 cruitment, development, and re-
20 tention of teachers who are deter-
21 mined to be effective based on
22 multiple measures in high-need
23 schools led by principals who
24 have received training or other

1 support through a grant awarded
2 under this section; and

3 “(dd) include an examina-
4 tion of the changed policies and
5 practices instituted by such prin-
6 cipals at the principals’ schools,
7 and the relationship between
8 such policies and practices to in-
9 dicators of improved student
10 learning and outcomes at such
11 schools.

12 “(ii) FACTORS THAT FOSTER OR
13 HINDER THE SUCCESS OF PROGRAMS.—
14 Identify factors that foster or hinder the
15 successful implementation of each grant-
16 ee’s program.

17 “(iii) SCHOOL-LEVEL SUPPORT.—
18 Evaluate the school-level support provided
19 through each grantee’s program.

20 “(iv) ALIGNMENT OF INTERNAL AND
21 EXTERNAL FACTORS.—Identify the inter-
22 nal and external factors, including prin-
23 cipal characteristics and skills, as well as
24 principal accountability, supports, and de-
25 cision-making authority, that need to be

1 aligned in order to improve student learn-
2 ing and school success.

3 “(v) PRINCIPAL AND PROGRAM AT-
4 TRIBUTES AND ACTIONS ASSOCIATED WITH
5 DRAMATIC SCHOOL IMPROVEMENT.—Iden-
6 tify the attributes and actions of principals
7 and training programs that appear to be
8 associated with dramatic school improve-
9 ment.

10 “(vi) PRINCIPAL AND PROGRAM AT-
11 TRIBUTES AND ACTIONS ASSOCIATED WITH
12 MINIMAL SCHOOL IMPROVEMENT.—Iden-
13 tify the attributes and actions of principals
14 and training programs that appear to be
15 associated with minimal or no school im-
16 provement.

17 “(vii) FEEDBACK TO GRANTEES.—
18 Utilize the data described in clauses (i)
19 through (vi) to provide information to each
20 grantee that the grantee can use to drive
21 program improvement.

22 “(viii) GENERATE AND DISSEMINATE
23 INFORMATION.—Generate and disseminate
24 information to the field about what types
25 of principal recruitment, selection, train-

1 ing, tools, supports, attributes, and actions
2 are associated with—

3 “(I) substantial school improve-
4 ment and student academic achieve-
5 ment growth at the elementary school,
6 middle school, and high school levels;
7 and

8 “(II) minimal or no school im-
9 provement and student academic
10 achievement growth at the elementary
11 school, middle school, and high school
12 levels.

13 “(C) REPORTING SCHEDULE.—The Sec-
14 retary shall work with each research group
15 awarded a grant under this paragraph to de-
16 velop a reporting schedule for a research, eval-
17 uation, and dissemination plan that is approved
18 by the Secretary.

19 “(3) REPORT TO CONGRESS.—The Secretary
20 shall submit an annual report to the Committee on
21 Health, Education, Labor, and Pensions of the Sen-
22 ate, the Committee on Appropriations of the Senate,
23 the Committee on Education and Labor of the
24 House of Representatives, and the Committee on
25 Appropriations of the House of Representatives on

1 the lessons learned through programs funded with
2 grants awarded under this section.

3 “(j) AUTHORIZATION OF APPROPRIATIONS.—There
4 are authorized to be appropriated to carry out this section
5 such sums as may be necessary for fiscal year 2011 and
6 each of the succeeding 9 fiscal years.”.