

**AT THE TIPPING POINT:
Navigating the Course for the Preparation
of Educational Administrators**

THE 2007 YEARBOOK OF THE NATIONAL COUNCIL
OF PROFESSORS OF EDUCATIONAL ADMINISTRATION

Edited by

**LINDA K. LEMASTERS
ROSEMARY PAPA**



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Welcome to the 2007 NCPEA YEARBOOK, *At the Tipping Point: Navigating the Course for the Preparation of Educational Administrators*. It is the hope of Rosemary Papa and me that you not only will find the research useful in your courses and practice, but also will see that the authors in the yearbook have created a genesis to make sure that our professional tipping points are recognized and that they are the beginnings of deep, meaningful change.

The yearbook this year has continued in the mode that was begun last year with Fred Dembowski. The theme mirrors that of the 2007 NCPEA Summer Conference, with the intent that many of the authors will further develop their manuscripts in presentations in Chicago. Eighty-one “intent to submit” forms were received early in the fall of 2006. Seventy-two articles, however, were submitted; they were the work of 140 different authors. After the peer review process, which included a review of each chapter by three members from the profession, 45 chapters were selected for publishing. During the process, there were more than 60 reviewers, over 65 universities represented, and hundreds and hundreds of pages of research read and edited. This is an effort that reaches throughout the total NCPEA organization.

As the fifteenth volume of the yearbook, this is only the second year that the process was completely online. Electronic spreadsheets, submittal and review logs, the NCPEA website, e-mail feedback, tracking tools, and other computer generated procedures were employed. A blind review process was used for the peer reviews; however, every article was read and edited at least three more times—many received six and seven edit processes. Rosemary Papa, the assistant editor, or I read all of the articles prior to acceptance, with my reading all of the articles in the final document. During this process it would have been impossible to complete the rigor of the schedule and deadlines had it not been for Patricia Johnson, a graduate of GW’s doctoral leadership and policy program and adjunct faculty member. She read each submittal after the peer review and author edits and tracked editing suggestions. This certainly made my first read easier and more efficient. Two of my graduate students in the education administration and leadership program, Alicia Hall and Michael Nelson, then read the articles again and made suggestions, including the sections to which the chapters should be assigned. It was a great team with whom to work!

It is important to say a special thank you to all of the peer reviewers, who each read from three to seven articles. The task is not an easy one to read and critique one’s peers—knowing the implications for tenure and promotion. The NCPEA Board, Rosemary Papa, Gary Martin, Linda Morford, Ted Creighton, and many others were key in keeping the process meaningful, professional, and making sure that a book was produced of which we all can be proud. ProActive Publications with Joe Eckenrode and Steve Spangler were also key in assisting with this process. They must read their e-mail hourly because the response time when questions were posed was phenomenal.

As I worked on the editing tasks, it seemed important to be reading “other” material to keep my perspective and to reflect on the impact of the chapters. After being at a roundtable discussion with Peter Senge, I decided to read *Presence* by him and other authors and *Synchronicity* by Jaworski. Yes, we are at a tipping point, but as Betty Sue Flowers (Senge, Scharmer, Jaworski, & Flowers, 2004) noted, “The key is to see the different future not as inevitable, but as one of several genuine possibilities” (p. 25). Jaworski (1996) in his book talked about the creation of the future, our nature of commitment, and synchronicity. He wrote,

Author Koestler, paraphrasing Jung, defines “synchronicity” as “the seemingly accidental meeting of two unrelated causal chains in a coincidental event which appears both highly improbably and highly significant.” The people who come to you are the very people you need in relation to your commitment. Doors open, a sense of flow develops, and you find you are acting in a coherent field of people who may not even be aware of

one another. You are not acting individually any longer, but out of the unfolding generative order. This is the unbroken wholeness of implicate order out of which seemingly discrete events take place. At this point, your life becomes a series of predictable miracles. (p. 185)

Jaworski goes on to note that is the “point that our freedom and destiny emerge, and we create the future into which we are living” (p. 185). The authors in this yearbook, as well as the address that we heard from Ted Creighton last year in Kentucky, recognized that we are at a tipping point in educating the school leaders of the next generation. What great opportunity is in our NCPEA! As Gladwell (2000) put it, “Tipping Points are a reaffirmation of the potential for change and the power of intelligent action” (p. 219). Not only must we recognize that we are at tipping points throughout education with initiating policy, educating our leaders, and maintaining a vibrant organization from which to have a knowledge base and a powerful agenda, but we also must react with a *cognizance* of our great opportunity. It is important to note, however, that we are not alone; we can face this responsibility and opportunity as a synchronous NCPEA. I hope that you find that the chapters in this book will enrich your reflection and ignite your journey into profound, meaningful change.

Thank you to all of those who have made this effort possible, especially my assistant editor, Rosemary Papa. Please know that it has been a pleasure to serve as your 2007 editor.

Linda K. Lemasters
The George Washington University
July, 2007

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INVITED CHAPTERS

President's Message

Linda Morford, Eastern Illinois University

This year's conference theme—At the Tipping Point: Navigating the Course for the Preparation of Educational Leaders—originated out of a general session at the 2006 NCPEA Summer Conference in Lexington, Kentucky. Executive Director Ted Creighton referred to Malcomb Gladwell's (2002) *The Tipping Point: How Little Things Can Make a Difference*, and how NCPEA was at a "tipping point." Our profession, in general, is at that same point.

Gladwell's (2002) book is not about school leadership, but rather about the ways in which social phenomena, which he terms "epidemics," spread. He outlines the three rules of the Tipping Point. The Power of Context teaches that "Epidemics are sensitive to the conditions and circumstances of the times and places in which they occur" (p. 139). The Law of the Few says that epidemics are "driven by the efforts of a handful of exceptional people" (p. 21). In order to create an epidemic, you need Connectors (the people specialists), Mavens (information specialists), and Salesmen (the persuaders). Finally, the Stickiness Factor refers to how well a message sticks with an intended audience.

School leadership preparation is ripe for the lessons of the "tipping point." We must understand the Power of Context. Recent research confirms the significant impact of school leaders on student achievement. Leithwood, Louis, Anderson, and Wahlstrom (2004), examining the available research on the impact of leadership, found that the ". . . total (direct and indirect) effects of leadership on student learning account for about a quarter of total school effects" (p. 3); the impact is even greater in schools that face more difficult challenges. In a meta-analysis of 70 studies of the effects of leadership practices on student achievement, Waters, Marzano, and McNulty (2003) found a .25 correlation between leadership and student achievement. For an average school, "having an effective leader can mean the difference between students scoring at the 50th percentile on a given test or achieving a score 10 percentile points higher" (Education Commission of the States, 2005, p. 3). As this research on effective leadership emerged, it was followed by studies examining the effectiveness of leadership preparation programs, and the results have not been favorable.

Critics of school leadership preparation programs contend that many of our programs have failed to produce credible leaders capable of addressing the complex demands placed on contemporary schools. Political forces have come into states such as Alabama, Iowa, and Louisiana and forced changes in leadership preparation programs. We have a clear choice. We can continue to defend ourselves against detractors such as Levine (2005), the business community, government, and others, or we can learn from Gladwell (2002) and create an epidemic in our profession where we summon the will to work with others to address issues facing schools and, thus, improve our preparation programs.

In order to launch this epidemic, the Law of the Few tells us we need Connectors, Mavens, and Salesmen. At the national level and within every state, we must have our Connectors. NCPEA has developed relationships with all three school administrators' professional organizations—the National Association of Elementary Principals (NAESP), the National Association of Secondary Principals (NASSP), and the American Association of School Administrators (AASA). Each organization has identified an individual to sit as an affiliate member on the NCPEA Board of Directors. The purpose of these partnerships is to

join forces on matters of national interest and to create opportunities for professors and practitioners to collaborate on research, special projects, grants, other scholarly endeavors, and engage in conversations about improving leadership preparation. As a result of these partnerships, the NCPEA Winter Conference within a Conference is now being rotated between the organizations' national conferences to encourage these types of connections at a national level.

Even more importantly, NCPEA state affiliates and their members will become the exceptional Connectors capable of bringing about change at the grassroots level. We can no longer operate in silos. As Connectors, we must join forces, assume ownership, and lead the way in the improvement of leadership preparation programs. The ISLLC Standards outline what school leaders need to know and be able to do, but it is important to recognize that the preparation program is just the first step in the development of a leader. "They [preparation programs] are preservice programs that equip aspiring principals [school leaders] with just a small portion of the knowledge that is necessary to effectively master the realities of the principalship [or superintendency]" (Young, Sheets, & Knight, 2005, p.1). A new leader may be well prepared, but may not be successful due to the many variables they will encounter in a school. New leaders need ongoing support and professional development in order to be effective. In addition to improving preparation programs, Connectors must work with school districts, state professional organizations, and state government to ensure that graduates have the support they need through ongoing mentoring and induction, creating a seamless and successful transition from the preparation program to the job.

There are several state affiliates serving as Connectors that have already begun to make a difference. Many have taken on leadership roles within their states in the effort to improve leadership preparation and development. For example, in Missouri, each leadership preparatory program has selected representatives to form the Higher Education Evaluation Committee (HEEC). HECC has been meeting since July 2005. The HECC's goal is to improve student performance in K-12 schools through the development of highly effective leaders. Data gathered by HECC is being used to make recommendations to the State Board of Education. In Illinois, members of the Illinois Council of Professors of Educational Administration (ICPEA) have served as co-chairs of statewide committees addressing building level leadership. One outcome of these committees is a new law requiring mentoring services for all new principals. ICPEA is also sponsoring collaborative work between universities to develop common, meaningful internship requirements and create common assessments for program improvement. ICPEA has created partnerships with the professional organizations for principals, superintendents, and school boards within the state and has a member serving as a liaison in each. And there are several other state affiliates involved in similar work. These are just examples of how state affiliates are now being represented at the table of major political discussions regarding leadership preparation programs.

Connectors at the local level making the connections with schools and school districts are critical. As educators, we must constantly be asking ourselves, "Have we prepared future leaders with the skills and knowledge they need to transform their schools, their classrooms, and their districts?" And how will we know this? We have to be in schools! Although many of us have experience as building and district leaders, we are now removed from that arena, and let's face it, the challenges of school leadership today are very different than what they were a few years ago. NCLB alone has changed the role of the principal and superintendent. By partnering with school leaders to identify the skills and knowledge they need to be effective leaders; by working together to select, recruit, and prepare future leaders; by collaborating with districts to design a program focused on instructional leadership; by

imbedding school-based experiences in coursework and developing meaningful internships; universities can improve the quality of graduates and be instrumental in the development of exemplary programs in their states instead of relying on outside forces to dictate the change.

But the Connectors cannot do it alone. Connectors link us to people; Mavens connect us to information. NCPEA has launched a call for all Mavens—the Connexions Project. It is an attempt to create a knowledge base for educational administration. NCPEA is encouraging members to contribute research, best practices in the teaching of educational leadership, course modules, simulations, case studies, etc. to Connexions. Members are examining, using, adding to, and revising the materials provided in Connexions. NCPEA is asking national organizations (NAESP, NASSP, and AASA), state affiliates, and members to encourage practitioner involvement in the creation of the knowledge base. It is hoped that this will create its own epidemic nationally and across the world, and that the knowledge base will be strengthened through ongoing engagement of the profession in its development. And as a result, leadership preparation will improve.

And every good epidemic needs Salesmen who have the skills to persuade others when they are unconvinced of what they are hearing and a good Stickiness Factor--a simple way to package information that, under the right circumstances can make it irresistible. Ideas must be memorable and move others to action. NCPEA will work with state affiliates to develop capacity to use understandings about school leadership taken from research, teaching, and actual experience in schools to carefully identify the Stickiness Factor locally. It is the responsibility of every NCPEA member and the graduates of our programs to be salesmen.

The profession of educational administration preparation is at a clear “tipping point.” The potential for changing an antiquated system to serve today’s American schools seems possible, but not inevitable. If we work together both nationally through NCPEA sharing and expanding the knowledge base of effective school leadership, and locally through state affiliates and local schools and school districts, we can make a significant difference.

We are an uncommon group of individuals. We are teachers—the Mavens; we are leaders—the Connectors and Salesmen. We have the clear opportunity to understand Gladwell’s (2002) lessons of social epidemics to make a difference in school leadership. Margaret Mead would have appreciated Gladwell’s work, and her often repeated quote seems particularly relevant to NCPEA at this critical juncture for the profession. “Never doubt that a small group of thoughtful, committed citizens can change the world; indeed, it’s the only thing that ever has” (The Institute for Intercultural Studies, n.d.).

The *2007 Yearbook of the National Council of Professors of Educational Administration* is an exceptional collection of manuscripts focused on leadership preparation. This work is the result of some of NCPEA’s extraordinary Connectors, Mavens, and Salesmen. A special thanks to Linda Lemasters, editor of the *NCPEA Yearbook*, and her editorial staff: Assistant Editor Rosemary Papa, Patricia Johnson (doctoral student), Michael Nelson (graduate student), and Alicia Hall (graduate student), and numerous reviewers. Thanks to the many authors who have contributed their work to this important piece of history, and to our publisher Joe Eckenrode of ProActive. Additional thanks to the NCPEA Board of Directors, Executive Director Gary Martin, the NCPEA Summer Conference Planning Committee, and the NCPEA Summer Conference Program Chairs Jenny Tripses and Thomas Kersten.

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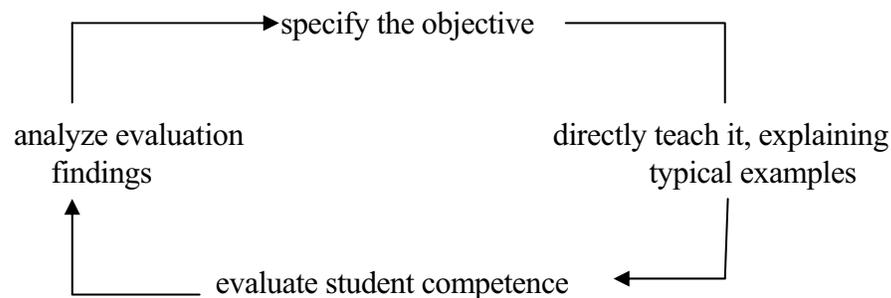
The Basic Antinomy

**The Living Legend Address to the National Council of Professors of Educational Administration, Opening Banquet, August 1, 2006
Lexington, Kentucky**

Louis Wildman

THE FEEDBACK MODEL

Probably the most efficient and quickest way for a teacher to teach a lower-order pre-defined objective is to utilize a feedback model:



and ideally repeat this cycle, offering alternative teaching strategies, until the students have learned the objective.

EdSource surveyed 5,500 teachers and 257 principals and found that the highest performing California schools serving many low-income students focus on improving student achievement using essentially the feedback model (EdSource, 2006).

The feedback model systemizes the instructional process, enabling a teacher, or a group of teachers, to learn from their experience. Ideally, the feedback model leads to continuous instructional improvement based on data analysis. To improve teaching effectiveness, a teacher can use Ralph Tyler's concept of "backward mapping" (that has often been attributed to Grant Wiggins) to figure out what a student will need to master a pre-defined standard. Or, a teacher can analyze the pre-defined standard, using Gagne's idea of identifying all the necessary prerequisite knowledge and skills, and then utilize diagnostic assessment instruments written with the explicit purpose of determining what prerequisite knowledge and skills students need to learn the pre-defined standard.

Utilizing the feedback model, it is essential that teachers accurately report student achievement so that they can appropriately respond to identified error patterns. A lack of truthful reporting about student achievement has bolstered calls for accountability. It is professionally embarrassing when there is a huge difference between student achievement test scores and course grades. Furthermore, without accurate reporting, research-in-practice to improve teaching is impossible. The feedback model allows teachers to work together to diagnose student learning problems, develop alternative teaching methods, and improve evaluation procedures.

Conceivably, this feedback model can also be automated. (At least this is the hope of Arizona Senate Bill 1512, just signed into law by Arizona Governor Janet Napolitano this past June.) Numerous alternative teaching strategies can be pre-programmed. Routine tasks can be transferred from the teacher to the computer, freeing the teacher to reinvest many hours in one-on-one teaching time. Assessment instruments can be automatically assembled from numerous pre-tested questions. Analytic reports can be generated at the conclusion of each cycle, and the whole system can patiently and theoretically continue until the desired student achievement level is attained. Computers are infinitely patient, and, as these programs are improved, I believe it will be possible to actually implement mastery learning utilizing the feedback model to a higher level of attainment than is possible through regular classroom instruction.

The key feature of the feedback model is that it focuses upon student outcomes—the results of learning, not upon a particular instructional strategy.

CHESTER FINN AND "THE BIGGEST REFORM OF ALL"

Chester Finn, Former Assistant Secretary of Education, and now President of the conservative Fordham Foundation, in his April 1990 *Phi Delta Kappan* article, "The Biggest Reform of All," predicted this focus on student outcomes, referring to this shift in focus as a "paradigm shift," referencing Thomas Kuhn's famous book, *The Structure of Scientific Revolutions* (Kuhn, 1962). "History," Chester Finn said, "is going to view the final third of [the 20th century] as a time when the very meaning of *education* was recast, at least in the United States and perhaps throughout the industrial world." Under the new paradigm, "education is the result achieved, the learning that takes root . . . *Only* if the process succeeds and learning occurs will we say that *education* happened."

Chester Finn, in April 1990, correctly predicted the change "in emphasis from educational inputs to outcomes." He correctly foresaw that the changes in 1990, "... represent[ed] barely the warning tremors of the policy earthquake [which was] to come," as we can readily see by what has happened, largely due to the No Child Left Behind legislation, which has certainly represented the "policy earthquake to come" that Chester Finn predicted.

Not one known for his modesty, Chester Finn went on to:

suggest the enormity of the philosophical (and linguistic) change that is entailed...akin in scale to Kuhn's examples of historic 'revolutions' in science: the change from Newtonian mechanics to the quantum theory of Planck and Einstein, from the geocentric universe of Ptolemy to the heliocentric version mapped by Copernicus, from teleological notions of evolution to Darwin's theory of natural selection.

Quoting James Coleman's study on equality of educational opportunity (Coleman, 1966), Chester Finn justified separating inputs and outcomes. Finn noted that President Nixon also picked up on James Coleman's research and called for "more education for the dollar." Soon there followed many studies of the "production function" of schooling by Daniel Patrick Moynihan, Herbert Walberg, Eric Hanushek, and many others. The testing of "outcomes" became more important when international tests began to show that American education was not producing test scores as high as we thought it should. This resulted in more emphasis upon the specification of pre-defined standards and testing to determine if those pre-defined standards had been learned.

Michael Lerner described what happens in schools, today:

. . . Walk into any school, and if you stay long enough, you will discover that the school day is all about testing—preparing for tests, taking tests, evaluating test results. As early as preschool, children are evaluated against the backdrop of a marketplace that doesn't care who they are, only what they will be able to produce. For most children and for most teachers, the content of the tests becomes secondary to the testing process itself. Children get the message that it really doesn't pay to be curious or creative or innovative—what pays is the ability to jump through someone else's hoops. (Lerner, 2006, pp. 296–297)

Clearly, Chester Finn's ideas went right along with all this testing. He said:

We don't care how much schooling you've had or how much money was spent on it or how many years you devoted to it. If you can't demonstrate the ability to read, write, and cipher, we don't consider you sufficiently *educated* to deserve a diploma.

This “competency based” argument required demonstration of proficiency. As Chester Finn put it, “When selecting a cake, who cares about the process, if it tastes good?”

This competency-based argument led Lamar Alexander to suggest less regulation, “if schools and school districts will produce better results.” Utilizing Lamar Alexander's suggestion, Chester Finn felt that an “outcome-based view of education...when coupled with an exacting system of performance accountability [could be] a liberating experience for those who toil in the enterprise of education.”

Well, where has this outcome-based view of education led?

THE “OUTCOMES” OF OUTCOME-BASED EDUCATION

In impoverished communities where principals are desperately trying to increase student achievement, the curriculum is being narrowed to whatever is being tested by the state. For example, in Bakersfield, California, even in summer schools, just reading and mathematics is being taught in day-long instruction, with little time for recess and no time for other subjects.

Further, this past spring, when it came time for testing, students known for poor test performances were encouraged not to attend school.

In the May 2006 issue of *Educational Leadership*, Marge Scherer talked about how many teachers are now simply “teaching to the test, reducing learning to scripts and pacing guides, or concentrating primarily on lifting up only those students who are just below the proficiency line” (Scherer, 2006, p. 7).

Ohio State University Professor Philip Daniel (2006) reminded us that “there is no proof that standardized tests contribute to learning outcomes. [But] What has been shown is that such high pressure tests contribute to student drop-out rates.”

On a daily basis, teachers from throughout the central valley of California who study educational administration at California State University, Bakersfield, tell me that they are actually being told that they are not allowed to teach anything besides what will be tested, and some say they must use designated scripted lessons. Now what kind of model does that set when the children see a teacher acting like a parrot?

In the *New York Times*, Sewell Chan (June 27, 2006) described schools where administrators make unannounced visits to ensure that teachers are abiding by the “flow of the day” schedule posted in each classroom. To avoid being caught if they do not follow the schedule,

some teachers have begun “actually training their kids to switch subjects on command. They can be doing a reading lesson, and if somebody walks through the door, all of a sudden they're doing the writing lesson.”

Arthur T. Costigan, Assistant Professor of Education at Queens College, has interviewed about 300 middle-school teachers since 2001. At a time when there is a teacher shortage, he linked high turnover among new teachers to an overly rigid curriculum. (Chan, 2006) In this regard, Andy Hargreaves and Dean Fink likewise complain about “standards turned into standardization” which demoralizes innovative teachers, depriving them of the freedom to adjust to student needs (Hargreaves & Fink, 2006).

Studying teacher responses to accountability policies, Kenneth Leithwood (2002) found that control strategies trained on input, process, and outputs intended to regulate and standardize school practices tended to be overrated by reformers. In contrast, commitment strategies aimed at unleashing teacher energy and expertise appeared particularly productive in the new accountability contexts, but those commitment strategies apparently are rarely being utilized. Leithwood noted that:

. . .virtually all relevant evidence portrays a level of commitment to their “clients” by teachers that other organizations can only dream of with their employees. Reform-minded governments would do well to consider what is to be lost by squandering such a resource through the heavy handed use of control strategies and what the costs would be of finding an equally effective replacement.

As Anne Lewis observed, “It makes one wonder about the human costs of the high-stakes testing that consumes the life of schools at the expense of other values” (Lewis, 2006, p. 564).

IS THERE ANOTHER PARADIGM?

Clearly the paradigm that Chester Finn recommended has led us to some awful consequences. But where do we turn for a new paradigm? The public knows no other paradigm. What else is there besides learning curriculum standards? Chester Finn's vision is of students satisfactorily completing one set of standards and proceeding without delay to more advanced pre-defined objectives. Completing one grade's standards, the idea is for students to go on to the next grade. In virtual high schools, continuous progress through the various courses is now happening, and students can pass their high school exit exam and proceed to take on-line college courses.

The quiz show champion has become the vision for the ideal student, rapidly able to correctly respond to pre-defined questions for which there are right answers (Winn, 2004, p. 496). Students “win” by getting high achievement test scores; schools (hence, principals) “win” by raising achievement test scores.

If a school fails to show progress with any two subsets of students for two years in a row, the No Child Left Behind Act specifies that it must be identified as “needing improvement.” Yet despite decades of evidence that low school test scores are a function of poverty, lack of medical care, lack of pre-schooling, neglect, and various other social disadvantages, to the public, the school is seen as failing (McKenzie, 2003).

THE HISTORY OF LIBERAL ARTS EDUCATION

In looking for another paradigm, I suggest we look at the history of liberal arts education.

The history of the liberal arts really starts with the Greeks. There were two “sides” or views on what constituted a liberal education: Socrates, Plato, and Aristotle emphasized *helping students search* for virtue; Isocrates emphasized *informing students* about virtue (Kimball, 1995).

By Roman times, Cicero (1st century B.C.) and Quintilian (1st century A.D.) talked about the seven liberal arts and two contrasting views of a liberal education: the Socratic tradition favored teaching students how to search for virtue; the Roman tradition favored informing students about virtue.

Though the meaning of a liberal education has gone through many changes, even at the end of the 19th century (1880), we still see the two contrasting approaches to a liberal education. On the one hand, we find Thomas Huxley arguing for the teaching of science and culture, saying that a liberal education should be dedicated to increasing human knowledge by use of the scientific method; on the other hand, we find Matthew Arnold arguing for the teaching of the best that has been thought and said, namely the classical texts as the proper approach for the formation of culture and personality. Whereas Thomas Huxley envisioned science as the sole method of reaching truth, Matthew Arnold understood science as the accumulation of facts, organized in a systematic whole.

In the 20th century, John Dewey linked the search for knowledge with the highest aspirations of American democracy:

The individual who has a question which being really a question to him instigates his curiosity, which feeds his eagerness for information that will help him cope with it, and who has at command an equipment which will permit these interests to take effect, is intellectually free...His own purposes will direct his actions. Otherwise, his seeming attention is docility, his memorizings and reproductions will partake of intellectual servility. Such a condition of intellectual subjection is needed for fitting the masses into a society where the many are not expected to have aims or ideas of their own, but to take orders from the few in authority. It is not adapted to a society which intends to be democratic. (Dewey, 1916, pp. 304–305)

During the mid-20th century we saw a conflict between those who saw a liberal education as the education of leaders, and those who favored universal liberal education. But still we saw the two liberal arts traditions: on the one hand the “liberating”/searching side, and on the other hand, the side that would have the student come to understand the way things are.

The historian, Russel Nye, perceived American public education as having tried to foster both views. He said:

It is possible to educate...to meet both Jacksonian and Jeffersonian demands. Neither aim need exclude the other; in fact, we have based our whole concept of mass public education on the belief that both can be done. We need, for the continuance of our society, *education in conformity*—that is, training in the standardized procedures of learning such as reading, writing, science, mathematics, language, and logic, to provide for everyone a decent competency for citizenship and the daily problems of living. This meets the Jacksonian test. We also need *education in creativity* that develops the individual, un-standardizes him, frees his natural, personal talent, and encourages creators, leaders, even nonconformists. This meets the Jeffersonian test—and it is the kind of education that we are most in danger of neglecting today. (Nye, 1995, pp. 26–27)

The psychologist, Howard Gardner, likewise saw both sides. He said:

American education is at a turning point. There are considerable pressures to move very sharply in the direction of “uniform schooling”; there is also the possibility that our educational system can embrace “individual-centered schooling.” (Gardner, 1993, p. B2)

More recently, Jonathan Kozol, in *The Shame of the Nation* (2005, pp. 76–77), wrote of the need for both sides. He said:

The listing of objectives in a lesson plan is, of course, a normal practice among teachers. . . If they did not do this, utter randomness and impulse would prevail. It isn't the practice in itself, it's the remorselessness with which the practice is applied to almost every little possibility for natural discovery, and pleasure in discovery, that many teachers in these schools make clear that they dislike.

Back in 1990, I responded to Chester Finn's article. My response was published in the *Kappan* (Wildman, 1990), a few months after his article. This is what I said:

If education involves both passing on to the next generation what we think is of most worth, as well as facilitating individual student talent, then Chester Finn is terribly wrong. He presents a simplistic conception of the former part, while ignoring the larger latter part. Mr. Finn speaks of outcomes, but doesn't realize that artists and scientists do not attain eminence by pursuing the most efficient trail towards passing an exit exam. Rather, they linger to investigate an idea or pursue a special talent.

Do we want students to rush through their elementary and secondary years, accumulating facts and skills in order to pass even an improved G.E.D.? I don't. Assuming that we will realize tremendous teaching efficiencies through technological means, Finn assumes that we would then lay off millions of educators, leaving a few evaluators, like himself, to assess students. Quite to the contrary, the realization of technological efficiencies would allow educators to devote more time to helping students with investigatory pursuits.

The biggest reform (decision) of all (I continued) is whether we want to subject ourselves to the market model in education, allowing descendants of the cult of efficiency, like Mr. Finn, to de-skill teachers and administrators, and privatize and de-value education for the profit of a few corporate CEO's, or whether we want to become a learning society dedicated to the fullest development of each human being. (p. 172)

I said that in 1990, and I believe that today. Let me give you the origin of my belief:

THE BASIC ANTINOMY

As a graduate student, I was impressed by the work of social-psychologists Edward Jones and Howard Gerard, who spent a year at the Institute for Advanced Study at Princeton, sorting and reviewing research in the field of social psychology. They concluded that there is a fundamental antinomy (or opposition in laws) between the desire to preserve pre-existing views or convictions, and the desire to be open to change. This fundamental antinomy pits stability and self-maintenance on the one hand against openness to change and stimulation on the other. As

Jones and Gerard point out, “If either side of this antinomy should become completely dominant, it is hard to see how the individual could survive as an intact, effective organism” (Jones & Gerard, 1967, p. 227).

After studying the history of education, and applying that basic antinomy to education, it was reassuring to learn that I reached the same conclusion previously expressed by many others. For example, Immanuel Kant said that “. . . education partly teaches man something and partly merely develops something within him. . .”

I believe schools need to promote both sides of this basic antinomy. On the one hand we want to preserve pre-existing understandings. We rightly do this through the identification and teaching of state standards. On the other hand, we also want to be open to change and thereby help, aid, assist, and promote student creativity and student interests. I call these two sides of the curriculum, the “expository” and “investigatory.” If for no other reason, we need both sides to “grow” the economy.

INVESTIGATORY EDUCATION TO PROMOTE THE ECONOMY

Yes, the country needs employees with basic skills, but, as former Secretary of Labor, Robert Reich has so eloquently argued in his book, *The Work of Nations* (1991), the future of the American workforce depends upon workers who can identify and creatively solve problems. American workers can not compete in terms of low labor costs. American workers can only compete when they offer better ideas. Many of us fear that “Standardization is sapping innovative platforms in elementary schools, [and] in a knowledge-based economy, that's suicide” (Moulton, 2006).

There is widespread recognition that the United States' once-heralded capacity for innovation is in serious trouble. In sources as varied as Thomas L. Friedman's book *The World Is Flat: A Brief History of the Twenty-First Century* (2005), the Committee on Prospering in the Global Economy's report "Rising Above the Gathering Storm: Energizing and Employing America for a Brighter Economic Future" (2006), and the recent National Summit on Competitiveness held at the U.S. Department of Commerce, we are hearing calls for bolstering American competitiveness through research and education. We need to create a stronger culture for innovation by encouraging all students to participate in intellectually stimulating projects. Research promotes critical and creative thinking, intellectual excitement and adventure, and the habits of mind that nurture innovation (Ellis, 2006, B20).

Although the No Child Left Behind Act has mandated high-stakes competition for higher test scores, China, Singapore, South Korea, and Japan have all started reforms aimed at fostering more creativity and innovative thinking among their citizens. As the United States pushes for more centralized curriculum standards, China is abandoning a one nation, one syllabus tradition. As the United States moves toward a required program of study for high schools, China is working hard to implement a flexible system with more electives and choices for students (Zhao, 2006, pp. 28–31).

How can American workers learn to offer better ideas? As Jerome Bruner has said, “I have never seen anybody improve on the art and technique of inquiry by any means other than engaging in inquiry” (Bruner, 1962). Or, to put it another way, creative inquiry can not be learned by only studying pre-defined standards. Creativity is developed through the pursuit of interests and ideas, i.e. through the investigatory side of education. Is it not more important for students to be engaged deeply in *something* that is interesting to them, than it is for them to

absorb *everything*? Our experience is that it is ultimately more valuable for students to learn fewer things more deeply than to gain a superficial knowledge of many things (Epstein, 1995, pp. 1520–1527).

What sort of preparation for higher education does a narrow standards-based high school provide? In college students must ask questions and search for answers. Certainly students are not going to be able to miraculously ask questions and investigate ideas when they arrive on campus if they have never done so, previously (Merrow, 2006, pp. 8–15.) To prepare for a college education, students certainly need the basic tools of learning, but they also need investigatory experience, which many educators feel they are not getting because of the current "preoccupation" with a narrow set of "standards to the exclusion of everything else" (Robinson, 2001, p. 200).

However, not everyone agrees. Larry Cuban, in the June 2006 *Phi Delta Kappan* (pp. 793–795) said that he collected over 1,000 reports of classroom lessons between 1993 and 2005 in Denver, Colorado, Oakland, California, and Arlington, Virginia. He stated that "instead of finding intensified teacher-centered practices, as teacher surveys, stories, and occasional studies led me to believe," he found "mixes of teacher-centered and student-centered approaches." He said he "saw elementary teachers prepare students for upcoming state tests and then have them work in small groups for a project on Mexico." He declared he "found secondary biology teachers lecturing on DNA for part of a lesson and then breaking the class into small groups with materials taken from a crime scene to figure out who did it."

Larry Cuban stated, "These findings raise doubt about generally accepted reports that the current passion for standards and testing has forced teachers to embrace more teacher-centered approaches to instruction than they would otherwise have chosen." I hope he is right, but I doubt it. In any event we certainly need more research to determine what is actually happening in this nation's classrooms.

AMERICA'S STUDENTS NEED BOTH EXPOSITORY AND INVESTIGATORY EDUCATION

The point I am making is that we do need a mix of the two approaches.
Kathy Christie suggested:

. . . an experiment that nearly any school could undertake. Buy two rats and put them in separate cages. Feed one a diet of fast food, sweets, and snacks. Feed the other a balanced diet full of fresh fruits, veggies, and grains. Students can observe the physical condition of the "junk food" rat deteriorate over time—patchy or low-luster fur, nervousness, and [unhealthy] skin conditions, for example. That experience will speak louder than 52 weeks of health and nutrition lessons. (Christie, 2003, p. 342)

This experience could arise as a method for teaching a pre-defined objective in nutrition. But would it not be preferable if the students had raised the question and the teacher had helped them investigate by helping them undertake this experiment?

Douglas Reeves, in his recent book, *The Learning Leader* (2006), stated that:

In the most successful schools in Norfolk and Wayne Township, leaders and teachers did not hesitate to provide three hours of literacy instruction every day—typically two hours in reading and one hour in writing. In grades 6 through 10, they provided double and even triple classes in literacy and math when necessary. (p. 89)

He went on to remark that “When students are drowning, they do not need a lecture on the theory of aquatics—they need a life preserver.” Yes, they need a *life* preserver, and that is why I suggest they also need curriculum that will bring “*life*” to these students by cultivating self-knowledge, a passion for inquiry, and critical thought.

Our vision should not be of schools filled with quiz show champions, but of schools:
 . . .where interesting experiences are always available, where scientists are doing science, artists are doing art, craftspeople are doing crafts, and everyone is behaving in a democratic and civil manner. (Smith, 2001, p. 576)

The American Association of Colleges and Universities (2006, A13) has documented an emerging consensus across many constituencies on a set of widely endorsed educational aims and outcomes that are important to all students, whatever their choice of institution, academic field, and intended career. These include:

Knowledge of Human Culture and the Natural and Physical World

- science, social science, mathematics, humanities, and the arts

Intellectual and Practical Skills

- written and oral communication
- inquiry, critical and creative thinking
- quantitative literacy
- information literacy
- teamwork
- integration and applications of learning

Individual and Social Responsibility

- civic knowledge and engagement
- ethical reasoning
- intercultural and global knowledge and competence
- foundations for lifelong learning

These outcomes are important, but much of this can not be attained by simply studying a set of pre-defined objectives.

Hence, a study of whether this nation's elementary schools are balancing this basic antinomy is urgently needed. To what extent are teachers being ordered to devote virtually all of their teaching to the expository side? Under what circumstances is this being justified? Are there schools that are able to appropriately balance this basic antinomy? If so, how are they doing that and what can other elementary schools learn from their example? Those are important questions which need answering.

One school which reportedly aims at balancing the two sides of education is John Hersey High School, located 20 miles outside Chicago. That school is committed to standards and student engagement. They accomplish this:

. . .through a combination of test prep, classical content, and collaboratively developed thematic projects grounded in controversy and designed to cultivate student voice and civic engagement. ...Students have no formal role in shaping the basic structure of the curriculum... But the interdisciplinary projects that cap each integrated unit provide one opportunity for students to take ownership of the content and to practice self-

directed learning. The public forums provide another. These are organized like town halls, and adults and students alike prepare for and participate in them, forming a community of learners pursuing focused inquiry. (Ferrero, 2006, pp. 8–14)

Although at John Hersey High School student achievement has “soared,” those who favor Chester Finn's vision point to counter evidence gathered by “Project Follow Through,” one of the largest experiments in education ever conducted. Over 75,000 children from 170 different communities participated in a project designed to systematically evaluate different approaches to educating children assessed for risk of academic failure in grades K-3. Nine models of education were compared to each other, and to school districts used as no treatment control groups. Student outcomes were assessed on the Metropolitan Achievement Test, the Wide Range Achievement Test, the Raven's Colored Progressive Matrices, the Intellectual Achievement Responsibility Scale, and the Coopersmith Self-Esteem Inventory. Seven of the teaching models were based on learner-centered, cognitive conceptual investigatory approaches to education (e.g., Cognitively Oriented Curriculum, Florida Parent Education Model, Tucson Early Education Model, Banks Street Model, Open Education Model, Responsive Education Model). Two of the models were teacher-centered, skill, behavioral, and outcome-based (namely, the Direct Instruction Model and the Behavioral Analysis Model). The results were quite clear: The two teacher-centered outcome-based models significantly outperformed the learner centered/ constructivist models on all the dependent measures. The Direct Instruction and the Behavioral Analysis models also outperformed the other models even on those outcomes valued in the learner centered approach (i.e., self-esteem and higher order cognitive skills) (Matthews, 2003).

This is strong evidence that direct expository instruction is superior to investigatory student-centered education for the teaching of specific objectives, but I am arguing for the need for both.

Dennis Littky and Elliot Washor argued that investigatory education should be the largest part of a high school education. That is certainly true of the high schools they have created. Their high schools, such as one in Providence, Rhode Island, are “small, personalized learning environments where students perform real work in the community and design their own curricula according to their interests.” The question that drives their work is “How do we take a kid's interest and passion, use the real world, and get the kid engaged?” (Rubenstein, 2006, p. 43).

How can teachers help students pursue curricula according to their interests? The *instructables.com* web site produced by Squid Labs includes suggestions on how to create a wide variety of projects. My educational administration students have assembled a pamphlet describing many examples of investigatory education (Wildman, 1998), and, of course, there are numerous other sources.

SUMMARY

But now let me summarize: I believe Chester Finn correctly predicted the current emphasis upon standards or outcome-based-education. I believe that model has swept the nation because neither the public nor educators provided a viable alternative and because there were and still are justifiable concerns about the literacy of the next generation. As Rep. Anne Northup of Kentucky testified in March of 2001 before the “Committee on Education and the Workforce,” which was considering the No Child Left Behind legislation:

In 1998, the National Assessment of Educational Progress found that 42% of fourth graders read below basic levels. Let me say that again. Forty-two percent of fourth

graders read below basic levels. The number is staggering. It's intolerable. . . .Nearly 70% of inner city. . .fourth-graders can not read at a basic level. . .

She and other legislators were rightly horrified by such abysmal academic performance, and so we got the No Child Left Behind Act.

Kentucky has a new law (H.B. 197), which will require the state department to provide end-of-course examinations in Algebra I and II, and in Geometry. I think that is a good thing, because there is certain knowledge which we wish to pass on to the next generation, and we need truthful reporting on how well students are learning that material (Christie, 2006, p. 725).

However, I have tried very hard this evening to suggest that we educational administration faculty need to teach our students, and indeed the public, that there is another side to education, namely the investigatory side.

The investigatory side starts with student questions and curiosity, which the expository side lacks. The investigatory side is based upon the constructivist principle that learners gain understanding when they construct their own knowledge and develop their own cognitive maps of the interconnections among facts and concepts (McTighe & Wiggins, 2004, p. 161).

It is my position that both sides of this basic antinomy are vital to public education and indeed our nation.

I stand here this evening remembering the wonderful teachers and administrators in the Educational Administration Program at California State University, Bakersfield, and, I am sure there are many in your programs—who are counting on us to deliver this message that the present narrow emphasis upon the teaching of just a set of pre-defined standards is extinguishing the motivation, enthusiasm, and potential of students, teachers, and administrators (Koben, 2006, p. 722).

Both sides of the basic antinomy are vital to public education and indeed our nation.

POSTSCRIPT

Let me now add a brief personal postscript: This is the story of a scientist whose work exemplifies the importance of investigatory education, which I believe is so lacking in this nation's public schools:

In 1906, exactly one hundred years ago, Sir William Perkin, arrived in New York. On Saturday night that autumn there was to be a big dinner in his honor at Delmonico's, New York City's premier banqueting hall. The following week he would meet with President Roosevelt in Washington, D.C.

About 400 men gathered at Delmonico's at 7 p.m. The banqueting room, a place of huge chandeliers and gilt mirrors, was decorated with English, American, and German flags. These leaders of the chemical and industrial worlds sat around forty-four tables, telling stories about booming business and fantastic inventions. At least half of them wore fashionable moustaches. Their menu cards had been embossed, each carrying a brightly coloured tassel and a picture of Perkin looking like a benevolent country clergyman. The gold inscription read, "Dinner in honour of Sir William Henry Perkin by his American friends to commemorate the 50th anniversary of his discovery."

According to Simon Garfield (2001), Perkin's biographer, the first course was oysters. Beyond the oysters there was clear green turtle soup. Waiters then brought radishes and olives and Terrapin a la Maryland. The saddle of lamb aromatic came with brussel sprouts and chestnuts, the grouse with bread sauce and currant jelly, and for dessert there was a choice of

cake, cheese, coffee and Nesselrode pudding. There was more champagne. And then at about 10 o'clock, it was speech time, and a small orchestra appeared at the back of the hall.

One speech was given by Dr. Hugo Schweitzer who explained how Perkin's discovery—the discovery of the first synthetic dyes for clothing—was also important as it was indirectly responsible for enormous advances in medicine, perfumery, food, explosives, and photography.

By 1906, there were already 2,000 artificial colours, all stemming from Perkin's work. Coal-tar derivatives had enabled the German bacteriologist Paul Ehrlich to pioneer immunology and chemotherapy.

How did this discovery occur? This is what Sir William Perkin said, “I was in the laboratory of the German chemist Hofmann. I was then eighteen. While working on an experiment, I failed and was about to throw a certain black residue away when I thought it might be interesting. The solution of it resulted in a strangely beautiful color. You know the rest.”

Perkin's discovery occurred while investigating coal-tar. He was not trying to learn pre-defined standards; he was investigating an area of interest, and thus discovered the first synthetic dye for clothing.

I think there is much to be learned from that history. In the future, educators must not be covered by politicians. We must insist that education be balanced between that which we want to pass on to the next generation and education which will allow students to investigate and pursue their ideas.

I hope that my great, great uncle, Sir William Perkin, would be happy with what I have said here, tonight.

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NAVIGATING THE FUTURE THROUGH PRACTICE

Achieving an Adequate School Finance System: Focusing on Longitudinal Data

Jimmy K. Byrd and John Brooks

INTRODUCTION

At no other time in United States history has the issue of an adequate, equitable, and efficient school financing system been more debated and challenged than now. Indeed, the concern over how funds are distributed in the public school system has become a highly contentious and politicized issue (Odden, 2003; Picus, 2000b; Reeves, 2002). As a result of much litigation, policymakers have attempted to ensure comparable dollars allocated to each student in an attempt to achieve an equitable, efficient and effective education. According to Coley (1997) and Picus, demands to make funding among districts more equitable have existed almost as long as the collection of property taxes with the earliest litigation dating back to 1859 in the Supreme Court.

Recently, the focus of financial management in public schools shifted from issues of equity to issues of adequacy in the 1990s when standards-based reforms emerged due to increased state requirements, increased accountability measures, graduation requirements, and the implementation of the No Child Left Behind (NCLB) Act (Odden, 2003). Adequacy litigation in the 1990s focused on education clauses in state constitutions attempting to identify minimum levels of spending necessary to meet proposed achievement standards. Adequacy of funding has been defined as the fiscal costs of providing educational services to meet specific core academic requirements (Hurst, Tan, Meek, & Sellers, 2003). Alexander (2004) suggested that the purpose of adequacy is to spend money where it will have the largest impact on student achievement. However, early emphasis on adequacy failed to provide a direct means of measuring sufficient funding or student achievement. Consequently, though issues of equity remain topics of debate in school finance, adequacy has emerged as the current and future focus of public school finance discussions (Moak, Casey, & Associates, 2004; Odden, 2003).

The emerging shift towards adequacy has implications for school districts to connect monetary inputs to student achievement. This is evidenced over the past two decades where the emphasis on student performance has been reflected in a number of state court decisions (Ladd & Hansen, 1999). Courts have declared state school financing systems unconstitutional because they have not succeeded in providing all students with a sufficiently high quality or, in the language favored by the courts, an adequate education (Minorini & Sugarman, 1999). Although the term *adequate education* has been discussed in many research studies, many definitions exist. However, in 1989, in *Rose v. Council for Better Education, Inc.*, the Kentucky Supreme Court revealed the most influential definition of an adequate education used by the courts today. An adequate education provides students with sufficient knowledge of communication, economic, and social skills to compete in academics or the job market (Imber, 2004).

DESIGNING AN ADEQUATE FINANCE SYSTEM

Designing an adequate school finance system requires the state to identify both an adequate expenditure level for the average student in the average district and sufficient adjustments for different student needs and requires districts to manage these adequate resources so that students meet performance standards (Odden, 2003). A possible pitfall of methods that are most often utilized to determine adequate funding is the inability to accurately analyze adequate achievement growth over an extended period of time. Succinctly, these methods (which will be described in detail later in this paper) fail to track student achievement of more than one year. Analysis based on cross-sectional data may only lead to a partial understanding of student achievement. Further, cross-sectional data reflects only a snapshot judgment of student progress thereby masking the effects of expenditures on student achievement. In contrast, data collected in longitudinal studies will undeniably yield a truer account of student achievement progression over an extended time period. While most studies have examined adequate expenditures on student achievement in a cross-sectional manner, virtually none have examined the impact of an adequate expenditure amount on student achievement over time. In other words, previous studies have failed to establish a *pattern of growth* to assure that an adequate education was provided to each student. Therefore, the purpose of this study was to advance a model to determine an adequate per pupil expenditure amount to sustain student academic achievement growth over a four year period.

REVIEW OF LITERATURE

Perhaps the most visible school finance issue today is adequacy. Defined as the provision of adequate resources to enable all children to meet a state's proficiency standards, school finance adequacy is being addressed in some way in almost every state, especially since NCLB has inexorably increased accountability standards with its Adequate Yearly Progress (AYP) provisions. At the same time, most states and districts are facing reduced revenue growth and tighter budgets. State governments in particular feel this pressure because in recent years they have assumed increased fiscal responsibility for funding education. But how much funding is necessary and what is the most efficient way to allocate dollars for the greatest return in student achievement?

In the history of education, the courts and policymakers have continually explored issues of equity in efforts to ensure comparable dollars are spent for the education of all students, regardless of district wealth. Additionally, issues of adequacy followed in the form of lawsuits, addressing appropriate amounts of funding to guarantee a proper level of education for the nation's students. Since the 1989 Kentucky Supreme Court ruled that Kentucky's K-12 education system failed to provide an adequate education to all children, adequacy has overtaken equity as the top school finance issue (Odden & Picus, 2000).

Legal developments were important in starting the movement to replace the goal of equity with that of adequacy. However, what ultimately bestowed such power to the idea of adequacy was the birth of the national movement for standards in public education. The paradigm shift from equity to adequacy as a goal promised many advantages. For one thing, adequacy is more of an absolute measure than a relative one. "Adequacy focuses on providing sufficient and absolute levels of funding to enable all children to achieve at high levels. This differs from equity, which concentrates on relative levels of distribution of funds" (Picus, 2000a, p. 1). Furthermore,

at least in theory, adequacy promises to shift the nature of finance decision-making, from a process often dominated by political bargaining over how to distribute available funds to one focused on what the education system should accomplish and what educational opportunities students must be given to meet these objectives (Hansen, 2001).

Adequacy should not be confused with equality. Some students, those with special needs, including students with disabilities, with limited English, and students from low-income households, may require more resources in order to meet proficiency standards. Therefore, districts with differing proportions of students with special needs will also have differing adequacy requirements. Further, in an adequacy approach, the amount of funding deemed sufficient is only a floor, not a ceiling, on the amount of money districts can spend. Districts can opt to spend more than the amount defined as sufficient.

Recently enacted laws increase the accountability of schools, districts, and states by calling for improved achievement of all students. These new federal and state laws (including NCLB and H.B. 02-1349) call for schools to demonstrate that all students are making adequate yearly progress in reading and mathematics. The courts also compel schools to close achievement gaps. However, throughout the country, educators wrestle with what is expected in terms of yearly growth.

The shape of a new school finance system designed with school-based management that implements changes in curriculum and instruction and gives budgetary decisions to schools will lead to improved student learning and the development of needs-based per-pupil funding formulas (Odden, 2003) that are fair and adequate. Four methods that have been employed in the past to determine an adequate expenditure level include: 1) the successful district approach, 2) the cost function approach, 3) the professional judgment approach, 4) and the evidence-based approach (Guthrie & Rothstein, 1999; Odden & Picus, 2000).

The *successful district approach* identifies districts whose students have met proficiency standards and targeted the adequacy level at the weighted average of the per pupil expenditures in those districts. These successful districts often contain homogeneous demographics and traditionally require less funding per pupil than the large inner-cities or small rural towns. The *cost function approach* compiles a per pupil expenditure based on the average district. The expenditure level increases as the size and performance increases in the district. In the *professional judgment approach*, experts of education produce a total expenditure per pupil by identifying instructional strategies for all ages in addition to the expenses needed for special needs students. This per pupil expenditure will vary due to specific geographic and demographic needs of each district. The *evidence-based approach* targets research-based educational strategies, determines costs, and compiles the strategies to identify various adequate expenditure levels (Odden, 2003).

Each model produces various adequate expenditure outcomes, all based on cross-sectional data. In the past, limitations of data and utilizing the methods to determine adequacy in the past have restricted the quantitative analysis of policy processes. Indeed, many studies of school finance in general and adequacy in particular only examine these variables measured at one occasion. A limitation of static, cross-sectional data is that they are not well suited to study processes that are assumed to be dynamic, such as education. Further, analysis based on cross-sectional data may only lead to a partial understanding of processes, which can be misleading (Davies & Dale, 1994). Time is a key factor in understanding how educational policy processes unfold as well as how the impacts may be observed.

Increasingly, however, both concepts and methods are becoming available that can provide a more rigorous and thorough examination of longitudinal data (Huck, 2004). Growth modeling

and growth mixture modeling are recent advances that allow substantive researchers to gain insight into the data in longitudinal studies. More specifically, individual change has been examined within the framework of growth modeling. The growth model is restrictive in that it does not recognize that the sample may be heterogeneous, so that different subgroups may follow different models. In contrast, the more informative latent growth mixture model allows for individual differences in development. Subsequently, the prescribed model gives not only an estimated mean, but also estimates the variation in individual curves as a function of the growth factors. This model allows curves for different individuals to be very different.

Although there are four prevalent methods to determine an adequate per pupil expenditure level, virtually none agree on the outcomes derived. This is due, in part, on the cross-sectional data examined. What is needed is a model that examines an adequate per pupil expenditure over time. Therefore, the purpose of this study was to advance a model that examined an adequate per pupil expenditure level over time to improve student achievement. Consequently, the real meaning and subsequent impact is found not in the resulting numbers, but rather in the method used to determine the results.

METHOD

Participants

The participants included 487 public school districts in Texas with enrollments of at least 1,000 students enrolled in Kindergarten through grade twelve. The logic for choosing districts with a minimum enrollment was due to districts with fewer students enrolled not reporting student achievement results for all subpopulations. Furthermore, Texas was chosen to participate due to the high quality of data available at the district level.

The demographic composition of the districts was, on average, White ($M = 51.88\%$, $SD = 27.96\%$), Low SES ($M = 51.12\%$, $SD = 20.72\%$), an enrollment of 8,208.72 students enrolled in Kindergarten through grade twelve ($SD = 1,565$), and expending an average of \$4,064 per pupil on instruction ($SD = 416.91$). Descriptive statistics are displayed in Table 1.

Variables Examined

Dependent Variable

This study was conducted at the district level. The dependent variable included the percentage of regular education students passing all Texas Assessment of Knowledge and Skills (TAKS) simultaneously over a four-year period. The TAKS is a comprehensive testing program for Texas public school students in grades 3–11 and is designed to measure to what extent a student has learned, understood, and is able to apply the important concepts and skills expected at each grade level tested.

Students are tested during the spring semester of each school year in various subjects. The grades and subjects shown on the AEIS report include reading and mathematics in grades 3 through 9, writing in grades 4 and 7, English Language Arts in grades 10 and 11, science in grades 5, 10, and 11, and social studies in grades 8, 10, and 11. The grade 11 exam is known as the exit-level test, which students are required to pass in order to qualify for graduation from high school. Every TAKS is directly linked to the Texas Essential Knowledge and Skills

(TEKS), which comprise the objectives of the state-mandated curriculum for Texas public school students (TEA, 2005).

Table 1. Descriptive Statistics of Participating Districts.

	N	Minimum	Maximum	Mean	SD
Percent Low SES	487	.00	98.10	51.1168	20.72484
Percent Hispanic	487	1.20	100.00	35.8285	28.59184
Percent White	487	.00	96.40	51.8823	27.96578
Percent African-American	487	.00	75.70	10.5240	13.31484
Percent LEP	487	.00	65.90	9.4830	10.51238
Student Enrollment	487	1000.00	208454.00	8208.7248	16565.00320
Per-Pupil Expenditure on Instruction	487	2965.00	6128.00	4064.0246	416.90613
Valid N (listwise)	487				

Independent Variables

Percentage of Economically Disadvantaged Students—The percent of economically disadvantaged students was calculated as the sum of the students coded as eligible for free or reduced-price lunch or eligible for other public assistance, divided by the total number of students (Texas Education Agency, 2005).

Percent Hispanic, White, and African-American Students—The percentage of each subpopulation (Hispanic, White, and African-American) was calculated by dividing the number in each subpopulation by the total number of students in the district.

Percent Limited English Proficient (LEP)—This variable was included as a proxy to identify high minority districts. These are students identified as limited English proficient by the Language Proficiency Assessment Committee (LPAC) according to criteria established in the Texas Administrative Code. Percentages are calculated by dividing the number of LEP pupils by the total number of regular education students in the district.

Student Enrollment—The total number of public school students who were reported in membership on October 29, 2002 at any grade, from Kindergarten through grade twelve.

Per-Pupil Expenditures on Instruction—Expenditures that deal directly with the interaction between teachers and regular education students. Although there was no statistically significant difference in per-pupil expenditures from one year to the next, the *average* per-pupil expenditure on instruction over the timeframe of the study was utilized for each participant.

Average Beginning Teacher Salary—Salary paid to first-year regular education teachers for teaching assignment only (no stipends or extra-duty pay included).

Procedure/Data Analysis

Initially, district-level data were obtained from the Texas Education Agency for the academic years 2002–03 through 2005–06. Subsequently, student achievement data, as measured by the percentage of regular education students passing all TAKS simultaneously, were entered for each participating district by year for a total of four measures of student achievement. The independent variables were examined over the four-year timeframe via a growth mixture model, which differs from the commonly applied growth curve models.

Rationale for the Model

Despite the important insights provided by the application of growth curve modeling, the conventional application of the methodology is based on an underlying assumption that may not be reasonable in the context of achievement growth. Specifically, conventional models of growth are routinely applied to longitudinal data assuming that the student growth trajectories are a random sample from a single population of trajectories. It is more likely, however, that the population is made up of mixtures of smaller, finite populations, each with its own unique trajectory. The importance of recognizing the existence of unique trajectory classes is that policies or interventions may exhibit differential effectiveness that would be missed because of a loss of power when conducting a one-size-fits-all analysis (Kapplan, 2002). To counter, growth mixture models should be considered to capture the mixtures of subpopulations inferred from the data.

Conceptual Model

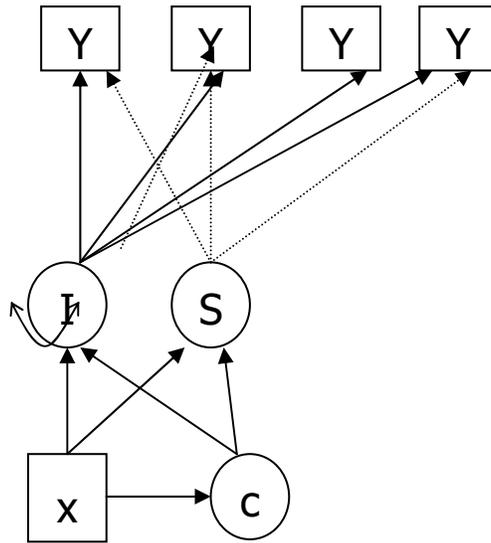
As displayed in Figure 1, Y_1 – Y_4 are the student achievement measures over a four-year period for each district. I is the intercept, which allows each district's measure of student achievement to begin at a similar starting point, S is the slope or growth each year during the timeframe of the study, and X is the covariates theorized to influence student achievement and classification of districts based on growth. Finally, C is the class level assigned to each district based on initial starting points and rate of growth in student achievement controlling for the selected covariates.

Analysis

First, latent growth mixture models for continuous outcomes were estimated with MPlus software (Muthen & Muthen, 2000). Unlike latent growth models that model the typical growth trajectory, latent growth *mixture* models identify unobserved discrete subgroups, or latent classes, within the population, which have similar growth trajectories (Muthen & Muthen, 2000). Thus, very different patterns of growth within a single sample can be modeled. Secondly, the posterior probabilities, or likelihood of membership in each identified group, were calculated for each individual district. Individual districts were then assigned to the group in which they had the highest probability of belonging (Muthen & Shedden, 1999).

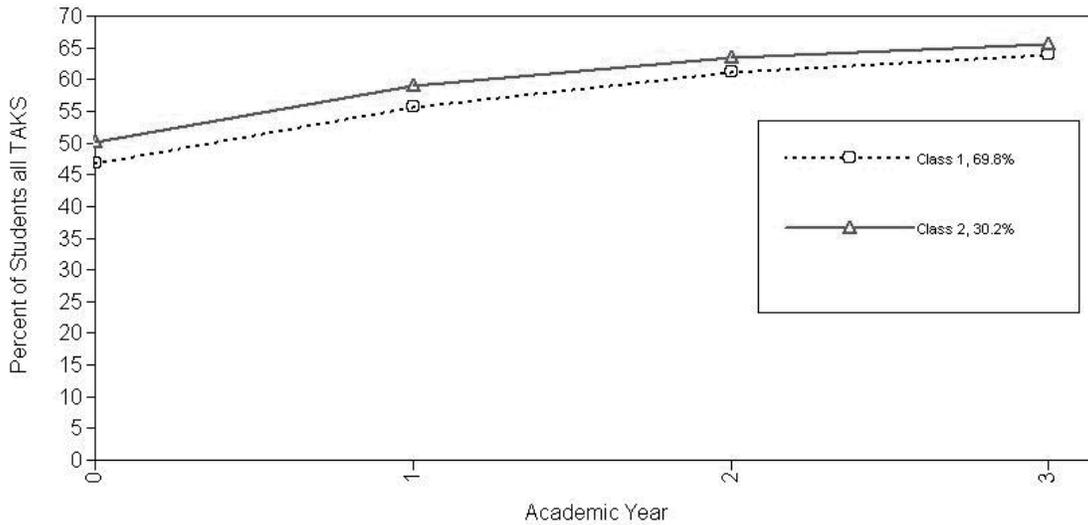
For each class (classes = 2), the mean percentage of students passing all TAKS was calculated at each time-point of observation. The trajectories, based on the averaged means for groups, are shown in Fig. 2. Although the achievement gap appears to narrow slightly over the timeframe of the study, a gap in regular education student achievement exists nonetheless.

Figure 1. Growth Mixture Model Examining Adequate Per-Pupil Expenditures at the District-Level.



Finally, logistic regression was employed to determine if demographic variables impacted participating district classification and per-pupil expenditures on instruction. The results of the logistic regression gave insight on how an adequate expenditure level on instruction can be derived from per-pupil expenditures on instruction.

Figure 2. Trajectories of Growth in Student Achievement among Public School Districts Participants.



RESULTS

Two distinct classes of growth trajectories of the percentage of all students passing all TAKS were identified. The average percent of students initially passing all TAKS in class 1 was 52.64 with an average increase of 6% annually. In class 2, however, the percentage of students initially passing all TAKS simultaneously was 47.25, with an average increase of 4.74% each year (See Figure 2). Statistically significant co-variation was noted between the model intercept and per-pupil expenditures on instruction ($COV_{\text{Intercept} \times \text{Expend}} = -0.951, p < .01$). The results indicate that districts having a lower percentage of regular education students initially passing all TAKS simultaneously spent more per-pupil on instruction than those who maintained a greater percentage of regular education students initially passing all state-mandated exams.

Note the average per-pupil expenditure on instruction for class 1 was \$4237.55 ($SD = 356$) while participants identified as class 2 districts spent an average of \$3642.43 ($SD = 193$). The difference in per-pupil expenditures on instruction was statistically significant ($t_{df = 485} = 18.81, p < .01$).

Pearson product-moment correlations were calculated to determine if student demographic variables impacted the classification of participants as fast or slow growth districts. The strongest correlation with district classification was per-pupil expenditures on instruction ($r = .765, p < .01$), indicating that approximately 64% of the variation in classifying districts could be explained by per-pupil expenditures on instruction. Other statistically significant correlations with district classification ranged from $-.276, p < .01$ (percent low SES regular education students) to $.182, p < .01$ (percent White regular education students). The correlations, however, were negligible with the percentage of low SES regular education students enrolled in a district only explaining approximately 7% of the variation in district classification while the percentage of white regular education students explained approximately 3% of the variation in student achievement.

The results indicated that an adequate per-pupil expenditure on regular education instruction should range from \$3642.43 to \$4237.55, which is near the state average of \$4064.03 ($SD = \417.00). The results of the logistic regression regressing class (slow versus fast growth districts) onto the covariates indicated that districts spending near the state average were 5.798 times more likely to be classified as fast growth districts when compared to districts spending at the lower end of the continuum per-pupil on instruction, net the effects of the remaining variables ($p < .01$). When adding average beginning teacher salary to the equation, the effect of per-pupil expenditure on regular education instruction diminished, indicating that the majority of dollars being spent on instruction in the classroom were related to teacher salaries. This gives credence to the fact that district administrators in traditional public schools with regular education students performing lower initially on the state-mandated assessment may be rewarding teachers in ways that do not attract high-quality teachers, particularly in schools with challenging demographics.

The results revealed that although the per-pupil expenditure should be approximately \$4,064.23, the majority of these dollars must go to hiring quality teachers and not “silver-bullet” programs that provide false promises in improving student achievement. Not only would the quality of education increase, adhering to the spending recommendation would result in a state-wide (in Texas) savings of approximately \$18,286,083.00 among districts with student enrollments greater than or equal to 1,000 regular education students enrolled in Kindergarten through grade twelve. The total cost to bring districts that are currently below the average per-pupil expenditure on instruction up to the determined threshold is \$494,017,663.80 while the savings derived from lowering the excess per-pupil expenditures on instruction in districts above the state

average is \$512,303,746.90. The real meaning of this report however, is found not in the resulting numbers, but rather in the method used to determine them. Unquestionably, the crucial evidence substantiated in this research is that a longitudinal approach must be taken to determine how schools and school districts and the use of resources in schools and school districts impact student achievement.

The results reported above were based on examining growth over time among regular education students. Education is not a cross-sectional endeavor and should not be treated as such. This study is one of the first to investigate an adequate per-pupil instructional expenditure in relation to student achievement over time using a latent growth model. The results are significant for educational researchers and those who train educators. In sum, to truly understand the impact of funds expended on education, the long-term effects on instruction among the same regular education students must be examined.

FUTURE RESEARCH

This study examined per-pupil expenditures on regular education students at the district level. Programs for special populations were not examined. Cost adjustment models using the model outlined in this study should be conducted to determine these adjustments over time. While this study was conducted at the district level, individual students within each district should be examined over time using the model displayed in Figure 1. Whereas previous studies have merely utilized cross-sectional data, this study employed a latent growth mixture model to examine longitudinal data. The model used in this study is a hopeful beginning for future methods that can be utilized to more effectively study adequacy in school finance.

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The Effects of a Community Mapping Inservice for Teachers on Their Perceptions about Their Schools' Communities

Denise P. Dunbar and Patricia Jones

INTRODUCTION

Community mapping provides teachers with a snapshot and review of a specific locale within a school district (Howey, 2005). The concept of community mapping began within the behavioral sciences as a vehicle for improved dialogue between teachers and the community. Ziegler (1987) suggested it may be particularly important for teachers to develop a communication link with the parents and community of at-risk students so both understand each other's expectations. Gil and Reynolds (2000) found that teacher expectations for student performance do influence teachers' behavior toward students and students' learning. The children that face lower expectations from their teachers are more likely to have such expectations lead to self-fulfilling prophecies of poor academic performance. Research on community mapping has reported impressive student achievement gains in mathematics, reading, history, and science after a community mapping project (Newmann & Wehlage, 1995).

Howey (2005) explained that community mapping is a way for teachers to learn to communicate with their students at whatever point they are in their lives. The aim of community mapping is to have teachers understand the community, gain the trust of the parents, and assist parents in becoming fully involved in their children's education.

THE PURPOSE OF THE STUDY

The purpose of the community mapping activity was to foster a better communication progression between schools and parents and to make the teachers more aware of the communities surrounding their schools. These connections of improved communication provide a vehicle for teachers to offer curriculum connections using contextual teaching. The goal of the project was to determine if a community mapping project affected educators' perceptions about the urban communities immediately surrounding their schools.

STATEMENT OF THE PROBLEM

The primary problem examined by this study was the lack of communication between educators and the communities in which they teach. The majority of teachers and administrators commute to school and are unaware of their school's community. This lack of communication has created a knowledge gap between students and teachers concerning the community surrounding the school. The study sought to determine whether or not the act of mapping the community and seeing the active living conditions of the students that attend each of the three schools would change educators' perceptions of their students and parents.

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SIGNIFICANCE OF THE STUDY

Little evidence of empirical research exists on community mapping as a means of school improvement. The efficacy of community mapping as a resource of increasing school performance is largely influenced by the degree to which educators, administrators, and parents perceive the model and process as a valuable reform effort (Vincent, 1996). Without a thorough understanding and knowledge of the importance and utility of a mapping project, teachers and parents cannot be expected to assume their necessary leadership roles in helping to bring about increased student achievement.

NULL HYPOTHESES

The following five null hypotheses guided this study:

H₁: There is no statistically significant difference in the perceptions of student teachers about the school community after participating in a community mapping project.

H₂: There is no statistically significant difference in the perceptions of teachers about the school community after participating in a community mapping project.

H₃: There is no statistically significant difference in the perceptions of teachers and student teachers about the school community after participating in a community mapping project.

H₄: There is no statistically significant difference in the perceptions of teachers, based on the teachers' years of teaching experience, about the school community after participating in a community mapping project.

H₅: There is no statistically significant difference in the perceptions of teachers, based on the teachers' terminal degrees, about the school community after participating in a community mapping project.

LIMITATIONS OF THE STUDY

There are two limitations to this study. The first is that three elementary schools are the only participating schools. Generalizations from this study cannot be made for other grade level schools. The second limitation is that the findings of this study cannot be generalized to school populations that have different demographics from the elementary schools in the Lenoir City, Alcoa, and Sweetwater, Tennessee area.

REVIEW OF THE LITERATURE

This study involved community mapping activities that were implemented in school year 1999-2000 to instruct teachers on how to maneuver the curriculum to have a "best fit" when instructing children at all levels of learning. A focus toward the school-community relationship has shifted the spotlight of educational research. In the 1960s, as part of a trend to help integrated families gain a voice in their children's education, parents all across America were included in the school and district decision-making process. Many disadvantaged communities mobilized around educational issues and in many cases confronted the school staff about governance and curricular issues (Dentler & Gans, 1965). Currently, urban elementary schools are reaching out and redefining themselves as community institutions in their local neighborhoods (Davies, Burch, & Johnson, 1994).

Wilson (1987) showed how economic exclusion and social isolation faced by the residents in very poor neighborhoods intensifies the effects of living in those areas. Gabarino,

Dubrow, Kostelny, and Pardo (1992) suggested that poverty influences parental behavior, which, in turn, affects the children. Moreover, living in a dangerous environment puts a burden on parents who attempt to buffer the effects of the environment to protect their children.

Treadway (2000) reported that:

every school is located in a community, and that community has both a historical record and current resources that can enhance teaching and learning. However, too often the school and the community remain isolated from one another. The teacher education programs don't prepare teachers to situate learning in the community context, thus missing the opportunity to incorporate the community in building the knowledge, skills, and values that could enhance learning. The relationship between a community and a school should be a two-way street since both have something to offer each other, but making that a reality requires that teachers know both what is available and how to make use of that knowledge. Most significantly, educators must develop the disposition that experiential learning is possible, interesting, and important. Community mapping is a process that promotes increased traffic on the school-community street, engaging teachers, students, and pre-service teachers in more systematic information gathering and use of the community in teaching and learning. (p. 2)

The majority of the research on community mapping supports the idea that when committees of teachers investigate and become familiar with their surrounding areas, teachers begin to think about how to align the curriculum according to the individual needs of their students. Building a collaborative reform effort of trust between the school and community is what community mapping is all about. Effective communication is indispensable in any sort of restructuring or reform effort. It is particularly crucial when schools and families come together for the common good (Wilson, 2001).

METHODOLOGY

A causal-comparative design was used in this study using quantitative and qualitative assessments. Surveys were administered to the participants to gather quantitative data on the participants' perceptions about their students, their parents, and the local community surrounding the school before and after the community mapping in-service. Qualitative data were gathered from written reflections on the participants' experiences during the community mapping in-service program.

The immediate neighborhoods surrounding the schools were mapped by the 66 teachers, 21 student-teachers, and 3 school principals from Sweetwater City, Alcoa City, and Lenoir City elementary schools in Tennessee during the 2004–2005 school year.

The participants at each school were assigned to a small team of six. Each team was designated to map a specific portion of the neighborhood. Each team member had a specific role to play: Scout, Mapper, Note-taker, Photographer, Collector, and Imprinter. The teams were given packets containing a map, scissors, paper, and a community information gathering form. The teams of teachers walked through the neighborhood, gathering information about assets and liabilities. They investigated businesses, local points of interest, demographics, and community support through pictures and note-taking. Each team reported back to their respective schools after the mapping activity and delivered oral reports to their faculties on what they discovered during the mapping activity.

DATA ANALYSIS

The five hypotheses were tested to determine if there were changes in the educators' perceptions on their schools' communities following the community mapping project. Quantitative data were gathered with a 25 item Likert-scale survey with specific questions about how respondents felt about their school and surrounding community. The survey also gathered information on the teachers' years of teaching experience and their terminal degrees.

The survey was administered to all the participants two weeks prior to the community mapping project to gather baseline data. After the community mapping process was completed, the participants were surveyed again. The collected surveys were analyzed to determine whether or not there were statistically significant differences in the participants' perceptions about their schools' communities. The mean scores from each item were analyzed using paired and unpaired t-tests at the .05 alpha level. Qualitative data gathered from the teacher reflection forms were analyzed for trends and patterns.

FINDINGS

There was a statistically significant difference between the teachers' and student-teachers' perceptions of the students, their parents, and the school community. Teachers with less than 15 years of teaching experience had a significant change in their perceptions about the students, their parents, and the school community after a community mapping project. Teachers with more than 15 years of teaching experience did not significantly change their perceptions about the students, their parents, and the school community. There was no statistically significant difference found on the variable of teachers' terminal degrees.

An analysis of the qualitative data from the teacher reflection sheets revealed that the participants all enjoyed the fellowship aspect of the mapping process. What either intrigued or shocked them was the poverty surrounding the schools. Additionally, curriculum associations emerged as the teachers saw how they could make "real life" connections with the history and neighborhood information they gained.

CONCLUSIONS

The community mapping process was most effective for student teachers and teachers with less than 15 years of teaching experience. This conclusion is important for teacher training programs and professional development professionals in school systems. It may well be that if new teachers had better socialization with more experienced teachers, were made more aware of the school's community, and felt comfortable, fewer teachers would leave the profession after three years.

More experienced teachers reported that they enjoyed the experience of community mapping, but the activity did not significantly change their perceptions of the school's community. One interpretation of this finding is that more experienced teachers may already have a better understanding of their communities compared to less experienced teachers. More experienced teachers have had more first-hand experiences with parents and students and more opportunities to participate in various professional development activities. These teachers may have taught in different settings during their careers, such as teaching other grade levels, teaching in different states, teaching in larger metropolitan areas, or teaching in rural areas. This may result in a greater understanding and acceptance of their school's community, so that no sig-

nificant change in their perceptions about the school's community would be found. They already understood the community.

Many teachers commented on the reflection sheets that they appreciated the interaction and socialization that took place during the community mapping. This aspect of the mapping process indicates that it is valuable for sustaining a culture of caring for the faculty.

An increased understanding of the school's community helps create a school culture that promotes an appreciation and understanding of diversity and the uniqueness of the individual school. It also fosters the idea that faculty interaction is an important element. A school culture that appreciates diversity, teacher interaction, and community involvement has the potential to improve the outcomes for students and to enable students to make significant contributions to their society.

RECOMMENDATIONS

It is recommended that before undertaking a community mapping activity, a team be developed, composed of teachers and community stakeholders, to organize the community mapping process. Consideration should be given to analyzing the community's geographical area to best organize the faculty teams that will conduct the mapping. The students' street addresses should be identified to enable teachers to visit their students' immediate neighborhoods.

Data on the families could be gathered from a parents' survey in advance of the community mapping activity. The survey would provide additional insight into the family structure, socioeconomic status, and the number of single parent homes.

It is also recommended that community mapping should be provided annually. This would enable new teachers to have an opportunity for socialization, to be engaged in the mapping process, and to learn about the community. It would also institutionalize the community mapping activity so that this process could be used as a method for educational and school reform.

The teacher reflection surveys could be extended to ask more detailed questions about the curriculum tie-ins and how community mapping could be used for school improvement. This qualitative data gives more insight into the true feelings and ideas of the teachers about the mapping process. The teachers that have been trained in mapping could create the new teacher reflection questionnaire.

Creating mapping displays of the community could be part of the process. Modeling the use of the completed community maps and displaying them in the school would open the information up to students, parents, stakeholders, and other visitors at the school. The teachers could also take the finished models and use them with their curriculum presentations when teaching students about communities.

Finally, faculty members should be provided with opportunities for discussions regarding the use of community mapping to align its use with applicable state standards. This dialogue could integrate the curriculum mapping activity more deeply into curriculum development.

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APPENDIX

TEACHER SURVEY Confidentiality

Your responses will remain absolutely confidential. These answers will be reported as a blind sample, please don't put your name or any other identification on the survey.

Place a check in the appropriate box.

Student Teacher **Teacher** **Administrator**

Please circle to indicate years of experience.

0-5 years 6-10 years 11-15 years 16-20 years 21-25 years 26-or more

Please circle the highest degree earned - **B.S. M.S. Ed. S. Ed. D. Ph.D.**

DIRECTIONS: Please answer all questions as they relate to your perceptions about your school and surrounding community. The statements are of such a nature that there are no correct or incorrect answers. We are only interested in your frank opinions. Please circle the appropriate number that most represents your perceptions. 5 = Strongly Agree, 4 = Agree, 3 = Neutral, 2 = Disagree, 1 = Strongly Disagree.

	SD	D	N	A	SA
1. Your school as it now exists is doing a good job for most children.	1	2	3	4	5
2. Schools should emphasize the similarities among people rather than their differences.	1	2	3	4	5
3. Teachers should encourage parents to work with them inside the classroom.	1	2	3	4	5
4. Students from economically disadvantaged backgrounds cannot be expected to assume the same degree of responsibility for their learning as students from more economically advantaged backgrounds.	1	2	3	4	5

5. Schools should seek to help all children to fit as smoothly as possible into our present society.	1	2	3	4	5
6. One of the main problems in classrooms today is diversity among pupils.	1	2	3	4	5
7. Parents and other community members should have a say in the curriculum of the school.	1	2	3	4	5
8. No matter how hard they work, some students will never make it in school because of their living conditions.	1	2	3	4	5
9. Teachers must lower their expectations regarding academic performance for students who come from economically disadvantaged backgrounds.	1	2	3	4	5
10. Parents have no right to tell teachers what to do in the classroom.	1	2	3	4	5
11. Schools pay too much attention to the social/emotional needs of children and not enough emphasis is given to academic skill development.	1	2	3	4	5
12. The home environment of many children is the major reason why children do not succeed in school	1	2	3	4	5
13. Your school as it now exists helps perpetuate social and economic inequalities in the surrounding community.	1	2	3	4	5
14. Teachers should be concerned about the community in which they teach.	1	2	3	4	5
15. Given the highly competitive nature of our society, it is more important for students to be taught to compete successfully than to learn how to cooperate and work within their community.	1	2	3	4	5
16. Parents should play active roles in formulating the school's curriculum.	1	2	3	4	5
17. There is a great deal that is wrong with public schools today, and one of my priorities will be to contribute more interest to help reform public schooling in my local community.	1	2	3	4	5
18. Parents and teachers in the community communicate openly with each other.	1	2	3	4	5
19. Teachers and administrators participate in community events.	1	2	3	4	5
20. The community in which I teach meets the same expectations I have in my classroom.	1	2	3	4	5
21. I am satisfied with my role in the community where I teach.	1	2	3	4	5
22. The majority of parents in our school community encourage their children to succeed academically.	1	2	3	4	5
23. Parents and the community should be involved in the education of our children.	1	2	3	4	5
24. The community should support new academic needs in their school.	1	2	3	4	5
25. Concerned community members are openly welcomed in the school.	1	2	3	4	5

Assessing Educational Leadership Preparation Framework

Brenda F. Graham

School leaders in K-12 schools face increased accountability marked by unprecedented challenges and instructional responsibilities. Educational leadership has evolved from a managerial orientation to one that communicates a focus on the teaching and learning process and the success of all students (Chenoweth et al., 2002). Prominently, the political, social, and economic changes in communities produced by changing demographics and an increasing technological and global economy have altered the ways public schools define and practice leadership. Importantly, policymakers, educators, parents, community, and business leaders all agree that there is a critical need for administrators who will support the learning of all students by aggressively leading improvement in curriculum, instruction, and student achievement by creating environments where all students can learn.

Mandates such as No Child Left Behind have challenged schools to decrease gaps caused by race, ethnicity, and social class. Standards-based learning and accountability systems are examples of these changes and call for large scale improvement in instruction and learning. Additionally, the emergences of the global economy as well as economic and social changes in the environment have created strong implications for our schools and for the education of administrators who lead them. The purpose of this study is to identify the current concerns, issues, and challenges of educational leaders in school districts and to identify what school leadership preparation programs can do to ensure effective school level leadership in all schools and districts.

LITERATURE REVIEW

Research has shown that effective instructional leadership is the basis for successful teaching and learning in schools (Levine, 2005; Wallace Foundation, 2006; & Waters & Grubb, 2004). Skillful administrative leadership is needed at all levels to provide the quality teaching that is needed to meet the requirements of diverse student populations. Fundamentally, educational leaders must have the ability to understand and predict needed changes in curriculum, instruction, assessment, and importantly, their leadership practices. This knowledge is essential to the provision of quality professional development, policy formation, technology needs, and resources that are aligned with school and district needs (DuFour & Berkey, 1995; Elmore, 2000; Levine, 2005). School leaders must be able to plan and articulate that information with school and community stakeholders. They must also have the ability to engage parents and other caretakers in the education of their children.

Principals agree that they need to be more adequately prepared for leading schools. Levine (2005) conducted a study that asked school leaders, who had graduated or were currently attending a university-based certification or educational leadership program, to list the courses that they had taken in their educational leadership program. The participants were also asked to discuss the quality of those programs. More than 80% of surveyed principals named nine courses that they had taken. The courses include “instructional leadership (92%), school law (91%), educational psychology (91%), curriculum development (90%), research methods

(89%), historical and philosophical foundations of education (88%), teaching and learning (87%), child and adolescent development (85%), and the school principalship (84%). Sixty eight percent of the principals found the courses valuable. The courses that were selected as having the highest premium were “school law (80%), child and adolescent psychology (79%), and instructional leadership (78%)” (p. 28). Levine asserted that the principals were critical of education school programs in general. Significantly, he found that almost “nine out of 10 survey respondents (89%) said that schools of education failed to adequately prepare them to cope with classroom realities” (p. 28).

One reality is that many school districts nationwide are experiencing rapid growth in the number of students of color, cultural and linguistic diversity, and low-income status. Principals in those schools must have the ability to enhance outcomes for these students by focusing attention on instructional issues that result in the success of all students and by fostering school cultures that value inclusion. To do this, school leaders must possess “cultural competence,” the ability to form authentic and effective relationships across differences (Howard, 2007). Notably, the leader must access, utilize, and manage resources and stakeholder involvement as they formulate positive school learning environments.

Many professional organizations, including The Council of Chief State School Officers, The National Council for the Accreditation of Teacher Education (NCATE), The National Association of Elementary School Principals (NAESP), and The Southern Regional Education Board (SREB), have formed essential standards and principles that are used as guidelines for effective school leadership preparation programs and state certification criteria throughout the country. Their mission is to assist state and university principal preparation programs in the design of programs and accountability measures needed for successful leadership development. These guiding principles should be evident from the initial recruitment and selection of students in selected leadership program. Prominently, they should be factored into the program planning and curriculum development component of university training and transferred to ongoing professional growth opportunities (Chenoweth, et al., 2002).

We will briefly discuss each organization and review their attempts to define standards and principal leadership roles and responsibilities.

The Interstate School Leaders Licensure Consortium (ISLLC), a program of the Council of Chief State School Officers, has built its standards on research and skillful stewardship by school administrators and emerging perspectives about society and education (Council of Chief State School Officers, 1996). The goal of these standards was to improve the quality of educational leadership practice.

The National Council for the Accreditation of Teacher Education (NCATE) developed Standards for programs in Educational Leadership for Principals, Superintendents, and Curriculum Directors & Supervisors. The standards challenge leadership preparation programs to provide a problem-based curriculum centered on real and challenging experiences that occur in schools (National Policy Board for Educational Administration, 2002).

The National Association of Secondary Principals has provided standards for what principals should know and be able to do. The guide includes six characteristics of instructional leadership that help principals reflect on and improve their practice. NASP believes that successful schools require leaders who are able to perform at optimum levels and who have the skills, knowledge, and dispositions to meet the complex challenges of their schools today and in the future (NASP, 2001).

The Southern Regional Education Board (SREB) School Leadership Initiative focuses on improving leadership preparation and development. Their research has identified what they

classify as thirteen critical success factors noted in principals who have worked to raise academic achievement in schools with “high risk” factors (Fry et al., 2005, p. 5).

The standards represent a common core of knowledge, dispositions, and performance skills that link practice to enhanced educational outcomes. Table one (1) provides a summary comparison of the four groups of standards and is aligned with the survey questions.

Table 1. A Comparison of How Standards Identify the Issues that are Facing Educational Leaders Today.

Standards	ISLLC	NCATE	NAESP	SREB
Strategic leadership (Vision & Goals)	Visionary leadership	Visionary leadership	Set high expectations	Focused mission
Instructional leadership/staff development	Instructional program conducive to student learning, professional growth.	Effective instructional program, positive culture, professional development	Content and instruction aligned with standards, multiple data sources	Implement good instructional practices, professional development
Management of the learning environment	Collective management of the organization	Manage resources; safe, efficient, & effective environment	Student and adult learning centralized	Acquire and use resources wisely, time management
Political & community relationship	Collaborating with families, and mobilizing community resources.	Collaborate with families and the community	Engage the community to create shared responsibility for learning and success	Parent partnership. Support from district, community, and parents
Legal Issues		Influencing the larger context		
Diversity/ethics/special population needs	Responding to diverse community needs	Ethical leadership; success of all	High expectations for all	Create an organization where all students count

ISLLC- Interstate School Leadership Licensure Consortium

NCATE- The National Council for the Accreditation of Teacher Education

NAESP- National Association of Secondary School Principals

METHODOLOGY

Over 15,000 master’s degrees and 2,300 doctorate degrees were offered in the United States in 2003. This is representative of approximately 500 schools and departments of education (Levine, 2005). The expectation is that those school administrators be instructional leaders who understand change and the strategic planning process as they lead and observe teaching, coach teaming efforts, analyze achievement data, increase student achievement, narrow test scores between the advantaged and disadvantaged students, and make effective instructional decisions. These demands guide practice and structures in leadership preparation programs.

A study was designed to determine if practicing school leaders in a doctoral program in Northeastern Pennsylvania believed their prior educational leadership programs were beneficial and if the leadership preparation program in the universities prepared them for leadership and administrative roles in their schools and districts. This paper will identify those concerns, issues, and challenges and determine what school leadership preparation programs can do to ensure effective leadership in our schools. The methods used to gather this data were surveys and interviews of the student participants in the program.

Fourteen students in an educational leadership doctoral program in Northeastern Pennsylvania participated in the study. There were five district level administrators who were representative of K-12 school districts. Two of the district level participants were district superintendents; one was an assistant superintendent; and the other two district level participants were curriculum personnel. The other nine participants were either K-12 principals or assistant principals. There were seven principals. Four of the principals were males and three were females. The two assistant principals were females. The school leaders all completed educational leadership programs in various universities in Pennsylvania. All of the educational leaders were White or European Americans. According to the 2000 U.S. Census, the White or European American population in northeastern Pennsylvania was 96.1% (929,016). All of the students in the sample group completed a survey and participated in focus groups. The confidentiality of all students participating in the survey was guaranteed.

A survey instrument was developed with the assistance of a panel of practicing educational administrators and university educational leadership professors. The practicing administrators were asked the following question from the survey:

- Do you think that your educational leadership program prepared you for present day school issues (standards, data analysis, accountability, diversity, etc)?
- What do you think are the most serious issues facing K-12 educational administrators today?
- What courses do you feel should be included in administrative/supervisory programs at colleges and universities?
- What and how are you preparing your teachers for the changing demographics in your school?
- Is this program (or any aspect of it) helping you to prepare your schools for the changing demographics (culturally and linguistically diverse students)?

Table one shows how each set of standards discussed in the literature review apply to the principal preparation programs and more specifically, to the purpose of this study.

LIMITATIONS OF STUDY

This study consisted of only 14 doctoral program candidates in an educational leadership program. Nonetheless, the findings are pertinent because of information that would be salient for other schools and school districts. It also showed how leadership preparation programs can be helpful, but may also be made to be more practical for the needs of its student participants, who have in many cases been leaders for years. In addition, the suggestions for improvement were significant.

RESPONSES

What do you think are the greatest problems facing educational administrators in K-12 schools?

The respondents confirmed that changes in curriculum and instruction and the changes in economic conditions were all factors that have influenced leadership roles. There was also a fairly high and consistent level of agreement (12 out of 14) that social issues, Special Education, and changing demographics were a major concern. The perception among the respondents was that policies and mandates such as No Child Left Behind and other federal and state guidelines were critical concerns. Concern regarding growing budgeting needs was also mentioned. Importantly, the need to be more informed with reference to student needs and appropriate training to meet those needs was acknowledged repeatedly by the administrators. Some of the specific responses from the survey and focus interview are noted below:

- “Lack of knowledge to meet the needs of all students.”
- “Lack of knowledge about best practices.”
- “Appropriate budgeting for programs. Professional development is becoming too expensive.”
- “Inclusion and diversity.”
- “Meeting the diverse needs and degree of needs as well.”
- “Children in distress (in need of social services).”
- “Not being prepared to teach across cultures.”
- “Compliance issues related to No Child Left Behind. That also implies social issue as well as school reform issues.”

Do you think that your educational leadership program prepared you for present day school issues (standards, data analysis, accountability, diversity, etc)?

There were mixed answers from the participants. Most of the respondents felt that they had been adequately prepared for their present position. However, six of the fourteen participants cited “on the job training” as their greatest teacher. All six participants who did not feel that they were adequately prepared for their present roles as building principals, and/or district administrators graduated from educational leadership programs before 1999. The comments made by the participants are in direct relation to the initiation of the standards movement in American schools in the late 1990s. Table two (2) documents the differences in the responses of the participants.

What courses do you feel should be included in administrative/supervisory programs at colleges and university?

The consensus by all administrators was that more special education and school law courses are needed. The participants also called for more case studies and simulations to be included in educational leadership preparation classes. Additionally, the respondents discussed the need for comprehensive mentoring programs and internships. They voiced that those were vital needs for leadership development. The practicing administrators agreed that meeting the needs of students in Special Education outweighed racial, cultural, and socioeconomic needs. Most participants agreed with this comment from one administrator: “While race is an issue in some schools, it is not the greatest issue in most of our schools. Ninety nine point nine percent of my students are White. We need more information on special

Table 2. Comparison of Student Comments from Question #2.

Pre-1999 Leadership Participants	Post 1999 Leadership Participants
“The coursework and internship were complete. However, it did not include standards, accountability, data analysis, and diversity issues.”	“I feel well prepared in the area of diversity.”
“No, my experience was the greatest teacher.”	“The ESL certification program prepared me for working with students.”
“Standards are relatively new, so I received on the job training.”	“I believe I received a broad background. Professional development is needed to focus on specifics.”
“No. Focus was on classroom practices.” No direct discussion of accountability, standards, or diversity.”	“Yes, I think we were well versed in the standards movement and curriculum.”
Yes and no. Accountability has changed substantially.”	“Yes, the internship was hands-on and required a lot of training in those areas.”
“No. Not enough time was spent on research and data usage.”	
“No. More emphasis needs to be placed on school law and Special Education. The accountability has increased drastically and even more so with No Child Left Behind.”	

education and law issues such as law and due process. Extensive law courses are needed. Special education and diversity of diagnosis is increasing. There is a tremendous difference in last year and the year before in middle and upper-middle class White students placed in special education in my school.”

What and how are you preparing your teachers for the changing demographics in your school?

Nine of the participants indicated they train their teachers for special populations and diversity issue. An answer from one respondent was “Many of our teachers are young and inexperienced and are afraid, they don’t understand. We need to show them one at a time to train and take away the fear of dealing with parents who are of different cultures. We need to assist them in understanding how to deal with students who try to act real tough because they are not real comfortable. I mean there is nowhere for them to go, no one for them to meet, no bus for them to catch. So I think that they resist and teachers resist back; and they don’t get to know the teachers well enough. Then too, the teachers don’t get to know the students well enough not to be afraid of them.”

Focused staff development was a general response by many of the administrators. Others mentioned research and review of literature as well as the utilization of university resources. Notably, respondents answered that training related to standards and accountability was an urgent need. Other answers were:

- “Special Education that focus on continuous improvement.”
- “Methodologies in ESL practices.”

- “Professional Development on diversity.”
- “On-going training on ESL issues.”
- “In-service for standards and accountability, differentiated instruction, and diversity.”
- “We need more minority teachers.”

Is this program (or any aspect of it) helping you to prepare your schools for the changing demographics (culturally and linguistically diverse students)?

The previous questions asked respondents to express answers related to their Master’s level leadership program; and/or their prior principal or administrative endorsement programs. This question was related to the training they were receiving in the current doctoral level program. The respondents agreed that the program provided opportunities for them to reflect on and discuss the leadership behaviors that are essential for meeting school improvement needs. In addition, they felt they were gaining the analytical tools needed to assist them in strategic planning processes related to meeting school and district change and school improvement needs. Most agreed that expectations that were articulated in their educational leadership program provided sound frameworks for decision making needed in their jobs.

DISCUSSION AND IMPLICATIONS

Gantner et al., (2001) defined the principal as “the key to realizing educational reform on the K-12 campus, being the catalyst who creates a culture of enhanced teaching and learning” (p. 3). Notwithstanding, effective school leadership influences the motivation of teachers and the quality of teaching (Fullan, 2001; Sergiovanni, 2001 & Harris, 2005). Importantly, principals who produce highly productive schools do so by defining learning goals and creating equitable learning environments for all students. Meaningfully, they must possess the knowledge and skills that integrate decision making and strategic planning. In order to do this they must focus on instructional issues, demonstrate administrative support for special education, and provide high-quality professional development for teachers as they engage parents and external stakeholders in the process (DiPaola & Walther-Thomas, 2002). Principals must also understand and address the diversity of legal and ethical issues that arise in their schools.

Until recent years, principal and leadership preparation programs focused largely on theory based information and were somewhat lacking in assisting leadership candidates in transferring theory into practical, real world application that is needed for successful school improvement. This reality has been documented in literature (Chenoweth, et al., 2002; DiPaola & Walther-Thomas, 2002; & Gantner et al., 2001) and is articulated by several of the practicing school leaders participating in this research. Significantly, data from this research indicate that most of the respondents believe that their educational leadership preparation program adequately prepared them for their present administrative job. Table one (1) demonstrates that standards-based policies for educational leadership are mostly aligned with issues that school leaders are facing in their schools today. This is also documented in the responses of the candidates regarding the preparation of their teachers for changing demographics. In addition, responses from candidates who graduated after 1999 show that they agree that their educational leadership programs prepared them for the changing needs of schools in the 21st century. Nonetheless, the earlier graduates (before 1999 and the full implementation of standards-based educational leadership practice) indicated that their coursework was lacking in many of the present day issues of school reform.

Notwithstanding, the most frequent concerns that the candidates discussed were issues related to special education, school law, English as a Second Language (ESL) issues and racial and cultural diversity. Other concerns included problem-based learning and the need for more practices utilizing case studies and simulations.

Based on the results of this study, the following recommendations are suggested for framing course content in educational leadership programs:

- A “Special Education” content course should be included in all educational leadership programs.
- Knowledge of the experiences and academic needs of diverse groups of students (race, ethnicity, and socio-economic) should be integrated throughout the program and factored into course planning.
- Field experiences should engage the candidates in developing school problem-solving competencies.
- Practical experiences should be incorporated into school law courses.
- Problem-based experiences should be incorporated into all classes.
- Schools of education should work with district and state policy-makers to provide continuous post graduate professional training for K-12 school leaders to keep them abreast of research and changes in the practice.

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Relationship Building—Navigating the Future through Practice: Implications for Administrator Preparation

E. Jane Irons and Warren Aller

INTRODUCTION

Essex (2006) found that new considerations of teaching and learning have precipitated different understandings of school leadership; indeed, the *No Child Left Behind* (NCLB) Act has been viewed as an opportunity to completely redirect the role of school leadership toward the enhancement of student achievement. As a result of the instructional emphasis, the concept of principal-teacher relationships becomes pivotal for effective administrative leadership in today's schools. According to Barth (2006), relationships among educators at school define all relationships within the school's culture. For instance, if the relationship between administrators and teachers modeled trust and support, then relationships among teachers, teachers and students, and teachers and parents would more likely be trusting and supportive.

Relationship building maintains importance for both administrators and teachers when teaching students with behavior problems. Marshall (2002) found that it was the relationships educators established with students and the manner in which educators handled their own discomforts that most significantly impacted student behavior. Both the NCLB Act and the *Individuals with Disabilities Education Act* (IDEA) have recognized that effective classroom management and school discipline require principals and teachers to achieve effective relationships (Friend & Cook, 2003; Turnbull, Stowe, & Huerta, 2007) This study investigated teachers' perceptions of the instructional support they received and teacher perceptions of subgroups of students with respect to instructional leadership.

REVIEW OF LITERATURE

Administrator Relationships for Instruction

Authors have discussed the impact of educator relationships with respect to instructional leadership. Sergiovanni (2005) and Wong and Nicotera (2007) implied that school principals should be directly involved in instructional practices through collaboration with their teachers. Grogan and Andrews (2002), Marsh (2002), and recently Wong and Nicotera (2007) suggested that principals must be willing to share leadership decision-making with teachers in order to attain learning. Effective campus leaders understand both learning issues and the potential for teachers to exercise leadership. Copeland and Knapp (2006) and Murphy (2004) discussed devising courses of action supporting teacher instructional leadership responsibilities. These authors reminded leaders of the presence of teachers who not only could, but would, assume leadership responsibilities when leaders were clear about specific activities that could improve student learning opportunities. Copeland and Boatright (2004) found that shared decision-making and leadership activities with teachers enhanced principal-teacher relationships, while Bottoms and O'Neill (2001) and Barth (2006) found that spending time with

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teachers and assisting them with professional development activities enhanced student learning through the development of supporting and trusting principal-teacher relationships. Although individuals have been credited for school success, Fullan (2001) stated, “. . . it is actually the relationships that make the difference” (p. 51), while Wheatley (1999) stated, “relationship is the key determiner of everything” (p. 11).

Leadership Power Relationships

Use of leadership power bases clearly demonstrates relationships. Hoerr (2005) intimated that teacher perceptions of leadership power and the effectiveness of that power were intermeshed among the specific types of power leaders preferred and the characteristics of the leader. For example, if concrete rewards such as money, praise, or time off were not prized by teachers, reward power may have little effect. If a leader were not directly supervising teachers, that leader may have no legitimate powers to either punish or reward them. Additionally, if teachers fail to recognize their principal's knowledge or skills, particularly in the areas of curriculum and instruction, that principal has little expert power to enhance a teacher-principal relationship. According to Hoerr (2005) it becomes necessary for leaders to understand those whom they supervise and the perceptual nature of power bases for developing effective leadership strategies. Harris (2004) pointed out that leadership actions facilitating relationship building included sharing power with teachers that allowed them to feel trusted and valued as well as empowered.

Leadership for Teacher Support

Fideler and Haselkorn (1999) found that many teachers do not receive sufficient support or assistance from school administrators, particularly during their first few years of teaching. In fact, 93% of the teacher respondents to the 2006 Phi Delta Kappan Gallup Poll cited lack of administrative support as a major reason for leaving the teaching profession (Rose & Gallup, 2006). Harris (2004) made several recommendations for leadership action that provided teachers with support. Some of Harris' (2004) suggestions included active listening, being available to teachers, and using e-mail to offer encouragement. Harris emphasized the importance of building relationships that valued faculty and enabled principals to recognize teacher needs through observation. Sergiovanni (2005) suggested that leadership emerged as a powerful force by providing conditions and support that teachers needed to be effective.

Instructional Leadership for Students

Marshall (2002) defined cultural continuation as the extent that the school culture complements the background that students bring to school. Relationships are important in teaching all subgroups of students. Rasool and Curtis (2000) suggested that teachers who have little knowledge about how their own culture, race, class, and gender affects interpersonal relationships may have difficulty connecting with students with backgrounds different from their own. Weiss (1995) found that teachers initiated more frequent and varied interactions with students from middle and upper class backgrounds than those from disadvantaged backgrounds. Although most teachers agree that all children can learn, too many teachers are unprepared to teach in urban, high poverty-ratio schools with varied subgroups experiencing learning and behavior problems. In addition, many teachers have little training or experience

to work with poor students from diverse backgrounds or students considered difficult to teach (Foster, 2004).

Leadership for Discipline and Safety

Leadership for school discipline remains a major responsibility for principals. Drake and Roe (2003) defined discipline as a process that involved learning to adjust and cope successfully with social norms through appropriate interaction with individuals of various ages and backgrounds. Drake and Roe (2003) suggested that discipline involves all students and remains a central focus for both principals and teachers. Principals and teachers maintained the right and responsibility to determine reasonable policies and practices governing student behavior not only to establish the educational climate, but also for maintenance of school safety. Teachers tended to have stronger reactions to behavioral transgressions than academic transgressions (Friend & Cook, 2003). Most of the severe disciplinary problems were caused by a very small percentage of students (Ubben, Hughes, & Norris, 2007).

Specific discipline provisions placed in both NCLB and IDEA balance students' interest in education against the interests of other students and professionals to learn and teach in a safe environment. Principals need to become familiar with behavioral regulations governing students with disabilities (Turnbull et al., 2007). According to Turnbull et al., the concept of a manifest determination encompasses the process for identifying the relationship between a student's disability and his or her behavior so that consequences may coincide with legal mandates under IDEA. Under the 2004 reauthorization of IDEA principals play a significant leadership role not only in discipline issues, but in placement and curriculum decisions as well (Turnbull et al., 2007). Effective schools research supports a strong leadership role for principals regarding discipline management that encompasses collaboration with teachers and the delegation of discipline authority (Duke, 1989; Short, 1988).

Public perception of classroom discipline remains a national concern. Classroom discipline was the top concern cited by the National Gallup Poll for the first 16 years this poll was conducted. Currently, lack of discipline and more classroom control were cited by 11% of the 2006 poll respondents. In 2006, discipline was cited as the third major problem after lack of financial support for schools and over-crowded classroom conditions (Rose & Gallup, 2006). Friend and Cook (2003) suggested that educators build positive relationships with students for effective discipline.

THE STUDY

Research Design and Questions

This study used a survey research design. Teacher perceptions of support provided to them and their perceptions of students they considered most educationally problematic were investigated. Teachers were asked to respond to two major question clusters.

1. Rate teacher support provided by the following groups with one (1) being *very poor* and five (5) being *excellent*: building administrators, district level administrators, fellow teachers, the teacher union, parents, and the community at large.
2. Rate the subgroups of students who are the most educationally problematic in your classes with one (1) being *least problematic* and five (5) being the *most problematic*: students with IEP's for academic reasons, students with IEP's for

behavior, students who exhibit antisocial behavior, students with limited English proficiency (LEP), and students having ability but who refuse to complete assignments. In addition, teachers were invited to provide any concerns or recommendations in an open-ended format.

Instrument Development and Data Collection

A factor analysis clustered items for each of the two major question groups and yielded a Cronbach's Alpha coefficient of .74 for teacher support and .57 for problematic student subgroups. An overall internal reliability of .66 was found for the total instrument. Face validity was established using a panel of educational professionals comprised of 11 teachers and 8 administrative interns.

In the data collection process, 13 principals and assistant principals representing six elementary school, three middle school, and four high school campuses were asked to distribute the survey to their teachers. The school administrators asked to participate were acquaintances of the researcher and were from the northwestern area of Washington state. A sample of 110 teachers returned the survey results electronically.

Data Analysis

Descriptive statistics in the form of percentage frequencies were used to quantify demographic information and Likert ratings. An analysis of variance (ANOVA) was used to examine differences with respect to teacher groups representing campus level, school size, and years of teaching experience. Data reduction techniques were used to identify trends and issues found in open-ended responses.

Limitations

The limitations of this study are those commonly associated with survey research. This was a study of convenience. Respondents were not randomly selected. Responses were the perceptions of the teachers so that individual biases may be prevalent. Respondents represented only one geographic area in Washington State so that results may not generalize to other areas.

The subgroups of students who are identified as the most educationally problematic in teacher classes are limited to those groups most often cited by teachers as problematic, but in no way, do the five categories in the survey indicate all of the problematic students in classroom settings.

RESULTS

Sample Characteristics

Respondents from elementary (48, 43%), and high school (47, 42%), comprised the majority of the sample. Sixteen teachers (14%) represented middle schools. Only two teachers reported being from campuses with 200 or less students. A plurality (43%) of this sample represented schools ranging in size between 201 and 600 students. Schools with between 601 and 1,500 students provided about 30% of the teachers. Schools with over 1,500 students represented about one-fourth of the teachers.

At the elementary level, 61.7% of the teachers reported 11 or more years of experience. At the middle school level, 43.8% of the teachers reported having between 4 and 10 years of experience. At the high school level, 44.7% reported having between 4 and 10 years of experience, whereas another 40.4% indicated 11 or more years. About 25% of the teachers reported having between 1 and 3 years of teaching experience. Only 2% of the elementary teachers were less experienced, whereas about 15% of the high school teachers reported only up to 3 years of teaching experience.

ANOVA Results

A probability of less than .05 level of significance was selected. No significant differences were found when comparing the responses of teachers grouped by size of school. Likewise, no significant differences were noted when comparing the responses of teachers grouped by years of teaching experience. A significant difference, $F(2, 10) = 4.872$, $p = .01$ was found when comparing campus levels across teacher support. Due to the fact that there were more than two means involved, a Tukey multiple comparison analysis was conducted to identify which of the three campus levels differed significantly with respect to the teacher's perceptions of support received (Kachigan, 1986). Table 1 shows the Tukey multiple comparison results.

The Tukey multiple means comparison analysis shown in Table 1 indicates that responses concerning perceived teacher support groups differed significantly between elementary teachers and high school teachers; that is, elementary teachers with a mean of 3.65 rated support provided to them significantly higher than high school teachers with a mean of 3.31.

Table 1. Tukey Multiple Comparison of Means.

	Grade Level Comparison	Mean Difference	Significance
Elementary	Middle School	.01806	.993
	High School	.34079*	.010*
	Elementary	-.01806	.993
Middle	High School	.32274	.120
	Elementary	-.34079*	.010*
High School	Middle School	-.32274	.120

* Mean difference is significant at the .05 level.

Table 2 clearly indicates that the teachers perceived their fellow teachers as being the most supportive. Building administrators were viewed as providing excellent teacher support by more than one-third (38.3%) of the elementary teachers. Over one-fourth (28.9%) of the high school teachers reported excellent support from building administrators. Although 25% of the middle school teachers found their building administrators provided them excellent support, 37.5% reported excellent support from the community at large.

Table 2. Campus Level Teachers' Ratings of Support Received from Groups by Percent of Responses.

Campus Level	Number of Respondents	% Very Poor	% Excellent
Elementary	48	Parents (4.3)	Fellow teachers (54.2)
Middle School	16	Teacher's union (4.2)	Building administration (38.3)
		Teacher's union (6.3)	Fellow teachers (75.0) Community (37.5) Parents (37.5) Building administration (25.0)
High School	47	Teacher's union (10.6)	Fellow teachers (24.0) Building administration (28.9)

Qualitative Responses

The open-ended responses provided insight into teacher ratings of perceived support. Responses representing both positive and negative perceptions have been selected to add clarification to quantitative results.

Positive Teacher Comments—Perceived Support

“I have been encouraged to be honest about student achievement and to change my teaching habits if a child is failing. Our principal is well informed and very supportive in this manner.”

“I love teaching high school. I feel supported and love what I teach.”

“I would NEVER change jobs. I find teaching to be very rewarding even with all the extra pressure to make sure kids pass tests.”

Negative Teacher Comments—Perceived Support

“If we want students to be on the cutting edge of education, we need to have supplies, books, computers, and staff to meet challenges presented. We can discuss frameworks and ELRS but lack of funding and support puts restraint and pressure on teachers that leads to burn out or worse, resignation.”

“Though we understand the task when we choose the teaching profession, the constant lack of support from administration and parents and the apathy of some students drains our physical and emotional resources quickly.”

“I have taught for 24 years and have seen the incredible increase of inane paperwork that goes to people that have NO idea of how to run a school or classroom.”

Problematic Students

Selected open-ended responses representing teacher perceptions of subgroups of students considered problematic in the classroom follows:

“I just moved from the low-income elementary school of the community where parents may request schools and teachers to the high-income school. The low-income school ended up being a school of high-needs students (ESL, deaf, special needs, single-parent, transient families, and behavior problems). The community perceives this as the 'bad' school.”

“It's just hard meeting all the needs of students and keeping them all challenged, especially with the kids that are on free or reduced lunch, that creates a management headache.”

“I am made to feel guilty if I am not staying later than my working hours to help students do homework, take care of their social issues, and help them when their parents let them down.”

Table 3 indicates that teachers considered English language learners the least problematic subgroup of students. Half of both middle and high school teachers considered noncompliant students the most problematic, while 45.5% of the elementary teachers considered students with a behavioral IEP the most problematic.

Table 3. Percent of Problematic Students by Number of Campus Level Respondents.

Campus Level	Number of Respondents	% Least Problematic	% Most Problematic
Elementary	47	ELL (30.4)	Behavioral IEP (45.5) Noncompliant (34.0) No IEP but behavioral issues (32.6)
Middle School	16	ELL (62.5) Academic IEP (18.8)	Noncompliant (50.0) No IEP but behavioral issues (31.3) Behavioral IEP (18.8)
High School	47	ELL (32.6) Academic IEP (12.8)	Noncompliant (53.2) No IEP but behavioral issues (41.9) Behavioral IEP (36.2)

SUMMARY AND CONCLUSIONS

Teacher Support

This study examined the perceptions of 110 classroom teachers concerning who they felt provided the most support to them. The majority of these teachers reported teaching 4 or more years. The least experienced teachers with less than 4 years experience were found at the high school level. Significant differences at the $p < .05$ level were found between teacher perceptions of support provided at the elementary level and the high school level. These findings

were not surprising when considering the smaller community climate of an elementary campus compared to a large comprehensive high school climate.

In general, teacher respondents reported receiving excellent support from campus administrators, although without question results showed that teachers rated their fellow teachers as offering them the most support. Qualitative comments on the plus side suggested that teachers viewed their school administrators as knowledgeable, helpful, and supportive. On the minus side, some teachers appeared to feel a lack of administrative appreciation or value. Some commented about lack of supplies and additional responsibility without compensation.

This study supports the importance of leadership behavior that emphasizes teacher relationship building by making time for teachers, sharing instructional decision-making and supporting teacher professional development activities with fellow teachers. Colleagues could offer ideas, provide evidence of effective practices, provide suggestions for improvement, and provide moral support because these teacher respondents viewed their colleagues as their major source of support.

Classroom Support

Teachers in this study considered students with behavior problems to be the most problematic subgroup. Teachers at the secondary level focused upon noncompliant students. The noncompliant group included able students who did not complete their assignments. Elementary teachers expressed concern about students who had an IEP for behavior. Teachers in the study considered English language learners to be the least problematic subgroup.

Teacher comments about the different subgroups found in today's classes were revealing concerning teacher attitudes toward at-risk students and parents. Teachers expressed negative feelings toward disadvantaged students, viewing them as management problems lacking parental support. A school with many high-needs students was considered a "bad" school. Cultural discontinuity and teacher attitudes were cited in the literature as factors contributing to under-achievement of disadvantaged students. Results of this study support Weiss' (1995) findings that teachers favor students from middle- and upper-class backgrounds.

Supportive relationships between administrators and teachers and teachers and students appear vital for disadvantaged students and students with behavior problems because the manner in which educators connect with students directly influences both learning and discipline management. Teachers require administrative support that enables them to provide discipline management and instruction for all students to learn successfully.

Findings of this study indicate a need for teacher professional development in the areas of cultural proficiency, teaching strategies for disadvantaged learners, and strategies for students with behavior problems. Based on these findings, areas of collaboration, team building, and relationship building appear pertinent for principals' professional development. Building credibility through the wise use of expert power in the instructional area may assist principals to better understand what support is needed by teachers and the principals' responsibility as a provider of instructional leadership.

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An Investigation of Elementary Teacher Stress to Guide Educational Administrators in Curbing the Early Career Departure of Elementary School Teachers

Michael Jazzar, Richard G. Lambert, and Megan O'Donnell

The teaching profession has changed dramatically over the past forty years. The most striking contrast is more than one-third of all new elementary school teachers leave the profession during their first five years of teaching (Darling-Hammond, 2003). Most teachers leaving the profession before their sixth year of teaching cite working conditions as primary reasons as to why they do not plan to continue teaching until retirement (Status of the American Public School Teacher, 2003). Nationwide, more than 3.9 million teachers will be needed by 2014 primarily due to teacher attrition, retirement, and increased student enrollment (Condition of Education, 2003). It is clear that all students need quality teachers; hence, the conditions that departing elementary teachers assert need to be identified and resolved.

The demanding conditions that elementary school teachers face are both numerous and diverse in today's elementary school classrooms. With an estimated forty percent of the nation's elementary students reading below grade level, heightened demands are being placed on elementary teachers including national mandates governing student achievement (Ingersoll, 2002). Add students with specialized learning needs, students with diverse cultural and socio-economic backgrounds, and a myriad of other demands; it is really no wonder why elementary school teachers today encounter overwhelming stress, particularly in their novice years of teaching (Jazzar & Algozzine, 2007).

Although a teacher shortage of this severity may be considered a phenomenon of the new millennium; the study of teacher stress, on the other hand, is not new. Historically, interest has slowly increased among researchers to examine the phenomenon of stress in the teaching profession. Studies have suggested that teachers experience disproportionately high levels of stress compared to other occupations (Coates & Thoresen, 1976; Kyriacou & Sutcliffe, 1979). The National Education Association has conducted studies spanning sixty years indicating that teacher stress has caused health problems, absenteeism, and other conditions leading to teacher attrition (NEA, 1938, 1951, 1963). Teachers appear to experience more stress through work than other educators not in the classroom (Evans, Ramsey, Johnson, & Evans, 1985). As a consequence of teacher stress, one third of all teachers reported more than two decades ago that they would not have entered the field of teaching if they had an opportunity to choose again (Greenberg, 1984). The percentage of teachers who leave the profession as a direct result of stress is difficult to ascertain. A study conducted fifteen years ago indicated one-fifth to one-third of all surveyed teachers reported that they were considering leaving teaching as they perceived teaching to be stressful (Borg & Riding, 1991). Other earlier studies have established a correlation between prolonged teacher stress and teacher departure (Blasé, 1986; Bryne, 1988; Kyriacou, 1987; Pearlin, 1989).

Early career departures by teachers escalate if educational administrators (including elementary school principals and assistant principals, superintendents and assistant the

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superintendents, curriculum and instructional specialists, and other administrators influencing success of elementary school teachers) are unable to identify, understand, and address the conditions that threaten teacher retention (Ingersoll, 2001). Educational administrators need to understand that threats to teacher retention may be manifested from teacher stress (Ingersoll & Smith, 2003; Hanushek, Kain, & Rivkin, 2004; Rockoff, 2003). Stress results from how effectively teachers are able to meet the demands placed upon them by educational administrators and others and contributes to teacher decisions to stay or leave education (Hanushek & Lueg, 2000; Tye, 2002). In short, misunderstanding the demands faced by teachers can lead to inadequate support of teachers by educational administrators and prompt further exodus from the profession (Ingersoll, 2001). It is critical that educational administrators understand the demands and pressures inside and outside of classrooms (McCarthy & Lambert, 2006). The teaching profession has been identified as an occupation with a high risk of stress for decades (Kyriacou & Sutcliffe, 1977; Kyriacou, 2000). Current models of stress and coping, often referred to as transactional models, emphasize the importance of subjective cognitive evaluations of both external demands and perceived coping resources in determining whether demands become stressors (for a review, see Matheny, Aycok, Pugh, Curlette, & Canella, 1986). According to this perspective, individuals experience the psychological, emotional, and behavioral consequences of stress when perceived demands exceed available resources for coping. In educational settings, teachers are at risk for the harmful effects of stress when they face inadequate resources for performing their job successfully.

Three clusters of occupational demands are commonly reported in the literature for teachers who work with younger students. First, many teachers view children with behavior problems as the most demanding aspect of their jobs (Levin & Quinn, 2003). Second, French (1993) noted that larger class sizes may increase teacher stress and decrease perceived teaching efficacy (French, 1993). Lastly, research has revealed teacher concerns with excessive paperwork requirements, workload and time constraints, and pressure from administrators, specifically those related to mandated curricula and instructional strategies (Moriarty, Edmonds, Blatchford, & Martin, 2001).

Even as the demand side of the stress equation has gained considerable attention in the research, resources and strategies for teaching coping have also been investigated (Lewis, 1999; Hastings & Bham, 2003; Rydell & Henricsson, 2004). The primary coping method for elementary school teachers under stress is seeking out supportive people (French, 1993). Coping strategies employed in the classroom include sharing power in decision making with students and reducing reliance on emotion-focused strategies (Hastings & Bham, 2003). Lewis (1999) reported that teachers who report less stress are those most interested in empowering their students in the decision-making process. The two most common coping strategies employed by teachers are seeking social support and putting extra time and effort into work (Lewis, 1999; Hastings & Bham, 2003; Rydell & Henricsson, 2004). These findings may suggest the need for professional development curricula for teachers to assist them in effectively sharing power with students and in reflecting upon a range of more productive coping strategies (Johnson & Birkeland, 2003).

The situationally specific nature of both coping and the subjective experience of stress mean that individuals may report perceived control in one situation while making a different appraisal of resources and demands under other circumstances. Such a distinction seems especially important to examine in an educational context, where both resources and demands can vary considerably depending on classroom characteristics, teacher background, and school environment (McCarthy & Lambert, 2006). Furthermore, experts in the field of teacher stress research have called for measures that consider each teacher's unique occupational circum-

stances, particularly his/her perceptions of excessive administrative demands, teacher-child interactions, and classroom climate (Kyriacou, 2001). Measures that consider the needs of individual teachers can be of considerable value to school principals and their school district administrators.

The Classroom Appraisal of Resources and Demands, CARD, (Lambert, McCarthy, & Abbott-Shim, 2001) was designed for this purpose and was used as the primary data collection measure in the current study. The CARD focuses on the demands of the classroom environment and the material resources available to teachers to meet those demands. The CARD is particularly tailored to measure stress in preschool and elementary school teachers where students remain in one classroom for instruction in most subjects and generally with the same teacher. Therefore, the teacher's experience with a particular set of children is central to perceptions of working conditions.

The current study was based on previous studies in which perceptions of preschool (Lambert, O'Donnell, Kusherman, and McCarthy, 2006) and elementary (Lambert, McCarthy, O'Donnell, & Melendres, in press) teachers' demands, resources, and stress were related to structural characteristics of the classroom. Teachers who perceived their classrooms as stressful worked with higher numbers of children with problem behaviors and higher numbers of children with special needs than their peers who were not at risk for stress.

Additionally, the current study investigated teacher stress by examining teacher perceptions of student-related demands and student-focused resources along with the intentions of teachers to remain in the teaching profession. Specifically, this study had two purposes. First, various aspects of student-related demands and resources (additional adults in the classroom and instructional materials), as rated by teachers, were examined to determine which of these components of the workplace were perceived as most demanding and which resources were seen as most helpful in meeting those demands. Potential classroom demands included various classroom features including class size, student characteristics such as numbers of students with special education and physical needs, and the availability (or unavailability) of instructional materials. Resources were the availability of other adults to help the teacher, such as teacher aides and students' parents. The second research question was analyzed using teacher-reported intentions to return to their jobs in the academic year following the study. Sub-groups of teachers based on these intentions were compared with respect to their perceptions of the overall demand and resource levels in their classrooms.

METHOD

Participants

The participants were part of a convenience sample of 521 elementary school teachers working in sixteen elementary schools within one county that comprises part of the metropolitan statistical area for a large urban area in the southeastern United States. The sample included 4.3% males and 95.7% females. The teachers had an average of 11.94 years of experience in the profession ($SD = 8.845$). Their experience levels ranged from less than one year to a maximum of 38 years, and 5.57% of the sample was in their first year of teaching. The survey participants reported having the following degrees: associates (9.1%), bachelor's degree (61.2%), master's degree (29.7%), and currently working on an additional degree (11.2%). The teachers had worked at their current school for an average of 6.24 years ($SD = 6.31$). Their years of experience at their current school ranged from less than one year to as high as 34 years and 18.04% of the sample were in their first year at their current schools.

Procedures

The sixteen elementary schools within one county provided the researchers with access to eight schools (50%) designated Title I and four schools receiving Targeted Assistance (37.5%). The percent of minority students in each school ranged from 11% to 52% (Mean = 30.75%, SD = 12.06). The state accountability testing system provides a composite score for elementary schools. This score represents the percentage of students who are performing at or above grade level within the grade levels that are subject to state testing. The mean composite score was 87.56 (SD = 4.162) for the academic year preceding the study and the scores ranged from 80.9 to 93.0. Five of the schools (33.33%) made their adequate yearly progress goals (AYP) for compliance with the No Child Left Behind federal guidelines. From the first wave of data collection, one school was in its first year of operation. Subsequently its achievement data were not available for the year preceding the study.

Two waves of data collection took place over two academic years and occurred during the fall and spring. The surveys were administered at staff meetings. The participants were given the option of returning the surveys to the researchers during the meeting or mailing them to the university using a business reply envelope that was provided. This method ensured anonymity and confidentiality and separated ratings of the classroom from school administrators. In every participating school the researchers obtained a 100% or nearly 100% cooperation rate among teachers who attended the staff meetings. In the cases where some teachers did not return surveys during the meeting, some business reply envelopes were returned to the researchers with completed surveys.

Due to concerns related to confidentiality and anonymity, the researchers choose not to ask the participants to report their grade level or ethnicity. Within many elementary schools the combination of ethnicity and grade level can completely identify an individual. The researchers obtained the ethnic composition of the staff from each school, and due to the high cooperation rates, estimated the ethnicity of the participants as follows: European American (90.4%), African American (1.4%), Hispanic (0.8%), and Asian (0.2%). The remaining participants (7.3%) checked their ethnic composition as other for reasons unknown to the researchers.

Measure

The CARD (Lambert, McCarthy, & Abbott-Shim, 2001) was used in this study because it was developed to assess teacher stress by examining perceptions of both the demands that are specific to their classrooms and the resources their schools provide to address these demands. In other words, the CARD attempts to assess teacher stress, using the transactional theory of stress in which the central construct is cognitive appraisals, and resources (Lazarus & Folkman, 1984). The item content developed was based on both a review of the literature concerning stress among teachers of young children and interviews with teachers and administrators. During the development of the measure, the authors conducted several pilot studies and obtained feedback from participants as to the content and format of both items and the measure as a whole, as well as whether the measure seemed to cover the overall content domain of teacher stress in elementary settings.

The CARD was administered to the sample of elementary school staff members described above. Each respondent was asked to report some personal background characteristics, the demographic composition, and unique or demanding features of their classroom. This list of responses constituted one aspect of teachers' demands: classroom features. The CARD

also includes several scales measuring whether personal and school-provided resources were sufficient to handle classroom demands. This part of the measure is divided into two sections, Demands and Resources. The present study is part of a larger study on various aspects of teacher stress, burnout, coping, and classroom structural characteristics in elementary settings.

Three scales from the CARD were used in this study: Availability of Instructional Materials subscale and the Student-Related Demands subscales within the Demands section of the measure contain 5 items and 15 respectively. Each item consists of ratings of the severity of demands associated with various aspects of the classroom environment using a five-point Likert scale that ranges from 1, "Not Demanding", to 5, "Extremely Demanding." The third study subscale, the Additional Adults in the Classroom subscale within the Resources section of the measure contains 5 items consisting of ratings of the helpfulness of teacher aides, parent volunteers, and mentors using a five-point Likert scale that ranges from 1, "Very Unhelpful," to 5, "Very Helpful." The items reported in this study came from the following CARD subscales and are reported with the Cronbach's alpha values from this study in italics followed by values from previous research (Lambert, McCarthy, O'Donnell, & Melendres, in press): Availability of Instructional Resources (.894 / .877), Student-Related Demands (.929 / .928), and Additional Adults in the Classroom (.836 / .828).

Data Analysis

The first purpose of the study, to examine various aspects of the classroom in order to determine which components were perceived as most demanding and which resources were seen as most helpful, was addressed using descriptive statistics. The item level means and standard deviations for each CARD item that was considered relevant to the central themes of this study were calculated and examined relative to other similar items. In addition, the percentage of teachers who responded with the two highest levels on the five point Likert scale for each item was calculated. This analysis also facilitated comparisons between items in terms of the percentage of teachers who felt that each respective component of the classroom environment was either quite helpful or considerably demanding. Given that the distribution of item responses was often not symmetrical, these percentages offered additional information beyond the means and standard deviation.

The second purpose of the study, a comparison between teachers reporting intentions to return to education and those not intending to return, was analyzed using t-tests. Sub-groups of teachers based on these intentions were compared using the scale scores of the CARD. The Demands, Resources, and Stress scale scores were used as the dependent variables in these analyses as each of these scales yielded scores with high reliability using the data from this sample. In addition, the decision was made to not use item level statistics as the dependent variables in these analyses as such an approach would focus on information that would not likely be as reliable as the scale scores, and would require so many comparisons between the groups that the family-wise type I error rate could be seriously compromised.

RESULTS

Table 1 displays the structural characteristics of the classrooms within which respondents work. The average class size was 22.23 ($SD = 2.34$) and the average classroom percentage of children in a variety of subgroups ranged from as low as 1.05% for children with physical disabilities to as high as 25.57% for children performing below grade level. Teachers reported

having an average of 3.50 children with problem behaviors in their classrooms, which can be equated to 15.94% of the classroom composition.

The teachers in this sample reported consistently low levels of demands related to the availability of instructional resources (see Table 2). The majority of teachers reported that obtaining instructional resources did not present difficulties across the items on this sub-scale. The highest item level percentage (20.20%) reporting “Very Demanding” or “Extremely Demanding” came in response to the item regarding instructional technology. In addition, teachers reported that they generally found additional adults in the classroom (aides and parent volunteers) to be helpful in meeting the needs of the children (see Table 3). The only item that the majority of the teachers did not indicate as “Moderately Helpful” or “Very Helpful” (47.40%) focused on adult mentors from the community.

When asked about the overall level of demands in their classrooms, the teachers in this sample rated their classrooms on average between “Moderately Demanding” and “Very Demanding” ($M = 3.58$, $SD = .97$) with the majority of teachers (52.30%) endorsing ratings of “Very Demanding” or “Extremely Demanding.” When asked about specific student-related demands, the responses ranged from as low as 18.30% indicating that children with physical disabilities were “Very Demanding” or “Extremely Demanding” to as high as 64.00% endorsing these ratings concerning children who require more time and energy than most children. Not surprisingly, all of the items that referred to problem behaviors or below expected grade level development or achievement were given ratings in the “Very Demanding” or “Extremely Demanding” range by the majority of teachers.

With respect to the second purpose of the study, 7.8% ($n = 40$) of the respondents reported that they do not intend to return to teaching for the academic year following this study. When those who intended to leave teaching were asked the reason for this decision, 12.5% ($n = 5$) of these teachers indicated that they were being promoted out of the classroom into administration or would be occupying other non-teaching positions within education. Personal reasons such as a family move, pregnancy, or retirement were reported by 42.5% of the teachers ($n = 17$). Professional reasons such as pursuing a career change, the stresses of teaching, low pay, or lack of professional recognition were cited by 45.0% of the teachers who do not intend to return to the classroom ($n = 18$). It is this third group that was of most interest in the current study.

When the scale scores of the group intending to leave teaching were compared to the rest of the sample, they reported higher mean scores on the CARD Demands scale, lower scores on the Resources scale, and higher scores on the Stress scale score. Table 5 indicates the scale score means for each group. The group who intend to leave teaching because of the working conditions scored almost four tenths of a standard deviation higher than all other teachers (effect size = .388) on the Demands scale. However, this difference was not statistically significant ($t = -1.974$, $df = 19$, $p = .063$). The difference between the two groups on the Resources scale was also not statistically significant ($t = 1.290$, $df = 18$, $p = .213$), though it was in the expected direction. The teachers who intend to leave rated, on average, resources as less helpful than the rest of the sample (effect size = -.344). The Stress scale score represents the difference between the Demands and Resources scale scores and thereby indicates by positive values that Demands exceed Resources, the stress condition. The teachers who intend to leave education scored almost half of a standard deviation higher (effect size = .471) than the rest of the sample and this difference was statistically significant ($t = -2.222$, $df = 19$, $p = .039$). The average score for the remainder of the sample was a negative value, indicating that Resources met or exceeded Demands. Separate variance estimates rather than

pooled tests were used for these analyses given the greatly imbalanced sample sizes and unequal variances of the groups.

DISCUSSION

Student characteristics in a class of twenty-two students on the average were diverse as identified by 521 elementary school teachers. Over one-fourth of all the students were performing below grade level, leaving little wonder as to the demands teachers faced each day. Approximately a fifth of all the students in each class are developmentally behind most other children, adding to the challenges of elementary school classroom. Making the work of elementary school teachers more complex in bringing students below grade average up to grade level and elevating other students who are developmentally lagging up to appropriate levels are the students with other teaching difficulties such as students with behavior problems, English language barriers, and learning disabilities.

The procurement of instructional materials by elementary school teachers was not considered difficult by those responding to the survey. Instructional technology was considered to be most demanding when compared to other instructional materials with one fifth of the teachers responded with very demanding or extremely demanding. Therefore, the availability of instructional materials did not constitute conditions leading to stress as felt by the elementary teachers. In this day and age of budget cutting and fiscal limitations, the teachers surveyed may very well not be a true representation of other faculties in other schools elsewhere where materials, equipment and supplies are not as commonly available (Kozol, 1991).

So what was helpful to the elementary teachers? Aides and assistants in the classroom were felt by 416 of the 521 elementary teachers to be helpful in meeting the needs of students. Parent volunteers in school and parent support outside of school were also considered helpful by more than half the teachers surveyed. The only item under additional adults in the classroom that was considered by less than half of all teacher respondents as helpful was adult mentors from the community. With student characteristics diverse and challenging, it comes as little surprise that elementary teachers value other adults in their classrooms, particularly adults that have received training and have experience in helping students.

Other adults in the classroom were seen as the most helpful intervention by the teachers responding to the survey. All items that were listed under student-related demands in reference to problem behaviors or unsatisfactory achievement were considered as very demanding or extremely demanding by 53.8 percent to 64 percent of all the teachers (as presented in Table 4). Under No Child Left Behind where one hundred percent of the all test takers will need to achieve proficiency in 2014, aides, assistants, other trained adults, and a plethora of other solutions in working with students with specialized demands will need to be implemented by educational administrators to curb the early career departure of elementary school teachers.

The analyses conducted for the second research question in this study showed that a total of forty respondents had no intention of returning to teach the following school year. Five teachers indicated they were being promoted out of the classroom or would be moving to non-teaching positions. Seventeen teachers cited personal reasons for not returning to teach such as a family move, pregnancy, or retirement. Eighteen teachers stated they were not planning to return due to professional reasons incurred from the stress of teaching, inadequate compensation, or lack of recognition. Although educational administrators may have little influence over elementary school teachers who are welcoming promotion or personal goals, there is much school and school district leaders must do to provide improved professional conditions.

Specifically, districts need to enhance professional working conditions for teachers by reducing demands, enhancing resources, and lessening stress.

Elementary teachers who indicated that they had plans of not returning to teaching the following year felt strongest about student-related demands. In other words, they needed assistance with their students. Almost fifty-three percent of the teachers who intended to leave rated, on the average, resources as less helpful than the rest of the sample. With stronger feelings of student-related demands averaging forty-nine percent and feeling less helped by resources, teachers not returning to teaching the following year had significantly more stress. If educational administrators are to curb the early career departure of elementary teachers, they must reduce their teachers' stress by altering the perceptions of demands and providing meaningful resources.

In retrospect, stress researchers have consistently identified perceptions of the sufficiency of one's coping resources for dealing with life demands as a critical variable in whether or not harmful levels will be experienced (Lazarus & Folkman, 1984; Matheny et al., 1986). A contribution of this study is that it clearly identifies the demands and recourses important to elementary school teachers to make their work more manageable. As Ingersoll (2001) noted, the primary cause of teacher shortages is not a lack of professionals entering the field, but rather a "revolving door" created by teachers leaving the field for reasons other than retirement. It therefore seems important that researchers identify specific factors that lead to teacher stress and presumably, in the long run, the decision to leave the field, in order to improve the preparation and performance of elementary school principals and school district administrators.

While numerous measures exist in the literature for measuring various aspects of the stress process (Green et al., 1988; Hammer & Marting, 1988), few attempt to assess the central theoretical premise of transactional models of stress: that stress symptoms occur when perceived demands exceed perceived resources (Lazarus & Folkman, 1984). The use of the CARD in this study to measure the relationship between perceived demands and resources appeared to be a viable strategy for understanding teachers' perceptions of stress. In our review of the literature few other studies have attempted to measure both teacher resources and demands in way that is theoretically consistent with transactional models of stress.

Guidance for Educational Administrators

With one-third of our nation's teachers leaving their profession within their first five years of teaching, it is time for educational administrators to stop this exodus. For educational administrators to curb the early departure of elementary school teachers, they must first identify, understand, and intervene with reasonable solutions that enhance teacher retention. This study investigating elementary teacher stress leading to early career departure reveals valuable guidance for educational administrators.

First, educational administrators need to work diligently to maintain teacher-student ratios that promote teaching and learning. If the number of students in any given classroom is not a manageable number as perceived by the teacher, he or she may be set up for failure from the very beginning. With numerous students having behavior problems and a myriad of other student-related demands as identified in this study, teachers will need smaller class sizes to meet the needs of every student. With the demands of No Child Left Behind and IDEA, teachers need ample opportunity to work individually with students: such targeted efforts are not feasible in larger sized classrooms. In essence, educational administrators need to staff for success with teacher-to-student ratios remaining conducive to quality teaching and increased learning opportunities.

With students presenting increasing demands entering schools today, educational administrators will need to thoughtfully schedule and carefully assign students with specific demands, particularly students who are disobedient, defiant, or below grade level, as identified under student-related demands in this study, into new teachers' classrooms. New teachers need the opportunity to design lesson plans, develop classroom management skills, attain confidence from positive instructional experiences, and develop their strategies in teaching students with specific challenges. In actuality, it takes experienced teachers with proven skills to best educate students with the greatest needs. Too often, the most senior teachers are assigned the easiest students with fewer demands. If early career departures are to be curbed, educational administrators will need to place students into new teachers' classrooms with care and concern.

Educational administrators need to rethink the conventional practice of promoting the best teachers out of the classroom. As the number one aim in education is student achievement, the very best teachers are needed to meet the ever-increasing student-related demands. In this redesign of educational importance, support (inclusive of increased compensation) needs to be provided to encourage teachers to remain in the classroom. Teacher leaders are needed if students are to achieve school-wide expectations, NCLB mandates, and societal and business needs.

Educational administrators will need to advocate and provide for conditions in schools today that temper demands and diffuse teacher stress. Teacher stress caused by unfavorable, overwhelming, and unrealistic demands cause teachers to consider, and too often act upon, early career departure. Educational administrators' understanding and support of teachers will contribute to maintaining a quality teacher in every classroom. Schools must remain as centers of encouragement for one and all.

Although not directly measured in this study, it is important to mention that educational administrators need to provide new teacher induction programs, annual orientation programs, teacher mentoring, and continued professional development that promotes and provides classroom instructional skills. During the impressionable years of teaching, educational administrators need to stress the importance of best instructional practices with new teachers. Educational administrators need to provide opportunities for new teachers to learn how to manage teacher stress as affirmed by this study. Educational administrators need to take the lead in forming learning communities where new teacher support is a priority. In addition to the aforementioned administrative initiatives for new teachers, administrators should make their expectations clear, communicate that they are vested in their new teachers' success, meet with new teachers regularly, and provide constructive feedback for instructional improvement.

Educational administrators can benefit from basing decisions they make and actions they take upon current research such as that contained in this study. The implementation of the Classroom Appraisal of Resources and Demands (CARD, school age version) has resulted in empirical guidance for educational administrators to consider so that they may curb early career departure of elementary school teachers. The time is now for educational administrators to stop the exodus of teachers from their profession by identifying, understanding, and implementing the findings in this study and other similar research investigations.

Limitations

The 521 elementary school teachers reported that teacher aides and teacher assistants in their classroom were most helpful. This sends a clear message to educational administrators that a dollar earmarked for classroom personnel is a dollar that meets the teachers' prefer-

ences. Yet, the correlation between additional personnel and increased student achievement is not known in this study. With the nation's concern for student achievement, this study is limited in this scope.

Like other studies of such nature, educational administrators and other readers need to be aware of the limitations of this study. The sample was one of convenience. All of the data for this study were collected using one self-report instrument. The findings are descriptive and correlational, and caution should be exercised in making any causal inferences based on the findings of this work. However, the transactional model of stress upon which this work is based emphasizes the role of the cognitive process by which *perceived* demands are weighed against *perceived* resources. Cognitive appraisals, categorizations of demands and resources rooted in one's idiosyncratic *perceptions* of events and circumstances, are presumed to be central to this process and ultimately related to one's risk of the stress response (Lazarus & Folkman, 1984). Therefore, self-report data is critical to an understanding of teacher stress and an appropriate data collection strategy given the nature of the research questions.

FUTURE RESEARCH

Future research that makes use of mixed methods by adding some observational data to the self-report information from standard measures of teacher stress may help advance our understanding of the differences in classroom processes and interactions that are characteristic of teachers who experience stress and those who do not. Such findings may guide educational administrators in curbing the early departure of elementary school teachers. Future research using the CARD will be most useful if it can extend the reliability and validity evidence for the use of the measure in various educational contexts. Additional studies are needed to extend the evidence for the construct validity of the measure, particularly by using it along with existing measures of coping, burnout, and stress.

CONCLUSION

This study provided data for the guidance of educational administrators in curbing the early career departure of elementary school teachers. The method of measuring teacher stress in a context-specific way by directly assessing and comparing teacher perceptions of classroom resources and demands offers promise as a strategy to further investigate and test the application of the transactional model of stress and coping in educational settings. In doing so, this study contributes to the advancement in general of educational administration. Furthermore, the findings of this study are valuable to professors of educational leadership in preparing aspiring principals to ameliorate stress and prevent the early career departure of elementary school teachers.

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Table 1

Classroom Characteristics

Classroom Feature	Mean Number of Children	SD	Min	Max	Mean Percent of the Classroom
Class size	22.23	2.34	14	29	
English language learners	3.30	3.62	0	28	15.06%
Developmentally behind most other children	4.27	3.25	0	20	19.37%
Learning disabilities	2.80	2.28	0	23	12.63%
Physical disabilities	0.23	0.57	0	4	1.05%
Gifted or talented	2.27	2.54	0	17	9.86%
Homeless or transient	0.37	1.22	0	12	1.70%
Poor attendance	1.35	1.41	0	10	6.13%
Behavior Problems	5.63	3.42	0	27	13.99%
Performing below grade level	5.63	3.42	0	27	25.57%

Table 2
The Availability of Instructional Materials Subscale

Item	Mean	SD	Percent Demanding
Availability of instructional resources (materials, teacher guides, etc).	2.17	1.12	11.70
Availability of instructional materials (non-consumables materials, books).	2.29	1.18	16.20
Availability of instructional supplies (consumable materials, pens, markers).	2.14	1.15	14.00
Availability of instructional technology (computers, software, printers, etc).	2.38	1.27	20.20
Instructional materials and resources are out dated (not current editions).	1.96	1.08	9.80

Note. Percent Demanding = The percentage of respondents who endorsed either Very Demanding or Extremely Demanding.

Table 3
The Additional Adults in the Classroom

Item	Mean	SD	Percent Helpful
Aides/assistants.	4.21	1.04	81.40
Parent volunteers.	3.58	1.06	58.20
Parent support os school learning activities (field trips, providing materials).	3.76	1.01	66.60
Parent support of learning activities at home (homework, enrichment, etc).	3.67	1.04	61.60
Adult mentors from the community.	3.33	1.13	47.40

Note. Percent Helpful = The percentage of respondents who endorsed either Moderately Helpful or Very Helpful.

Table 4
Student-Related Demands

Item	Mean	SD	Percent Demanding
Disruptive children.	3.65	1.19	58.10
Children who do not follow directions.	3.72	1.09	60.80
Children with problem behaviors.	3.64	1.15	57.70
Children who require more time and energy that most children.	3.75	1.09	64.00
Number of children in the classroom.	3.09	1.16	38.50
Children with limited English skills.	2.70	1.31	30.00
Children from diverse cultural backgrounds.	2.50	1.14	48.50
Range of developmental levels.	3.80	1.04	63.10
Number of children performing below grade level.	3.53	1.08	53.80
Children with learning disabilities.	3.20	1.13	39.00
Children with physical disabilities.	2.22	1.19	18.30
Gifted and talented children.	2.49	2.43	21.50
Homeless or transient children.	2.38	2.41	21.20
Children with poor attendance.	2.52	1.13	22.10
Overall how demanding is your classroom?	3.58	0.97	52.30

Note. Percent Demanding = The percentage of respondents who endorsed either Very Demanding or Extremely Demanding.

Table 5
CARD scale scores by intent to remain in education

Scale Score		Intent to Stay	Intent to Leave	Effect Size
Demands	Mean	48.980	52.846	0.388
	SD	9.966	8.092	
Resources	Mean	52.481	49.678	-0.344
	SD	8.147	9.086	
Stress	Mean	-3.483	3.168	0.471
	SD	14.133	12.411	

Building Capacity and Connectivity for Alternative Education: The Evolving Role of the Educational Administrator

Carol A. Kochhar-Bryant and Dennis L. White

INTRODUCTION

Despite a plethora of youth intervention policies, school dropout rates have remained stable for the past two decades, with more than a million students leaving school each year. Researchers examining school dropout are concerned that high stakes testing and the resulting retention will cause the dropout problem to increase by 50 percent over the next five years (Schargel, 2003). Furthermore, a rising number of youth are suspended, expelled, or placed into alternative settings due to behaviors resulting from emotional/behavioral disabilities, school code violations, and general school alienation. One third of this country's young people ages 18–24, therefore, may enter adult society without adequate preparation.

At the same time, alternative education programs and schools are proliferating across the U.S. with approximately 10,000 alternative education schools now in place that provide educational and developmental support for children and youth who are at risk of failing in school and in life (White & Kochhar-Bryant, 2005, p. 29). As high school graduation rates have declined, the rate at which American children have been turning to alternative education has more than doubled. State education leaders report that they are now more likely to rely on alternative placements for students with learning and behavioral challenges, particularly in response to new student achievement accountability requirements (GAO, 2003; Lehr, 2004). Alternative schools are now receiving serious attention from education administrators and school improvement proponents at state and local levels. Data emerging from the states indicate that *administrators want and need help building capacity to develop a range of appropriate educational options or pathways that respond to the highly diverse needs of at-risk youth* (White & Kochhar-Bryant, 2005).

The authors explored the need for additional capacity and improved connectivity to support alternative education schools and programs. We propose a common definition of alternative education, describe an original connection between ancient pedagogy and modern alternative education, present the economic benefits and costs of alternative education, and discuss implications for administrators and instructional leaders to create quality programming.

RESPONSIBILITY OF THE ADMINISTRATOR TO CREATE LEARNING OPPORTUNITIES

Traditionally, school and district administrators focused their roles on school resources, safety, and ceremonial duties of the school. Today, however, the administrator is accountable for improving the academic achievement of diverse students, becoming an expert on state standards and benchmarks, and developing new systems for decision making (Hess, 2003; Mazzeo, 2003; State Action for Education Leadership Project, 2003). To address these new

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expectations for student achievement and decision making, the education administration role is becoming defined more by exploring intellectual and emotional leadership as a way to flatten traditional hierarchies, to empower teachers, and to build professional relationships and collaborative cultures, creating effective learning organizations based on principles and values (Covey, 1992; Hargreaves, 1994; Hargreaves, et al., 2000; Lambert, 1998; Speck, 1999).

Recent emphasis in the research on the administrators' role has been on the creation of a professional knowledge base for administrators and helping them become change agents (Donmoyer, Imber & Scheurich, 1995; Fullan, 1999; Hargreaves & Fullan, 1998). The expansion of the role of administrator has broadened the initial definition of instructional leadership to include leadership inside and outside the school, forming connections with the communities in which they are situated to support the work of the schools (Interstate School Leaders Licensure Consortium, Council of Chief State School Officers, 1996; Senge et al., 2000). *What is missing in the discussion* of change agency and collaboration is the discourse on relationships with students, the responsibility for creating emotionally healthy school environments, and the responsibility for creating effective options for students who could benefit from alternatives to conventional schooling.

ROLE OF THE ADMINISTRATOR IN RESPONDING TO LEARNER DIVERSITY

American public schools are under great pressure to create schools that are responsive to diverse students (Riehl, 2000). About 10% of children in the public schools have disabilities or are considered 'at risk' of not progressing in general education. More than 20% of children live in poverty, and the same proportion live in households headed by an immigrant (Olson, 2000). Education administrators must be equipped with legal, pedagogical, and cultural knowledge, and practical strategies to initiate and support effective programs for all students, including those at-risk and those with special education needs. It is important to ask—*is the administrative role structured to respond to the shifting education environment and needs of the student population?*

It is becoming increasingly clear in administrator credentialing that administrators are expected to evaluate whether all populations of students are benefiting from current instructional practices and school improvement initiatives (Thurlow, Elliott, & Ysseldyke, 1998). Furthermore, there is broad evidence of the interrelationships among the administrator or principal's behavior, school climate, teacher performance and attitudes, and student progress and motivation (Collins & White, 2001; Fullan, 2005; Salisbury & McGregor, 2002; Sergio-vanni, 1992). What is much *less clear is the role expectation of the administrator for instructional leadership with students who do not 'fit' within the conventional general educational environment.*

There is no standard definition for the students 'at risk' of needing alternative education; they are not a homogenous population. Although the term has been defined in a variety of ways, it typically refers to students who are in school but at risk of school failure, are unmotivated and disengaged in the general education setting, have dropped out of high school, are seeking a General Education Diploma (GED), or have experienced an unstable family life, family poverty, single parent homes, divorce, physical abuse, or substance abuse (Hallahan & Kauffman, 2002; Kidscount, 2003; Smith, Polloway, Patton, & Dowdy, 2001; Vaughn, Bos, & Schumm, 2003). Students considered at risk often exhibit anti-social behaviors toward adults and their peers, or may be disengaged from learning, which causes them to fall behind academically. They come from every ethnic, religious, and socio-economic group. They may or may not be eligible for special education services, yet they need special learning interven-

tions or supports to be successful in school (Smith et al., 2001). Frymier (2006; 1996) observed that motivation is an individual matter; children differ in personality, background, and experience, in sociability, creativity, intelligence, and interests. The range of risk factors that can impede learning demands a range of learning environments and instructional strategies as well as close coordination with the human services sector in the community.

Several questions are relevant: What is the administrator's role in expanding the concept of 'learning environment' including:

- 1) intervening with students who do not respond positively to large, impersonal environments, regimented routines, fixed curriculum, or to traditional student management, incentives and reward structures;
- 2) discovering what makes students want to learn and improving student motivation—the precondition for academic achievement;
- 3) strengthening relationships between teachers and students;
- 4) creating alternative learning opportunities and programs (in school and out of school) for youth who are at-risk for failure and dropout or who do not 'fit' within the conventional educational structure; and,
- 5) creating linkages with the community to provide non-academic interventions and supports to help students overcome barriers to learning?

Within this context of unprecedented new challenges for the administrator, the preparation of educational leaders to plan for, administer, and evaluate alternative educational programs for youth, and connect with the community remains ill defined. Minnesota is currently the first state to elevate the position of administrator/ director of alternative education to one that requires licensure (University of Minnesota, 2006).

DEFINING ALTERNATIVE EDUCATION

The argument over the essence of alternative education is at least as old as the alternative schools movement that began in the 1960s, and the semantic argument about labels continues. Primarily, it is a matter of educational organization and practice, and there are at least three distinctly discernible types of alternative schools. Classifications of types of alternative education schools and programs by Raywid (1990) and Lange and Sletten (1995) illuminate the "wrinkles." According to Raywid, there are "pure alternatives," or schools and programs that are more humane, more responsive, more challenging, and more compelling than regular schools (Type I); schools and programs that serve as the "last chance" for the worst and weakest students (Type II); and "compensatory alternatives," or schools and programs that are remedial for academic purposes (Type III). In the purest sense, Type I schools and programs are "alternatives," Type II are "disciplinary," and Type III are "compensatory." Lange and Sletten (1995) have described a fourth type of alternative school or program, actually a hybrid of Raywid's three types in that it combines elements of the pure, disciplinary, and compensatory alternatives. Since most alternative schools and programs today are hybrids, the authors propose the following common definition of alternative education:

Alternative education refers to programs, schools, and districts that serve students and school-aged youth who are not succeeding in the regular public school environment. Alternative education offers to students and school-age youth who are underperforming academically, may have learning disabilities, emotional or behavioral problems, or may be deliberate or inadvertent victims of the behavioral problems of

others, additional opportunities to achieve academically and develop socially in alternatively structured learning environments. (White & Kochhar-Bryant, 2005, p. 2)

In other words, alternative education can be a specific program for selected students, including for example, incarcerated youth, previously incarcerated youth, and dropouts who cannot otherwise re-enter a regular school. The program can be operated within a regular school site or established as a separate alternative school within a school district, as a separate school district, or even as a point-of-service program for detained youth. The terms, alternative education programs and alternative schools, may be used as synonyms for alternative education; however, in general, an alternative education program co-exists in the same facility with the regular curriculum and instruction, but an alternative school resides in a separate facility. A common definition could enhance the public perception of and appreciation for alternative education and help define responsibilities for building capacity to serve students who need it.

ANCIENT PEDAGOGY AND MODERN ALTERNATIVE EDUCATION

The ancient history of alternative education might well focus on the *paidagogos* [*paidos* (boy, *agogos* (leader))], the Greek word for the slave who led children, literally, to and from school. The women of the family and the family nurse supervised the development of both the boys and girls of the family until about age 7. From then to about age 14, the *paidagogos* replaced the family nurse and supervised the boys at home and at school, regularly observed the actual school lessons, and escorted them to and from school. The *paidagogos* was responsible for teaching the boys good manners (Amos and Lang, 1979; 1982, pp. 161–162). The *paidagogos* was considered more important than the schoolmaster and the *grammatistes* who only taught the boys their “letters”; but the *paidagogos* taught them how to behave, a much more important matter in the eyes of their parents (Castle, 1961, pp. 64–65). Within this historical context, Watt (2006) described pedagogy as a relationship in which one party [the *paidagogos*] guides the other [the student] through sometimes difficult terrain, perhaps breaking a path where it has become overgrown with weeds, perhaps extending a helping hand. The *paidagogos* might have been practicing alternative education as it is practiced today.

A second history of alternative education might focus on the alternative school movement that began in the 1960s. Alternative education evolved along two paths, public and private, with multiple variations in each.

Early Public Alternative Education

Open Schools represented the early public alternative school movement. These public Open Schools were characterized by parent, student, and teacher choice (Lange and Sletten, 2002). During the late 1960s and early 1970s, and under the influence of the counterculture of that period (Raywid, 1990), other public alternative schools were established. These schools appeared “at a time of great innovation and movement in the educational system with lasting implications for public schools with respect to curriculum, delivery, and structure” (Lange and Sletten, 2002). These early schools, which could be called choice-based “learning alternatives,” resembled Raywid’s Type I alternative schools.

A Federal Initiative

The postal academy program represents the direct federal experience in alternative educa-

tion. From 1969 until 1973, the U.S. Post Office Department operated the postal academy, “to motivate and train hard core dropout youth to obtain a high school equivalency diploma and become productive citizens. It did this by establishing small storefront schools and by staffing these storefront schools with postal employees who served as teachers and street-workers, or counselors” (Bentley Historical Library, 2005, p. 1). The primary objective to educate and motivate disadvantaged school dropouts was the strongest part of the program (U.S. Department of Labor, 1971, p. 62). At its peak, the postal academy program operated at 17 sites in six U.S. cities including Atlanta, Chicago, Detroit, Newark, San Francisco, and Washington.

Early Private Alternative Education

The nonpublic alternatives included community schools and Free Schools. The community Freedom Schools were intended to provide high quality education to minorities in response to the substandard education they received in the regular public school system. These schools stood at one end of the continuum of community and individualism. At the other end of the continuum was the Free School Movement, based on individual achievement and fulfillment. According to proponents of this movement, mainstream public schools, which were inhibiting and alienated many students, should be structured to allow students to freely explore their natural intellect and curiosity—free of restrictions. In these Free Schools, of which Summerhill is the best known, formalized teaching was the exception rather than the rule, academic achievement was considered secondary to individual happiness, and achievement was valuable only where it helped the individual attain self-fulfillment (White & Kochhar-Bryant, 2005).

Diversity of Programs in Alternative Education

The focus on the individual student/learner is the core of the Raywid (1990) classification, introduced earlier. For instance, the Type I alternative is, effectively, a “learning alternative” that emphasizes the learner and that can be viewed as a replacement for regular school. The Types II (“disciplinary alternatives”) and III (“compensatory alternatives”) emphasize the person and the person’s difficulties rather than the school’s or the system’s flaws and can be viewed as enhancements for regular school.

The hybrid of Types I, II, and III, the Type IV alternative or “second chance” programs (Lange and Sletten, 1995), and the variations of Type IV represent what is commonly perceived as alternative education programming in U.S. public schools. Hartzler (as cited by Morley, 1991), presented a matrix of strategies upon which alternative schools are designed (see Table 1). The Hartzler matrix represents the variations in curriculum, form, and individual student/person needs that are commonly addressed in alternative education and is an example of the disaggregation of the Types I, II, III, and IV alternative education classification.

More recently, Roderick (cited in Aron, 2006) proposed another type—the Roderick proposal is either a Type V or a new typology—where a student’s educational needs are emphasized above risk factors, demographics, or program characteristics. In a somewhat different conceptualization than Hartzler, Aron (2006) illustrated the consequential and necessary diversity in alternative education. The authors described this diversity as versatility and agility in the structures and delivery of services in modern alternative education (White, 2003). However, even in alternative education, Gregg (1998) advised that a fix-the-student focus in place of a fix-the-system focus, as implied in all prominent classifications, is problematic. “[In particular,] a focus on ‘problem’ students may obscure or ignore real problems in the

school system. . . Programs that target individuals divert resources from everyone else. . . A focus on problem students may threaten system equity by segregating poor, disabled, [or] minority students in alternative programs” (Gregg, 1998, pp. 1–2).

Table 1. Strategies for alternative education schools and programs.

Curriculum-based		
Specialized school	Magnet school	Academic/college prep
Community-based school	Fundamental/structured school	Magnet program
Career education/vocational program	Advanced placement	Work experience/internship
	Outreach activities	Experience-based learning
Form or Structure-based		
Comprehensive school	Year-round school	K-12 multigrade school
School without walls	School-within-a-school	Regional occupational program
Summer school (remediation)	School/class learning center	Teacher/peer tutoring
CORE proficiency program)	Flexible scheduling	Home schooling
Student Need-based		
Multicultural or ethnic center	Opportunity school	Continuation
Alternative school	County community school	Court school
Open school	Adult school	Adult corrections
Opportunity program	Gifted and talented education	Special education
Migrant education	Compensatory education	Bilingual education
Teenage pregnancy and maternity program	Competency-based	Adult basic education
Independent study	GED prep	Intensive guidance
Tenth grade counseling	Learning-style based	Student-parent education
	Job development and placement	Counseling-based
		Open entry-open exit

This table is adapted from Morley (1991), as provided by Lynn Hartzler of the California Department of Education.

Today, alternative education is not always for students with social and/or academic deficiencies—actually, there are many schools-within-a-school (SWS) or alternative schools with very high achieving populations. Interestingly, many of the progressive practices that were once found in elite progressive schools are now being implemented in urban schools with high risk populations (personal communication with S. Semel, September 18, 2000).

In a review of the literature, Tobin and Sprague (1999) identified seven best and preferred practices in education of at-risk students. They include (a) low ratio of students to teachers; (b) highly structured classroom with behavioral classroom management; (c) positive rather than punitive emphasis in behavior management; (d) adult mentors at the school; (e) individualized behavioral interventions based on functional behavioral assessment; (f) social skills instruction; and (g) high-quality academic instruction (Tobin and Sprague, pp. 8–11, see table I on p. 9). Alternative education has become a type of educational reform that has continued to grow and develop, even during times of fiscal austerity (Barr (2001). These alternatives have contributed to the national discussion regarding choice in education, have helped desegregate city schools in almost every major city in America, provided specialized programs for the gifted and talented, and been *instrumental in addressing the needs of at-risk youth* (personal communication with R. Barr, February 24, 2001, italics added by authors).

ECONOMIC BENEFITS AND COSTS

The economics of alternative education is complex, but it can be framed in the answers to three basic questions: What is the direct per-pupil cost of alternative education? What are the individual and social sectors that are impacted by alternative education? How can the benefits and costs associated with those sectors be calculated or estimated? Without a more complete directory of alternative education programs and schools than currently exists, the authors cannot answer the first question, and the answer to the third question involves an analysis that is beyond the scope of this paper. There is some consensus among scholars on the budget line items for the per-pupil cost of alternative education.

Direct per-pupil costs of alternative education generally exceed those of regular schools and programs due to lower student-teacher ratios, additional services for students, customized intervention and prevention programming, and other factors. The cost that is most relevant for an economic analysis is the *additional, indirect* per-pupil cost in alternative education, a cost that might be as difficult to calculate as the acceptable cost for providing adequate public education for all students (Hoff, 2005).

The complexity of the economics and the challenges for calculating the costs are related to the impacts of alternative education on individuals and social sectors; some are more direct than others. There are at least 21 of these impacts, which have been summarized from Have-*man & Wolfe* (1984) and *Butts, Buck, & Coggeshall* (2002):

- Charitable giving
- Child quality through home activities
- Consumer choice efficiency
- Crime reduction
- Entertainment
- Fertility (viz., changed preferences for family size)
- Fertility (viz., attainment of desired family size)
- Income distribution
- Individual market productivity
- Individual productivity in knowledge production (i.e., the capacity to learn)
- Intrafamily [economic] productivity
- Labor market search efficiency (including migration)
- Leisure time
- Marital choice efficiency
- Nonmarket individual productivity (i.e., do-it-yourself)
- Nonwage labor market remuneration
- Own health
- Savings (financial)
- Social cohesion
- Spouse and family health
- Technological change

Research on risk factors inform us that learning and human development occur within larger systems—the child welfare system, juvenile justice system, and the school system—coordinated around the child as the focus of service (Laszlo, 1996). Therefore, the above list of 21 impacts of alternative education could be easily expanded.

Costs of Inadequate Alternatives to Regular Schooling

Student absences from regular school are costly. Several studies reveal that even more costly than truancy to society and the individual are the costs associated with dropping out of school (Catterall, 1987; Cohen 1998; Heilbrunn, 2002). For example, Veale (2002, p. 6) examined five cost factors associated with dropping out of school in Iowa: reduction in personal income and loss in state revenue, increase in the welfare burden, increased risk of incarceration, deceleration of human growth and potential, and reduced sense of control over one's life.

Veale concluded that the individual dropout loses \$540,000 in personal income during his or her 45-year working life, the state loses \$2,400,000 each year in reduced revenues from all dropouts, and the welfare burden is increased by \$1,300,000 each year for all dropouts. Additionally, the high school dropout is 5.6 times more likely than the graduate to be incarcerated.

In their analysis of Current Population Surveys administered in 1998, 1999, and 2000, Day and Newburger (2002) estimated that high school graduates without any post-secondary education earn \$250,000 more than high school dropouts in work-life earnings, or average annual earnings from age 25 to age 64. Furthermore, Catterall and Stern (1986) found that alternative high school education is associated with higher employment rates for former students and higher rates of compensation and that subsequent graduation from high school enhances these labor benefits. Cohen (1998) estimated the present value of high-school graduation at \$243,000–\$388,000 over the graduate's lifetime. It is clear that the economic benefits of alternative education are nontrivial.

CONCLUSIONS AND RECOMMENDATIONS FOR CAPACITY BUILDING

Capacity Building for Alternative Education

The United Nations (2004) defined capacity building as efforts aimed at developing human skills or infrastructures within a community or organization in order to achieve a particular goal. Applying this concept in education, if the capacity of the system is insufficient to accomplish the goal of providing a sufficient range of educational options, then it may be strengthened by using a variety of strategies: (a) building collective commitment and cultural norms; (b) reforming organizational and service delivery structures; (c) improving performance of administrators and teachers; (d) expanding access to new knowledge, resources, and ideas; and (e) establishing evaluation and accountability mechanisms (adapted from O'Day, Goertz, & Floden, 1995).

Build Collective Commitment and Cultural Norms

The following recommendations are synthesized from program directors and educational administrators of alternative programs across the U.S. (Center for Learning Excellence, 2006; Goetten, 2005; Hosley, 2003; National Research Council, 2004; Riordan, 2006; Ruzzi & Kraemer, 2006; Swarts, 2002).

Use a strategic approach to refine definitions of purpose, application, and success. There are advantages with a strategic approach to defining alternative education. 'Strategic' means involving all key stakeholders (contributing groups and individuals) in planning, defining roles and responsibilities, and decision-making. Commitments are made to core values, the mission of alternative education, children and youth, core competencies and their improvement, and a vision for alternative education. Exemplary practices can be systematically benchmarked, needs assessed, and management and evaluation tools developed.

Develop a well-connected, community-wide strategy. Planning and development of a community-wide strategy must involve coordination and integration of the efforts of schools, not-for-profit youth serving organizations, family support and intervention programs, health and mental health care providers, substance abuse treatment programs, law enforcement organizations, and the private sector. "Community-wide efforts are as important as efforts on the organization, family, and individual levels" (Benson et al., 2006, p. 8). The mobilization

of key stakeholders will help to build public support and commitment to improving opportunities for at-risk youth (Murphy 2006, p. 36).

Encourage Postsecondary Connections. Partnerships with community colleges show particular promise, especially for older out-of-school youth seeking to complete high school and continue education. State and Federal funds should be leveraged to encourage community colleges to partner with school districts and community-based organizations to offer alternative education programs, both GED and high school completion. Existing dual-enrollment programs should be examined carefully to learn if they hold promise for accelerating learning for at-risk students.

Reform Organizational and Service Delivery Structures

Whether the student's need is for an alternative, compensatory, or disciplinary learning environment, a balanced availability of effective *prevention, short-term interventions, and long-term interventions* is necessary for the range of needs of at-risk students (synthesized from the Center for Learning Excellence, 2006; Goetten, 2005; Hosley, 2003; National Research Council; 2004; Riordan, 2006; Ruzzi & Kraemer, 2006).

Prevention strategies do not target specific students, but rather, are based on the assumption that everyone in the student population needs to be "inoculated" against emerging problems. The critical distinction between prevention and intervention is that prevention programs are implemented before problems arise and do not target selected individuals. Prevention involves the multiple strategies put in place within "feeder" schools that aim to deter placements in alternative education programs and other more restrictive environments. Examples include providing all students in a given school with drug and alcohol resistance training; or sending parenting tips home to all of the parents in a school about staying alert to signs of substance abuse. Prevention efforts are not effective with children and youth already experiencing a variety of difficulties.

Secondary prevention and short-term interventions include programs that focus on targeted students for five days or less. Such programs are often alternatives to, or substitutes for, suspensions and expulsions and many create special learning environments for students that are frequently located outside the school. However, the base school is typically engaged with the intervention. For example, multiple school districts might send students to another physical location for 3–5 days instead of suspending them for disruptive behavior in the classroom. Students focus on academics and are introduced to a range of services and activities designed to help promote more prosocial behavior. However, a focus on academic maintenance or attendance alone may not be effective if underlying reasons for the student's placement are not addressed.

Contact time is limited in these programs and therefore they should focus on comprehensive and sustainable support, assessment and transitions back into base school environments. Comprehensive and sustainable support can be achieved by connecting students with available mental health, drug and alcohol, and juvenile justice services. Student assessments of (a) history of problem behaviors and interventions attempted and successful; (b) family background; (c) individual mental health profile; and (d) assessment of student talents, strengths, and career interests can be extremely useful in developing a sustainable program and providing follow-up once students leave the short-term program. Short-term programs are not likely to be effective with students who have an extensive and complex history of school disengagement and/or challenging behaviors and are already receiving services from multiple agencies.

Long-term interventions involve intensive work with students in alternative settings over much longer periods of time, often months. Students enter a long-term alternative school at some point during the academic year and may remain in that program until year's end or through to graduation. These schools may or may not be voluntary alternatives for students. An example of such an alternative is a year-long middle school that is made available for students who are struggling academically, disengaged in their regular school, and, as a result, exhibit emotional distress or disruptive behavior and are given the option to attend the smaller alternative school.

These schools provide students extended time to build skills and develop confidence in an environment that has a lower teacher-student ratio, an opportunity to build relationships with adults, and provide multiple services to address non-academic needs. The development of generalizable skills and post-school goals for employment or college is an important focus. Individualized instruction, coupled with coordinated mental health, juvenile justice, and drug and alcohol services can have a sustained impact if the skills and support systems they develop carry over into new student environments. For many students, the nature of the environment, the additional supports, and the relationships with adults promote student engagement and positive outcomes and reentry into the environment from which they came is often not an appropriate goal (Center for Learning Excellence, 2006). Accommodations in regular school environments should be fully explored as the most cost-effective and sustainable alternatives before out-of-school placements are considered. *Out-of-school placements should only be made when there is a clear justification of the value added benefits of these placements.* Moreover, the added value of the placements should be concretely defined.

Redefine Curricular Requirements, Allow Program Flexibility, and Expand Options. Since the traditional high school (or elementary or middle school) is not appropriate for all students, a range of schools and programs are needed along with multiple pathways to a recognized credential, with options such as flexible scheduling, compressed and expanded programs, dual-enrollment, credit recovery, career-based programs, and adult high schools. In addition, states should increase flexibility around other curricular requirements, such as school day length and time in classroom. Curriculum, materials, and instructional strategies are needed that have demonstrated effectiveness with young people who are disengaged and at risk of school failure. Furthermore, better diagnostic tools are needed to determine reading and math levels and specific difficulties among very different learners in the same classroom.

Reexamine the duration of programs and credential attainment. While the GED remains the most viable option for many older students and some younger students who are ready to begin college, many educators worry that it bears a stigma and call for greater validation. An additional worry is that even if learning is accelerated, programs report that students may not be able to attain a GED or a high school diploma during their abbreviated stay in the programs. Students who are far behind academically (or face crises in their lives) often need significant amounts of time to catch up with their peers. Programs must be cautioned not to establish unrealistic targets for students. There is a need for interim milestones, which students can attain, that are portable and recognized across educational institutions. Options are needed that allow students to work while they continue in school (Ruzzi & Kraemer, 2006).

Improve transition into and out of programs. The successful transition of students into and out of alternative education programs is one of the most critical indicators of long-term success for the student and for the sustainability of the program. Alternative programs must work closely with the "feeder" schools that send students to and receive students from these programs. Follow-up and transitional supports must be in place when the alternative education experience is completed.

Strengthen family engagement in programs for high-risk children. Many students in alternative education have problems that reside within the family system and affect their learning and motivation. Meaningful family involvement in education is extremely important with the at-risk child. In many alternative programs, funding does not appear to support adequate and ongoing family programming and counseling efforts. Legislators are encouraged to look seriously at mechanisms to promote services designed to engage families of high risk children in the educational process.

Improve Performance of Administrators and Teachers

Strengthen professional development for teachers who work with high-risk children and youth in alternative education settings. Alternative education programs report high teacher turnover and lower teacher pay than in the K-12 school system. Professional development and training opportunities should be readily available to persons working in alternative programs and in collaborating agencies. Wherever possible, professional development and training activities should be conducted in cooperation with college or university faculty members or others with particular expertise in the areas to be addressed. Opportunities should include attention to cognitive and non-cognitive barriers to school success. State and school district funding must account for the different needs of these teachers and administrators in allocating funds for professional development.

A Normative Model for Professional Teacher Education Programs. Alternative education programs vary dramatically from carefully structured, well-regulated options embedded within a district's school system, or interagency model, to small, unregulated, private programs of questionable quality. Attention is needed to the quality of these programs and the professionals who teach in them. Teacher behavior, or the responses of teachers in the classroom during behavioral incidents, is a predictor of a student's removal from the classroom and placement into alternative settings. Many are unfamiliar with the social/emotional needs of these students, or do not know the most effective strategies, or wait too long before intervening. Further, many teachers in alternative education settings need additional training to meet the "highly qualified teacher" definition under NCLB. Better trained teachers are able to keep students in their classrooms longer and tend to have a positive impact academically.

The authors propose a model post-baccalaureate degree program, designed to prepare teachers for a variety of Alternative Education settings that would offer a choice of either (a) dual certification in special education (emphasis on learning disabilities and emotional/behavioral disabilities) and a content area specialization, or (b) non-categorical special education preparation for educators and youth workers. The model program would address the following competencies and expect students to demonstrate:

- Knowledge of the spectrum and classification of alternative educational programs and settings, their philosophy, organizational and administrative structures, target populations, and legal issues
- Mastery of teaching methods in a content area (mathematics, science, language arts, social studies, etc) and prepare for completion of Praxis III in a content area
- Understanding of the relationship between learners' physical, cognitive, emotional, social, and
- Skills in use of valid assessment approaches, both formal and informal, that are age-appropriate and address a variety of developmental needs
- Knowledge of career-vocational development and curriculum options and of legal requirements to assist youth in transition from high school to adult settings
- Skills in using computer and computer-related technology in instruction
- Knowledge of strategies for collaborating

- cultural development and their academic progress
- Knowledge and skills in planning, designing, and delivering instruction to students with learning, emotional and behavioral disabilities
- Skills in organizing and managing a classroom, guided by the principles of positive behavioral supports, well grounded in evidence-based practices
- Knowledge of emerging research and an understanding of the relationship between adolescent brain development and behavior
- Knowledge of strategies for differentiated instruction and the integration of students with special needs into the general education curriculum
- Knowledge and skills in reading development, assessment and instruction
- with the broad educational community, including parents, businesses, and social service agencies
- Knowledge of evidence-based practices in alternative education, through extended internships in alternative education settings
- Knowledge of the referral process (voluntary and involuntary) and transitions to and from alternative settings
- A multicultural perspective that integrates culturally diverse resources, including those from the learner's family and community
- Skills to design and deliver professional development in order to expand more quickly the competency of the alternative education community
- Ability to track graduates in order to assess the effectiveness of the program

Those who successfully complete the preservice program should be able to help students in their school districts to attain seven outcomes: (a) improved test scores aligned with state curriculum standards; (b) increased community service and responsibility; (c) increased enrollment in and completion of higher education; (d) greater employment success through and after high school; (e) increased maintenance of students in public schools; (f) reduction in serious disciplinary offenses in schools; and (g) decreased involvement in crime and the juvenile justice system.

Strengthen professional development for administrators of alternative education settings. Even though standards for the preparation of school leaders do address the creation of school cultures that are conducive to learning for all students and address collaboration and community connections (Herrington & Wills, 2005; Interstate School Leaders Licensure Consortium standards, Council of Chief State School Officers, 1996), these standards are general and reference conventional school structures, administrative roles, and students (Mazzeo, 2003). The standards for licensure assessment of administrators, which are currently under review, could provide more specific guidance for developing knowledge, dispositions, and performances that relate to creating positive behavioral interventions, preventing school dropout; identifying, planning and monitoring options for at-risk and non-traditional students; or developing alternative pathways to graduation.

Expand Access to New Knowledge, Resources, and Ideas

Although alternative education is viewed as primarily having its roots in the educational discipline, scholars from a variety of disciplines have contributed diverse perspectives on the development of models and theories. These include psychologists, philosophers, economists, special educators, sociologists, and many others. Because alternative education is a complex issue, intervention strategies need to be multifaceted and comprehensive to be effective. Such an approach unites the work of researchers and practitioners from multiple disciplines in the search for solutions to the problems of youth who are at risk and those who educate them, employs a spectrum of intervention strategies, and includes actions at local, state, and national levels. The quality of alternative education will be enhanced through interconnectedness and

shared communication among researchers and administrators, and through increased access to alternative professional sources and professional voices.

Establish Evaluation and Accountability Mechanisms

Analyze national, state, and local public policies. As they attend to educational redesign, many states are considering policies to increase available pathways through education. States should be encouraged to facilitate the development of quality alternative education programs that reconnect youth to education, self-development, and the workplace. In addition to accurately measuring and reporting graduation rates, states should direct districts to provide alternative education options not only as a means of supporting struggling students and reengaging out-of-school youth, but also as a part of their high school reform efforts. State legislation directing districts to focus specifically on students at risk of not graduating, including those who have left school, helps districts to focus their efforts.

Further evaluate the efficacy of a predominantly disciplinary approach. The funding regulations and discipline policies that have been intended to keep disruptive and marginal high-risk students in school may lead to a separate and unequal education experience for alternative education students and teachers. For example, separate facilities and/or separate administration and staffing sometimes include inadequate administrative structures, inadequate curriculum, inadequate facilities and/or equipment and supplies, and student and teacher disengagement from the home school. Often, for these high-risk students to succeed in the long run, they will require the best that can be offered in each area of service (Hosely, 2003).

Analyze benefits and costs comprehensively. The benefit and cost analyses cited earlier were studies of not finishing high school. Consequently, the findings from those analyses represent proxies for the benefits and costs of alternative education. Further study is needed.

Develop Systems for Tracking Students. As previously mentioned, states need to develop systems for unique student identifiers. Currently in the states, there is inconsistent data collection and little focus on long-term data. Limited staff resources make it difficult to collect long-term data or spend time analyzing program data that is collected. Many collect data only to satisfy funding requirements, not to monitor or improve programs. Multiple years of data collection on each student served by alternative education programs will be important to provide evidence of student and program outcomes and effectiveness. The National Governors Association's efforts to develop consistent high school graduation reporting rates is also driving states to develop systems that allow tracking of students after high school to determine if they returned to obtain a GED or other certificate. States should be encouraged to develop comprehensive legislation calling for increased local attention to struggling students and out-of-school youth.

Allow schools to receive average daily attendance funding for students at least until age 21. States should enact policies that allow students to continue to receive ADA funds at least until age 21 if they have not completed a high school diploma. More often than not, these over-age students will be outside of the traditional K-12 system and, therefore, funds will need to flow to the non-traditional alternative education system. Also, states need to review their compulsory school attendance laws. In some cases, when students are allowed to leave at age 16, it is questionable whether ADA funding would continue to flow to that student even if he or she reentered a public alternative education or training program. Easing the Flow of Funding for Alternative Education States could facilitate the smoother flow of funding by creating official mechanisms for funds to follow students into alternative education settings, including those outside of the public K-12 system (Martin & Brand, 2006).

SUMMARY

The subject of alternative education is timely for communities across the nation that face staggering social and economic costs resulting from the growing numbers of alienated and undereducated youth and young adults. After operating for decades on the fringes of public education, alternative schools are now receiving serious attention. Quality alternative education programs, with strong leadership and well prepared educational administrators, have successfully reengaged some of the hardest-to-teach young people. Furthermore, effective alternative schools and programs are accumulating vital information about what works in educating young people facing the greatest life challenges—information that can inform efforts to improve all schools. Educational administrators have a key role to play to help youth and advise policymakers to consider ways to improve the integration of those programs within a school districts' education and training systems.

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Perceptions of Leadership Behaviors by Female Principals

Cheryl McFadden and Susan Beck-Frazier

INTRODUCTION

Leadership is the essential element that holds an organization together and moves it forward (Wolverton, Gmelch, Montez and Niles (2001). In a public school district, the superintendent has the major responsibility for providing leadership, although principals are accountable for the day-to-day administration of their schools (Glanz, 2004). Principals face the leadership challenge of ensuring that school personnel are qualified and competent, the teaching and learning is appropriate, the students are meeting state and national standards, and the school environment is safe and conducive to learning (Cunningham & Cordeiro, 2000). In addition, principals must work effectively with many different stakeholders (school personnel, students, parents, and community members) in complex situations (Dunklee, 2000).

An important relationship that exists in the principalship is the one between the principal and assistant principal. An assistant principal is responsible for assisting the principal in the day-to-day operations of the school, thus a good working relationship is imperative for the school to function effectively (Glanz, 2004). Consequently, ascertaining the perceptions of leadership behaviors exhibited by principals from assistant principals and comparing those perceptions to the principals' self-rating may contribute to an understanding of the working relationship that exists between the principal and the assistant principal. In addition, due to the progressively increasing percentages of women enrolled in principal preparation programs (Hill & Ragland, 1995), it is relevant to examine the leadership behaviors of female administrators. The relationship of gender to leadership styles is important to understanding how effective leaders behave (Thompson, 2000).

REVIEW OF RELATED LITERATURE

Introduction

This review of related literature is presented in three sections. The first section discusses the organizational theory suggested by Bolman and Deal (1984) that advocates the use of four frames of reference: (a) structural; (b) human resource; (c) political; and, (d) symbolic. The second section explores a historical perspective of the principal as school leader and the working relationship between principal and assistant principals. The final section reviews the literature on women in school administration.

Organizational Theory of Bolman and Deal

Definitions and assumptions about leadership are numerous and varied. As early as 5,000 years ago, Egyptian hieroglyphics for the words leadership, leader, and follower were recorded (Bass, 1990). Greek philosophers, such as Plato and Aristotle, "looked at the require-

ments of the ideal leader of the ideal state” (Bass, 1990, p. 4). In the Old and New Testaments as well as in Greek and Latin classics, leaders were called prophets, priests, kings, chiefs, and heroes. Machiavelli’s *The Prince*, written during the Renaissance, explained that the keys to the state’s success are found in the qualities of the leader (Bass, 1990; Ramsden, 1998).

Although the advent of leadership can be traced to these early beginnings, leadership studies did not begin in earnest until after World War I. Since World War II there has been great interest and research in this area (Lathan, 1993). Leadership exists to the degree that people believe it does, and that belief depends on how individuals, through their interactions, create the realities of organizational life and delineate the roles of leaders within them (Bensimon, Neumann, and Birnbaum, 1989). Several schools of thought have emerged from the social sciences that contain distinctive concepts and assumptions that represent a unique view of how organizations work and the leadership that they need (Bolman & Deal, 2003).

Although there are no right or wrong ways to view organizations, one of the most practical theories, suggested by Bolman and Deal (1984), advocates looking at organizations from four different perspectives or frames. These frames are often described as windows, maps, tools, lenses, orientations and perspectives because these images suggest multiple functions (Bolman & Deal, 2003). The four frames are: (a) structural (emphasizes specialized roles and formal relationships); (b) human resource (considers the needs of the individual); (c) political (focuses on bargaining, negotiating, coercion, and compromise); and (d) symbolic (views organizations as cultures with rituals and ceremonies). Each of the frames is powerful and coherent, and collectively, they make it possible to reframe, or view, the same situation from multiple perspectives (Bolman & Deal, 2003). A leader can improve the odds of being successful “with an artful appreciation of the four lenses and how to use them [in order] to understand and influence what’s really going on” (Bolman & Deal, 2003, p. 40).

Structural frame. The structural frame reflects the idea that thinking rationally and having the right organizational chart will minimize problems and increase performance (Bolman & Deal, 2003). Structural leaders emphasize their role in making decisions, analyzing problems, determining different solutions, choosing the most appropriate strategy, and executing it (Bensimon et al., 1989). From this perspective, the structural principal is seen as the center of power within the school.

Leaders who utilize the structural frame appreciate data analysis, stay focused on the bottom line, set clear directions, hold people responsible for results, and try to resolve organizational problems with new policies and rules (Bolman & Deal, 1992). The structural perspective on leadership is found in works that concentrate on administrative and managerial techniques and provide realistic advice on the art and science of administration (Bensimon et al., 1989). The leader is identified with being decisive, planning comprehensively, solving problems rationally, and managing by objectives (Benezet, Katz, & Magnussin 1981).

Human resource frame. The human resource perspective focuses on human need and assumes that organizations meeting those basic needs will be more successful than those that do not (Bolman & Deal, 1992). This approach is based on studies by McGregor in 1960, which centered on the idea that human beings have inherent needs for self-actualization and self-control. Human resource leaders honor relationships and feelings and attempt to lead through facilitation and empowerment (Bolman & Deal). Employee-centered leaders relate to the needs of their constituents and view the workplace as an investment in people.

Political frame. The political frame emphasizes individual and group interests that often replace organizational goals (Bolman & Deal, 1992). Borrowing from political science, this perspective is the practical process of making decisions and allocating resources within the parameters of divergent interests and scarcity (Bolman & Deal, 2003). According to Bolman

and Deal (2003), five statements summarized this approach: (1) Organizations are coalitions; (2) There are enduring differences among coalition members; (3) Important decisions involve allocating scarce resources; (4) Scarce resources and enduring differences make conflict central and power the most important asset; and (5) Goals and decisions emerge from bargaining, negotiation, and jockeying for position among competing stakeholders (p. 186).

Symbolic frame. The symbolic frame combines concepts and ideas from several disciplines but most notably from anthropology (Bolman & Deal, 1992). Symbols express an organization's culture: "the interwoven pattern of beliefs, values, practices, and artifacts that defines for members who they are and how they do things" (Bolman & Deal, 2003, p. 243). Symbolic leaders pay attention to these elements of myth, ritual, ceremony, and stories as well as to other symbolic forms (Bolman & Deal, 1992). They are able to make improvements through the manipulation of symbols and are seen primarily as catalysts or facilitators of an on-going process who channel activities in subtle ways (Bensimon et al., 1989).

Bolman and Deal's (2003) four frames identified effective leaders as analysts and architects (structural frame), catalysts and servants (human resource frame), advocates and negotiators (political frame), and prophets and poets (symbolic frame). A combination of analysis, intuition, and artistry is involved when leaders choose a frame or understand others' perspectives, and this process builds on a lifetime of skill, knowledge, intuition, and wisdom (Bolman & Deal). Research suggests that leaders who integrate elements of the four frames are likely to have more flexible responses to different administrative tasks because they perceive the multiple realities of an organization and are able to interpret circumstances in a variety of ways (Bensimon et al., 1989). Bolman and Deal advocated reframing or looking at events from each of the four frames to have a better picture of what is happening in the organization and to make the best decisions possible.

Leaders, such as principals, who can think and act using more than one frame may be able to fulfill the multiple, and often conflicting, expectations of their leadership positions more skillfully than leaders who cannot differentiate among situational requirements (Bensimon et al., 1989). Much of the current research suggests that the effectiveness of leadership can be connected to cognitive complexity as well as to the theory that complex leaders may have the flexibility to comprehend situations through the manipulation of different and competing scenarios (Bensimon et al.). Because greater cognitive complexity is demanded in a turbulent organizational world, leaders need to identify with multiple frames and know how to use them in day-to-day activities (Bolman & Deal, 1991). Leaders, such as principals, who can simultaneously attend to the structural, human, political, and symbolic needs of the organization are seen as effective, whereas those who focus their attention on a single aspect of an organization's functioning are seen as ineffective (Bensimon et al.).

Historical Perspective

During most of the nineteenth century, schools were lead by "loosely structured, decentralized ward boards" (Glanz, 2004, p. 2), but later in the nineteenth century, educational reformers began to change this concept into "a tightly organized and efficiently operated centralized system" (p. 3). As a result, superintendents were given the daily control of schools. They continued to provide supervision during the early decades of the twentieth century, a time of dramatic growth in school enrollment and teacher numbers.

As urbanization intensified and the school system grew more complex, the superintendent lost contact with the day-to-day operations of the schools, thus, this supervision became the responsibility of the principal (Glanz, 2004). Initially, the principal was considered the lead

teacher and was given only limited responsibilities, but as schooling expanded, the principalship gradually assumed a more important, managerial position.

The term, principal, denotes the multiple roles of leader, manager, counselor, cheerleader, administrator, and keeper of the keys (Dunklee, 2000). Duties include “administering all policies and programs; making recommendations regarding improvements to the school; planning, implementing, and evaluating the curricular and instructional programs; hiring, coordinating, and developing staff; organizing programs of study and scheduling classes; maintaining a safe school environment; providing stewardship for all school resources; and providing for cocurricular and athletic activities” (Cunningham & Cordeiro, 2000, p. 137). Principals are found in every school; elementary (K-5), middle (6-8), and high (9-12) and are expected to understand “how superiors, employees, patrons, and students define the distinct culture of the principalship” (Dunklee, 2000, p. 7).

Relationship Between Principal and Assistant Principal

As the demands of the school system became more complex, additional supervisory positions were established. A general supervisor, usually male, was selected to deal with “general” subjects as well as to assist the principal in the more logistical operations of the school (Glanz, 2004). A special supervisor, usually female, was appointed by the principal to assist less experienced teachers in the classroom. Although more readily accepted by teachers, this “special supervisor” position did not last past the early 1930s, and its demise is attributed to the fact that most were females (Glanz). With the disappearance of this supervisory position, the relationship between the principal and the general supervisor was defined by using the title “assistant” principal.

Although principals most often select assistant principals from the rank of teachers, occasionally they are appointed by superintendents and placed in a certain school. Because the principal is the legal chief executive of a school campus, it is the assistant principal’s primary duty to support the principal (Daresh, 2004). As a result, assistant principals are subordinate to principals and often have little formal authority. Their responsibilities are primarily centered on “routine administrative tasks, custodial duties, and discipline” (Glanz, 2004, p. 7). According to Glanz, assistant principals are not given instructional responsibilities based on the original development of the general supervisor, but efforts are underway today to expand the role of assistant principals to include the instructional leadership that can be historically linked to the early special supervisors. In a recent survey by Weller and Weller (2002), results indicated that “77% of the respondents identified discipline and attendance as their major job assignments, whereas 13% indicated discipline or attendance were secondary to their primary responsibilities of improving instruction” (p. 11).

Women in Administration

Discriminations based on gender and sex-role stereotypes in education as a whole were common and in agreement with bureaucratic school governance (Glanz, 2004). In the early 1900’s, women were kept out of administrative roles because the belief in male dominance made it easy to accept that men were leaders and women were natural followers. A look at the number of women in school administration since 1905 illustrates consistent male dominance in all positions except for in the elementary school (Shakeshaft, 1989). According to Shakeshaft, “by 1928, women held 55% of the elementary principalships, 25% of the county superintendencies, nearly 8% of the secondary school principalships, and 1.6% of the district supin-

tendencies” (p. 34). Although at first glance, these statistics seem significant, the jobs were lower paying, lower status, and lower power positions than the ones held by men.

Although studies of women and their leadership in schools continue to be limited in comparison to studies of men, information does exist about women who have broken through the “glass ceiling” of school administration, and these facts and figures reveal modest representation of women in leadership roles (Restine, 1993). Sustained increases seem promising due to progressively increasing percentages of women making up the ranks of future administrators seeking graduate degrees in leadership preparation programs (Hill & Ragland, 1995). According to Gupton and Slick (1996), “women received 11% of the doctoral degrees in educational administration in 1972, 20% in 1980, 39% in 1982, and 51% in 1990” (p. 136). As a result, the numbers and percentages of women in administrative positions have increased, “beginning slowly in the 1970’s and accelerating in the 1980’s” (McFadden and Smith, 2004).

Myths about women’s leadership abilities continue to be significant aspects in the selection of school administrators (Restine, 1993). Women often are encumbered by distorted images and stereotypes such as “icy virgins, fiery temptresses, and silent martyrs” (Hill & Ragland, 1995, p. 7). In addition, negative connotations are associated with the adjective *woman*. Witmer (2006) describes “woman’s work” as housekeeping and “women’s intuition” as guessing rather than knowing. The need for competent educational leaders demands that these stereotypical images be discarded and leaders sought from all segments of society (Hill & Ragland).

Another important barrier to women in administration is gender-role or cultural stereotyping (Harris, Ballenger, Hicks-Townes, Carr, & Alford, 2004; Hill & Ragland, 1995; Regan & Brooks, 1995; Restine, 1993; Shakeshaft, 1989). It tends to place women in nonleadership roles that limit their goal orientation and inhibit their ability to recognize their ability to lead (Harris et al., 2004). Another explanation is that women aspire to achieve in the career they choose initially—teaching, and do not want to become a principal (Shakeshaft). They do not seek administrative positions because they do not view themselves in positions of leadership (Gupton and Slick, 1996). According to Gupton and Slick, “administration in public education is male dominated and generally accepted as such by both males and females” (p. 147).

A study by Thompson (2000) directly contrasted the stereotypical assertions in earlier research by revealing no differences in the perceived effectiveness of leaders regarding gender. His accumulated findings demonstrated that “the broad differences in leadership styles in relation to gender and leadership effectiveness have clear implications for our understanding of how effective managers behave” (Thompson, p. 985). A new appreciation, new understanding, and greater empathy for this group will be gained by reexamining the experiences of women and acknowledging the importance of their leadership abilities, (Schwartz, 1997).

THE PROBLEM

Leadership has been recognized for centuries. Leadership in education relies on the definition of organizational life and the roles of leaders in those institutions. The roles of leaders may be defined as the behaviors exhibited during day-to-day activities (Glanz, 2004). In a public school, the focus of leadership in the day-to-day activities lies with the principal. Yet, assistant principals work closely with principals in these activities. The relationships of principals to their assistant principals form the nature and character of the principals’ working environment. The researchers in this study were particularly interested in the relationship of female principals and their assistant principals.

Consequently, determining the perceptions of leadership behaviors exhibited by female principals from assistant principals and comparing those perceptions to the female principals' self-rating may contribute to an understanding of the working relationships that exists between female principals and assistant principals. Therefore, the problem of this study was to compare perceptions of leadership behaviors from the perspectives of both female principals and assistant principals.

RESEARCH QUESTIONS

The study was designed to answer the following questions:

1. What do female principals perceive as their prominent leadership behavior?
2. What do assistant principals perceive as their principal's prominent leadership behaviors?

METHODOLOGY

Participants

The participants for this study were 16 female principals and their respective assistant principals (13) from the third largest school district in North Carolina. The school district is comprised of 35 schools (1 Pre-kindergarten school, 15 elementary schools, 6 K-8 schools, 7 middle schools, and 6 high schools). Demographic information such as personal data, education, certification, employment status, and experience were collected for each participant.

Instrumentation

The Leadership Orientation Instrument (Self and Other) (LOI) developed by Bolman and Deal (1990) to measure the four organizational frames (structural, human resources, political, and symbolic) was selected for this study. Bolman and Deal (1991) assert that "internal reliability is very high: Cronbach's alpha for the frame measures ranges between .91 and .93" (p. 518). Cronbach (1951) established that coefficients above 0.6 and values above 0.8 are necessary for a developed scale. Except for the statement confirming that "the validity of self-ratings of leadership is generally low" (Bolman, 2004), a search of the original document did not reveal additional information concerning validity. The Leadership Orientation Instrument has two forms. The Self-survey is for the female principals to rate themselves. The Other-survey is for the assistant principals to rate their principals.

Both versions have three sections; however, only the first section was used because it yields data directly related to perceptions of leadership behavior and the four frames. Section one contains 32 items with five-point response scales. The use of a five-point Likert scale allows respondents to indicate the degree to which each leadership statement is true (1-never, 2-occasionally, 3-sometimes, 4-often, and 5-always). Each frame is sequenced in a pattern of four as follows: the structural frame (items 1, 5, 9, 13, 17, 21, 25, and 29), the human resource frame (items 2, 6, 10, 14, 18, 22, 26, and 30), the political frame (items 3, 7, 11, 15, 19, 23, 27, and 31), and the symbolic frame (items 4, 8, 12, 16, 20, 24, 28, and 32). The scores for the eight items were added and divided by eight to yield a mean score that indicates a primary leadership behavior. The primary leadership behavior is determined by identifying the highest mean.

Data Collection Procedures

Perseus Survey Solutions was used to administer the invitation to the participants and to develop an electronic version of the LOI. Each participant received an electronic invitation with the URL link and three subsequent reminders over a two week period.

Data Analysis

Descriptive statistics were used to organize and summarize results. The Statistical Package for the Social Sciences (SPSS) was employed to analyze the data. The data were reported in frequency distributions with means and standard deviations. To determine how many frames each principal used, a count of all means that were above 4.0 were calculated. This mean represents use of the frame as “often” to “always.” Use of a particular frame is considered consistent with a mean score of 4.0 or greater. This scoring scale has been used in dissertations that utilized Bolman and Deal’s (1990) Leadership Orientation Instrument (Sasnett, 2006; Harrell, 2006; Beck-Frazier, 2005; McGlone, 2005).

RESULTS

Fifteen participants (seven female principals and six assistant principals) completed the LOI for a response rate of 52%. Two participants were eliminated from the study because of incomplete responses on the LOI. Only two female principals and their assistant principals (1 each) completed the LOI so the researchers were unable to conduct a comparative analysis between the female principals and their assistant principals.

Table 1. Demographic Characteristics of Principals and Assistant Principals.

Demographic Variables		Principals		Assistant Principals	
		N	%	N	%
Age	25–35	1	14.3	1	16.7
	26–45	1	14.3	3	50
	46–55	4	57.1	1	16.7
	56–65	1	14.3	1	16.7
Racial Classification	African American	5	71.4	2	33.3
	Caucasian	2	28.6	4	66.7
Highest Degree Earned	Masters	6	5		
	Doctorate	1	1		

Table 1 shows the age, racial classification, and highest degree earned of the participants in the study. Fifty-seven percent of the female principals were between 46–55 years of age and 50% of the assistant principals were between 36–45 years of age. Seventy-one percent of the female principals were African American while 68% of the assistant principals were

White. Eighty-six percent of the female principals and 83% of the assistant principals held master's degrees. Only one female principal and one assistant principal held doctoral degrees.

Table 2 shows the number of years employed by the school district, the number of years of public school teaching experience, and the number of years in current position with the school level. Forty-three percent of the female principals were employed between 0–5 years in the school district. The assistant principals (33%) were equally employed in the school district 0–5 years and 6–10 years. There was significant variance in the number of public school teaching years of experience among female principals. Forty-three percent of the female principals had 6–10 years of teaching experience and 29% had over 25 years of teaching experience. Sixty-eight percent of the assistant principals had between 0–5 years of teaching experience. The female principals (43%) had equally 0–5 and 6–10 years of public school administrative experience while 67% of the assistant principals had between 0–5 years of administrative experience. Most of the participants were employed at the elementary school level (71% of female principals and 83% of assistant principals).

Table 2. Employment Information.

Demographic Variables		Principals		Assistant Principals	
		N	%	N	%
Number of years Employed in School District	0–5	3	42.9	2	33.3
	6–10	0	0	2	33.3
	11–15	1	14.3	0	0
	16–20	1	14.3	1	16.7
	21–25	1	14.3	1	16.7
	25 Plus	1	14.3	0	0
Number of Years of Public School Teaching Experience	0–5	1	14.3	4	66.7
	6–10	3	42.9	0	0
	11–15	0	0	1	16.7
	16–20	1	14.3	0	0
	21–25	0	0	1	16.7
	25 Plus	2	28.6	0	0
Number of Years in Current Position	0–5	3	42.9	4	66.7
	6–10	3	42.9	1	16.7
	11–15	0	0	0	0
	16–20	1	1	1	16.7
	21–25	0	0	0	0
	25 Plus	0	0	0	0
School Level	Elementary	5	71.4	5	83.3
	K-8	1	14.3	1	16.7
	High School	1	14.3	0	0

The primary perceived leadership orientation for the female principals as a group was the human resource frame, followed by the structural, political, and symbolic. In the human resource frame, the combined mean score was 4.48, which indicates that the female principals

perceive themselves as “often” to “always” exhibiting characteristics of this leadership frame. The mean scores for the structural (4.36), political (4.12), and symbolic (4.12) frames averaged in the four range, which indicates that female principals perceived themselves as “often” to “always” exhibiting characteristics of these leadership frames.

The assistant principals perceive their female principal’s primary leadership orientation as the human resource frame (4.20), followed by the structural (4.12), political (4.07), and symbolic (3.87) frames. The combined mean scores of all frames were averaged in the four range, which indicate that the assistant principals perceived as “often” to “always” that the female principal exhibits characteristics of these leadership frames. The results of a comparative analysis between the principals and assistant principals in each of the four frames are found in Table 3. The standard deviation scores for each frame indicate the principals and the assistant principals agree in their perceptions of leadership.

Relative to the two research questions of interest in this study, data analyses revealed no significant differences. Results related to the first question indicated that female principals perceive themselves as utilizing the human resource frame slightly more than the assistant principals. The second research question that pertained to the assistant principals’ perception of their female principal’s leadership behavior revealed that they perceive the female principal as also utilizing the human resource frame predominately. Furthermore, results in this study show that collectively, female principals exhibit characteristics of multiple frame perspectives in their leadership behaviors and assistant principals concur. Although, the assistant principals agree that their female principal does exhibit characteristics of multiple frame perspectives, they do not include the symbolic frame.

Table 3. Comparisons Between Female Principals and Assistant Principals for Each Leadership.

Frame	Principals		Assistant Principals	
Frame	M	SD	M	SD
Structural	4.23	0.40	4.12	0.55
Human Resource	4.41	0.63	4.20	0.80
Political	4.12	0.22	4.07	0.65
Symbolic	4.17	0.25	3.87	0.93

CONCLUSION

Although studies of women and their leadership in schools continue to be limited in comparison to studies of men, research does exist about women who have broken through the “glass ceiling” of school administration (Restine, 1993). These studies indicated that women will continue to make gains in this area due to the progressively increasing percentages of women enrolled in graduate principal preparation programs (Hill & Ragland, 1995; Witmer, 2006). In North Carolina, 62.6% of the 2000–2001 principal preparation program graduates were women (McFadden & Smith, 2004). Schwartz (1997) advocated for more research on women and their leadership as a way of acknowledging the importance of their leadership

abilities. This study has attempted to contribute to a greater understanding of the leadership behaviors of female principals and their assistant principals using Bolman and Deal's (1984) four frames for analysis.

In both Bolman and Deal's 1991 and 1992 studies, women utilized the human resource frame to a lesser degree than men but utilized the structural, symbolic, and political frames more than men. This study showed that female principals perceive that they are utilizing the human resource frame and that assistant principals perceive that they are using it as well. This study also demonstrated that the female principals were exhibiting multiple frame perspectives and again the assistant principals agreed. What is interesting to note is that there was very little variation in scores on all the frames (4.12 to 4.36) providing creditability to the perceived use of multiple frame perspectives. Although women may not utilize the human resource frame to the degree that men do, they nonetheless, exhibit multiple frame perspectives. Research suggests that leaders who integrate elements of the four frames are likely to have more flexible responses to different administrative tasks because they perceive multiple realities of an organization and are able to interpret circumstances in a variety of ways (Bensimon et al., 1989). Bolman and Deal (2003) recommended examining events from each of the four frames to gain a better understanding of the situation and enable one to make a more informed decision. If female principals can utilize multiple frame perspectives, then they may be more likely to make better decisions regarding their schools.

The findings and conclusions of this study have allowed for several recommendations to be made. First, the results of this study should be further tested using different groups, including female principals and their assistant principals in other geographic locations, various school levels, and including teachers' perceptions. Increased understanding of the perceptions of leadership that exist between these different groups will heighten the knowledge of leadership for the female principal.

Second, further research should be undertaken that investigates how the perceived leadership behaviors of the female principals influence different organizational situations such as funding activities and staff productivity (as measured by students meeting state and federal accountability standards). For example, is it appropriate to infer that female principals with a high level of staff productivity exhibit characteristics of the human resource frame?

Finally, the results of this study should be further tested using qualitative methods. This should help to validate the study as well as to extend the value of its findings. Field research should be encouraged to explore the qualitative perceptions of leadership with respect to the different frame orientations.

Leadership in public school education is critical and multidimensional. In this study, female principals have been described as analytical (structural), sensitive (human resource), pragmatic (political), and charismatic (symbolic). Leadership behavior is defined differently based on the perceptions of observers who have different values and evaluative criteria. Female principals must be aware of their own leadership development to be successful and gain greater representation in the field of educational administration.

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The Tipping Point in Home, School, and Community Support for Hispanic Students' Participation in Advanced Placement Courses

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The need for a highly skilled and educated workforce (U.S. Department of Commerce, Bureau of Census, 2003) is essential. This will mean finding ways of educating Hispanic students, a growing segment of our population that traditionally has been undereducated in our public schools. A means of improving the skills of the work force for Hispanic students is participation in advanced placement (AP) courses. This is especially true because enrollment and success in AP courses are indicators of the rigor of a student's course load (U.S. Department of Education, Office of Civil Rights, 2002) and is one of the strongest predictors of students continuing with higher education (College Board, 2005). Unfortunately, although enrollment in AP courses has increased nationally, participation of minority students remains limited (Ndura, Robinson, & Ochs, 2003; Trounson & Colvin, 2002).

Typically there have been two ways of analyzing the achievement gap between Hispanics and Whites; one, the "dropout" perspective, and two, the enrollment in AP courses' perspective. The former, using a "dropout" perspective has been well established (Chapa & Valencia, 1993; Garcia, 2001; Moreno, 1999; Rumberger, 1991; Valencia, 2002) and the statistics cited have been alarming. For example, the national high school completion rate was between 71 - 74% meaning that between the 8th grade and 12th grade graduation, one out of every four students dropped out (Greene, 2002). Among Hispanic students the dropout rate was estimated to be 45% or almost one out of every two (Gray, 2004). An example of a response to the dropout situation has been to increase funding. In 2004, for instance, \$4.97 million were budgeted in Dropout Prevention programs through the *No Child Left Behind* initiative (Alliance for Excellent Education, 2004).

The second perspective of examining the achievement gap by exploring minority students' enrollment in AP courses has been the focus of most recent research (College Board, 2005; Gánadara, 2005; Jodry, Robles-Piña, & Nichter, 2004; Ndura, Robinson, & Ochs, 2003; Tapia & Lanius, 2000). The rationale for examining the achievement gap from this perspective is to investigate how students who are faced with adverse circumstances, such as low socioeconomic status and low parent educational attainment are able to overcome obstacles, seek support, and engage in rigorous academic courses. Specifically, this study will investigate how (a) participation in elementary, middle, and high school programs have affected students' perception of support from home, school, and community, (b) parents' educational level has affected students' level of perceived support from home, school, and community support, and (c) future educational plans are affected by perceived levels of home, school, and community support.

LITERATURE REVIEW

This study used the theoretical work of home, school, and community literature and studies in Hispanic student participation in AP courses to frame the findings. One of the earliest

references to examining issues from an ecological perspective was considered by Bronfenbrenner (1979) who advocated for studying human development by considering all the social contexts in which humans interacted. Cronbach (1982) adapted this line of thinking to studying the influence of home and community in the context of what was happening to adolescents in schools. Jessor (1993) supplemented this line of research by developing the *Research Network on Successful Adolescent Development Among Youth in High Risk Settings*. The purpose of this network was to study the home, school, and community connections within larger social environments, such as economic, political, and cultural milieus. In applying an ecological perspective to minority youth Stanton-Salazar (1997) noted that the study of social networks was necessary. These social networks are referred to as “funds of knowledge” and are cultural information that is transmitted from the culture of minority youth about how to negotiate within educational systems. Additionally, Gottlieb & Sylvestre (1994) have found in their research that for Hispanic students, the supportive networks built between the home, school, and community developed the resiliency and protective factors needed to overcome barriers.

The theoretical model that has had the most influence on the home, school, community partnerships is the work of Epstein, Sanders, Simon, Salinas, Jansorn, & Van Voorhis (2002) who developed the *Overlapping Spheres of Influence* to explain the influence of home, school, and community collaboration on student academic achievement. This model operates on the belief that when partnerships occur among families, schools, and communities, the school becomes more “family-like” and tends to understand the child as an individual, instead of a number. Further, the combined partnerships can be a support to help the child develop the necessary skills to become more academically successful.

Epstein’s et al., (2002) framework is built around six types of involvement that include (a) parenting, (b) communicating, (c) volunteering, (d) learning at home, (e) decision-making, and (f) collaborating with the community. Parenting includes ways of helping families provide home environments that support children, such as offering training courses for parents about literacy and attainment of diploma. Communicating includes ways on how to schedule frequent parent conferences, use of translators when needed, and clear information about choosing courses. Volunteering includes ways of recruiting techniques that are helpful in recruiting parent assistance such as telephone trees and parent safety patrols. Learning at home includes ways of assisting parents help children learn, such as establishing homework policies, sending home calendars with activities, and sending home math, science, and reading activities that families can do with children. Decision-making includes ways in which to help parents make decisions, such as taking leadership on committees to advocate for school reform. Collaborating with the community includes ways on how to identify and integrate resources, such as where to find community health, recreational, and social supports in the community.

There have been a couple of qualitative studies investigating Hispanic student participation in AP courses. One study was conducted by Jodry et al, (2004), who interviewed six Hispanic students enrolled in an advanced calculus program in a large urban high school. Through interviews, Jodry et al. found that students perceived home support when (a) parents were interested in school work, (b) good role models at home provided structure for learning, (c) there was a safe home environment, and (d) language and culture were valued. Students perceived school support when (a) teachers advocated on the students’ behalf about information on courses, college scholarships, and financial assistance and (b) teachers valued their language and culture by allowing students to speak with them about personal matters. Students perceived community support when (a) information about dual enrollment in high

school and college was provided, (b) work opportunities for students and parents were provided, and (c) language and culture were valued, such as when the community provided services to students and parents in ways that did not demean them.

A second study involving interviews with 12 Hispanic students to investigate the home, school, community connection was Kloosterman's (1999) work, conducted for The National Research Center on the Gifted and Talented. Kloosterman found that supportive home environments had the following characteristics: (a) a strong maternal role, (b) Hispanic legacy, and (c) maintenance of the Spanish language. Characteristics of supportive schools were (a) a safe school environment, (b) flexible grouping, and (c) English support for English Speakers of Other Languages (ESOL) students. However, Kloosterman also found a series of conflicting issues related to the characteristics, values, and perspectives of the home and school cultures. These conflicting issues that were found to exist between the home and school cultures included a difference in the level of support schools gave to bilingualism, family involvement in education, and knowledge of curriculum and instructional methodologies used.

Several studies have investigated high achieving Hispanics' student participation in AP classes using quantitative methodology. One study found in the examination of two national databases that (a) Hispanic students were more likely than White students to have parents with very low educational levels, (b) Hispanic students benefit more from early grade interventions than do White students, and (c) school has a greater influence on the academic success of Hispanics than on White students (Gánadara, 2005).

A second study conducted in eight high schools in a large, diverse school district found that with the exception of Asian students, minority students are underrepresented in AP courses and that parent' educational status, profession, and income are positively related to student enrollment in AP courses (Ndura et al., 2003). A third study investigating a large school district in California indicated that even in districts where there is a large representation of Hispanic students, participation in AP courses for Hispanic students is low (Solarzano & Ornelas, 2004). In general, studies examining enrollment of Hispanic students in AP courses have been limited to investigating enrollment figures and qualitative studies interviewing a small number of students. No studies have empirically examined the perceptions of home, school, community support of Hispanic students enrolled in AP courses, and the purpose of this study is to fill in this gap.

Based on the literature reviewed, the following questions were developed.

Question # 1—Does participation in certain elementary, middle, and high school classes affect the perceived level of support from home, school, and community for students enrolled in pre- and advanced calculus courses?

Question # 2—Do mother's and father's educational attainment affect the level of support from home, school, and community for students enrolled in pre- and advanced calculus courses?

Question # 3—Do students enrolled in pre- and advanced calculus courses perceive more support from school, home, or community?

Question # 4—Do students enrolled in pre- and advanced calculus courses differ in perception of support from school, home, or community when making future educational plans?

METHODOLOGY

The Houston Independent School District (HISD) was selected as the site for this study for several reasons. One, it was named the "Best Urban School District in America" The Broad Foundation (2002). Two, HISD has many of the same high at-risk characteristics of

other urban school districts across America. Three, HISD had 29 high schools from which to draw a sample.

Out of the 29 schools, 10 were selected for participation due to the similar demographics, such as students at-risk (determined by those students in free and reduced lunch programs), and high percentage of Hispanic students taking advanced placement (AP) pre-calculus and calculus courses. From these 10 schools, four (A, B, C, D) were randomly selected to participate. School A had 12% Honors classes, 96% Hispanic population, 84% at-risk, and 68 students enrolled in pre- and AP calculus courses. School B had 20% Honors classes, 88% Hispanic population, 78% at-risk, and 98 students enrolled in pre- and AP calculus courses. School C had 67% Honors classes, 27% Hispanic population, 11% at-risk, and 186 students enrolled in pre- and AP calculus courses. Lastly, school D had 29% Honors classes, 29% Hispanic population, and 121 students enrolled in pre- and AP calculus courses.

For comparison purposes, the ethnic representation of students at the national level in Gifted and Talented classes is provided. Whites make up 64% of the population and 76.6% are in GT classes, Blacks make up 17% of the population and 6.5% are in GT classes, Hispanics make up 14.3% of the population and 8.6% are in GT, Asians make up 3.1% of the population and 6.6% are in GT, and Native Americans make up 1.1% of the population and 0.9% are in GT classes. In summary, ethnic representation in GT classes is not representative of their ethnic representation in the census (U.S. Department of Education, Office of Civil Rights, 2000).

Our study included all ethnic student groups in the study; however, because the majority of students were Hispanic, findings were applied to this particular group. There were a total of 480 students enrolled in pre- and AP calculus courses at four high schools, with a total of 434 participants returning the consent form to participate and completing the HY-SUCCESS inventory, yielding a rate of return of 90%. The ethnic composition of this group was 248 (57%) Hispanic, 87 (20%) African American, 62 (14.3%) Asian/Pacific Islander, 20 (4.6%) White, 15 (3.5%) Other, and 2 (.5%) did not respond to this question. The gender composition was male 171 (39.4%), female 262 (60.4%) and missing 1 (.2%).

An "a priori analysis" was conducted to avoid making a type II error, failing to reject a null hypothesis (Gall, Borg & Gall, 2003). An alpha level of .05 was determined, a medium effect size of .7 was selected, and a Multivariate Analysis of Variance (MANOVA) was selected as the statistical analysis to be used. It was determined that 156 participants were needed to avoid a Type II error. A response was obtained from 434 participants, thus, exceeding the minimum number required to reject the false null hypothesis.

The HY-SUCCESS (Jodry & Hinojosa, 2003) instrument was developed to collect data on the degree of school, family, and community support Hispanic students perceived when enrolled in AP courses. The HY-SUCCESS instrument consists of two parts. The first part contains 20 items related to demographic items (educational history, post secondary aspirations, grade point average, number of siblings in the family, educational background of each parent, mother's heritage, father's heritage, family history in the United States, and family configuration).

The second part contains a 62-item questionnaire. The information was collected on a Likert-type scale with four possible response options: (a) 1 = strongly disagree (b) 2 = disagree, (c) 3 = agree, and (d) 4 = strongly agree. The scores were based on the following three sub-tests: (a) home, (b) school, and (c) community. The questions making up each of the three sub-tests were 19 questions regarding the home; 25 questions regarding the school; and 14 questions regarding the community. An example of a question related to home support is "My parents or relatives have proudly taught me our family traditions and family culture." An ex-

ample of a question related to school support is “There have been adults at school who have cared about how I am doing academically.” Finally, an example of a question related to community support was “Members of the community have high expectations for my academic achievement.”

Content validity was established by three means. One, questions were developed from a qualitative study indicating successful factors for Hispanics in advanced placement courses (Jodry, 2001). Two, the questions were submitted to a panel of experts in working with bilingual populations. Three, the HY-SUCCESS was pilot-tested on students in one of the schools that was not randomly selected to participate in the study. A Cronbach’s alpha coefficient to determine internal consistency reliability, item with total test relationship, was conducted and an alpha coefficient of .89 was calculated for this sample. Having met the aforementioned psychometric properties, the study was conducted.

The following steps in the procedure were followed. One, a letter of introduction was provided to each administrator and staff member involved and permission was obtained. Two, students and parents received letters of introduction and consent forms written in English and Spanish. Three, students who returned the consent forms and who assented to participation in the study and in 9th through 12th grade pre- and AP calculus were administered the 30-minute HY-SUCCESS instrument by the researcher. Fourth, data were collected, coded, and analyzed.

LIMITATIONS

This section includes research limitations and data analyses of the four research questions identified. There were several limitations to this study. One, the findings are restricted to the urban, ethnic, and at-risk composition identified in the participants’ section. We felt that these findings would generalize to many urban Hispanic students enrolled in AP courses because our sample size of 434 was taken from a large urban district. Two, three of the four randomly selected schools that participated in the study had over 85% Hispanic students in schools, however, school C had only 27% Hispanic students enrolled. This discrepancy is not considered to have affected the final analysis because the data were aggregated from the four randomly selected schools. Third, the sub-test scores were identified by an item analysis developed by Jodry’s (2001) qualitative study and a factor analysis was not conducted. We felt that content validity was established because the students in the qualitative study identified the factors from the home, school, and community that contributed to their success. Fourth, due to the fact that students’ responses could fit in three or more of the possible demographic questions, multiple MANOVAs had to be conducted to find the answers, and this made interpretation more difficult. However, we felt that this type of analysis was the best model to fit the observed data.

DATA ANALYSIS

Question # 1—Does participation in certain elementary, middle, and high school classes affect the perceived level of support from home, school, and community for students enrolled in pre- and advanced calculus courses? Several one-way MANOVAs were conducted for this question. The rationale for conducting several MANOVAs was that students could answer to participation in multiple programs in elementary, middle school, and high school (English as a Second Language (ESL), Gifted and Talented (GT), Special Education (SE), and Magnet). The only exception was for Bilingual Education which is a program that is only offered in

elementary. The type of program variable was coded "0" for participation and "1" for non-participation. The multiple dependent variables were the sub-tests scores for home, school, and community. The only significant main effect was found for support from home, school, and community level for elementary students who had participated in bilingual education (Wilks' $\lambda = .96$, $F(4, 289) = 3.22$, $p = .01$, $\eta^2 = .04$). However, the effect size of .04 was small. Table 1 presents the means and standard deviations for this analysis. A noteworthy finding was that although the total number of students that responded to participation in Bilingual Education (78) was lower than the number of students that participated in other programs (ESL – 85; GT- 117; Magnet – 105), students felt more support from home, school, and community when they participated in an elementary bilingual education program. No significant main effects were found for support from home, school, and community for students who had participated in special programs in middle and high school.

Question # 2—Do mother's and father's educational attainment affect the level of support from home, school, and community for students enrolled in pre- and advanced calculus math classes? A one-factor (mother's education or father's education) MANOVA was conducted for this question. The options for educational level were: (a) did not complete high school, (b) high school graduate/GED, (c) military, (d) some college, or technical degree, (e) four-year college, and (f) master's degree or higher. These independent variables were coded as "1," "2," "3," "4," "5," and "6" because students could respond to only one option. The dependent variables were the three sub-tests of the HY-SUCCESS. There was a significant main effect found for level of support from the community if the mother's educational level was at the four-year college, master's level or higher (Wilks' $\lambda = .88$, $F(4, 322) = 2.66$, $p = .00$, $\eta^2 = .03$). However, the effect size was small with .03. Table 2 provides the means and standard deviations for this analysis. There was not a significant main effect found for father's level of education. This finding indicated that students whose mothers had a bachelor's degree or higher were more inclined to agree that they were supported by their community.

Question # 3—Do students enrolled in pre- and advanced calculus math classes perceive more support from school, home, or community? This question was answered by examining the frequency distributions of the 62 questions on the HY-SUCCESS instrument and examining the five highest and five lowest responses. A response of "1" indicated strongly disagree and a "4" indicated strongly agree. Table 3 includes a description of the questions under each category. As indicated by answers of 2s (disagree), students disagree that they are supported by the community, and as indicated by 3s (agree), students do agree that they are supported by their immediate families. In summary, students gave the lowest rating to the questions related to community support and the five highest rated responses were in agreement to receiving home support.

Question # 4—Do students enrolled in pre- and advanced calculus math classes differ in perception of support from school, home, or community when making future educational plans? Several one-factor MANOVAs were conducted for this question because students could answer to one or more of the following options: (a) get a job after school (100), (b) go to a 2-year college (18), (c) serve in the military (8), obtain a bachelor's degree (203), and obtain a master's or doctorate degree (201). These variables were coded "0" for participation and "1" for non-participation. The multiple dependent variables were the sub-test scores for home, school, and community. The only main effects that approached significance were those found for lack of support from the community when the student aspired to obtain a bachelor's degree (Wilks' $\lambda = .97$, $F(4, 333) = 2.38$, $p = .051$, $\eta^2 = .03$) and master's and doctorate (Wilks' $\lambda = .97$, $F(4, 333) = 2.16$, $p = .072$, $\eta^2 = .03$), and the effect sizes of .03 for both was small. Table 4 presents the means and standard deviations for this analysis. This finding

should be interpreted with caution because there was not a significant difference and the effect sizes were small. Inspection of the descriptive statistics on Table 4 indicates that the majority of the students in this sample aspired to obtain a bachelor's, master's, or doctoral degree, while maybe holding down a job, and less so in obtaining a 2-year degree or serving in the military. The lowest degree of support from community was observed for those who would serve in the military in terms of school support. The majority of the students who aspired to obtain a bachelor's degree, master's, or doctorate disagreed that they had received community support.

DISCUSSION

A summary of some of the salient points from this study are: (a) students currently enrolled in AP courses and who participated in elementary bilingual education programs felt more home, school, and community support than students who participated in other elementary, middle school, and high school programs; (b) students currently enrolled in AP courses and whose mothers had a four-year degree or higher differed in that they felt more community support than students whose mothers did not have a degree; (c) the majority of students currently enrolled in AP courses aspired to receive a four-year degree or higher and experienced low levels of community support; and (d) students rated home as a more supportive environment and community as the least supportive. These findings are significant because this is the first empirical study that measures the level of support from home, school, and community as perceived by Hispanic urban students enrolled in AP courses. Previous studies have been based on examination of enrollment and qualitative data.

It is not surprising that students who participated in elementary bilingual education programs would feel supported by home, school, and community. There are several explanations for this. One, the findings underscore the importance of asking questions within the ecological context (home, school, and community) of the participants (Bonfenbrenner, 1979). This was necessary in order to understand the environment in which bilingual education thrived. Our study indicates that when students feel support in one area, it transfers to other areas because concepts such as language and culture are being reinforced by all the influential groups of home, school, and community.

Two, the importance of social networks (home, school, and community) as vehicles for carrying on "funds of knowledge" (Stanton-Salazar, 1997) within the culture such as language were highlighted by this study. For example, our findings suggest that bilingual education actually provides an incubation period where students can learn in a place that is comforting by providing temporary support by role models who speak the language and reinforce the culture while learning a new language and adapting to a new culture. Some educators may well think that gifted students do not need second language support, but continued language support is necessary, especially for the gifted student (Lara-Alecio, Irby, & Walker, 1997). Further, the development of funds of knowledge for language has to be given time to develop. Cummins (1986) stated that it takes two to three years for a child to develop a new language to the point where basic conversational skills can be practiced and five to seven years to develop the language skills where academic work can be performed. Three, our findings support the notion that bilingual education in the early years builds the protective and resiliency factors needed to undertake challenging tasks in the future, such as participation in AP courses (Gottlieb & Sylvestre, 1994).

Four, our finding that Bilingual Education builds a strong line of support concurs with Kloosterman's study (1999). The school and community support were seen as an extension of

the family in reinforcing social, emotional, and cognitive development, especially as it related to supporting and maintaining the family language. Five, it appears that the following types of involvement identified by Epstein et. al (2002): (a) parenting, (b) communicating, (c) volunteering, (d) learning at home, (e) decision making, and (f) collaborating with the community identified) were occurring for the students to have felt support at all levels. Finally, our results corroborate Gánadra's (2005) findings that early interventions and schooling in particular is very important for Hispanic students; this study indicates that culturally sensitive interventions are more likely to provide the support needed.

Our second finding indicates that students whose mothers had a four-year degree or better perceived more community support. This finding is consistent with other studies that highlight the importance of a mother's educational level as a support for participation in advanced placement courses (Jodry et al., 2004; Gánadara, 2005). Specifically, the Gánadra study indicated that mothers who had more than a high school diploma increased the chances of a Hispanic student maintaining upper quintile status in reading and math; this was not true for White students. On the other hand, father's education for Hispanic students was found to be less of a predictor for maintaining upper quintile status in reading and math. An explanation for the higher perceived level of community support from this group is that mothers who are educated have many opportunities through civic involvement, social activities, and professional work for communication with the community and those opportunities are passed on to their children (Rodriguez and Villarreal, 2003).

The analysis of the third question indicated that students perceived less support from the community than they did from school and home. Specifically, students indicated that teachers and community members did not educate nor assist their parents in finding information about higher education. An explanation may be that schools and communities are waiting for parents to ask and parents may be waiting for school and communities to provide the information. Another explanation may be that both groups lack the knowledge on how to proceed.

An analysis of the fourth question indicated that the majority of students aspired to receive a bachelor's degree or higher and they did not perceive a high level of community support. The first part of this finding is encouraging as the majority of the students will seek higher education and this concurs with the finding from the College Board (2005) that indicates that enrollment in AP courses is one of the strongest predictors of students continuing with higher education. The second part of the finding about a lack of community support, however, is of concern. Basically the students are stating that the community is not providing their parents with the information needed to make course and financial decisions about college. This is important in light of the fact that most Hispanic students generally under-enroll in institutions of higher learning even when they have the preparation and achievement levels necessary (Fry, 2004). Systematic ways of ensuring home, school, and community partnerships (Epstein, 2002) are important in changing this perception of students because this will ultimately affect their ability to seek a higher education.

Implications of these findings on AP courses for Hispanic students are various. One, programs that have developed systematic activities for working with home, school, and community environments (Epstein et al., 2002) are essential. All six areas of involvement identified by Epstein and others are needed for total success. Two, recognition is necessary for the cognitive benefits of bilingual education as a strength for students (Cummins, 1986; Lara-Alecio et. al, 1997). Three, policies such as automatic enrollment for the top 10% of the graduating class and dual-enrollment in high school and college programs are essential (Jodry et al., 2004). Four, especially important is how schools can provide information to parents about scholarships, participation in rigorous courses, and recognition of benefits and liabilities of

attending, nearby, less-demanding institutions. Five, training of counselors is necessary to provide up-to-date and accurate information to students in a timely and sustained manner. Six, the reduction of compartmentalized programs that are uncoordinated are necessary, in particular school reform efforts to address how strategies used in gifted and talented programs can be incorporated at all levels. Seven, policy needs to be developed to assure that attention to increasing the rigor of the academic courses and working toward high-achievement outcomes are tied to receiving resources (Gánadara, 2005). Finally, earlier it was discussed that ethnic participation in gifted and talented programs was disproportionate to their census representation; strategies and policies for addressing this discrepancy need to be addressed, especially as it relates to finding ways of identifying giftedness in minority students (Lara-Alecio et. al, 1997).

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Table 1. Participation in Special Programs in Elementary and Home, School, and Community Support (N = 434).

Type of Elementary Programs	Home Support	School Support	Community Support
English as a Second Language (ESL)—(85)	3.13 (.46)	3.05 (.36)	2.70 (.56)
Gifted and Talented (GT)—(117)	3.24 (.47)	3.04 (.41)	2.80 (.60)
Special Education—(2)	3.28 (.85)	2.96 (.42)	2.96 (1.16)
Magnet—(105)	3.19 (.49)	3.06 (.48)	2.86 (.68)
Bilingual Education – (78)	3.25 (.37)*	3.04 (.47)*	2.69 (.59)*

* $p < .01$

Effect Size = .04

Table 2. Mother's Educational Attainment and Affect on Students' Level of Support From Home, School, and Community (N = 434).

Educational Attainment	Home Support	School Support	Community Support
Did not have high school diploma (158)	3.20 (.45)	3.03 (.37)	2.97 (.40)
High School Diploma/GED (111)	3.18 (.40)	3.03 (.38)	2.98 (.42)
Military, some College, Technical Degree (36)	3.19 (.58)	3.12 (.44)	3.04 (.47)
4-Year College Degree (58)	3.19 (.52)	3.11 (.67)	3.02 (.51)*
Master's Degree or Higher (43)	3.22 (.47)	3.02 (.60)	3.01 (.67)*

* $p < .01$

effect size = .03

Table 3. Five Highest Rated and Lowest Rated Questions Regarding Support From Home, School, and Community (N = 411).

Question	Mean	SD
<u>Lowest</u>		
• Members of my community have worked with my parents, relatives and/or school to ensure my success.	2.41	.84
• There were adults in my community who helped me figure out how to do well academically.	2.52	.89
• Teachers and other adults at school have worked with my parents or relatives to ensure my success.	2.53	.88
• My teachers(s) or others at school discussed with my parent(s) how their involvement helps in my education.	2.54	.85
• My parent(s) and or relatives involve me in community organizations to ensure my success.	2.56	.87
<u>Highest</u>		
• Family members have made me feel capable of reaching my academic goals.	3.41	.73
• Members of my family care about how well I do academically.	3.44	.66
• I am expected to take responsibility at home.	3.50	.61
• My parent(s) or relatives expected me to do well in school.	3.51	.65
• I feel safe at home and with my family and relatives.	3.55	.59

Table 4. Students' Educational Plans and Support from Home, School, & Community (N = 434).

Educational Plans	Home Support	School Support	Community Support
Get a Job After School (100)	3.17 (.46)	3.02 (.41)	2.72 (.59)
Go to 2-year college or obtain a technical license (18)	3.19 (.45)	2.98 (.38)	2.75 (.54)
Serve in the military (8)	3.01 (.61)	2.77 (.62)	2.54 (.88)
Obtain a bachelor's degree (203)	3.19 (.49)	3.03 (.41)	2.75 (.63)*
Obtain a master's or doctorate degree (201)	3.24 (.45)	3.08 (.41)	2.84 (.60)***

Note: The total does not add up to 434 because students could respond to more than one option.

*p = .051
 effect size = .03
 **p = .07
 effect size = .03

CO-CREATING LEADERSHIP

Teresa A. Wasonga

INTRODUCTION

Schools as institutions affect the consciousness of the greatest number of children in the world. Because schools play the role of preparing youth for the future, school leadership has become the focus of political attention, public debates, and research. As schools have become more complex and leadership theories and practices have continued to evolve, research has focused on leadership that is devolved, shared, dispersed or distributed (Camburn, 2004; Harris, 2005; Spillane, 2006; Weis & Cambone, 2000). Increased interest in models of leadership that reflect a paradigm shift towards devolution of power has created both the need for research on the nature and contexts in which this orientation is most productive (Leithwood & Riehl, 2005) and the application of systematic theory and concepts in education administration.

This chapter presents a proposed leadership framework that is based on a socio-psychological theory of social behavior (Getzels & Guba, 1957), knowledge creation (Nonaka & Takeuchi, 1995), Follett's (1927; 1932) ideas on integration and co-ordination, and Wilkinson's (2005) quality social relations. Although social psychology has influenced the way schools are run, many schools tend to have a hierarchical structure of control with organizational role expectations prevailing over individual needs. In contrast, socio-psychological theory explains that the potential for leadership that is resident within members of an organization lies in engaging their knowledge, experience, and relationships. To maximize this engagement, Wilkinson (2005) called for quality relations in which social status and power gaps are kept to a minimum. He theorized that the smaller the social status gaps between people in the organization, the higher the quality of social relations, and the higher the quality of success.

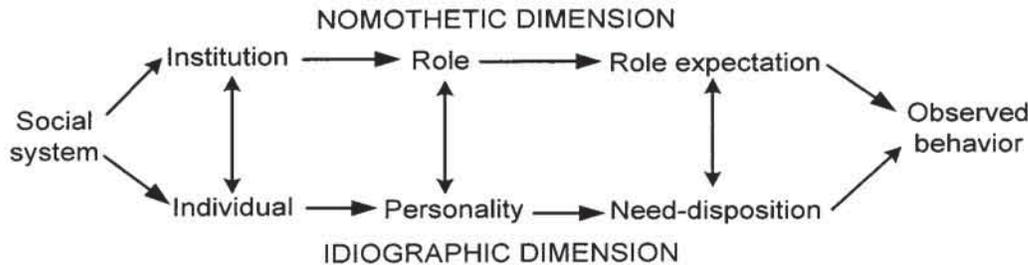
This paradigm is conceptualized as co-creating leadership (CCL). CCL is, therefore, defined as the dynamic process of engaging the full use of the organization's potential (knowledge, experience, and relationships) through a set of social behaviors to achieve a common purpose or interest. Leadership practice, in this case, is constructed through the co-ordination of interacting parts and the integration of perspectives (Follett, 1927a). It is the sum of quality perspectives from individuals in the organization.

SOCIAL BEHAVIOR: A THEORETICAL FRAMEWORK

Getzels and Guba (1957) conceived a social system involving two major classes of phenomena that are conceptually independent and phenomenally interactive. The social system, on one hand, consists of the institution with roles and role expectations (nomothetic). On the other hand, the system consists of the individual with personality and need-disposition (idiographic). The interactions between the nomothetic and idiographic dimensions lead to "social behavior" (p. 424). Thus, social behavior is the result of individuals attempting to cope with

an environment composed of patterns of expectations for behavior in ways consistent with their needs (Figure 1: Getzels & Guba, 1957; p. 429).

Figure 1. General model showing the nomothetic and the idiographic dimensions of social behavior.



Institution is the agency established to carry out social functions for the social system (Getzels & Guba, 1957). These social functions are organized as roles, and the roles are the structural elements that define the behavior of the person in office. Role expectations are the obligatory rights and duties. Individuals are those occupying the roles and reacting to the role expectations based on their personality and need-dispositions. Getzels and Guba defined personality as the “dynamic organization within the individual of those *need-dispositions* that govern his unique reaction to the environment” (p. 428). They used Parsons and Shils (1951) in defining need-dispositions as tendencies to act in certain manners and to expect certain consequences from those actions. In terms of leadership, detailed specific role expectations with rigid observance of institutional requirements are the norm in nomothetic organizations, and more informal expectations and the needs of the individual are emphasized in idiographic organizations. Although, these dimensions are viewed by Getzels and Guba as “different ways of achieving the same goal” (436), they may impact productivity differently.

However, not all organizations are either nomothetic or idiographic. Most have a blend depending on the levels of integration between nomothetic and idiographic dimensions. Instead of the behavior conforming almost entirely to role expectations (nomothetic) or personality need-dispositions (idiographic), the parts are integrated so that observed social behavior becomes the function of both role and personality. Getzels and Guba (1957, p. 430) explained this integration,

The relevance of this general model for administrative theory and practice becomes apparent when it is seen that the administrative process inevitably deals with the fulfillment of both nomothetic role expectations and idiographic need-dispositions while the goals of a particular social system are being achieved.

Based on this theory, the task of the leader is to integrate the demands of the institution and the demands of the members of the organization in ways that are organizationally productive and individually fulfilling; the rationale being that when institutional expectations and individual needs are congruent, attaining institutional and personal goals seem easy, natural, and forth coming with a minimal effort and strain. Guba (1958) confirmed this assumption in a study in which he found that the amount of time and energy an individual spends working towards the goals of the organization and personal satisfaction is a function of the congruence between the organizational demands and individual needs. He concluded that the congruency increases the probability of satisfaction and high morale, morale being a “predisposition on

the part of persons engaged in an enterprise to put forth extra effort in the achievement of group goals or objectives” (p. 198).

Social behavior theory indicates that satisfaction and morale for achieving both organizational and individual goals depend on the quality of interaction and integration between individual and the institution (Getzels and Guba, 1957, Guba, 1958) and among individuals (leaders and members) (Follett, 1927; Wilkinson, 2005). However, as Getzels, Lipham, and Campbell (1968) would find later, institutions are multilayered and located in environments that are constantly changing and challenging the status quo. Therefore, roles and expectations, personalities and need-dispositions are constantly in flux. To this end, Follett (1927b) suggested integration within the context of the changing environment and needs, because “when purposes of employers and employees become so integrated that they make one purpose, then we have the most real, the most vital sympathy, a feeling with rather than a feeling for” (p. 218).

CONCEPTUALIZING CO-CREATING LEADERSHIP

Bryke and Schneider (2002) found that the nature of “social exchanges, and the local cultural features that shape them, condition a school’s capacity to improve” (p. 5). Devising good schools, therefore, requires organizing the work of adults so that they are more likely to fashion together a coherent open environment for the development of capacity in self. The context required for such social exchange include: 1) “deep” democracy that has continued to evolve from Dewey’s work; 2) quality relations (Wilkinson, 2005) and 3) evolving power/capacity (Follett, 1925; 1926).

“Deep” democracy attaches significant value to participation, civic friendship, inclusiveness, and solidarity (Strike, 1999). Such significant participation creates feelings of identification and belongingness and therefore a sense of interest in the organization and its members. Getzels and Guba (1957) suggested that feelings of identification and belongingness are the two elements mostly identified with morale. While identification refers to the degree to which a member is able to integrate the goals of the institution into his own structure of needs and values, belongingness reflects the anticipation toward achieving satisfaction in meeting institutional expectation and personal needs. These two elements allow individuals to engage one another and the organization, thus creating reciprocal interdependency and developing capacity in self. Maxcy (1995), in supporting the call for “deep” democracy in schools, argued for three democratic values that are fundamental to social behavior/co-created leadership: “(a) the belief in the worth and dignity of individuals and the value of their expressions and participation; (b) the reverence for freedom, intelligence, and inquiry; and (c) the responsibility of individuals in concert to explore and choose collaborative and communal courses of practical action” (p. 58). Although these ideals may seem remote because of the historical and hierarchical structure of relationships in schools, Getzels and Guba’s theory of social behavior (Figure 1) demonstrates how social behavior may be achieved in hierarchical institutions. In addition, Wilkinson (2005) reiterated that because social structure penetrates personal lives and relationships, the smaller the social and power gaps, the greater the social cohesion and the practice of deep democracy. He found that inequality in power and social status affects social relations, well-being, and social capital. Lower levels of social capital in the organization reflect inequality and may diminish the quality of social relations and interactions. His work suggested that the quality of relations constitutes the core characteristics of success in co-creating.

The way power is constructed and conceived makes for the difference between co-creating and distributed leadership. Even as co-creating evolves power, distributed leadership

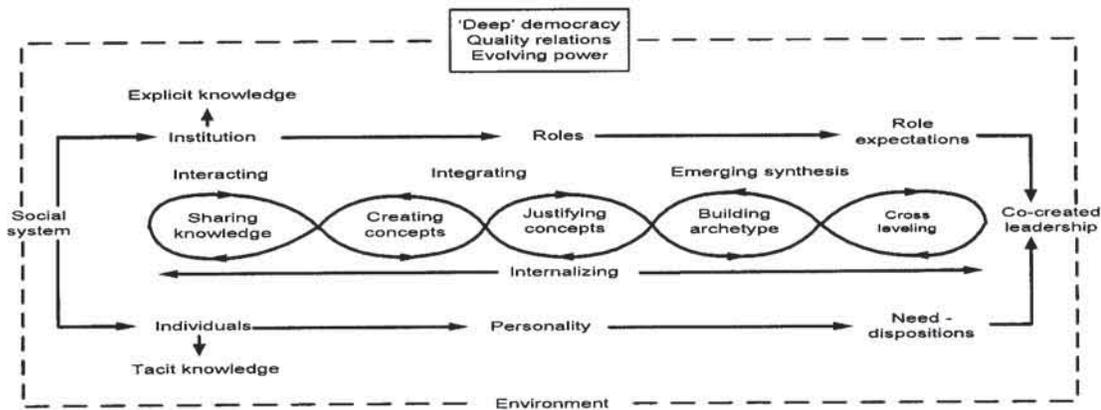
devolves power. Follett (1925) explained that power is not a pre-existing thing that can be distributed or shared. Instead, it is a self-developing capacity through redistribution of functions that provide opportunities to develop or evolve power. In this case, the distribution of function should focus on how it serves to evolve rather than devolve power. Spillane (2006, p. 24), in differentiating co-leadership and distributed leadership, quoted Heenan and Bennis' (1999) findings that co-leadership happens when 'power and responsibility are dispersed,' while distributed leadership happens when practice takes followers and the situation into consideration.

The presence of "deep" democracy, quality relations, and evolved power creates an environment that enhances both morale and ability to engage in co-creating. Nonaka and Takeuchi (1995) explained that the process of creating begins with cultivating the ontological (relationships) and the epistemological (knowledge) dimensions of the organization. Individuals, groups, and the organization, based on common interest in schools (student achievement) engage in dynamic interactions that lead to integration, emergence of synthesis, and internalization (Follett, 1927b; 1932; Nonaka & Takeuchi, 1995). The purpose of interaction is to share both tacit and explicit knowledge. Tacit knowledge is deeply rooted personal knowledge grounded in experience. This form of knowledge is only accessible to the organization when it is shared and made explicit (Nonaka & Takeuchi, 1995). Explicit knowledge, on the other hand, is systematic and logical knowledge that is easily understood and supported by facts and figures (Nonaka & Takeuchi, 1995). According to these authors, when there is interaction between tacit and explicit knowledge, knowledge is created and expanded. A corollary to Nonaka and Takeuchi's knowledge creating is co-creating leadership. When there is interaction among the institution's roles, leaders, and the led, leadership is co-created and expanded.

To engage in the process of creating, Nonaka and Takeuchi suggest four modes of knowledge conversion that are interactive and spiral: socialization, externalization, combination, and internalization. Follett (1927; 1932) suggested three modes of creating leadership that are also interactive and spiral: interacting, unifying, and emerging. These modes intersect at various points and may be merged. Interacting is similar to socialization and externalization in Follett's (1927, p. 194) definition, "reciprocal influencing" or circular response. It means, for example that when a school leader influences a teacher, the teacher is made different by the leader's influence. In turn, the teacher also influences the leader. This process causes new activity. Unifying is the process of interweaving or integrating. It is the process by which the whole and the parts alter in response to the interactions and relations of the parts. Unifying represents combination in Nonaka and Takeuchi's model. This principle is clearly demonstrated by the interaction of the influx of new and old policies in schools. Emerging synthesis represents the new product or activity as the result of accumulation from interacting and integrating. And internalizing is the process of institutionalizing new concepts so they become part of the organization.

Modes of conversion alone do not lead to co-creation. Nonaka and Takeuchi (1995) presented a five phase process of knowledge creation that, in conjunction with the modes of conversion and the conditions that enable social exchange, may be incorporated into Getzels and Guba's theoretical framework of social behavior in an attempt to explain co-creating leadership. The five phase process includes: (a) sharing tacit knowledge; (b) creating concepts; (c) justifying concepts; (d) building an archetype; and, (e) cross-leveling knowledge (p. 84). A conceptual framework of co-creating leadership based on the theory of social behavior (Getzels & Guba, 1957, Guba, 1958), the works of Nonaka and Takeuchi (1995), the ideas developed by Follett (1925; 1927a & b; 1932) and the findings of Wilkinson (2005) is presented in Figure 2.

Figure 2. A model showing the process of co-creating leadership: The five phase model of co-creating leadership process.



This model of co-creating leadership is anchored on the critical assumption that organizational goals are attained through social exchange: interacting, integrating, emerging synthesis, and internalizing. Social exchange spirals through the five phase process of co-creating. Co-creating also requires an environment that has a culture of “deep” democracy, quality relations, and opportunities for members to evolve power. Therefore, the process of co-creating leadership and its use as a prescriptive and predictive tool for school outcomes should be understood in the context of the multilayered and symbiotic nature of organizations and leadership.

Sharing Knowledge

Creating knowledge or leadership starts with the sharing of knowledge through interaction or socialization (Nonoka & Takeuchi, 1995). Although Nonoka and Takeuchi have limited this phase to the sharing of tacit knowledge, this framework expands the sharing to include both tacit and explicit knowledge. Sharing tacit knowledge is the process by which rich and untapped knowledge that resides in individuals is made explicit. However, this knowledge should be informed by the explicit knowledge in the organization.

Since tacit knowledge cannot be communicated easily and is based on personal experiences, background, perspectives, and motivations, it is critical for those involved to feel valued (Maxcy, 1995). The process of sharing feelings, emotions, and mental models has been found to build mutual trust (Bryke and Schneider, 2002; Wilkinson, 2005). Interacting is triggered by dialogue, and may enable formal leaders and members to tap each others’ knowledge that comes in the form of metaphors, analogies, hypotheses, or models. In this process, they influence each other as they internalize new knowledge and build quality relationships. Follett (1932) called this influence the reciprocal nature of interaction. People evoke each other’s latent ideas as they come to see each other’s view points. They understand each other better as those view points are integrated to become united in the pursuit of their common goal.

To make the process of sharing effective, an environment in which individuals can interact unreservedly is a prerequisite. Such environments were found among autonomous self-organizing teams in which members from various functional departments worked together to achieve a common goal (Nonoka & Takeuchi, 1995). Reeves (2000) found that creating and sharing the vision of the school, even with casual observers, drew the constituents’ focus towards academic achievement. And Arnau, Kahrs, and Kruskamp (2004) found that sharing

personal experiences during peer coaching gave them meaningful feedback, motivation, increased levels of trust and morale, and justification to do more work.

Creating Concepts

This is the process of integrating concepts by combining different bodies of knowledge (institutional and personal), perspectives, models and ideas through collective reflection, and reasoning methods such as deduction, induction, and abduction. The tacit knowledge shared, for example, in the self-organizing team is converted to explicit knowledge in the form of new or emerging concepts (Nonoka & Takeuchi, 1995). These authors explain that abduction is particularly useful in this phase as it allows members to hypothesize and to make inferences from metaphors and analogies. In terms of leadership, this is the phase where reconfiguration through collective reflection on existing shared information may lead to new leadership. For example veteran teachers involved in peer coaching became more active in designing professional learning experiences when they discovered, through sharing, that such activities would positively affect student learning (Arnau, Kahrs, & Kruskamp, 2004).

Because concepts are created through social exchanges, the morale to perform depends on the “reverence for freedom, intelligence, and inquiry” (Maxcy, 1995, p. 58) and the quality of relations (Wilkinson, 2005). The willingness to contribute to the co-creating process is likely to be impaired and morale diminished if those performing do not experience the freedom of inquiry—hard thinking, inventiveness, ingenuity, trust.

Justifying Concepts

In this phase, the members determine if the new concept is truly worthy of pursuit (Nonoka & Takeuchi, 1995). Individuals engage in the screening of information, concepts, or knowledge continuously to check if the organization’s intention is still the focus and to ascertain if the concept meets the needs of both the organization and the people. The normal justification criteria for co-creating leadership decisions may include the degree to which the decision benefits all stakeholders, the ethic of justice, and opportunities for members to evolve power. Thus, the justification criteria need not be strictly objective and factual, they can be judgmental and value-laden (Nonoka & Takeuchi, 1995). Justification happens through integration and emergence of synthesis.

In co-creating leadership, this is the phase where the leader and the led (principal and teachers) in concert “explore and choose collaborative and communal courses of practical action” (Maxcy, 1995, p. 58), including the formulation of the criteria for justification. The unique characteristic of co-creating leadership is that participation begins “with the beginning of the process” (Follett, 1927b, p. 223). And the process of justifying helps avoid any misunderstanding about the criteria. Ponticell and Zepeda (2004) found that principals and teachers perceived their roles in the process of teacher supervision as evaluation, narrowly defined as fulfilling the steps required by the law with the principal as the judge. Teachers had minimal to zero input in the criteria and therefore, according to Guba (1958) expended extra energy engaging in a behavior that was “unsatisfying” (p. 197). For this reason Ponticell and Zepeda recommended the use of “symbolic interaction” in the process of teacher supervision (p. 44). Symbolic interaction was defined as the co-construction of meaning that occurs when individuals interact and draw meaning (justification) from an event and shared experiences. The process of justifying together leads to greater satisfaction and higher morale which, in turn, determine the effort that teachers put in improving their teaching.

Building an Archetype

When the new concept is justified, Nonoka and Takeuchi (1995) recommended building an archetype, which can take the shape of a pilot program in schools. In this phase, the justified concept is made concrete by developing a model. The archetype is the emergence of synthesis through combination of new and existing explicit knowledge. To create the archetype or model to pilot, a team of people, representative of stakeholders and with differing expertise, develop specifications that meet the stakeholders' approval. They are responsible for affecting the emerging blueprint.

In terms of co-creating leadership in schools, this is the phase where leadership teams based on justified concepts, draw up new curricula, organizational charts, job descriptions, union/school board agreements, teacher supervision criteria, reporting systems, or operating procedures. According to Nonoka and Takeuchi, attention to detail is the key to managing this process. The practice of democracy and opportunities to evolve power serve as useful tools for converging the best of human resource, expanding knowledge and leadership, as well as promoting interpersonal relationships.

Cross-leveling Knowledge/Leadership

In this phase knowledge or leadership created and piloted or tested is extended to other areas and constituents in the organization. Because organizations are multilayered, Nonoka and Takeuchi (1995) advised that knowledge creating organizations function as open systems allowing constant exchange between the layers or levels of the organization and with the outside environment in a never-ending process that up-grades itself continuously. "The new concept, which has been created, justified and modeled, moves on to a new cycle of knowledge creation. . ." (p. 88). Cross-leveling takes place intra-personally, interpersonally, intra-organizationally, and inter-organizationally. In terms of leadership, leaders have sufficient insight to meet, and to create the next situation as they internalize new ideas based on the co-creating process.

To be successful in this phase, it is essential that leaders of the organization have evolved in ability and power to take this knowledge or leadership and apply it freely. Frequent rotation of personnel in leadership roles may facilitate knowledge transfer.

SUMMARY

In this chapter, it is proposed that the potential of leadership resides in the processes of co-creating by evolving power through knowledge, relationships, and functional relating (integration). Co-creating leadership perceives "leading" as engaging in an act which initiates a structure of interaction with others. However, "following" does not exclude one from initiating interaction in co-creating leadership. Both leaders and followers may engage in acts which initiate and maintain a structure of interaction. But the leader has the task of co-coordinating and integrating the process and the products. To do this successfully, the leader should aim to acquire a thorough awareness of the limits and resources of individuals (idiographic), the organizational requirements (nomothetic), and the environment within which administrative (context) action may occur.

In conclusion, this chapter does not imply that co-creating leadership alone will lead to improved schools and student outcomes. It looks back to concepts and theories that together

provide a new way to conceptualize school leadership. Certainly, the concepts and processes discussed here are of value as we rethink what it takes to lead schools today. Together with Quin (1992), Drucker (1993), Bruffee (1993) and Nonoka and Takeuchi (1995), I share the view that the successes of organizations (schools) lie more in their integrative human resource (intellectual and service) capabilities than in hard assets. And like Follett (1932, p. 296), I believe that a leader's authority lies in "the gathering up of many authorities found at different points in the organization." Schools in which authority emanates from the people are more likely to be resilient—having greater capacity to deal with known issues and to predict the future. In such schools, leadership does not depend on any one individual; it is created through a series of negotiated quality relationships and knowledge in the organization.

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NAVIGATING THE TECHNOLOGICAL IMPERATIVE

A Scholarly Opportunity for NCPEA to Tip the World: Navigating the Technological Imperative

Theodore Creighton and John Eller

INTRODUCTION

In an address to the NCPEA membership at the 2006 Summer Conference in Lexington, Kentucky, one of the authors strongly suggested that NCPEA, in its 60th year, is at a critical juncture as a professional organization. Specifically, the NCPEA Connexions Knowledge Base Project positions NCPEA at a “*tipping point*” (Gladwell, 2002) and provides the vehicle to now impact educational administration around the world. We have spent the last year organizing and formatting the *framework* of our knowledge base—domains are beginning to swell with published works. Hundreds of authors from the United States and many other countries have contributed peer-reviewed scholarly contributions in our online repository of educational administration content.

This chapter highlights a further *tipping point* related to the overarching goal of the Connexions Project—to *provide instructional materials and courses for professors and students in educational administration programs and practitioners in our schools*. Though our knowledge data base is far from complete, it now contains sufficient instructional materials for us to begin the exciting and needed process of creating educationally sound courses for our programs with such things as E-books, dynamic simulations, and full semester courses in educational leadership.

The primary goal of this chapter is to make a significant scholarly contribution to the teaching and practice of educational administration. The process of creating courses and other instructional materials is defined and displayed in an understandable and user-friendly format. Exemplary models of existing courses in Instructional Leadership, Data and Evidenced-based Decision Making Strategies, The Principalship, and Organizational Change are included in this chapter. Because these courses have already been peer-reviewed by the NCPEA editorial process and published in Connexions, professors, students, and practitioners have immediate and free access to them. The value of these materials for professors of educational administration is fairly obvious—the published courses can be used in master’s programs for principal preparation as well as Ed.D. and Ph.D. programs in educational leadership. Of particular note is the fact that these materials are absolutely free and easily accessible through the Internet. Unlike general information on the Internet, these instructional materials are “quality controlled” by having been peer-reviewed by NCPEA and deemed significant and scholarly contributions to our field. Professors, students, and practitioners have free and open access to these instructional materials.

Given that the use of “At the Tipping Points” was first used by NCPEA as a metaphor in an initial presentation of the Connexions Project (Creighton, 2006), it seems important and appropriate to continue this focus for the 2007 Summer Conference and this 2007 NCPEA Yearbook. As we begin the important work of course composition in the Connexions Project, the original meaning of the tipping points is further defined: tipping points are dynamic and

proactive, needing to be acted upon quickly or the opportunity disappears. This chapter serves as a proactive approach to making a significant contribution to the field of educational administration.

Around the world, educational administration professors are facing vast changes and imperatives to improve their practices and impact future educational leaders. Many authors today call for the administrators that are being prepared in programs to be able to utilize new and complex skills. In the book, *School Leadership That Works: From Research to Results*, Marzano, Walters, and McNulty (2004) pointed out many new skills/behaviors that the school leaders of the future will need to survive. Among these skills/behaviors are: acting as a change agent; becoming a fluent communicator; increasing their flexibility; relationship building; and situational awareness. Very few of these skills are listed in traditional textbooks. Administrator preparation courses need to provide information regarding these new and complex skills/behaviors and integrate content from a variety of sources. Many administrative preparation courses still rely on textbooks to provide the bulk of their information. Textbooks, at best, provide a global overview of the content area in which they are used and are less than dynamic to keep up with the pace of information and constantly changing societal and school issues. The time needed to write, edit, and publish these books tends to contribute to out-datedness by the time they are actually in the hands of the students. This places responsibility on the professor teaching the course to provide supplemental materials and content to ensure that the students receive the information they need to operate in this complex administrative world. Traditionally the responsibility for finding, reviewing, and selecting these supplemental resources fell entirely on the local administration professor. In many cases, these supplemental resources had not undergone the scrutiny of the peer review process and their assertions could be subject to personal bias and errors.

Another problem with this isolated way of locating and integrating information is that as educators strive to find the necessary content and materials to enhance their courses, perhaps a few hundred educational administration professors worldwide could be looking for solutions from a limited pool of information. These professors need an efficient way to quickly find information and publish it for their students. There needs to be a critical mass or significant warehouse of information available to help “tip” the scales to ease course construction. The Connexions project is just such a force.

In his groundbreaking book, *The Tipping Point* (2002), Malcolm Gladwell outlined the conditions that provide a foundation for synergistic results to occur. Gladwell discussed how a new idea or concept seems to move along at a slow pace and then, seemingly overnight, takes off, and becomes very popular. Right before the concept becomes popular, small, seemingly insignificant factors work together to “tip the balance.” Once this occurs, the idea or concept utilizes its natural synergy to maintain its momentum. Gladwell outlined the following conditions needed for this tipping point to occur: “The three rules of the Tipping Point (1) the Law of the Few, (2) the Stickiness Factor, and (3) the Power of Context- making sense of epidemics. They provide us with a direction for how to go about reaching a Tipping Point” (Gladwell, p. 29). These same three factors are now in place to make the Connexions Project “tip the scales.”

Gladwell’s work provides direction for how the Connexions Project will revolutionize course development. At first, those pioneers working to make their courses more relevant and timely for their students got involved with the project (*Law of the Few*). They acted as pioneers and added to the base of articles and tried new things (course development) in its early stages. These early adopters provided a base for future professors to use in moving their course development forward. These same pioneers told others about the process and how easy

it was to use. This is what is now occurring with the Connexions project. In a normal *tipping point* process, others hear about the new idea and try it. They start to get feedback about the improved operation as a result of the new process. In the case of the Connexions Project, this feedback will come from the students who will provide feedback about the improved course content (*Stickiness Factor*). Finally, Gladwell discussed the *Power of Context*, in essence how the new idea or process fits into unique situations. For professors of educational administration courses *the power of context* will help them see how offering more timely and current content will better prepare their students for the complexities facing them as they assume administrative positions. The Tipping Point for the Connexions Project will have been reached and it will become widely accepted and used by professors in the field.

Books are reviewed by the NCPEA Connexions editorial board and nationally recognized reviewers in educational administration. To carry the acceptance and endorsement of NCPEA, submissions go through a rigorous and thorough review process and in most cases require changes and corrections. There may be some concern from the profession that the Web-based NCPEA Press (and Connexions Project) may attract and accept material that cannot meet publication standards of more traditional mediums (i.e., print journals and books). This position is a “bias and convenient fiction” (Henry, 2006, p. 4). NCPEA Press maintains scholarly quality and can have the same or better reputation and prestige than traditional publishing, especially because it is reviewed, edited, and controlled by the profession itself.

The first book published in NCPEA Press, *Handbook of Doctoral Programs in Educational Leadership: Issues and Challenges* is available to the profession now. Obviously professors have free and open access to this book (and eventually many others) meaning that professors can give access to your students which includes the right to download and print multiple copies. If however, professors prefer to have paperback or hardbound copies in book format, the option of ordering from NCPEA Press is available. Cost is approximately $\frac{1}{4}$ of traditional copy and can be delivered to professors and students in a few days.

We would be remiss if we did not highlight a very powerful and useful distinction between traditional press and NCPEA Press. Books (and all other Connexions materials) can be *modified, improved, and updated* in a few minutes. A somewhat serene example is helpful here. In the first edition of *Schools and Data* (Creighton, 2001), the author used an example of a leadership practice field that involved a hypothetical scenario with the World Trade Towers in New York. After 9/11 the author wanted desperately to get that analogy out of the book. Obviously, there was no way to change or update the section. Three years went by before the printing of the 2nd edition took place, allowing the author to delete the section and insert an updated example.

Any module, book, or course published in Connexions can be immediately checked out by the author (as copyright holder and maintainer), changes or updates made, and immediately republished in the Connexions Content Commons. The old edition is overridden by the newer version, and users are directed immediately to the updated work...all in a matter of minutes.

In the move from textbook driven to professor designed courses, several course design principles need to be taken into account. As courses become responsive to student needs they will need to clearly reflect adult learning principles. In the classic book *Adult Learning* (1997) by Malcolm Knowles, Elwood Holton, and Richard Swanson, the principles to be taken into account for adult learners are outlined. These adult learning principles (Knowles, Holton, & Swanson, 1997, p. 4) include:

—The Learner’s Need to Know

- Self-concept of the Learner
- Prior Experience of the Learner
- Readiness to Learn
- Orientation to Learn
- Motivation to Learn

The Learner's Need to Know. Students in educational administration courses need the most current information available and the information that they will need to do well in an ever-changing educational environment. The Connexions Project has cutting edge instructional modules pertinent to student needs to make coursework more stimulating and meaningful. This information can be tailored to the unique content students need to know to successfully apply what they have learned to their practice as educational administrators with minimal searching on the part of the professor designing the course.

Prior Experience of the Learner. The students enrolling in leadership programs today come with vast experiences and knowledge bases. Commercially produced textbooks do not always meet the needs of these experienced learners. Because the content on the Connexions site is up to date and current, when professors use this content in developing courses they have a greater chance of building on the prior experiences of learners in leadership programs than if just textbooks were used.

Orientation to Learn/Motivation to Learn. Many students aspiring to assume leadership positions in schools understand the complexities that are inherent in organizations today. These students come to our programs with the intent to learn what they need to be successful school leaders. Providing current and timely content through the Connexions database is one way to ensure that courses will capitalize on the students' orientation to learning and their motivation to do well as school leaders. This content also comes from a diverse group of authors representing different countries and orientations to administration, something students cannot get from traditional textbooks that usually contain information from one author. Examining content from a wide variety of perspectives can be very motivating for students and helps prepare them for the complexities they face as future school leaders.

Using the information now available on the Connexions database, professors of educational administration can easily and efficiently build pertinent, timely, and relevant courses that meet the expectations that their students, as adult learners, need and demand to be successful in today's complex school environments.

Through the Connexions Project, course developers and participants build modules together and develop true "community of learners." In a community, all participants benefit from the synergy that is created through informal and formal relationships that are fostered by using content and contributing to the learning of all who participate in the Connexions Project. As courses are developed and shared, future course developers benefit from and build on the foundations established by those who initially developed courses. In practice, even though some of these course developers would never have had the opportunity to meet and interact, now they are able to share ideas that are mutually beneficial to each other. This sharing, building, and refining of the craft of course development can lead to relationships that were never possible before the Connexions Project. Some professors can even begin to identify common research and writing interests that will further an interdependent relationship around some common research and writing.

In *Leadership in the New Science*, author Margret Wheatley (1994) talked about the importance of the interconnectedness experienced in communities. She also discussed the fact that people have to live the values that they are recommending for others. If this does not

happen, it is impossible for others to simply follow directions or advice. Professors of educational administration need to model flexibility, understand problems from multiple perspectives, and add to the core content knowledge of the profession. Using Connexions content to build flexible courses allows students to see that we are interested in their learning and bringing diverse perspectives to them for their use in learning more about the craft of school administration. We are modeling the very processes we want them to utilize as future school leaders rather than just “telling” them what we want them to do. This fits the focus advocated by Wheatley for effective leadership.

Authors Robert Garmston and Bruce Wellman (1999) labeled synergistic relationships, where the participating parties know how to collaborate plus understand when it's beneficial to work alone, as interdependent relationships. Interdependence allows us to use the knowledge created by others while fitting it into our own unique situation.

Why is the idea of interdependence important to us as professors of educational administration and how does this idea relate to using Connexions content to develop flexible and adaptive courses? Although the concept of interdependence has been widely used to describe situations at school sites, its application to professors of educational administration has not been so popular. Professors have worked in isolation and have rarely been able to develop interdependent relationships. The Connexions Project provides just the right amount of tools and content to “tip” the balance for professors from independent work to interdependent relationships. As members of interdependent groups these professors will grow beyond the sum of the contributions they make to the project. As courses are developed and shared on the Connexions site, participants will learn and grow. In the community of learners that will evolve over time, educational administration professors will experience the same kinds of growth that they are expecting their students to embrace in their world as educational leaders. Wheatley (1994) discussed the importance and pertinence of people in all levels of groups or organizations experiencing similar processes or values. The Connexions project allows professors to demonstrate flexibility and allow their students to feel and see the impacts of flexible work environments through their practice of developing flexible and responsive courses.

As this project continues to grow, professors of educational administration will see further refinement in both the content available to them and the sophistication in the use of this content to produce meaningful and relevant courses for their students. The information contained in this chapter was designed to provide professors and practitioners the background and motivation needed to begin utilizing the Connexions Project to develop courses they can utilize with students and share with others around the world. As more people move in this direction, a “tipping point” will be reached and this may become the preferred method of course development for administrators around the world. The theory of the tipping point requires, however, that we reframe the way we think about the world (Gladwell, 2002, p. 257). When this happens, professors of educational administration will become linked together in an interdependent, synergistic community of learners that will not only benefit their professional growth, but the learning and skill development of their students.

With its editorial and authoring strength in educational administration, NCPEA has constructed a “content filter or portal” to review and publish the knowledge base to be freely accessed and used primarily by professors, practitioners, and doctoral students, and, secondarily (but equally important) to all in the world. NCPEA is at a significant place in time, with the potential to radically and positively improve educational administration and ultimately, teaching and learning in schools and universities around the world.

NCPEA is “taking back their profession.” With the technological tools and power of the Connexions Project, there is now the scholarly opportunity to finally establish the knowledge

base of educational administration and *tip* the profession toward the same professional prestige and status as medicine, law, engineering, performing arts, and other professions defined by their substantive and accessible knowledge.

The NCPEA Connexions Project now provides the diverse content and synergy needed for professors of educational administration programs to begin to utilize the extensive content on the website to begin to author administrative courses that contain diverse content from a variety of sources. In this chapter the authors will provide information to interested readers regarding the theory behind effective course development and the capabilities that are available through the use of the content and tools on the Connexions Project web site.

THE KNOWLEDGE ECOSYSTEM

Six and one-half years ago, Richard Baraniuk and a group of professors at Rice University developed Connexions as a way to create and sustain the conditions for the use of educational and scholarly materials by educators and learners worldwide. Two years ago, Rice University and NCPEA entered into a collaborative agreement to assemble the knowledge base of educational administration in this free and open space called the Connexions Content Commons. Baraniuk (2006) described his “knowledge ecosystem” as: (a) an interactive global repository; (b) free and open to all in the world; (c) easily modified and improved in seconds rather than years; and (d) a space where students and instructors can make cross-disciplinary leaps with a simple mouse click, following knowledge wherever learning takes them.

Connexions adapts the open-source software concept to scholarly academic content, allowing anyone to freely publish course materials in a single place online. Connexions is organized around a “content commons,” an online repository that contains thousands of scholarly modules – manuscripts roughly equivalent to two or three pages of a textbook. Connexions provides free tools and software that allows anyone to reuse, revise, and recombine the modules to suit their needs. This gives people the option of creating customized courses, custom textbooks, and personalized study guides.

ANOTHER TIPPING POINT: ON DEMAND-PRINTING

Rice University Connexions has entered into an on-demand printing agreement with QOOP, Inc. that allows students and instructors anywhere in the world to order high-quality, hardback textbooks from Connexions, in most cases for less than \$25. The cost advantage with on-demand printing involves only printing when an order is received. Traditional publishers require a minimum number of copies printed up front, before sales even begin. There are common problems with publishing of scholarly books, textbooks, and journals. These materials are expensive, static, out of date, in a single language, and access to them is limited to just a few. Baraniuk (2006) explained:

Being Web-based is also about access, and because our materials are freely available to everyone, we needed an easy, low-cost way to let people use a book if that’s the medium they are most comfortable learning from. The on demand service allows Connexions users to order customized course guides and a variety of fully-developed textbooks. Our combination of open content and print-on-demand technology will change the paradigm, both economically and academically. We’re going to give students access to the latest, up-to-date material, and we’re going to do it at used-book prices. (p. 1)

Rice University and NCPEA now have the same agreement to provide print on-demand services through NCPEA Press. The web-based platform used in the NCPEA Connexions Knowledge Base was first about assembling and organizing—but ultimately it is about access. Having reading and printing access was a first step but many educators prefer paperback and hard copy books over a computer downloaded copy.

WHAT ABOUT COPYRIGHT AND AUTHOR PROTECTION?

All material published in the NCPEA Knowledge Base and by NCPEA Press carries the “Creative Commons License” and is guided by the Creative Commons Attribution Agreement. Though authors agree to share the material with the world and permit copy and distribution privileges to users, users must attribute the work that is specified by the author as copyright holder. The author maintains copyright throughout any kind of use and distribution. Figure 1 displays the actual licensing agreement between Connexions and an author.

Table 1. New Content Licensing.

Connexions requires that all content submitted to the Content Commons be placed under an Open Content license that allows others to use, distribute, and create derivative works based upon that content. The *Attribution License* from Creative Commons fulfills this requirement, still allowing authors to receive credit for their efforts. Authors agree:

1. To retain copyright of the material
2. To allow others free and open distribution of the work
3. To allow inclusion of the work in the publication of other work (requiring attribution)

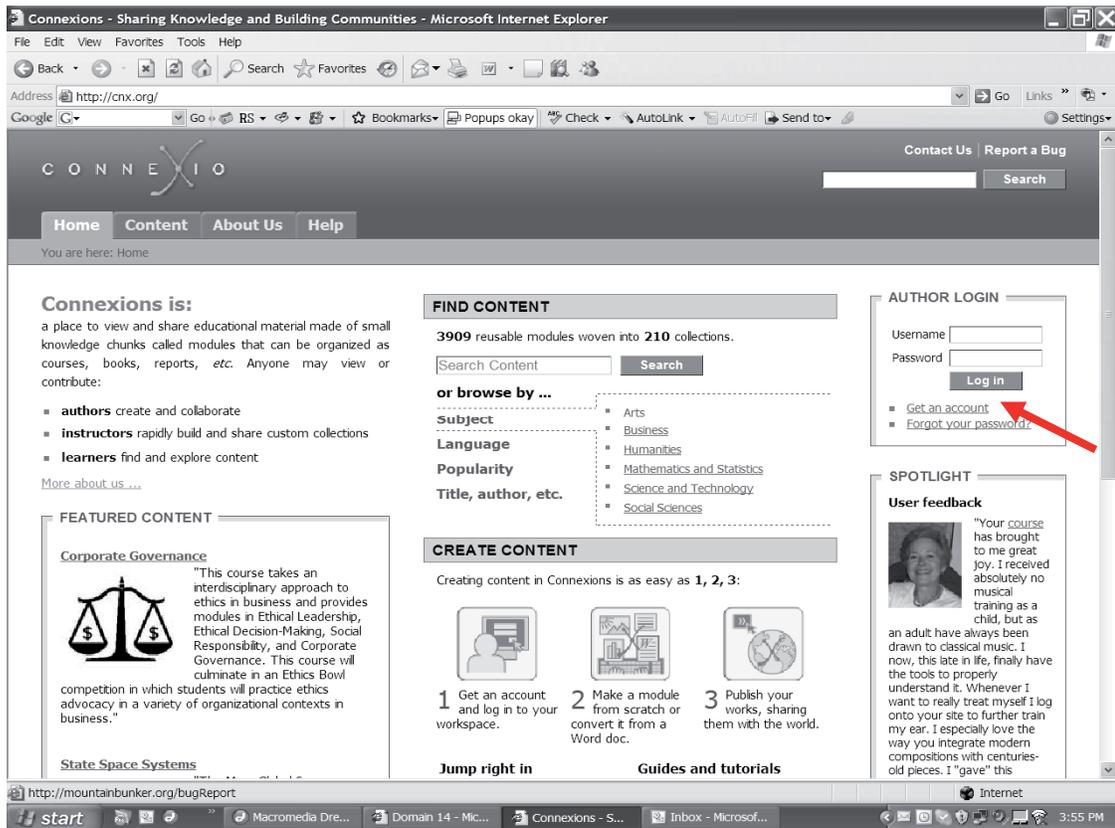
Note: A complete version of the Creative Commons License is available at: creativecommons.org

In addition to receiving copyright, Connexions authors are granted the role of maintainer. This means that the author can retrieve (check out) the published work, make changes or updates and republish in the Content Commons. The maintainer rights are reserved for the author only—others can only receive the same maintainer privileges upon designation by the original author. An example of this is used with NCPEA reviewed and accepted publications. Both NCPEA and the author have maintainer rights since often authors request and prefer that NCPEA make the changes; this setup is necessary to keep the NCPEA endorsement active. In the event that major changes are desired, the work must again process through the NCPEA Connexions peer-review process to maintain quality and assurance of significant contributions to the knowledge base in educational administration.

CREATING AND PUBLISHING A COURSE OR BOOK IN CONNEXIONS

The following section displays the actual steps taken to create and publish a graduate course for educational administration programs, entitled *Organizational Change*. This course was developed and published in Connexions by Creighton, Martin, and Dembowski (2007) and is currently freely available to professors for classes.

Figure 1. CNX User Account.

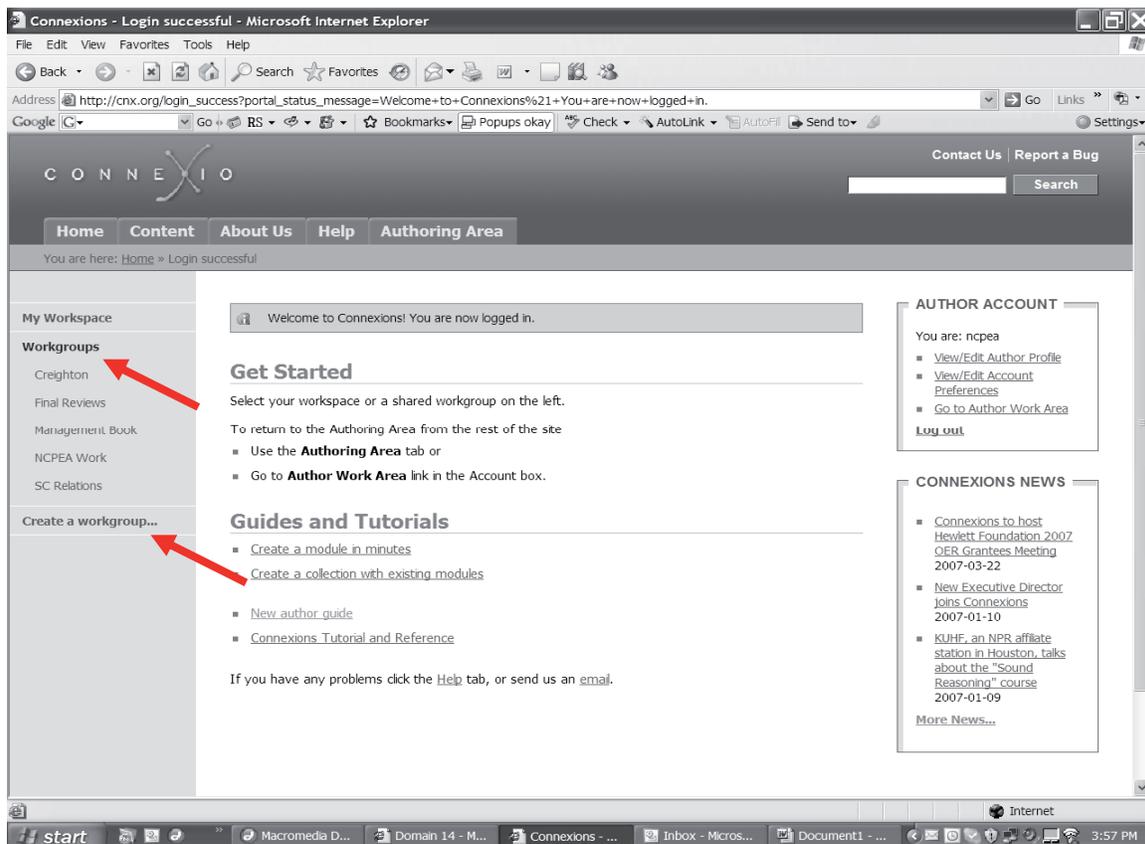


Step 1. Set up a Connexions Users Account

In order for authors to publish modules and courses in the NCPEA Connexions Knowledge Base Project, they must set up a users account in Connexions. Accounts are free but required before your module can be given copyright to you. Below are the specific directions for setting up a users account. Professors can set up the account at anytime, but it must be active before publication (Figure 1).

- a. From the Internet, go to the Connexions web site (this is not the NCPEA web site) at: www.cnx.org;
- b. On the bottom left side of the main page, select “New Author or Instructor”;
- c. This links to Request a Connexion’s Account—required entries are name and email address, then press “continue”;
- d. Choose a username, and answer the two questions related to field of study and how you found out about Connexions, then press “continue”;
- e. The Professor indicates that the Connexions Site License has been read and agreed to then select “Request Account”;
- f. The message, Account Request Complete is received, and then email message shortly with further directions for activating the account is received;
- g. From the email you received, the professor must activate the account within 24 hours, using the link provided in the email;
- h. Choose a password and confirm; and,
- i. The account may be logged into.

Figure 2. CNX Work Space.



Step 2. Create a Connexions Work Space

Creating a Connexions Work Space is quite straight forward. Here professors have access to all educational material in the Connexions Content Commons, a place to create, edit, and proof the module, course, or book. In addition, professors can actually view what the work will look like online and proof the course navigation from the student's perspective. The work is saved and stored in your Connexions Work Space until the professor is ready to publish to the Content Commons (Figure 2).

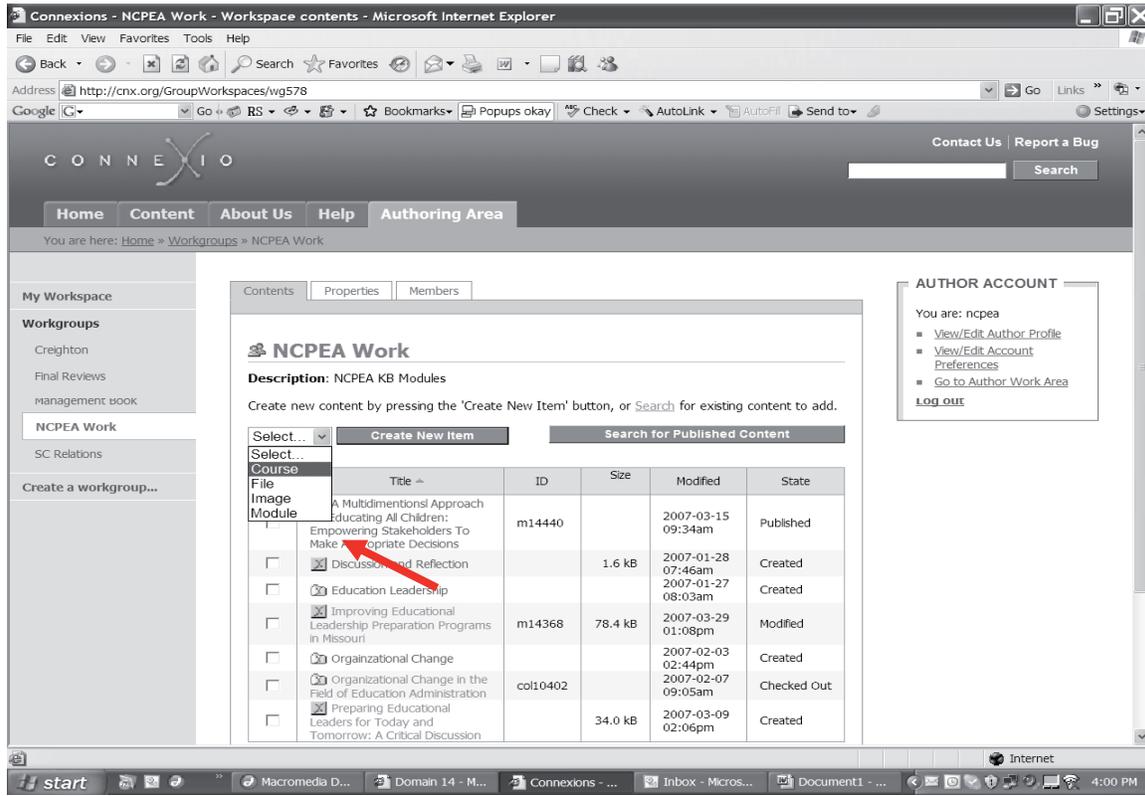
- a. Once in the work space, select "Create a Work Group" and
- b. Either work here by oneself, OR add other users, such as a co-author or graduate assistant.

Step 3. Creating Sections or Items

Connexions provides an opportunity for authors to create or upload files, images, modules, and courses. Professors may want to upload a word document (e.g., syllabus), an image (Figure 3), or a video clip to accompany the course being created.

- a. Select *course* from the drop down menu under Create a New Item;
- b. Author is asked to agree to the Open Content License agreement;
- c. Title the course, provide a brief abstract and key words for search purposes; and,
- d. The course is saved in the author's workspace.

Figure 3. Create Course.

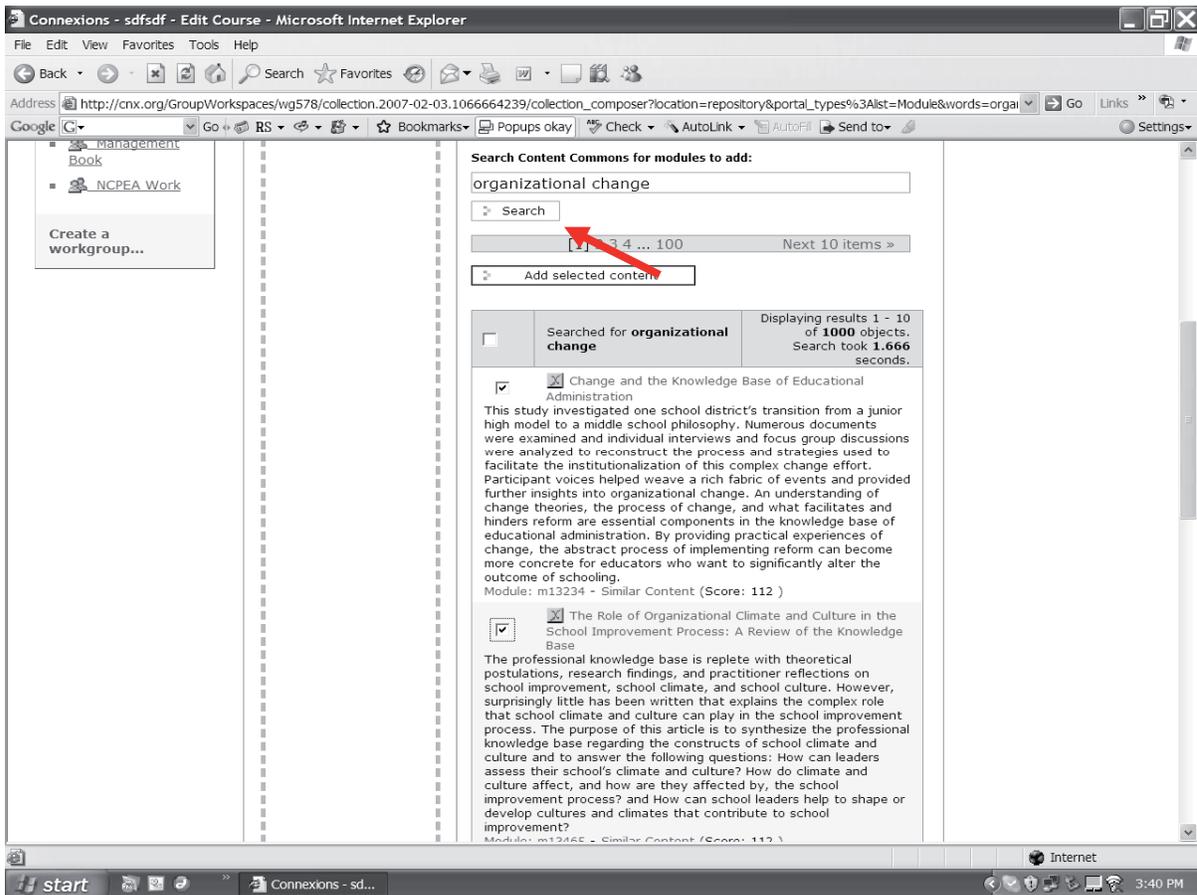


Step 4. Searching the Content Commons for Material

Once the course is saved in the workspace, the author can begin to add content (or paste content from another section or course). The procedure for adding content simply involves searching the Connexions Content Commons with key words. In this case, we will use the key words, *Organizational Change*. In addition, we may want to further limit content to only peer-reviewed NCPEA module and materials.

- a. Type *Organizational Change* into the search box;
- b. Approximately 1,000 results display (February 5, 2007); and,
- c. The abstract is displayed with the full article accessible.

Figure 4. Searching for Content.



Step 5. Importing Material to Work Space

Once the author has reviewed the displayed material resulting from the search, individual modules can be easily uploaded to a course and workspace. Upon opening the documents, authors will notice that Connexions also tracks and displays related material, similar content, and courses already using the specific document.

- a. Upload desired material by checking *Add Selected Content* and
- b. Note that the selected content immediately transfers to the professor's course outline in her/his personal workspace.

Figure 5. Importing to Work Space.

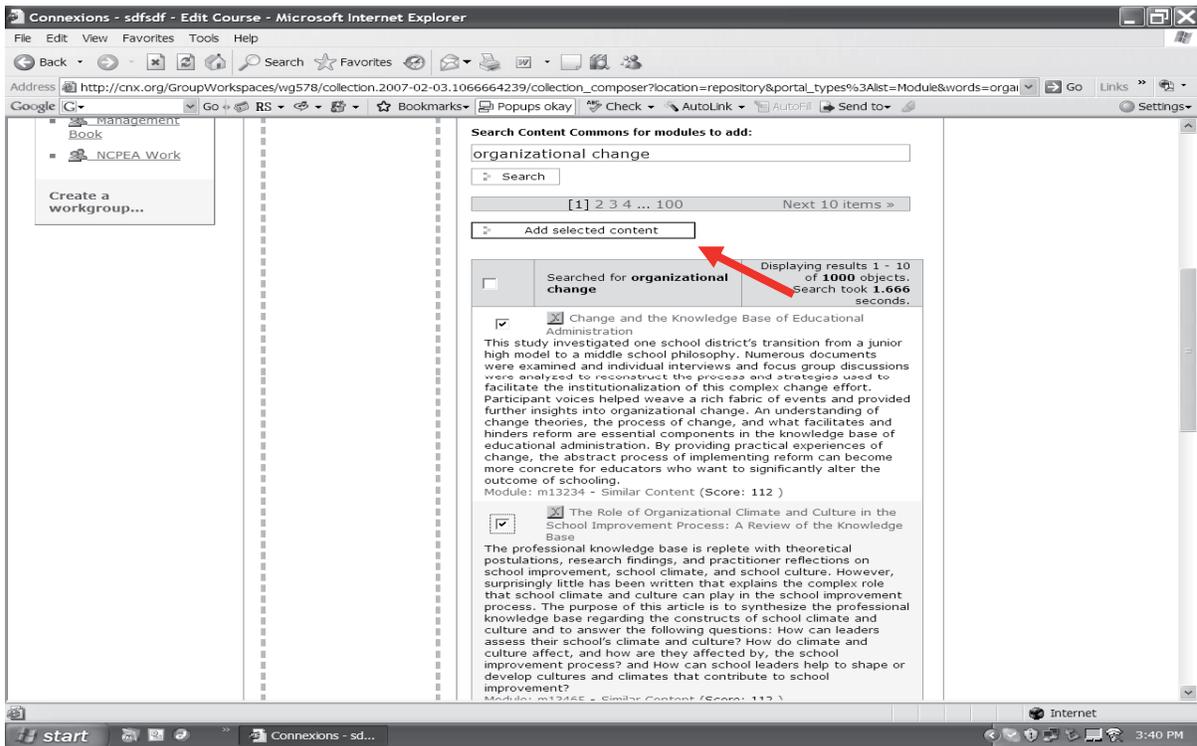
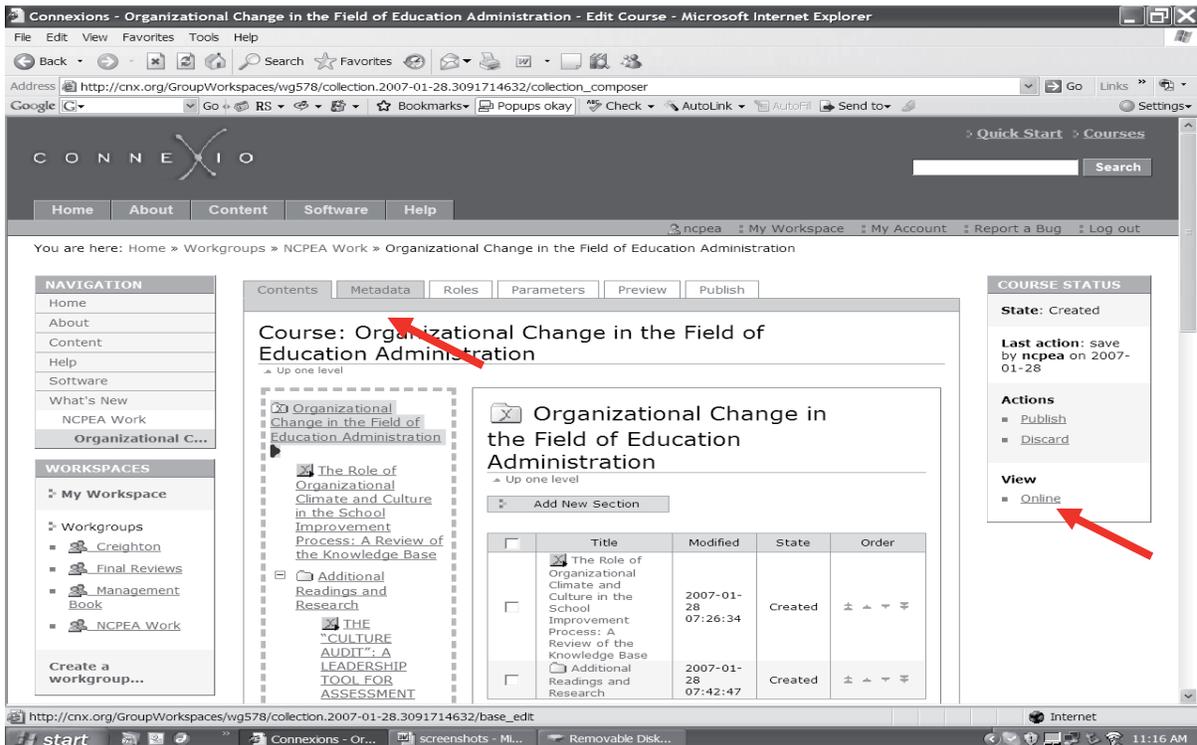


Figure 6. Metadata and Viewing Online.



Step 6. Designing the Front Page

Connexions provides authors with the tools and template to prepare the front page of the course. It is from here that students will navigate through the course. Information includes instructor, contributing authors (of selected content), course description, link to syllabus, and institutional information. Here are the steps:

- Click on the *Metadata* tab from the top of the screen while in the course workspace;
- Complete desired information related to the course and institution;
- All of this transfers to the front page of the course;
- To view the actual result, click on View Online from the right of the screen; and,
- To make changes, return to the Metadata file and edit.

Step 7. Publishing Course to the World

Publishing your course to the world is done by completing the following:

- Select *Publish* from the action menu on the right side of screen or tab folder (Figure 7a);
- Connexions prompts the author to make sure metadata are complete, author role requests have been made, and the online version has been previewed (Figure 7b);
- A request for *description of changes* must be included before publishing (it is suggested that you insert some identifier such as *Created Course*).

Figure 7a. Publishing in Connexions.

The screenshot shows the Connexions web interface in a Microsoft Internet Explorer browser window. The browser title is "Connexions - Organizational Change in the Field of Education Administration - Edit Course - Microsoft Internet Explorer". The address bar shows the URL: "http://cnx.org/GroupWorkspaces/wg578/collection.2007-01-28.3091714632/collection_composer". The browser's search bar contains "Google".

The main content area of the browser displays the Connexions interface. At the top, there is a navigation menu with "Home", "About", "Content", "Software", and "Help". Below this, there is a search bar and a "Quick Start" link. The breadcrumb trail reads: "You are here: Home » Workgroups » NCPEA Work » Organizational Change in the Field of Education Administration".

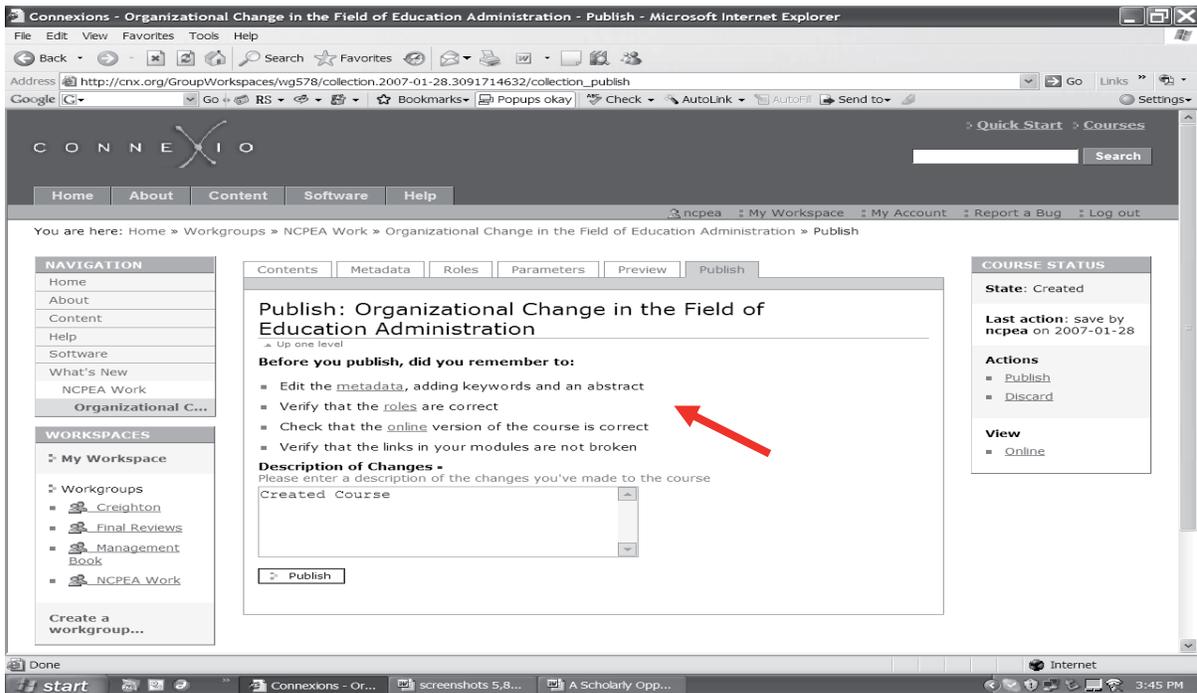
The main content area is divided into several sections. On the left, there is a "NAVIGATION" sidebar with links to "Home", "About", "Content", "Help", "Software", "What's New", "NCPEA Work", and "Organizational C...". Below this is a "WORKSPACES" section with "My Workspace" and "Workgroups" (including "Creighton", "Final Reviews", "Management Book", and "NCPEA Work").

The main content area has a "Contents" tab selected, showing a list of course sections. A red arrow points to the "Publish" button in the top right corner of the main content area. The "Publish" button is located in the "COURSE STATUS" section, which also includes "State: Created", "Last action: save by ncpea on 2007-01-28", and "Actions: Publish, Discard".

The "COURSE STATUS" section also includes a "View" section with a link to "Online".

The bottom of the browser window shows the Windows taskbar with the "start" button, several open applications, and the system tray showing the time as 11:17 AM.

Figure 7b. Reviewing for Publication.



Step 8. Collaboration Requests

It is a requirement in the metadata to include a request for author role. If the professor is a lone author, s/he must request oneself as the author. If coauthors are used, all must be requested as individuals to accept the author role. This procedure eliminates the possibility of one person representing another author without knowledge or permission, and in addition assures that each contributing author receives credit and accepts the open source license agreement. By accepting the terms of the license, authors agree to share their work freely with the world. Click on the tab titled, *Roles*, search for the author/s, and make request that they accept author role (Figure 8a). To accept the author role, authors must log into their personal Connexions account, click on the *Pending Role Request* link, and accept the role (Figure 8b).

Figure 8a. Requesting Author Role.

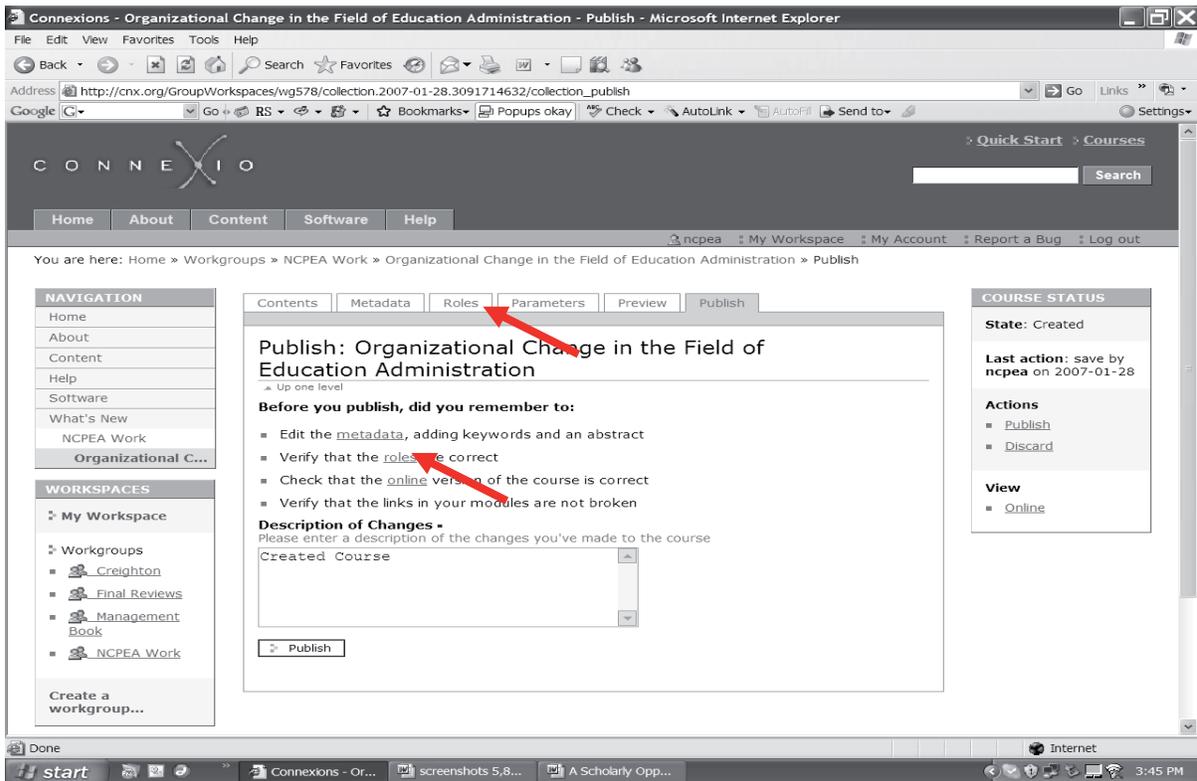


Figure 8b. Accepting Author Role.

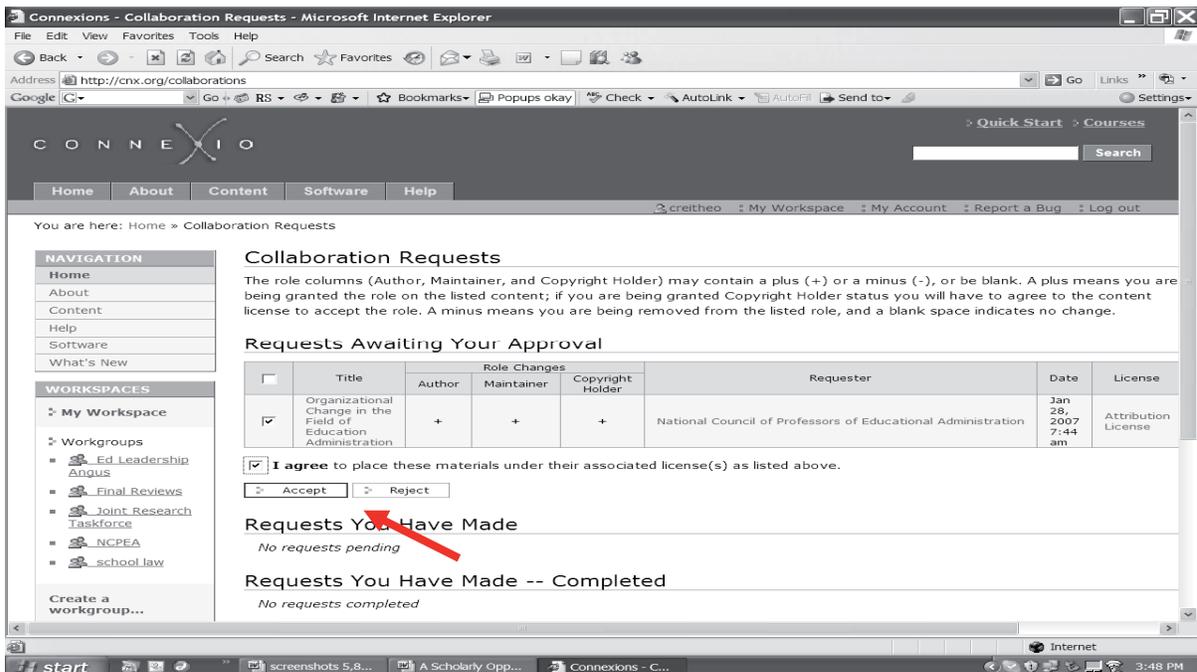
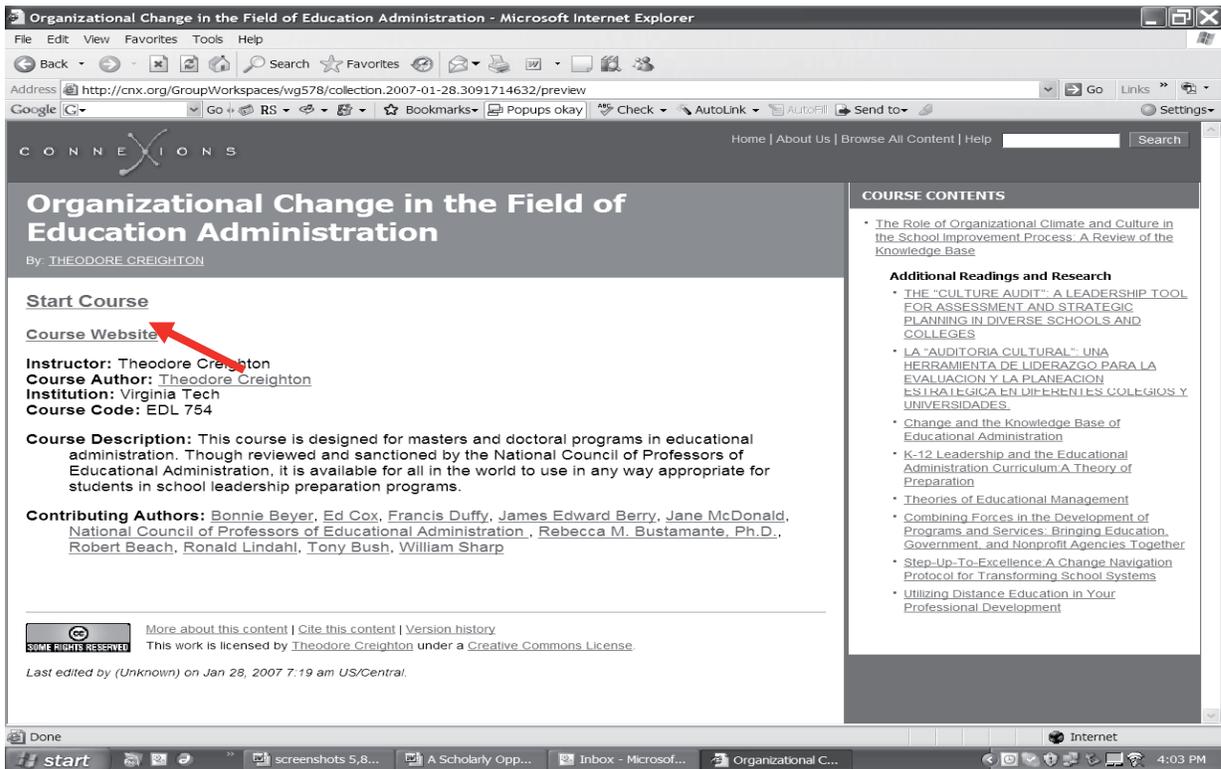


Figure 9. Viewing Online.



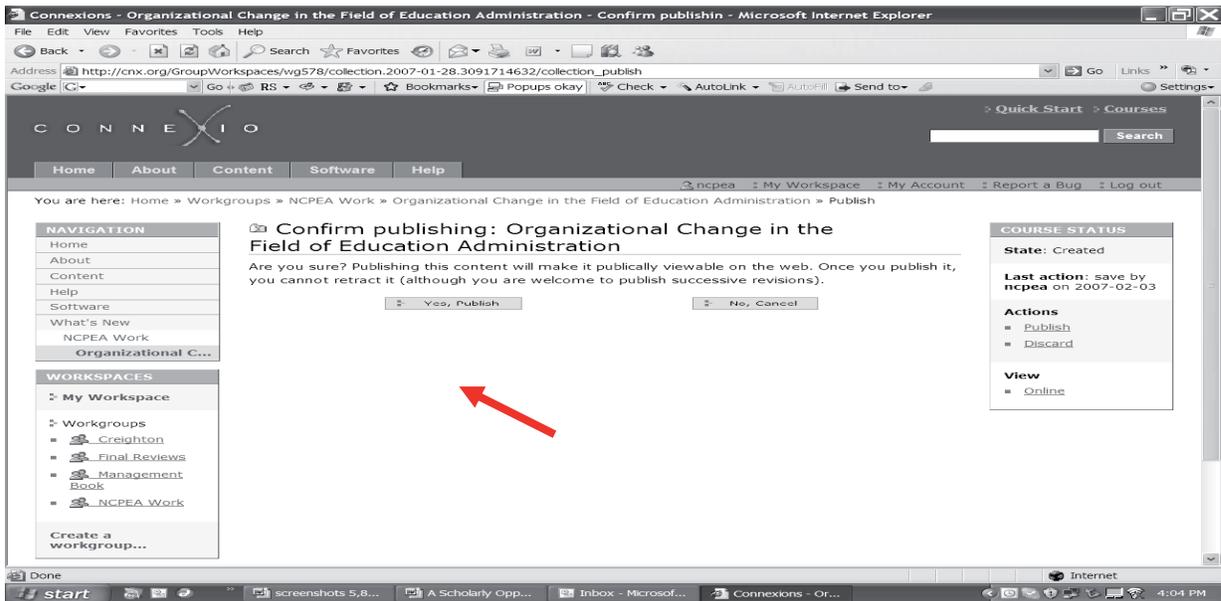
Step 9. Viewing Online

After completing the metadata (i.e., abstract, course information) and requesting author roles, the author must click on *View Online* to make sure the course looks as it should. Authors are still in their Work Space at this point and have not officially published into the Connexions Content Commons, so there is still the opportunity to make any necessary changes or edits to the course. Figure 9 displays the front page of our course in Organizational Change. Note course information, including the navigation route (Start Course) on the left, and links to the entire course content on the right. It is recommended that the author/instructor test the navigation through the entire course before returning to publish the material.

Step 10. Confirm Publishing

From the online view, back up to the course in the Work Space, and select the Publish option. The author will be prompted (Figure 10) one last time with the message, *“Are you sure? Publishing this content will make it publicly available on the Web. Once you publish it, you cannot retract it (although you are welcome to publish successive revisions).”* Clicking on *Yes, Publish* is the final step to publishing the course to the Web, giving access to your students and the world.

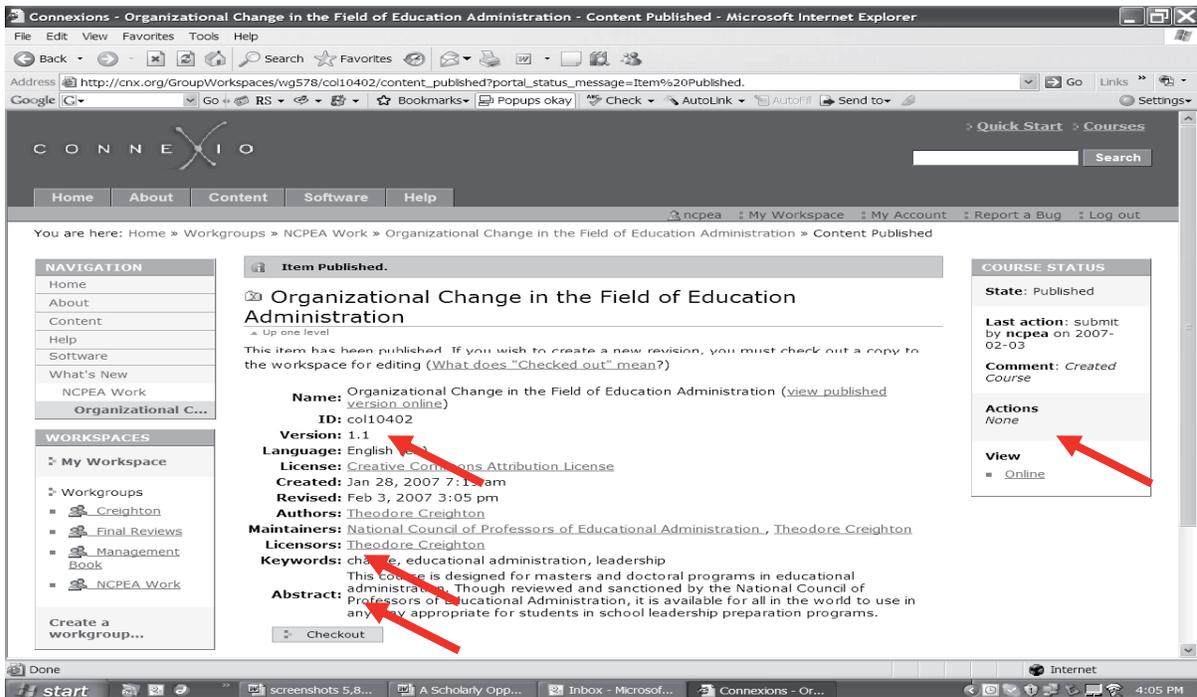
Figure 10. Confirm Publishing.



Last Step: Item Published

Upon selecting Yes, Publish, a screen appears displaying keywords, abstract, version, and other pertinent information on the author/instructor’s published work (Figure 11).

Figure 11. Item Published.



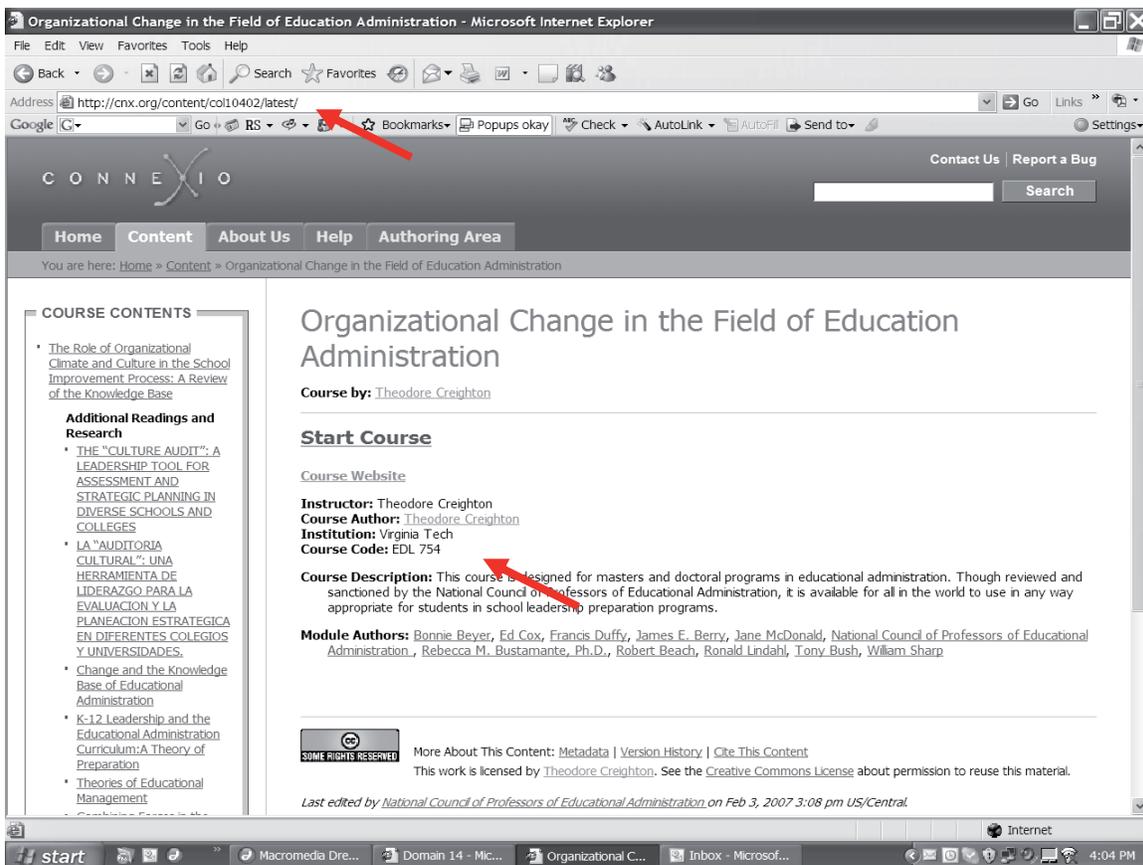
Location of Published Work on the Internet

To acquire the online URL of the course, select *view published version online*, and note the http address for your work (Figure 12).

Author, Maintainer, and Licensor Roles

Return to Figure 11 and notice the three roles of author, maintainer, and licensor. In this case, the course creator requested himself as the sole author and licensor, but included NCPEA as maintainer. The role of maintainer allows for retrieval of the published work and allows for changes and edits to be republished as a 2nd version. In this case, both the author and NCPEA have the right to *checkout* the published work, make changes, and republish – all this can happen in minutes.

Figure 12. Published URL.



Revision and Editing for Additional Versions

Here lies the special power of publishing in Connexions: authors can *checkout* their work, make corrections or add content to the work, then in minutes republish into the Connexions Content Commons. For example, this author wants to add a recently published article on organizational change to the readings for his students. Return to Figure 11 and note the link to Checkout. Clicking on Checkout retrieves a copy of the published work, and deposits it back into the author's personal Work Space. After the additional reading is added, the course is re-

published in a matter of minutes, and becomes Version 1.2 (Figure 13). Though Version 1.1 is still in the Content Commons, Version 1.2 automatically overrides Version 1.1. Version 1.2 is displayed in Figure 13. Please note the link at the bottom of the page in Figure 12, *Version History*. If a reader for some reason, wants to see what changes an author made in earlier versions, Connexions tracks and displays the different versions.

Figure 13. Version 1.2.

The screenshot shows a web browser window displaying the Connexions interface. The page title is "Organizational Change in the Field of Education Administration - Content Published". The main content area shows the item details for "Organizational Change in the Field of Education Administration". The version is listed as "Version: 1.2", which is highlighted by a red arrow. Other details include the language (English), license (Creative Commons Attribution License), creation date (Jan 28, 2007 7:13 am), revision date (Feb 3, 2007 3:08 pm), author (Theodore Creighton), and maintainer (Theodore Creighton, National Council of Professors of Educational Administration). The abstract describes the course as designed for masters and doctoral programs in educational administration. The interface includes a navigation menu on the left, a course status box on the right, and a checkout button at the bottom.

SUMMARY

As this project continues to grow, professors of educational administration will see further refinement in both the content available to them and the sophistication in the use of this content to produce meaningful and relevant courses for their students. The information contained in this chapter was designed to provide professors and practitioners the background and motivation needed to begin utilizing the Connexions Project to develop courses they can utilize with students and share with others around the world. As more people move in this direction, a “tipping point” will be reached and this may become the preferred method of course development for administrators around the world. The theory of the tipping point requires, however, that we reframe the way we think about the world (Gladwell, 2002, p. 257). When this happens, professors of educational administration will become linked together in an interdependent, synergistic community of learners that will not only benefit their professional growth but the learning and skill development of their students.

With its editorial and authoring strength in educational administration, NCPEA has constructed a “content filter or portal” to review and publish the knowledge base to be freely accessed and used primarily by professors, practitioners, and doctoral students and secondarily

(but equally important) to all in the world. NCPEA is at a significant place in time, with the potential to radically and positively improve educational administration and ultimately, teaching and learning in schools and universities around the world.

NCPEA is “taking back their profession.” With the technological tools and power of the Connexions Project, there is now the scholarly opportunity to finally establish the knowledge base of educational administration and *tip* the profession toward the same professional prestige and status as medicine, law, engineering, performing arts, and other professions defined by their substantive and accessible knowledge.

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Applying Learning Pattern Theory to Electronic Portfolio Development: Navigating On-going Programmatic Evaluation

Patricia Ann Marcellino, Susan Eichenholtz, and Adrienne Andi Sosin

INTRODUCTION

Introducing aspiring administrators to the national standards in the field is becoming part of the recommended knowledge base in educational leadership programs (Creighton, Harris, & Coleman, 2005). Electronic portfolios (e-folios) can be linked to the national standards in multiple disciplines, including educational administration (Ahn, 2004; Balch, Frampton, & Hirth, 2006; Hauser & Koutouzos, 2005; Strudler & Wetzel, 2005). According to Balch, Frampton, and Hirth (2006), portfolio-building can be utilized as both a developmental mechanism and an assessment mechanism in regard to the evolutionary progress of educational leadership candidates. Balch et al. (2006) recommended linking student's knowledge, disposition, and performances to the national standards of the Interstate School Leaders Licensure Consortium (ISLLC). In so doing, the authors maintained that aspiring administrators will be able to demonstrate that they are aware of national guidelines and standards-based licensing on a building level or district level. Furthermore, they contend that aspiring administrators and current school leaders will be able to demonstrate their increasing awareness of changing national trends in leadership as well as demonstrate that their credentials, knowledge, and skills are current in the educational leadership discipline.

Balch et al. (2006) discussed an increasing nationwide trend for school districts to require portfolios for professional development in regard to licensure renewal. They advised that preparing a professional portfolio using technology affords the opportunity to keep students and administrators knowledgeable about current trends and technological changes. They also maintained that graduates and practitioners in the field can benefit from e-folios by continuing to build credentials and find job placements using online communication technologies. As the accreditation process in higher education requires documentation of candidates' achievements of standards-based competencies, portfolios serve as sources of evidence used in justifying an individual student's progress as well as decisions regarding programmatic accreditation (Hauser & Koutouzos, 2005).

As technology continues to be integrated in schools and classrooms, the principal is viewed as the technology leader (Creighton, 2003). Leadership candidates need to develop sufficient comfort with technology to assume the responsibility inherent in the position of principal. An assignment to create an e-folio, thereby, offers leadership candidates the opportunity to develop expertise in multiple software environments. Students' technological skills are important factors in the construction of e-folios and the success of an assessment system (Montgomery & Wiley, 2004). To meet the needs of programs, a growing number of software platforms are available for developing e-folios and vendors that provide user interfaces, such as *College LiveText*. These platforms also provide tools for evaluation and aggregation of assessment results. Selection of a technology platform for e-folio development influences the

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outcomes and success of the e-folio project in meeting the needs of both candidates and faculty. Therefore, issues of technology, candidate perceptions, and faculty assessments are important considerations in developing e-folios that are positive measures of candidates' achievements and also serve as illustrations of a program's quality.

PURPOSE

This action research study concentrates on issues resulting from the implementation of a standards-based e-folio system designed to document candidate competencies and program quality over three years in an educational leadership program at a private university in New York. Leadership candidates ($n = 54$) submitted 112 e-folio products that were assessed using a rubric that was standardized by the leadership faculty and linked to national leadership standards. The study illustrates application of learning pattern theory in devising instructional techniques and materials that supported positive outcomes in e-folio products.

PROBLEM

The faculty established the e-folio requirement to meet multiple expectations, including aggregation of data for accreditation purposes, improvement of program quality, alternative assessments to standardized testing, illustration of students' progress throughout the educational leadership program, opportunities for students to engage in varied technology uses, and possible job development. As part of the educational leadership curriculum, the faculty introduced educational leadership candidates to the professional standards according to the National Policy Board for Educational Administration/Educational Leadership Constituent Council [ELCC] (2004), which consolidate the national ISLCC standards. Through multiple instructional approaches, candidates compiled various types of evidence including products from coursework assignments (written or technological) as well as recommendation letters, resumes, and honors and included them in their e-folios. Students linked their assignments or artifacts with reflections to each of the seven ELCC standards.

In three years of implementation, the navigation of this technology imperative has involved weathering various approaches (Marcellino & Sosin, 2005; Marcellino, Eichenholtz, & Sosin, 2006). Multiple vendor software platforms and instructional approaches have been tried. Faculty members have documented resistance to the e-folio requirement as well as issues of quality surrounding the e-folio products. Leadership candidates' attitudes and experiences with e-folios were key considerations. Assessment and support issues were an on-going concern and were continually addressed with the five documented cohorts of leadership candidates.

When students entered this leadership program, they had varying levels of technology experience in their professional lives. However, the majority of students who entered this leadership program were not familiar with the software environments they needed to use to construct their e-folio products. After the initial course in which the e-folio was introduced and assessed by the instructor (initial assessment), students needed additional support (materials and instruction) in completing the e-folio at succeeding checkpoints (mid-point and capstone) or assessment levels. The evident problems and the slow progress associated with implementing e-folio assessment motivated this action research study.

THEORETICAL PERSPECTIVE

To better understand the phenomena faculty observed when students constructed their e-folios, the faculty began to seek theoretical frameworks that would inform actions (Sosin & Marcellino, 2005). Expectancy theory, which “advocates a connection between the effort of the individual, the possibility of a high level of performance, and the desirability of the reward resulting from a task completed at a highly successful level” (Vroom, 1969, as cited in Green, 2005, p. 42) was the first theoretical framework applied. Because of its complexity in regard to individual differences, the faculty explored the utility of other theoretical frameworks.

The constructs of the *Let Me Learn Process*® provided an applicable theoretical framework to support the faculty in making program and instructional adjustments for students to achieve satisfactory performance. Johnston’s model of learning patterns rests on a theoretical foundation and a research tested instrument, the *Learning Connections Inventory*© (LCI), (Johnston & Dainton (1997a, 1997b), that features interactions based on: cognition (thinking), conation (doing), and affectation (feeling) capabilities. These operations interact within each of four diverse learning patterns: *Sequence*, *Precision*, *Technical Reasoning*, and *Confluent* (for in-depth explanation, see the *Let Me Learn* website: <http://www.letmelearn.org>).

A learner utilizes the four patterns in different interacting combinations. According to Johnston (1998), *Sequence* seeks to “follow step-by-step directions, organize and plan work carefully, and complete the assignment from beginning to end free from interruptions” (p. 24). In *Precision*, the learner “takes detailed notes, asks questions to find out more information, knows exact answers, and reads and writes in a highly specific manner” (p. 25). Through the *Technical Reasoning* pattern, “we see the mechanics of operations, the functions of pieces; we construct, we [problem-solve], we make it work, we get it done” (p. 27). *Confluence* “gives us permission to start before all directions are given; take a risk, fail, and start again; use imaginative ideas and unusual approaches; and improvise” (p. 29). Johnston (1996, 1998) maintained that by informing students of their patterns of learning, they can use that knowledge to address learning tasks with greater intention, thereby achieving positive results in terms of assessments of performance and interaction with other learners.

The choice of Johnston’s learning pattern theory, rather than expectancy theory as a theoretical framework, was based on its adaptability to individual needs and differences. Students were introduced to learning pattern theory and the LCI in the (School) Leadership course, which was sequenced in the first year of a student’s entrance into the program. The faculty who taught the course had been cognizant of the learning pattern scores of the leadership students. The faculty recognized that the changing nature of the technological requirements in regard to the construction of e-folios represented new learning situations in which Johnston’s learning pattern theory could be applied.

METHODS

This action research study used both quantitative and qualitative methodology (Bogdan & Biklen, 1998; Mills, 2003) to study the evolving e-folio process in an educational leadership program at a private university in New York. There were 54 aspiring administrators admitted in five cohorts who submitted 112 e-folio products to educational leadership faculty at two primary assessment levels, namely, transitional (mid-point) and final (capstone).

Participants

Participants had educational experience in K-12 schools. There were 10 participants from the first cohort of aspiring educational administrators, 9 participants from the second cohort, 21 participants from the third cohort of students, 7 participants from the fourth cohort of students, and 7 participants from the fifth cohort. Each cohort added an additional iteration to the action research study.

Among the 54 students, there were 43 females and 11 males participating. A majority of the students were categorized as diverse ($n = 29$). The largest diverse group represented was composed of Black students (African and Caribbean Americans); there were 20 females and 3 males in this grouping. In addition, there was one Asian female, two Hispanic females, and three Hispanic males; the rest of the students were Caucasian (20 females and 5 males).

Instrumentation

The learning patterns of the students were assessed by applying the *Learning Connections Inventory*© (LCI) developed by Johnston and Dainton (1997a, 1997b). The LCI is a 28-item self report instrument with 25 Likert scale (1–5) questions and three open-ended questions; scores range from 7 to 35 in each of four categorical areas. The LCI has been nationally and internationally validated and has test-retest reliability (*Learning Connections Resources Website: <http://www.LCRinfo.com>*) as well as content, construct, and predictive validity (Johnston & Dainton, 1997a, 1997b). The LCI quantitatively and qualitatively captures the degree to which an individual uses each of the four learning patterns (Pearle & Head, 2002). Learners use patterns first, use them as needed, or avoid them. For the purpose of this study, students' LCI patterns were considered in regard to their Use-First or lead learning pattern scores.

The 112 e-folios that supplied the data used in this study primarily consisted of course papers and *PowerPoint* presentations annotated with reflections on the learning process. Students were directed to address all seven ELCC standards as well as a minimum of four of the School of Education's core values at the final submission of their e-folios. The e-folios were assessed using a standard rubric at three programmatic levels, namely, the beginning of the program (initiation to the e-folio) in the introductory technology course, the transitional level (mid-point of the program), and at the capstone level (before graduation from the program). This study focuses on the cumulative e-folio product at the mid-point and capstone levels of assessment and not the introductory submission of the e-folio in the first technology course, which was limited in content and scope.

Students in the first four cohorts constructed e-folios by creating personal web pages or using *PowerPoint*. Each e-folio product was different, based on that student's overall conception of the e-folios. Even though a model template for either a web page or *PowerPoint* slide document was available, students were free to design their own e-folio. Consequently, e-folios were quite vivid and creative.

As part of readying the School of Education for accreditation review, *College LiveText* (<http://www.college.LiveText.com>) was adopted as a standard for portfolio development for all educational preparation programs. *College LiveText* appealed to a majority of the School of Education faculty because of its ability to aggregate assessment results and provide inter-rater reliability information. *College LiveText* was also predicted as a way to reduce time demands through an easy to use template system. Student work could be showcased as students demonstrated their e-folios to their instructors and classmates. The faculty in the leadership program

decided to introduce *College LiveText* to their students in the third year of this study. An assessment rubric was redesigned to accommodate web page development, *PowerPoint*, and *College LiveText*. The spread of points on the rubric extended from 0 to 24 (multiplied by 4). Ratings on the rubric ranged from distinguished or proficient, to basic or unacceptable (See Appendix A for Rubric). Qualitative action research methods used to triangulate the quantitative data included observations, field notes, and selected interviews. As changes were made in the content or construction of the e-portfolio requirement, reactions of the students were documented.

RESULTS

The leadership candidates demonstrated various preferences in their Use-First or lead learning patterns (See Table 1). A Use-First *Sequential* learning pattern was the primary pattern attributable to the majority of the candidates. Table 1 outlines the Use-First learning patterns within each of the five cohorts. It also outlines the total number of e-folios that were assessed at the mid-point and capstone levels and the number of graduates from the program over the past three years.

Table 1. Predominant (Use-First) Learning Patterns, E-folios Assessed, and Graduates in the Leadership Program.

Cohort	#	<i>Sequential</i>	<i>Precise</i>	<i>Technical Reasoning</i>	<i>Confluent</i>	Number of E-folios Assessed	Number of Graduates
1 st	10	3	1	4	2	20	10
2 nd	9	5	2	1	1	18* (1)	8**
3 rd	21	12	6	2	1	47* (6)	20**
4 th	7	4	2	1	0	14	7
5 th	7	3	1	1	2	13	6**
Total	54	27	12	9	6	112	51

*Some students in the second and third cohorts were required to redo their e-folios.

** Some students in the second, third, and fifth cohorts decided to take additional time to complete their coursework, so the final assessments of these final e-folios are still pending; 1 student is pending final graduation in each of the 2nd, 3rd, and 5th cohorts.

Analysis was conducted to ascertain whether there was a correlation between a student's Use-First learning pattern score and the score assessed on the e-portfolio rubric. The quantitative analysis of the data indicated that there was no correlation between a student's Use-First or lead learning pattern score and the score assessed on the e-portfolio rubric. When quantitative descriptive statistics were applied to the e-portfolio products using criteria defined by the assessment rubric, improvements were indicated. Qualitative analysis of the data indicated that several improvements in instructional techniques and materials resulted that occurred primarily in the second and third years of the study. These improvements (i.e. step-by-step handbook, tutoring sessions, updated assessment rubric, demonstrations of exemplary e-folios) were found to have a positive impact on candidate perceptions and product outcomes.

In the first year of the study, the first cohort of students was composed of individuals who primarily used *Technical Reasoning* at a Use-First level (LCI *Technical Reasoning* mean

score was 30.5). The development of their e-folio products did not reveal major difficulties with implementation, but there were frustrations indicated by the students throughout this initial period.

In the second cohort, (LCI mean *Sequential* Use-First score was 29.6) and the third cohort of students (LCI mean *Sequential* Use-First score of 29.4 and LCI mean *Precise* Use-First score of 27.1), there were seven students who submitted e-folios that were rated “unsatisfactory” by faculty evaluators. Students were coached to resubmit their e-folios in order to receive a positive assessment and advancement into the next level of leadership courses in the program.

Results at the mid-point assessment level from the third cohort (n = 21) showed that students became dissatisfied with the outcome of the products, overwhelmed with the e-folio requirement, and even “angry” with the additional work required in the development of the e-folio. When instructional changes were implemented that took into account students’ learning patterns and revised materials were introduced by faculty, there was an improvement in the e-folio products at the final assessment level of the third cohort of students. These instructional changes and improvements consisted of utilizing materials, tools, and techniques that would appeal to the Use-First or lead learning patterns of the students. In the final assessment of the e-folio products with the third cohort of students, 19 out of 21 students indicated that they were satisfied with the improvements that had been initiated. E-folio ratings advanced from a mean of 70.04 at the mid-point level (second assessment) to a mean of 88 at the capstone level (final assessment). See Table 2 for a comparison of the mean score of each cohort at the mid-point and final assessment levels. Table 2 also indicates the total number of e-folios assessed.

Table 2. Cohort Participants, E-folios Assessed, and Graduates in the Leadership Program. (Based on PowerPoint or Web Page E-folio Product Assessments)

Cohorts	E-folios Assessed at the Transition or 2 nd Level	2 nd Assessment (Mean Score of Cohort)	E-folios Rated “Unacceptable” & Redone	E-folios Assessed at the Capstone or 3 rd Level	Total E-folios Assessed	3 rd or Final Assessment (Mean Score of Cohort)
1 st	10	77.7		10	20	77.1
2 nd	9	75.3	1	8	18	82
3 rd	21	70.04	6	20	47	88
4 th	7	72.3		7	14	84.5
Total:	47		7	45	99	

At the end of the second year of the study, *College LiveText* was adopted by the faculty of the School of Education as a method of meeting accreditation requirements. The *College LiveText* vendor platform was essentially linear in its design and direction. In continuing to analyze the learning patterns of their students, the educational leadership faculty reasoned that the *College LiveText* vendor platform might be readily adapted by their students with minimal technological difficulty because students who were entering this leadership program were primarily Use-First *Sequential* learners. *Sequential* learners in the fourth cohort (LCI mean Use-First *Sequential* score of 27.5) and the fifth cohort (LCI mean Use-First *Sequential* score of 30) would be expected to adapt to the linear nature of the *College LiveText* template.

Because of the difficulties encountered with the e-folio assessment that impacted the third cohort of students, the faculty in the leadership program decided to slow down the transfer to

College LiveText. Therefore, the fourth cohort of students ($n = 7$) in the leadership program continued to construct their e-folios utilizing *PowerPoint*, while the fifth cohort of students ($n = 7$) began *College LiveText* portfolios. Students in the fourth cohort also indicated satisfaction with the development of their e-folios from the second to the third assessment. See Table 2, which illustrates that their E-folio ratings advanced from a mean of 72.3 at the mid-point level (second assessment) to a mean of 84.5 at the capstone level (final assessment).

Given the predominance of Use-First *Sequential* learners represented in this educational leadership program, the faculty felt a transition to a linear template was warranted. Use-First *Sequential* learners indicated that they needed step-by-step directions, a linear or sequential focus, and that demands on their time were a prime consideration. Faculty reasoned that even though the Use-First *Confluent* learners in the program might not be as satisfied with the sequential and linear features of the *College LiveText* template, these students would be able to apply their creative skills to their actual classroom artifacts and assignments.

Moreover, in order to ease the potential concerns of the fifth cohort of students ($n = 7$), educational leadership faculty announced beforehand that *College LiveText* would be deemed a pilot project, and therefore, the e-folio assessment results for this cohort would not negatively impact progress.

Unfortunately, in the transition to *College LiveText*, a template design flaw became apparent at the mid-point assessment level of the fifth cohort of students.

Although the faculty intended to assess artifacts and reflections linked to each of the seven ELCC standards, the template prominently featured the six core values of the School of Education rather than the ELCC standards. Therefore, at the mid-point assessment, confused students primarily linked their artifacts to individual core values. When the faculty realized this design flaw, the template was redesigned and the seven ELCC standards were separated into individual sections. Recovery from the design flaw led to satisfactory assessment of the e-folios at the capstone level.

In Table 3, e-folios from the fifth cohort were rated at the mid-point assessment with a mean score of 49.1. After the template was revised, the mean score at the final assessment was 79 (an increase of approximately 30 points). The increase from the mid-point (49.1) to the final assessment score (79) indicated improvement, but it should be noted that there was a small number of students submitting their e-folios during this pilot phase as faculty transitioned from *PowerPoint* and web pages to *College LiveText*.

Table 3. Cohort Participants, E-folios Assessed, and Graduates in the Leadership Program. (Based on *College LiveText* E-folio Product Assessments)

Cohorts	E-folios Assessed at the Transition or 2 nd Level	2 nd Assessment (Mean Score of Cohort)	E-folios Rated “Unacceptable” & Redone	E-folios Assessed at the Capstone or 3 rd Level	Total E-folios Assessed	3 rd or Final Assessment (Mean Score of Cohort)
5 th	7	49.1*	0	6	13	79

* Attributed to design flaw in the e-folio leadership template.

Note: One student in this cohort elected to postpone submission.

Nevertheless, the faculty were concerned that the final mean score of the e-folio ratings of the fifth cohort of students at the final assessment level showed a decline when comparing

the mean scores at the final assessment levels to the previous three cohorts (82—second cohort; 88—third cohort; and 84.5—fourth cohort).

DISCUSSION

According to Mills (2003), instructors who engage in action research try to improve their teaching and the learning of their students. In this study, faculty sought to develop an understanding of the e-folio process from the students' perspective so they could refine the e-folio assessment process. Faculty adapted their instructional techniques and improved their course materials by applying the theoretical constructs of learning pattern theory. In so doing, they were attempting to appeal to all learners in the program.

Instructional Improvements

1. A comprehensive step-by-step handbook was printed. This continuously updated and expanded handbook includes examples, common questions, and answers in regard to e-folio construction, as well as several sources and websites for additional information. *Sequential* and *Precise* learners benefited from the availability of a printed guide.
2. Demonstrations and tutoring sessions were conducted by instructors who were technology specialists and by educational leadership faculty who were technologically literate. These support sessions appealed to the *Sequential* and *Precise* learners in the program.
3. All instructors in the program revised syllabi and recommended specific artifacts or assignments in their courses as appropriate examples to include in the e-folio. This improvement appealed especially to the *Precise* and *Technical Reasoning* learners.
4. An updated and improved assessment rubric was introduced. The original rubric used for the first two cohorts contained 11 criteria. The revised rubric follows Popham's (2006) recommended emphasis on academic components over technical components. The updated rubric now balances between technology and academic achievement in six areas: selection of artifacts; annotations and reflections; relationship to the seven ELCC standards; technology; composition and mechanics; and overall impression. *Precise* and *Technical Reasoning* learners were especially satisfied with this change. (See Appendix A for the Rubric utilized in this Educational Leadership program).
5. Illustration, demonstration, and showcasing of exemplary e-folios were made available to leadership candidates. Faculty asked students to formally sign permission documents giving their approval to demonstrate their e-folios, post them to the *Blackboard* network, to a faculty website or showcase them in various courses in the program. These exemplars were appreciated by the *Sequential*, *Precise* and the *Confluent* learners.
6. In the third year, faculty course coordinators and e-folio liaisons were established throughout the School of Education to support students and faculty members in navigating the e-folio process.

In the redesign of instruction and assessment in the transition to the *College LiveText* environment, the application of learning pattern theory continued to aid in this endeavor. The lower mean assessment score of the fifth cohort (79) compared to the third (88) and fourth

cohorts (84.5) also indicated a need for revised instructional delivery, e-portfolio support, expanded materials, and demonstrations of *College LiveText*. As a result, reviews, evaluations, and reflections of the e-portfolio requirement will be on-going as faculty members continue to navigate technological changes and initiatives with incoming cohorts of leadership candidates.

Program Improvements

From a faculty perspective, courses and curricula were improved as a result of this action research study. For example, in the redesign of the first introductory computer course, data indicated that students benefited from faculty presentations about the value of developing e-portfolios, being guided in navigating *College LiveText* software, and receiving guidance in filling in the educational leadership template. Using the handbook as a guide, faculty clarified the assignments to link to the e-portfolio. In-class peer demonstrations were also found to be a successful instructional device. The fifth cohort of students especially welcomed feedback from their peers as well as from the instructor. As they progressed in the program, students were free to re-submit their e-portfolios and get additional feedback or tutoring from subsequent faculty instructors and evaluators.

As part of the data collection, students were questioned about the contents of their e-portfolios, which revealed that certain products from courses and assignments were not directly applicable to the seven ELCC standards or the School of Education's core values. This realization led faculty to re-assess and re-design their course offerings. Currently, faculty members are in the process of updating the leadership program's course offerings and re-writing its curricula. For example, in the 11-course curricula of the program, there are no distance courses, and there is only one technological hybrid course. Two additional hybrid courses are currently being designed, which will feature half of the student meetings in a face-to-face format and half of the student meetings in an on-line format. It is expected that this distance learning format of course delivery will be appealing to students who are already technologically proficient. As faculty design the hybrid courses, they will continue to be cognizant of the learning patterns of the leadership candidates.

CONCLUSIONS

The faculty action plan (Mills, 2003) based on this action research study now allows faculty to concentrate on the remaining issues in implementing and assessing e-portfolio products. Issues that are still under consideration by the faculty include:

1. Continued improvements to course materials responding to students' learning patterns;
2. Continuing improvements in program curricula and courses responding to data regarding developing competencies in educational leadership; and,
3. Continuing data collection and aggregation for the purposes of program improvement.

In evaluating the consequences of this action research project, it has become clear that one area of expansion might be directed at school districts to highlight the use of e-portfolios and their importance to the professional development of educational leaders. Although leadership candidates have been anxious to display their e-portfolio products to potential employers, they have reported that the administrators responsible for hiring have not been interested in their e-

folio demonstrations. The local labor market environment and state certification issues may have bearing on this problem, which needs to be explored in greater depth and further research is necessary. Nevertheless, as advised by Balch et al. (2006), the faculty and graduates from this leadership program are confident that preparing professional portfolios on-line will keep them current in regard to technological changes and trends.

RESEARCH SIGNIFICANCE

Sharing this action research report may provide support to leadership faculty who seek to develop an e-portfolio assessment system. It will enable leadership faculty to be cognizant of the technological setting (its successful navigation as well as the problems to be weathered). As faculty members navigate their own teaching initiatives, they may also consider the precepts of learning pattern theory as a differentiated instructional model for more comprehensive direction and programmatic-mapping.

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**APPENDIX A. Rubric for Educational Leadership Program (EDL)
Electronic Portfolio (E-Folio).**

CRITERIA	Distinguished 4 points	Proficient 3 points	Basic 2 points	Unacceptable 1-0 points
Selection of Artifacts Points:	Rich selection of high quality artifacts and work samples drawn from leadership (EDL) program coursework plus professional work. Creatively provides complete and rounded picture of candidate strengths.	Representative selection of high quality artifacts and work samples drawn from leadership program coursework and professional work. Satisfactory picture of candidate strengths.	Adequate selection of artifacts and work samples drawn from leadership courses, professional work. Partial picture of candidate strengths	Artifacts are of inadequate number or quality. Inadequate picture of candidate strengths.
Annotations & Reflections Points:	Annotations, reflections articulate; Reflections illustrate the ability to self-critique.	Annotations consistently & accurately explain artifact.	Inconsistent or brief annotations.	None or an insufficient number of reflections.
Relationship to 7 ELCC Standards Points:	Clearly achieves each of the 7 ELCC standards.	Generally achieves each of the 7 standards.	Relates to 7 standards, but Inconsistent.	None or insufficient standards achieved.
Technology Points:	Technology & Media use exemplary: Photographs, graphics, sound and/or video create interest; Creativity and original ideas enhance content in an innovative way.	Proficient use of technology. Media uses demonstrate originality.	Some attention to including technology. & media.	Technology use inadequate. Media inadequate.
Composition & Mechanics Points:	Attractive visual organization of information. Layout use of white space & composition enhances the readability of text. The text has no errors in grammar, capitalization, punctuation, and spelling.	Appropriate visual organization. The text is attractive in most places. Minor format changes would improve readability. The text has very few errors in grammar, capitalization, punctuation, and spelling requiring minor editing and revision.	Difficult to read; inappropriate organization. Formatting tools under- or over-utilized. The text has (4 –6) errors in grammar, capitalization, punctuation, and spelling requiring major editing and revision.	Very difficult to read. Layout is distracting and obscures the content. The text has many (>6) errors in grammar, capitalization, punctuation, and spelling requiring major editing and revision.
Overall Impression Points:	Qualities include interesting, creative, detailed, thoughtful, self-reflective, unique, etc.	All of the distinguished qualities, less compelling.	Inconsistent in quality.	Overall impression low quality.

Total Points: _____ Equates to: _____ Assessment: 1 2 3
 Evaluator _____ Date: _____
 Student Name: _____ Date: _____

Technology Leadership Practices of Secondary School Principals

Kevin Matthews and Casey Graham Brown

Technology implementation and utilization in the school districts of America are increasing at a phenomenal rate. As technology becomes increasingly prolific, concern has heightened for its use as an instructional tool, rather than merely as technology for technology's sake. The school leaders of today must promote and model technology to prevent it from becoming a fad and serving no real purpose in improving student achievement, an example of the technological imperative (Brooks-Young, 2002). Without a strong leader facilitating the implementation of technology, technology is only a program, not a way of doing and thinking (Riedl, Smith, Ware, Wark, & Yount, 1998). If educators are to optimize the benefits of technology in learning, teaching, and school operations, it is imperative that a focus be placed on leadership in schools (International Society for Technology in Education, 2001). This study surveyed high school principals in Texas in an attempt to evaluate their technology leadership practices.

CONCEPTUAL FRAMEWORK

Technology provides the ability to construct simulations for students that create a relationship with new knowledge, allows students to access the power of the digital age, and allows educators to be innovative designers of individualized instruction (Peck & Dorricott, 1994). Educational systems around the world are under increasing pressure from stakeholders to use new information and communication technologies to teach students the knowledge, skills, and attributes they need to cross the digital divide (Resta, 2002; Slowinski, 2000).

Research has indicated that facilitating change in schools, and especially maintaining that change, depends heavily on capable leadership (Boleman & Deal, 2003). The literature has pointed to technology as one of the most complicated resources for leaders to manage (Institute for Educational Leadership, 2000; Prewitt, 2002). The few studies that have touched on the topic of technology leadership have shown instructional leaders to be crucial in all aspects of an effective school. In a report to the U.S. Department of Education, the Office of Educational Technology (2004) indicated that schools utilizing technology in their improvement efforts had transformational leaders who not only supervised the implementation of technology, but also provided innovative ideas for organizational change.

Technology has the potential to unlock passages that teachers have never been able to explore; however, technology cannot impact the classroom if the campus instructional leader does not support its utilization and create a vision for technology implementation (Gibson, 2001; Macneil, & Delafield, 1998; Prewitt, 2002). Rather than technology driving the vision, the campus vision should influence the purchase and implementation of technology (Slowinski, 2000). It is imperative that a focus is placed on leadership in schools if educators are to optimize the benefits of technology in learning, teaching, and school operations (International Society for Technology in Education, 2001).

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PURPOSE OF THE STUDY

Riedl, Smith, Ware, Wark, and Yount (1998) stated that many schools are unprepared to integrate computer technology into their everyday instruction. The researchers explained that one reason for this is that often the leaders who are expected to provide support do not understand the technology and human elements necessary to make technology an effective instructional tool. Other administrators are uncomfortable with their lack of technological knowledge and leadership (Valdez, 2004). It is crucial, however, that educational leaders understand how to implement, integrate, and evaluate technology. If the instructional leader is not competent with the use of technology, teachers will not learn how to use the technology or discover creative ways to integrate technology into the curriculum.

METHODS AND PROCEDURES

The total population for this study was 1,357 public high school principals from the state of Texas. The survey instrument was a questionnaire originally used to survey superintendents. Permission to use, modify, and reprint the survey was obtained from its developer, Dr. Arnold Sanchez.

The survey instrument was developed from the National Education Technology Standards for Administrators (NETS*A). The NETS*A was created in November 2001 by the Collaborative for Technology Standards for School Administrators. The NETS*A consists of six standards that pertain to leadership and vision; learning and teaching; productivity and professional practice; support, management, and operations; assessment and evaluation; and social, legal, and ethical issues.

Sanchez (2003) examined reliability by using Cronbach's Alpha correlational statistical procedure to establish the internal consistency of items. The coefficient alpha shows whether the factors are related to each other (Johnson & Christensen, 2004). The size of the coefficient alpha should be at least ".70 for research purposes" (Johnson & Christensen, p. 138). After piloting the instrument, Sanchez found that the coefficient alpha for the six factors was "Vision ($a = .84$), Teaching ($a = .86$), Evaluation ($a = .67$), Productivity ($a = .89$), Operations ($a = .87$), and Legal ($a = .85$)" (p. 74); thus, reliability was found to be acceptable for research purposes.

Content-related evidence for the six standards was established by content experts who served as panel members. International, national, and state associations provided the content experts to validate content-related evidence of test validity. The Texas Association of School Administrators assisted in revising the technology standards. Practitioners in the field of educational technology leadership established and reviewed the performance indicators for each standard (International Society for Technology in Education, 2001).

The participants were asked to respond whether the topic addressed in each question had no effect, a little effect, a medium effect, a large effect, or a very large effect on their roles as educational leaders. The data collected allowed the researcher to evaluate the extent that principals used the leadership practices outlined in the NETS*A.

On May 15, 2006, each of the 1,357 members of the sample was sent an e-mail requesting completion of the online survey. Some of the e-mails provided by a Texas Education Agency database (AskTED Directory, 2006) were undeliverable. The database provided school fax numbers for 20 of the participants who were unable to be contacted through e-mail. Mailings were sent to 298 other participants. School websites and school employees provided

e-mail addresses for an additional 85 principals. After three distributions, a total of 498 surveys were completed for a return rate of 36.7%.

DATA ANALYSIS

The survey instrument measured the extent to which the Texas high school principals were using the six National Education Technology Standards for Administrators (NETS*A) in their leadership practices. The survey instrument included the six standards of technology leadership with each standard consisting of four to six performance indicators. Descriptive measures determined the responses. Participants responded to each standard performance indicator using a Likert scale. The range of possible mean scores was 1.00 to 5.00. Mean scores of 3.50 to 5.00 were considered high while mean scores of 1.00 to less than 3.50 represented a low measure. In addition, a combined mean for the performance indicators was calculated within each technology standard.

FINDINGS

The participants in the study were from Texas high schools of all sizes, in all regions of the state. The participants were primarily white (79.5%) and male (70.7%). The age of 63% of the participants was at least 46 years old and 19% of the participants were at least 56 years old. Of the participants, 78% had less than 10 years experience as a principal. Campus technology budgets tended to be \$35,000 or less (73.3%), with 46 campuses spending less than \$5,000 (9.2%).

Mean scores for all six standards were at least 3.661, which indicated a high measure in all areas. The participants' highest mean score of 3.891 was for Standard VI—social, legal, and ethical issues; whereas, the lowest mean score of 3.661 was for Standard IV—support, management, and operations. The largest amount of variance was in the mean scores for Standard VI—social, legal, and ethical issues (.463) compared to the lowest variance of .366 for Standard III—productivity and professional practice. Table 1 describes the results of the survey instrument for each of the six National Education Technology Standards for Administrators.

Table 1. Mean Scores by National Education Technology Standards for Administrators.

	N ^a	Mean	Standard Deviation	Variance
Standard I	487	3.812	.613	.376
Standard II	481	3.841	.616	.380
Standard III	477	3.805	.604	.366
Standard IV	473	3.661	.671	.451
Standard V	473	3.741	.670	.450
Standard VI	471	3.891	.680	.463

Note. ^aNumbers of participants out of 498 who completed all questions for each standard.

Mean scores were calculated for each performance indicator to more specifically determine the leadership practices of the principals. Table 2 depicts the mean, standard deviation, and variance for each of the standards' performance indicators. The mean scores for 29 of the performance indicators were at least 3.535. This indicates a high measure of leadership prac-

Table 2. Mean Scores by Performance Indicator for National Education Technology Standards.

Standard I				
Performance Indicator	N ^a	Mean	Standard deviation	Variance
I.A—Shared vision	487	3.877	.741	.549
I.B—Technology implementation	487	3.793	.729	.531
I.C—Innovation	486	3.858	.767	.588
I.D—Research-based technology practices	485	3.685	.804	.646
I.E—Advocate for local, state, and national policies	487	3.844	.804	.646
Standard II				
Performance Indicator	N ^a	Mean	Standard deviation	Variance
II.A—Technology to enhance instruction and curriculum	481	3.778	.738	.544
II.B—Support an innovative learning environment	481	3.802	.756	.571
II.C—Provide technology to meet the needs of learners	481	3.892	.762	.580
II.D—Facilitate technologies to develop critical thinking	481	3.763	.754	.569
Standard III				
Performance Indicator	N ^a	Mean	Standard deviation	Variance
III.A—Model effective technology use	477	3.832	.805	.648
III.B—Employ technology for communication with all stakeholders	477	4.002	.749	.561
III.C—Create a technology-enriched culture to support improvement	477	3.786	.767	.589
III.D—Engage in continuing professional development	477	3.650	.808	.652
III.E—Build capacity for innovative technologies	477	3.730	.799	.639
III.F—Use technology for organizational improvement	477	3.826	.828	.686
Standard IV				
Performance Indicator	N ^a	Mean	Standard deviation	Variance
IV.A—Policies and guidelines for technology compatibility	473	3.535	.813	.660
IV.B—Implement technology operating systems	473	3.586	.811	.658
IV.C—Allocate resources for technology	473	3.797	.854	.730
IV.D—Integrate technology plan with other improvement plans	473	3.696	.811	.657
IV.E—Support technology replacement cycles and continuous improvement	473	3.693	.847	.717

Standard V				
Performance Indicator	N ^a	Mean	Standard deviation	Variance
V.A—Assess and evaluate technology resources	473	3.461	.823	.677
V.B—Utilization of technology disaggregate data	473	4.042	.820	.672
V.C—Assess staff technology capacity	473	3.647	.826	.682
V.D—Utilization of technology to assess administrative systems	473	3.723	.860	.739
Standard VI				
Performance Indicator	N ^a	Mean	Standard deviation	Variance
VI.A—Equity of access to technology resources	470	3.879	.795	.631
VI.B—Enforce social, legal, and ethical technology practices	471	3.870	.824	.679
VI.C—Enforce technology security and safety	470	3.979	.839	.703
VI.D—Enforce environmentally safe and healthy practices	471	3.762	.862	.743
VI.E— Develop policies that enforce copyright law	471	3.713	.923	.852

Note. ^aNumber of participants out of 498 who answered the question.

tices of the high school principals. The mean scores of performance indicators V.B—utilization of technology to disaggregate data—and III.B—employ technology for communication with all stakeholders—were the greatest at 4.042 and 4.002, respectively. Participants also considered enforcing technology security and safety ($\mu = 3.979$), providing professional development for teachers to improve learning ($\mu = 3.971$), and providing technology to meet the needs of learners ($\mu = 3.892$) to be very significant.

The findings of this study indicated that the participants' overall technology leadership practices were very high for the six technology standards. Gibson (2001) stated, "The number one issue in the effective integration of educational technology into the learning environment is not the preparation of teachers for technology usage, but the presence of informed and effective leadership" (p. 1). The findings of this study supported Gibson's statement and contradicted Thomas's (1998) statement that even though technology existed in the schools, effective technology leadership did not exist. This study found that the state of Texas has leaders who are effectively implementing technology in schools.

The principal has been shown to be one of the most important members of the staff of an effective school (Fowler, 1991; Fullan, 2001; Valentine & Bowman, 1991). Researchers have continued to determine what makes a principal effective, though the role of the principal has changed rapidly in recent years. The Institute for Educational Leadership (2000) reported, "Schools are changing dramatically. Principals in the coming decades will lead schools that are far different than those of today. In other words, principals will be expected to lead in an atmosphere of constant, volatile change" (p. 4). Schools need strong leaders who facilitate and create a vision for the utilization of technology (Brooks-Young, 2002; Gibson, 2001; Macneil & Delafield, 1998; Prewitt, 2002; U.S. Department of Education, 2005). The principal is the key to making the technology clear and useful for the campus staff. Without strong technology leadership, digital technologies will not play a significant role in education.

Standard I of the NETS*A pertained to the leadership and the vision of the administrator. The mean score for Standard I was 3.812 and ranked the third highest for all participants. A leader must have a vision for the process before implementation and a successful outcome can occur (Prewitt, 2002). The leader should develop a vision that can be supported with research-based practices for success. Performance indicator I.D—research-based technology practices—had a mean score of 3.68. The mean score was the lowest of the five performance indicators for Standard I; therefore indicating that principals are not using research-based practices in achieving the campus technology vision.

The second NETS*A standard was categorized as learning and teaching. The mean score for Standard II was 3.841 which indicated that high school principals believed they were supporting an environment that encouraged innovative learning and teaching with technology. Performance indicator II.E—ensure that faculty have professional development in using technology to improve learning—had the highest mean score of Standard II ($\mu = 3.97$).

Standard III of the NETS*A pertains to productivity and professional practice. The mean score for Standard III was 3.805 and performance indicator III.D—engage in continuing professional development—had the fourth lowest mean score of 3.65 out of 30 performance indicators. The mean score was at a high level but was low compared to the other performance indicators. Continuous professional development for the principal is crucial so that the leader can model technology expectations to the staff. Participants indicated a belief that continuing professional development in this area was not a high priority for administrators. In contrast, the mean score for performance indicator III.B—employ technology for communication with all stakeholders—was 4.00, the second highest out of 30 performance indicators. Peterson's (2000) results were similar to the findings for performance indicator III.B. His study found that 89.1% of principals reported that the ability to use e-mail was an important skill for principals.

The mean score for Standard IV of the NETS*A was 3.661, the lowest mean score of the six standards. Standard IV pertained to support, management, and operations. Activities addressing this standard are normally handled at the central office level of school districts. Technology policies are established by technology committees and the technology director for the district; however, the principal plays a key role in facilitating the implementation of the policies. Mean scores for performance indicators IV.A—policies and guidelines for technology—and IV.B—implement technology operating systems—were 3.53 and 3.59, respectively. The two scores ranked the second and third lowest out of 30 performance indicators. The principal was the key to implementing technology at the campus level (Gibson, 2001; Levinson & Doyle, 1993; Office of Educational Technology, 2004; Shuldman, 2004). According to the mean scores, principals indicated that policies and implementation are less important than the other standards.

Standard V of the NETS*A referred to assessment and evaluation. With any program, assessment and evaluation of progress is crucial to determine whether the program is meeting the expected outcomes (Brooks-Young, 2002). Principals indicated that performance indicator V.A—assess and evaluate technology resources—was the least important of all the performance indicators for the six standards. The mean score for this indicator was 3.46 and was the only performance indicator that was considered to be a low measure. Likewise, the mean score for performance indicator V.C—assess staff technology capacity—was 3.65 and was the fourth lowest out of 30 performance indicators. Both performance indicators assist the principal with designing staff development for systemic change. The results of this standard indicate that high school principals are not focused on assessing and evaluating the campus tech-

nology programs and assessing the staff's readiness to integrate technology into the classroom.

The last standard pertained to social, legal, and ethical issues. The mean score for Standard VI was 3.891 and was the highest mean score of the six standards. Performance indicator VI.C—enforce technology security and safety—was the most important indicator reported by participants although performance indicator VI.E—develop policies that enforce copyright law—was the least important indicator reported for Standard VI. With indicator VI.C scoring the highest for Standard VI, principals indicated the importance of meeting state and federal guidelines as well as not being inclined to lose funding because of failing to meet federal mandates (Federal Communications Commission, 2001). At the campus level, indicator VI.C refers to the campus Acceptable Use Policy for students and staff. Texas law requires that all school campuses have an Acceptable Use Policy in their campus codes of conduct. The results of indicator VI.E seemed to indicate that principals are not stressing the importance of copyright laws to their campus staff.

DISCUSSION

Technology is a tool rather than “an end in itself” (Slowinski, 2000, para. 6). School leaders should involve school staff in determining how technology can best assist student learning, rather than allowing technology to drive learning (Slowinski). The data from the principals surveyed suggest that principals need continued professional development on assessing and evaluating technology resources. Principals are in need of professional development that centers around this standard as “knowledgeable and effective school leaders are extremely important in determining whether technology use will improve learning for all students” (Valdez, 2004, para. 1).

The principals surveyed appeared to be in need of additional training pertaining to support, management, and operations of technology at the campus level and specific legal requirements affecting technology. Principal preparation programs need to focus on preparing prospective principals to implement technology guidelines and procedures at the campus level. The training received through certification programs needs to reinforce the importance of the leader in developing and communicating campus policies that enforce the copyright law.

The principals surveyed had many of the technology skills needed to serve as leaders of a diverse technological world at the campus level. Support for technology development at the campus level should improve so that schools can provide the best technology teaching strategies with the students of the digital age. Principals also need additional training to focus on technology leadership. This training needs to focus more on technology leadership and emphasize technology competencies less.

CONCLUSIONS

For effective integration of technology to occur, systems must have knowledgeable and successful leaders (Gibson, 2001). Leaders of the 21st century must have the capacity to properly motivate, implement, and utilize technology practices in their schools. As technology expands more and more rapidly, principals will have to adapt and continue to grow in the area of technology leadership. Johnson (2005) suggested that rather than considering technology “just another problem on the list of those we face as administrators, we must harness it as a power-

ful ally. By purposely and continuously improving our administrative technology skills, we can lead with technology, not be led by it” (para. 15).

School districts need to develop technology leaders who have a vision of how students can learn with technology, not just teachers who use technology to present lessons in the classroom (Gahala, 2001; Brooks-Young, 2002). Principals must ensure that the technology represented on their campuses espouses student learning goals (Gahala, 2001). School leaders must model finely tuned technology skills, but more importantly, they must exhibit the skills necessary to lead with technology, utilizing it as a tool to assist in the improvement of student achievement.

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NAVIGATING THE POLITICAL AND POLICY WAVES

UNIVERSITY-DISTRICT PARTNERSHIPS FOR PRINCIPAL PREPARATION: A QUEST FOR RELEVANCE

Connie L. Fulmer, Dorothy F. Garrison-Wade, Ken Reiter, and Rodney Muth

There is universal recognition that the current historically high expectations for education and training will only be met with outstanding leadership. (Caldwell, 2003, p. 23)

Leadership in education is an ambiguous and complex concept, and the diffuse and highly fragmented nature of theory and research on school and school district administration and leadership reflect this conceptual fuzziness. (Goldring & Greenfield, 2002, p. 1)

High quality student performance depends on high-quality school leadership . . . What does effective leadership look like, not just in theory but in action? (WestEd, 2003, p. 1)

Much is written about the current state of preparation programs (Bellamy, Fulmer, Murphy, & Muth, 2007; Davis, Darling-Hammond, LaPointe, & Meyerson, 2005; Fry, Bottoms, & O'Neill, 2006; Hess & Kelly, 2005; Levine, 2005; McCarthy, 1999; Milstein & Associates, 1993; Murphy, 1992) and a summary of that literature shows a persistent gap between academic preparation and the activities required by practice. Recently, authors focused their attention on the importance of the *changing context* and *complexity* in which current and future educational leaders must practice. To know how to be effective, leaders need to pay close attention to both.

One example of the changing context is evidenced in the mapping that Lugg, Bulkley, Firestone, and Garner (2002) provided of the ever-shifting contextual terrains facing educational leaders (political, economic, financial, accountability, demographic, and staffing). Key issues, goals, pressures, and questions to be used by leaders when navigating the six contextual terrains are listed in Table 1.

On the other hand, Goldring and Greenfield (2002) provided evidence of the complexity facing school leaders, stating that their work can be distinguished from administrative work by four conditions: (a) the moral dimension of leadership, (b) the stewardship of the public's trust in public education, (c) the complexity of core teaching and learning activities, and (d) the highly normative and people-intensive character of the school workplace (p. 3). Similarly, Caldwell (2003) proposed that "such a complex, demanding, and constantly changing role [of school leaders] demands a coherent and intensely professional approach to preparation, licensure, selection, evaluation, and professional development" (p. 37). His response (see Table 2) to that demand is a "blue print for successful leadership in an era of unprecedented high expectations for student achievement and increasing globalization in learning [includes] one vision, three tracks, four dimensions, ten domains, and six values" (pp. 36–37).

In spite of the changing context and complexity of the task at hand, others (WestEd, 2003) invested their efforts in making principal preparation programs more relevant by

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Table 1. How to Navigate in Specific Terrain Elements Facing Educational Leaders.

Terrain	Key Issues, Goals, Pressures, Questions to be Navigated
Political	What are the State and National trends affecting my school?
	How will they interact with reform efforts already underway?
	At what point do I engage in political or policy-related activities?
Economic	Have high visibility in the community.
	Develop relationships with community leaders.
	Establish partnerships with business and higher education.
	Reach out to religious, political and service agencies.
	Secure available community resources for my school.
Financial	Ensure the appropriate and wise use of public resources.
	Reallocate resources to reduce class size.
	Prepare low achieving children through preschool programs.
	Focus investments on professional development.
Accountability	Redesign teacher pay.
	The range of content included in the state accountability system.
	The cognitive level and nature of assessments.
	The reward and punishments linked to assessments.
	How to I mobilize time, funds, knowledge, and leadership to improve instruction?
	How to ensure that responses to testing improve instruction for all students?
Demographic	How to ensure that untested content is not ignored?
	How to maintain humane environment that is more than preparing for tests?
	How to respond to changing student population?
	How to promote instruction that meets variety and the economy?
Staffing	How to increase supplemental programs when more children are in poverty?
	How to promote my school/district/state public education to garner support?
	Are staff members highly qualified?
	Does the current staff reflect community and national diversity?
	If hired under emergency status did they acquire proper credentials or certification?
	Are we grooming candidates from within?

adopting standards that spell out knowledge, skills, and dispositions related to successful school leadership: (a) defining expectations behind specific state and national standards, (b) identifying research-based behaviors that yield positive student results, and (c) distributing those behaviors across a continuum of novice to exemplary leaders. The resulting *descriptions of practice* provide “common concepts, language, and examples” (p. 1) that serve as (a) a starting point for developing credentialing criteria, (b) a guide for planning leadership preparation or professional development, (c) a basis for clarifying performance expectations, and (d) a mirror for an administrator's self-reflection and professional goal setting.

Chin (2003) identified trends in certain non-foundationalist perspectives that reveal a number of implications for the preparation of school leaders. Specific recommendations suggest that programs should focus on the following (pp. 64–65).

Table 2. Conceptual Blue Print for Successful Leadership.

Three Tracks	Four Dimensions of Leadership	Ten Domains	Six Values
Building systems of self-managing schools. Unrelenting focus on learning outcomes. Creating schools for the knowledge society.	Strategic Educational Responsive Cultural	Curriculum Pedagogy Design Professionalism Leader Development Resources Knowledge Knowledge Management Governance Boundary Spanning International protocols	Access Equity Choice Growth Efficiency Harmony

1. Emphasizing the value conflicts in communities, the social context of schooling, and how school leaders can adapt to meet local circumstance;
2. Increasing participatory involvement and less attention on strategies for controlling behavior;
3. Finding the appropriate balance between theory-based, value-based, and skill-based training; and,
4. Adopting field based and self-development approaches to learning in preparation programs.

A positive and forward-looking perspective on educational leadership programs that have moved beyond traditional leadership preparation and pedagogical strategies includes problem-based learning, cohort delivery models, collaborative partnerships, field experiences, and the use of technology (Jackson & Kelly, 2002). Others (Davis, Darling-Hammond, LaPointe, & Meyerson, 2005) indicated that effective programs are research-based based, include curricular coherence, provide authentic experiences, use cohort grouping and mentors, and have collaborative activities between program and schools.

In building our program upon all of these findings, the task at hand for all of these efforts—as we see it—is to achieve program *relevance*. When we finally know how to prepare leaders who are capable of meeting the expectations required by the ever-shifting contexts and the complexity of educational leadership practice, we will have achieved our goal. This conundrum has been previously described as the difficulty associated with not only developing professional expertise but also in designing appropriate transitional experiences required for students to make the transfer from academic knowledge to real world contexts (Kennedy, 1987). Whether or not the goal is transfer of knowledge or the construction of new understanding, the key issue for pragmatic principal-preparation programs is relevance.

The work of the Administrative Leadership and Policy Studies (ALPS) faculty on program redesign is driven largely by our responses to literature-based criticisms of preparation programs and stands as an example of our attempt to define “the relationships between codified knowledge and experiences in the formation of expertise, and the appropriate scope of transitional experiences” (Kennedy, 1987, p. 160). The remainder of this chapter describes

elements of a conceptual framework and strategies used by our faculty and district partners to achieve program relevance.

CONCEPTUAL FRAMEWORK FOR RELEVANCY

For our professional learning community (professors, principal partners, and students), four elements are at the very heart of program design: (a) an active district role, (b) program-long performance-based projects, (c) the centrality of clinical practice, and (d) the customization of learning opportunities for both districts and students.

An Active District Role

Universities that make substantial progress in principal preparation start with local school districts (Fry, Bottoms, & O'Neill, 2006). The principal-licensure program at the University of Colorado at Denver and Health Sciences Center (UCDHSC) enjoys a history of collaboration among program faculty members, school districts in the Denver-metro area, and principal partners from those districts. These partnerships expanded in 1999 to the entire state through our online principal-licensure program. The principal-licensure program at UCDHSC currently engages six partner school districts—and many rural districts through our online licensure program.

Although grounded in both state and national performance standards—Colorado Performance Standards for School Administrators (Colorado Department of Education, 2004) and Educational Leadership Constituent Council (ELCC) standards (National Policy Board for Educational Administration, 2002)—the knowledge base of the program is greatly enriched by the valuable craft knowledge that principal partners bring to the program.

District partners collaborate with faculty in selecting student candidates, designing learning activities, delivering instruction, designing performance-based assessments, participating in student-assessment activities and cohort-planning meetings, and supervising clinical-practice experiences. We attribute the success of our principal-licensure cohorts directly to the strength and active role of our partners in planning, delivering, and assessing the success of both the students and the program. As a result of these strong district partnerships, we are able to offer students a problem-based preparation program that immerses them in authentic field experiences similar to those that a school administrator experiences daily.

Program-Long Performance-Based Projects

As university faculty and principal partners engaged in planning activities, we quickly realized that the types of projects that ensured program relevance could not be designed, implemented, completed, reflected on, and written-up in artifact form in a typical 15 week semester. As a result, the instructional team reconceptualized the program as four concurrently operating program-long tracks. School improvement activities were *stretched* over the duration of the four-semester program. The same was so for cycles of supervision activities, teacher and staff evaluation practices, and other relevant school-based learning experiences.

Students learn content, develop skills, and then apply their learning in the real-world context of schools. Students enroll for eight credits a term in this 32-hour program and work on a small number of projects over the 16-months of the program. These projects (core values, mis-

sion/vision, school culture, school improvement, supervision/evaluation, and equity) are designed to ensure knowledge applications to the kinds of problems that principals regularly face.

Centrality of Clinical Practice to Program Development

These performance-based program-long projects are conducted in school settings and are supervised by a site supervisor, typically a principal. In addition, students make sense (Louis, 1980) of the world of practice as they design individualized clinical-practice goals, based on self-assessments of knowledge and skills as related to performance-based standards (National Policy Board for Educational Administration, 1989, 2002) and learning opportunities presented by the partnering district. This focus on centrality of clinical practice by program faculty and principal partners deliberately enhances program relevance and is the primary means of student engagement in active learning (Grabinger & Dunlap, 1995).

Early perspectives on clinical-practice experiences in the 1900s suggested that “the administrator could learn his profession effectively on the job by trial and error” (Gregg, 1969, p. 993). It appears now that we have come full circle with the exception that trial and error no longer suffices. Changing contexts, increased pressure resulting from the push for accountability, and the complexities of the context in which current principals must practice are compelling reasons why future leaders need to be prepared in the context of one or more schools. We argue that well designed clinical-practice programs should be central both to program design and to preparation processes.

Customized Learning Opportunities

Customized learning opportunities are developed according to the specific needs of district and student practitioners. Principal partners working with program faculty develop performance-based projects patterned after or embedded in actual work requirements of practicing principals. Principal licensure programs at UCDHSC start in staggered fashion over four academic semesters. During initial planning sessions, instructional teams are presented with a menu of performance-based projects designed by faculty and principal partners in other districts. In most cases, instructional teams adjust or modify the core performance-assessments to meet the culture and processes of their district. After all, a preparation program is “only as good as its ability to prepare its participants for the systems in which they will have to operate and navigate” (Stein & Gewirtzman, 2003, pp. 7–8). Customization is possible because core projects are based on performance standards. Preferences of district partners do not detract from the quality of the assessment but instead enrich learning experiences for the students, who hope to be hired as assistant principals or principals in that district shortly following their successful completion of the program.

STRATEGIES FOR ACHIEVING RELEVANCE IN PRINCIPAL PREPARATION PROGRAMS

The following strategies have been used by instructional team members to achieve relevance in program design and delivery by (a) seeking relevancy, (b) selecting committed principal partners, (c) opening or flexing the curriculum, (d) providing structure for planning conversations and listening carefully, (e) constructing collaboratively established performance-based assessments, and (f) encouraging ownership of the program by principal partners.

A Quest for Relevance

Any student of educational administration knows the enduring quest of the field to link theory more closely to practice. For some, this has not been an issue as expressed by the famous quote by Kurt Lewin (1951): “there is nothing so practical as a good theory” (p. 169). Even so, in the current environmental climate of accountability, scarce resources, pressure for improving student achievement, and the importance of relevance in leadership preparation have never been more important. According to Bottoms and O’Neill (2001), this era of higher accountability and standards requires that the “new breed” of school leaders, prepared to lead our schools, (a) know which school and classroom practices contribute toward student achievement, (b) know how to work with teachers and others to fashion and implement continuous school improvement, and (c) know how to provide the necessary support for our staff to carry out sound curriculum and instructional practices (p. 8).

In spite of the spate of standards, the structure of existing courses, assignments, and assessment measures, our instructional teams charged with planning cohort-learning experiences begin their deliberations by trying to answer one important question: When students leave this program, what is it that they need to know and be able to do to be an effective leader? Answering this question, instructional teams focus their energy on determining how to guide student learning, on designing assessment strategies to assess whether students acquire *understanding* related to those guiding questions, and on developing instructional strategies and learning activities to facilitate the learning process.

Relevance always is the goal of this quest. In this, our journeys have been guided by the curricular design principles of Wiggins and McTighe (1998), including backward design, thinking like an assessor, the six facets of understanding, and the important instructional strategy of *uncoverage*.

A second example of the quest for relevance occurs when program-long projects are shared among cohort instructional teams from large urban school districts. Projects have been modified, deconstructed, or otherwise improved to meet the specific needs (political, economic, academic, diversity, procedural, and others) of the partner district. Within a cohort, faculty teams would modify assignments for students with specialized or non-typical professional assignments. These modifications were justified on the basis of relevancy for students and the achievement of program goals.

Another example of our quest for relevance is that while many initial licensure programs prepare their candidates to begin their first year of practice, our goal is to design a program that prepares principal candidates with the knowledge and skills equivalent to those of a third-year principal. While this particular goal could be perceived as arrogant or unattainable, our perspective is that the alternative, a program that produces students who are neither confident nor competent to take on the role of principal, is unacceptable.

Selecting Committed Principal Partners

Selection of principal partners is unique to different partnership teams. For some, the process starts with a group of 15 or so would-be-principal-partners. Some of these principals have worked with other universities to deliver leadership programs. Desirable attributes of an instructional team include commitment to the planning process, the ability to be present in the face-to-face class sessions, as well as willingness and capacity to engage in authentic problem-based assessment activities throughout the program. On some teams, central-office per-

sonnel have self-selected to be members of the instructional team. Even so, as the planning process continues, some participants leave the group because of the commitments involved.

Our delivery model provides teaching stipends for principals. Some districts have used these stipends to support a team of principal partners who moved in and out of the instructional team, and others have selected three or four principals to participate in nearly every aspect of the entire program.

In each partnership case, principal partners are socialized into the instructional modes advanced by the faculty. Some partners initially see their role as the newest professorial “talking head” in their delivery. However, principal partners are encouraged to engage students in conversations as they pursue performance-based tasks in their quest to produce performance- and evidence-based learning. Some instructional teams now are starting their fourth cohort or leadership academy, and we are beginning to recognize developmental stages through which instructional teams progress as they gain more experience.

Early in the process of enlisting the support of the principal partners, schedules for content delivery have been altered to facilitate principal-partner attendance during the first part of evening class sessions. Also, cohort-planning sessions are held at the school district during regular work-day hours for the convenience of the principal partners.

The importance of recruiting great principal partners to an instructional team cannot be overemphasized. Their presence and contributions to planning sessions, face-to-face classes, and clinical-practice activities are immeasurable and significantly increase the credibility, validity, and success of the program. Without district partners and the context of schools in which to learn, it would be extremely difficult to offer our students authentic, experiential learning activities in which to cultivate leadership skills and the preparation required for leading a school.

Opening Up or Flexing the Curriculum

In 1994, the faculty made major changes in the principal-licensure-program curriculum. Traditional programs are course based and typically students take one or more courses on a time schedule set by the student. While thinking through how to deal with Colorado’s initial set of standards, the faculty decided to open up or flex the curriculum by creating four large learning domains (leadership, supervision, school improvement, equity), one each semester, to replace the individual and unrelated course-by-course program experience.

Flexing the curriculum continues today in instructional team planning. As instructional teams work on designing relevant learning experiences, the temporal framework of the semester-delivery model appeared constraining: Few realities of being a principal could be compressed into a 15-week period. For example, school-improvement processes take more than a year to complete in practice. By dispensing with artificial semester boundaries, our students can learn how to develop survey instruments to evaluate quality indicators in their schools, to conduct data analyses such as curriculum audits, and to build evidence for school improvement plans. What might happen if the semester in which supervision of curriculum and instruction fell in the summer semester when many schools were on summer break? The solution is to open up curriculum delivery by ignoring the framework imposed by academic semesters.

Other examples of flexing the curriculum include allowing instructional teams to select a core set of readings for the program. Thus, specific texts have supported district initiatives and related to specific professional-development activities seen as integral to district plans

(e.g., cognitive coaching, Costa & Garmston, 2002; professional learning communities, DuFour & Eaker, 1998). These curriculum flexing examples are possible because of the problem-oriented, standards-based nature of our program. Various ways have been developed for students to provide evidence of meeting state and national standards. Instructional teams invented and experimented with projects, processes, and learning experiences to produce graduates with the experience that it takes to be a school leader.

Providing Structure to Planning Conversations and Listening Carefully

Another strategy to ensure relevancy involves preparing for planning meetings with structure or scaffolding for all involved (students, principal partners, and faculty); we have planned in the context of (a) number of class sessions in the entire program; (b) beginning and ending dates of semesters; (c) related standards; (d) lists of relevant texts; (e) related research; (f) past efforts at projects, assignments, class activities; and (g) questions to guide the process. Principal partners actively engage in class meetings and help design relevant authentic learning activities that are based in actual practice. In many cases, student work provides not only service to the district, but also gives students real-life experiences and opportunities to generate evidence of meeting state and national standards.

An important role of university faculty was to schedule planning meetings, facilitate the planning process and class sessions, take care of all academic-program logistics, schedule appropriate learning spaces for class sessions, and perform all advising responsibilities and other bureaucratic requirements of the program. During initial planning sessions, faculty members give an overview of what was done previously in other cohorts as well as examples of projects, assignments, and class activities. Following the overview, the group is advised that it is free to revise, improve, deconstruct, or generally start over in order to ensure relevance to district purposes and needs.

Many times during the planning process, it seemed that we always were reinventing the wheel as instructional-team members were differentially experienced in delivering graduate programming and as new faculty members joined the team. But in every case, the projects and learning opportunities eventually designed have been far more authentic, relevant, and meaningful to students, partners, and faculty than the pedagogical strategies and content used previously. Although we “build to please,” we have continuously learned, improved, and made more relevant and authentic what we do.

All of this has been possible only because we carefully listen to and learn from our principal partners. By doing so, academic faculty members have been able to capture the real-world work life of principals to format projects and performance-based assessments that provide structure for both instructional faculty and students. Merging those perspectives with prior program structures and strategies and putting those ideas into a context that provides structure to the process for both instructional faculty and students are critical elements that lead to the success of this kind of planning. Effective programs offer their students learning activities that stimulate and engage them in the real work of leading a school through problem-based learning (Stein & Gewirtzman, 2003).

Collaboratively Constructing Performance-Based Assessments

The nexus between state and national performance-based programs, traditional program content, and the real world-work of school principals is the critical space in which relevant

performance-based assessments have been constructed. The conversations at planning meetings often revolve around the key knowledge required for successful practice, the evidence needed to ensure that students acquired such knowledge, and which projects, learning experiences, or activities best facilitate student learning in specific contexts.

Both academic faculty and principal partners have made major contributions to developing these performance-based assessments. After designing approximately 12 of these assessments, we smugly asked ourselves, what could be more relevant than learning experiences grounded in the context of the work life of school principals, supported by appropriate and related literature and research, and assessed by multiple sets of performance standards? Certainly, performance-based assessment construction is time consuming. Even more difficult is the process of distributing these assessments across four program semesters. But the collaborative construction of these learning tasks ensures program relevance for the students, the commitment of our partners, and effective leadership-capacity building for districts.

Encouraging Principal Partner Program Ownership

Our strategies have been designed to encourage program ownership by our principal partners. For us, university-district partnerships mean more than permission to deliver a licensure program in a school district facility. Districts that engage in partnerships with us are equal partners whose districts benefit from the joint development of enhanced leadership capacity.

If participating in one of these instructional team planning meetings, you might come away thinking that the school district was fronting the leadership academy with the support of university faculty members. However, encouraging principal-partner-program ownership begins with the initial-planning meeting. Often, it is communicated by one of us in a simple statement: *We need your help*. Those four words open the door to both principal partner and district ownership of our leadership program. We follow-up with these sentiments: *We deliver leadership programs, but we need your help to make the preparation relevant. By helping us with program relevance, you are ensuring that program graduates will be competent future principals who you can hire into your district. It takes more than a school district or an academic preparation program to prepare a principal. It takes both, working together to achieve program relevance.*

SUMMARY

Our framework for promoting relevancy in principal preparation programs includes the following elements: (a) an active district role, (b) the construction of program-long performance-based projects, (c) centrality of clinical practice to program development, and (d) the customization of learning opportunities based on the needs of the district and student-practitioners in the program. Our strategies include (a) seeking relevance, (b) selecting committed principal partners, (c) opening or flexing the curriculum, (d) providing structure to planning conversations and listening carefully, (e) constructing collaboratively established performance-based assessments, and (f) encouraging ownership of the program by principal partners. In all of our efforts to work with principal partners and to improve principal preparation, we do not seek *the* answer. Instead, like our students, we are avid and continuous learners who seek what we need to become and stay relevant and to produce practice-ready principals.

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Building Capacity for Change in a Small Rural High School: One Woman's Journey

Peggy B. Gill, Genie B. Linn, and Ross Sherman

As America's education system engages in a massive change effort to improve student achievement, rural schools, like their urban counterparts, face a comprehensive and sometimes overwhelming improvement agenda. This challenge for improvement encompasses rigorous content standards, enhanced instructional programs, higher quality staff, more parental involvement, improved school governance, increased fiscal resources, program access for special students, and performance accountability for local school districts (Stephens, 2001). For rural school systems, with their small scale and limited human and fiscal resources, the agenda's challenges are compounded. The challenge in rural areas is further complicated by strong ties between community and school that may serve to resist change efforts as not consistent with "the way things are done around here." Thus, to change rural schools, there must be a cultural change in the community that supports the vision of continuous improvement in the schools.

Culture change is difficult and time consuming because "culture" is rooted in the collective history of a community and its school and so much of it is below the surface of awareness. In general, the process of culture change must include the following steps: a) identify the core values and beliefs of the community and the school, b) acknowledge, respect, and discuss differences between core values and beliefs of different subcultures in the community and school, c) establish new behavioral norms that clearly demonstrate desired values, and d) reinforce desired behaviors (Mnookin, 2001).

In *The Prince*, Machiavelli stated, "There is nothing more difficult to plan, more doubtful of success, nor more dangerous to manage than the creation of a new order of things. . ." This is the exact challenge facing the building principal in a small rural school. Regardless of the difficulty inherent in cultural change, the need to assist all students in receiving a high quality education to ensure both equity and excellence is critical. Scheurich (1997) argued, "Often forgotten amidst appeals for the reform or restructuring of the public schools is the fact that those the schools most commonly fail to serve are low-income and minority students" (p. 8). With the demographic changes currently happening in much of America, rural areas that have traditionally been cohesive in terms of race and socioeconomic status are undergoing rapid changes. As Pallas, Nartello, and McDill (1995) reminded us, "America has become a more diverse society in its racial, social, and ethnic make-up" (p. 31); a trend likely to continue and that may be particularly difficult for rural communities to address.

Changing the system is difficult, but Systems Theory provides a framework within which to understand the challenges inherent in the change process. Organizational change, examined within a systems theory frame is viewed as a meaning-making process that evolves from the negotiated social relationships within the context of the school and the community (Banathy & Jenlink, 2004). Organizational meaning and purpose are individually and collectively constructed and reconstructed as the system continuously builds organizational capacity and engages in design and implementation processes. Thus, meaning and understanding must

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continually be addressed as the school follows an improvement agenda. Within this process, the leader plays a pivotal role in terms of not only focusing on the new vision for the school and helping to design learning opportunities for all, but also establishing relationships and community connections that may be the source for new ideas, learning, and support (Fullan, 2003). It is through these relationships that meaning can be shared so a common vision for the community's school becomes a reality.

NARRATIVE INQUIRY AS METHODOLOGY

This study examines the initial steps in the change process in a rural school through the inquiry method, nonfictional narrative story. Nonfictional narrative story is a qualitative method that seeks to capture the voice of human experience (Barone, 1992). As an inquiry guided method, the story of human experience emerges through spirals of questions and answers. The researchers and the storyteller join in a common exploration of the topic of leadership and change.

The storyteller's voice remains present in nonfictional story method. Although many qualitative research methods fragment narratives resulting in a thematic presentation that obscures the storyteller's voice, this method presents the story fully to contextualize the actions described (Chase, 1996). In addition to retaining the element of voice, stories allow us to build larger frames of reference (Bruner, 1990) in which to examine underlying assumptions and beliefs.

THE STORY

The story presented in this article is part of a larger four-year study of change in the rural high school. We focus on the first year of Dr. Lila Matthew's role as principal of New Settlement High School and examine her initial cultural change efforts in New Settlement ISD, a small district in rural East Texas. New Settlement High School (NSHS) had approximately 100 students in grades 9 through 12 and a staff of 12 teachers, an aide, a secretary, and a counselor for pre K through 12. According to the Texas Education Agency 2000–2001 Academic Excellence Indicator System, 66% of the district student population was Hispanic and 85% were economically disadvantaged. Only about 10% of the graduating class typically attended college and few of those earned a college degree.

New Settlement is a farming and ranching community with a large plant farm (nursery) industry that has attracted Mexican immigrants. During the last decade the community has struggled with its changing identity from mainly white lower-to-middle class landowners to a population largely consisting of impoverished Spanish-speaking immigrants. Racial tension exists between the established white community and the new majority Hispanic population that has no economic or political power. With a diminishing economic base, almost all community members are affected by conditions of poverty.

Dr. Matthew assumed the principalship in this time of significant social change and in an environment of increasing educational accountability. She faced the challenge of bringing a community together to support the school and raising academic performance. The following rendition of Dr. Matthew's first year provides a clear picture of the challenges she faced.

Dr. Matthew's Story of Her First Year

We have all fallen victim at one time or another to the fascination of alien visitors from outer space. We either view the possibility with horror or fascination. Popular enter-

tainment presents us with either monsters like *Aliens* who terrorized Sigourney Weaver or magical beings like *Starman*.

Aliens or strangers, however, do not have to be from other planets. Strangers, aliens, and immigrants built our nation. Their stories are not only history; they are continuing reality for many who come to this nation hourly. It is to our discredit that when we ponder the question of foreigners, we rarely think in the first person. We are reluctant to view this perspective.

I never imagined I would find myself as a foreigner when I embarked upon my first principalship. Therefore, it came as a surprise and shock to learn that I was the feared and often hated alien in a rural district. I see myself as a nice person, not too old, not too young, not beautiful, not too ugly, not too smart, but smart enough. I come from common roots of cotton farmers and oilfield workers. My parents were closer to poverty than wealth, but prospered by hard work. There was never any question that school was important, education and college were expectations for my brothers and me. I am a typical baby-boomer.

So how did such an ordinary person as I, become the dreaded foreigner? Naiveté and ignorance led me to walk confidently into a rural community where I unwittingly trampled on sacred ground and important toes. Small communities exist in a tight circle of the familiar and known. The members of the community know everyone and everything about everyone. Few enter and few leave. Change is an enemy. Tradition and status quo are friends to the established power structure.

I replaced a well-loved, undemanding, often lax, male principal. My enthusiasm and energy for improvement and high standards were viewed as a threat and an insult by students, teachers, parents, and even the board who hired me to make the changes! I was indeed the stranger in a strange land. Why? Because. . .

1. I looked different. I have always worked to project a professional demeanor. Suits and heels have always been my preference. Years as an educational consultant reinforced this standard of dress. My grandmother's influence required that I obey the rules of southern etiquette. I always wear make-up and retaining a coiffure is essential. I have a standing appointment with a manicurist. These things give me confidence and make me feel good. These things made me a stranger in rural East Texas. They made me identifiable as a foreigner.
2. I talked differently. Years of education and public speaking have directed me to affect speech that does not have the definite East Texas accent or colloquial speech pattern. I sound educated. To my East Texas constituents, I sounded "uppity."
3. I had different ideas. I talked of college preparations for students. I expected teachers and students to follow policies. I enforced state guidelines. What I viewed as standard and typical for school operations was instead offensive and threatening.
4. I didn't know who people were. This ignorance meant that I failed to contact the right people or give the appropriate respect. I didn't defer to residents or the teachers who appointed themselves as leaders. I required the Ag department to follow rules for field trips. I sent attendance warnings to the grandson of a longtime residence. She made her displeasure known to the school board. I offended the PTA president by failing to know who she was.
5. I didn't know what had always been done. I didn't understand that it was accepted practice for the constable, his wife, and other persons to come to the high school office and sit in the reception area to visit. At first I smiled and waited to be acknowl-

edged. No one did. Then I became concerned that I was ignoring them. Surely they had come with a reason? Maybe they thought I was ignoring them. One day I mustered my courage to step into the area and asked politely, if there was anything I could do for them. They left in a huff and went straight to the school board and complained that I had run them off.

6. I replaced a long-time and loved administrator. Enough said. One student complained that he never had problems until I came. His parents agreed. The rules were for those “other students.” I expected a closed-campus to mean no one left school, not even the white students.
7. I am a woman. Not a flirting, young or attractive, “please help me woman,” but a strong, fiftyish, confident, “I can do this” woman. I did not know my woman’s place. The all male school board distrusted me. They made their dislike for me obvious. I was either ignored or insulted. I realized that my failure to demure in their presence irritated them. There were occasions that were clearly harassment and discrimination, but I chose to confront the issues on my own.

Dr. Mathew’s entry into her new position presented her with significant obstacles. She experienced what Hart (1993) characterized as the “sink or swim” method of induction into the principalship. The result of this method of induction is that each misstep makes it harder to develop the trust needed for systemic change. The outcomes of innocent actions are magnified and can assume incredible significance.

The school and the community reacted negatively to her “differences” making the process of dialogue, critical for any successful change effort, difficult at best. Building support for any change effort demands the creation of opportunities for everyone in the change process to share their ideas and concerns about the future of the school to develop a common understanding of and vision for the school (Duffy, Rogerson, & Blick, 2000). Rather than creating a safe forum for discussion, she found herself defending herself and her actions. The tension she experienced can be related to both the need for an organization and a community to protect the status quo and the need to preserve the organizational boundaries, which preserve traditional control mechanisms (Kowalski, 2005). As an outsider, she represented an unknown. As an unknown, she was suspect and being suspect was seen as untrustworthy.

THE LEADERSHIP CHALLENGES OF CULTURAL CHANGE

As Dr. Matthew continues her story, she addresses the monumental challenge of changing a culture.

How did I survive and why did I stay four years? Stupid? Stubborn? Masochistic? I stayed because I knew I had been called to this place for a purpose. I stayed because I believed it was right. I stayed because I cared about education and I loved my students. I wasn’t going to quit.

It soon became clear that my mission to improve student learning would mean a drastic cultural change to an entire community before I could realize improved student performance. I wasn’t just changing curriculum and classroom instruction; I would be changing beliefs, behaviors, and expectations. In order for the school to progress, the school community—students, teachers, parents, and school board—had to want it.

In the process I learned: a) Don't assume anything. b) Practice serious self-reflection. c) Keep students at the center of all decisions. d) Expect the best from everyone. e) Establish procedures. f) Rely upon policy. g) Be visible. h) Be proactive. i) Respect differences. j) Finally, act with integrity no matter what else happens around you.

In a small rural community, the small movements are felt strongly and repercussions are immediate from the churches, to the local convenience store, and come to rest in the school board room.

Culture, passed from generation to generation, is often experienced as "what works" for our community. Thus, the values and beliefs that guide decision-making may be unexamined and unarticulated. These unexamined values and beliefs are reinforced and sustained through the decisions and actions of those in power (Dalin & Rolff, 1992). When Dr. Matthew, as the person in power, did not conform to the existing norms established through the shared values and beliefs, there was immediate resistance.

BEGINNING AT THE SCHOOL LEVEL

Where does a new administrator begin? Dr. Matthew had a new building and a new job. Basic organization was the first step.

I initiated school level change immediately when I was given keys to the building. Time to clean up. While alone in the building, I began the daunting task of straightening my office. The first change I made in those lonely hours was what I was best suited for...I cleaned house. I set up files, hung pictures, placed rugs, put up a clock, arranged lamps, plants, and journals in the outer office, and cleaned a dirty kitchenette in the teacher work area. These changes were visible evidence of things to come in the small school. I put out donuts and turned on the coffee for the first in-service day and had flowers for the secretary's desk. These superficial tasks were the only changes I was free to make as I was hired two weeks prior to the beginning of school. Therefore, all hiring, schedules, and staff development plans were already in place. That was fine. I did not anticipate making radical change immediately. I expected to step into the stream and see how the school flowed. I expected to "survey the landscape." I tried to smile, observe, and support until "we" decided how to move forward. I found, however, when I stepped into the proverbial stream, it was no stream at all, but rather a deep and stagnant pool. My small movements made a huge impact. I was forced to stir the waters or I would be pulled under. More importantly, I feared for the children who were in a very real sense already trapped by low expectations and poverty.

Most researchers portray cultural change as "a long term process" (Kowalski, 2005). In fact, efforts to effect rapid cultural change frequently result in failure (Fullan, 2003). Dr. Matthew evaluated the situation in her new school but was forced to accept the personal risk of revolutionary transformation as opposed to the less dangerous risk of gradual change.

TENSION BETWEEN EXPECTATIONS AND REALITY

Although the superintendent or school board may give the new administrator clear directions, staff, student, and parent expectations may not easily align with these directives.

On the school level, I began by doing what had been my charge from the superintendent and the board. First, and very important to everyone, I had been admonished to get the flags up and down properly everyday. Second, keep the students on campus and enforce the dress code; particularly, make the boys shave. Third, make the teachers do their jobs. And, finally, have real school. These directives were clear enough, and it meant enforcing policies and procedures that were already in place. These simple and ordinary activities that are a part of every school's operation caused huge repercussions. Like a giant tsunami, the waves rose in protest. "You are trying to make us a big city school!"

I had sign in sheets for all teachers. I required boys to shave, politely calling parents to correct the problem. I was visible in the halls, cheerfully directing students to class. I directed traffic in the parking lot and waved to parents (who stared at me in curious confusion). And I monitored the cafeteria during lunch where I required students to remain in the supervised setting until the bell rang, thus controlling the disappearing acts of students and the appearance of non-students. I smiled and directed. I reminded teachers that I needed lesson plans. I placed candy and encouraging notes in their boxes. Despite my efforts to be pleasant and positive, I made everyone "mad as hell!" Every move that I made was not the way things had been done. Consequently, I enraged teachers who had been in the school and community forever, disgusted students who were not accustomed to order, and angered the parents and community who were upset when their children and friends were upset. It looked like a great beginning!

Dr Matthew's experiences are consistent with the change literature. Resistance to change is to be expected. This resistance is a normal part of organizational life as people try to sustain or assert their own values and beliefs against the new power (Fullan, 2003).

Tichy (1993) identified three sources of resistance to change. Technical resistance comes from the familiarity with procedures currently in place. These procedures took time and money to develop and people do not want to relinquish them. Political resistance appears when powerful stakeholders are challenged or threatened by the changes. These powerful stakeholders may be senior faculty, parents, community members or board members. Cultural resistance develops when the values and beliefs that support the school structures are questioned. In a small, rural school, technical, political, and cultural factors overlap and intertwine. Thus, Dr. Matthew's efforts at school reform created resistance in all three areas.

Another factor in resistance to change is the existence of sub-cultures within the school and the community. Each sub-culture supports their own set of customs, beliefs, and practices, which may be inconsistent with proposed changes (Clark, 1984). These sub-cultures may stake out "ownership" of certain areas (Kashner, 1990). For example, the students at NSHS declared their ownership of the cafeteria and resistance to change through their anger at being told to remain in their seats.

Although resistance may be widespread and difficult to handle, the resistance should not be viewed as entirely negative. Widespread resistance may also be seen as an indicator that the changes are reaching deep cultural structures. As Dr. Matthew's year progressed, the resistance increased.

It only got worse. It has always been my understanding that parents wanted to see report cards, an accepted practice that included having them signed and returned as a form of communication. However, when I required this, two parents placed a pe-

tion in the “little store” a block from the school to have the superintendent and me removed. Now that is an unnerving experience. The board thought it was amusing. No one was worried. Whew! This was only the first six weeks grading period, and I was trying to keep a low profile. What was in store for me when I made real changes?

The petition went to the bottom of my list of worries as I faced the resistant, difficult staff. We had very little time to get to know each other before school started, and I soon learned that I was not welcomed. The leader and spokesperson for the staff (as well as the most respected teacher in the district) angrily confronted me during our first staff meeting. I had engaged the staff in an activity to begin thinking about school improvement by leading them to create a vision for our graduates. Our students were barely passing the state mandated Texas Assessment of Academic Skill test. ACT and SAT scores were abysmal. Our best student scored 11 on the ACT. No one was prepared for post-secondary work. No one was expected to go to college. Those few who went had to enroll in non-credit remedial classes. College attendees were rare; college graduates were almost non-existent. This condition was not a race issue; it was an issue of expectations born of poverty and ignorance. In 2000-2001, the advanced coursework consisted of one dual credit English course.

A SYSTEM WITH LOW EXPECTATIONS

Dr. Matthews was faced with a school and community that were willing to settle for mediocrity. There was no vision for the students beyond high school.

When I met with my new staff, I asked them to create the vision of our future graduates and their responses were very disturbing.

“I just hope they can balance a check book when they leave here.”

“I want them to be able to read.”

“I want them to be able to plan a budget.”

“These kids won’t be going to college so I hope they can support themselves and be good parents.”

“I want them to be good employees.”

My staff members were oblivious to the glaring needs of our campus. To encourage them to aim higher, I shared with them the challenges that would face the students coming the following year who would be the first to graduate under the new rigorous testing standards of TAKS, Texas Assessment of Knowledge and Skills. The new exit level test would be given in the 11th grade and assess 11th grade skills in language arts, science (including chemistry, physics, and biology), math (including algebra and geometry), and social studies. Rigorous coursework and high expectations would need to be the norm.

The discussion became heated. The recognized campus leader spoke loudly,

“We don’t like you telling us that we are not doing a good job!” His followers joined suit. One teacher began to cry. Rebellion roared, and I stood silent. I stood firm and quiet. When the noise subsided, I spoke evenly and without rancor.

“Anyone who wants to make a change in employment can leave their keys on my desk.”

My heart sank as I left the campus and went by the superintendent’s office. He congratulated me and encouraged me to be strong. After a sleepless night, I returned

the next day. One by one, I summoned each staff member and gave him or her the opportunity to speak privately with me. No one left their keys, but the lines were drawn. I was not leaving, and no one else chose to leave that day.

Ouchi (2003), in *Making Schools Work*, listed six rules for successful educational change. Rule Two states: Revolutionary change requires the perception that there is a crisis. Dr. Matthew's teachers did not perceive an academic crisis in the school. Without this perception of a crisis, change became a threat to the status quo, a threat to "what works." Hall and Hord (2001) suggested that many educators do not believe that change is necessary or possible. With this belief comes the need to vigorously build defenses. Rather than achieving her goal of defining a common vision, Dr. Matthew faced increasing distrust and strengthening resistance.

I managed to survive those days. As I prepared to align the curriculum with the state standards, I pulled teaching certificates and transcripts to find the best person for each position. This simple act turned out to be Pandora's box, when I discovered two teachers were only elementary certified, and one long time employee had never completed the certification process at all. That spring semester found me teaching 9th and 10th grade English to cover the shortage that ensued. By the end of the school year, one teacher faced disciplinary actions for inappropriate behavior with students and elected to *resign*. Three other probationary teacher contracts were not renewed. The last teacher to leave had severe health problems that prompted a resignation.

By the end of her first year, 75% of her staff was gone. Collins (2001) told us we need to get the right people into the right seats on the bus. In Dr. Matthew's school, this required creating space for new faculty whose values and beliefs were consistent with the proposed changes for NSHS.

Dr. Matthew's reflections on the next three years help us understand the significance of relationships and time to build trust. She continues her story.

Change was underway at a rapid pace that I never intended. Although the first year was very painful at times, I was hopeful when the year closed because I could see evidence of positive change. The two women who had started the petition in the fall to have me removed came and apologized. One hugged me tightly as she pledged her support and promised to do whatever needed to be done to help me improve the school for her children. Our relationship had changed when I became her son's English teacher, as well as his principal! Her acceptance and acknowledgement was an opening in the community for me.

Writing and receiving a substantial three-year Comprehensive School Reform Grant provided the critical thrust for changing curriculum and instruction, but establishing personal relationships in the community was critical to any progress or change in the school. As simple as it sounds, just being there—at basketball games, in the dunking booth at the carnival, at the AG banquet, or at the cemetery—by being part of the everyday lives, I bridged our worlds. I held babies, shook hands, comforted the grief-stricken, and celebrated successes. I was at school early and stayed late. As the principal, only administrator, sometimes teacher and/or substitute, in a small high school, I was there in every student's life and in every family's joy or sorrow. I shared the heartbeat of the community through its children and families.

At the conclusion of my four-year tenure, Marissa, a graduating senior who had been with me that first year as a student and the subsequent years as principal, publicly honored me at the final basketball game with a rose and a beautiful personal note. "Our school changed the minute you came here." I, too, was forever changed the day I stepped onto the campus.

IMPLICATIONS

The goal of every new principal is to be successful in his or her first principalship. The difficulty of achieving this goal is exacerbated when the new principal is also called upon to be a change agent. An individual who is serving as a change agent for a school needs to be cognizant of three areas that will increase the likelihood that he or she will experience success. The first is to match the correct individual with the appropriate organization, the second is for the individual to understand the formal and informal power structures that exist within the organization, and the final is to understand the elements of bringing about change within an organization.

The first critical element in promoting this success is matching the correct individual to the appropriate organization. Getzels and Guba (1957) suggested that organizations are social systems that consist of an individual or ideographic and an organizational or nomothetic dimension. The individual comes to the organization with certain needs and the organization has certain expectations for the role the individual will assume. When the role, the person, the expectations, and the needs are aligned the individual is posed to experience success within the organization. However, when the individual possesses different expectations than the organization does, role conflict occurs and the individual experiences role ambiguity or confusion. In this particular instance, Dr. Matthew, who had previously worked in a 'cutting edge' organization as a curricular consultant and who was completing her doctoral studies, experienced role conflict and role ambiguity because the organization's expectations for a principal and Dr. Matthew's professional expectations were not aligned; however, she was probably exactly what the district needed. Unfortunately when expectations of school and leader are not aligned there is another layer of conflict that must be addressed. This additional layer can be time consuming and energy draining. Therefore, it is imperative that individuals seeking a principalship are careful to understand the organization's expectations and to determine if it is a match with their personal needs.

Once an individual assumes a position as a principal, he or she needs to be aware of the various formal and informal systems that exist within the organization. The formal organization typically consists of the school, the school district, and the community. Within each of the formal systems there are informal systems that consist of key individuals who may not possess any legitimate power but are extremely influential within the subsystem. Tannenbaum and Schmidt (1958) identified three forces that should be considered by a leader before action is taken. The first is the leader's preferred style, the second is the power possessed by the subordinates, and the final is the feeling both the leader and the subordinates have regarding the issue. This suggests that a new principal should identify the key issues and individuals within the formal and informal power structure and attempt to garner their support for the new leadership. In this particular instance, Dr. Matthew assumed that the formal organization, the superintendent and the school board, were supportive of her leadership. However, it would have been in her best interest to identify and build relationships with the informal leaders within the school, school district, and community to form a base of support and to co-opt their potential opposition to her leadership prior to engaging in substantive change.

Finally, if the individual and the organization are aligned and the individual has identified the formal and informal power structures within the organization the final step is to be knowledgeable about facilitation of change. A new principal who is serving as a change agent must understand that change is a process and not an event and requires time, energy, and resources to support it. Furthermore, individuals initially accomplish change, then institutions (Hord, 1992). At the beginning of this article we stated that culture change is difficult and time consuming because "culture" is rooted in the collective history of a community and its school, and because so much of it is below the surface of awareness. Dr. Matthew's story illustrates the immense difficulties inherent in cultural change. She was caught between moving a school forward in the day-to-day activities and beginning a change process. While her initial intent was to "map the terrain" and "identify the core values and beliefs of the community and the school" the urgency of preparing a student body for the new state mandated graduation test required immediate actions. This urgency allowed little time to "acknowledge, respect, and discuss differences between core values and beliefs of different subcultures in the community and school" as she moved forward in "establishing new behavioral norms that clearly demonstrate desired values."

Assuming your first principalship is a time for exhilaration and trepidation. On one hand, the dream is at hand, but on the other hand, the fear of the unknown is around the corner. To increase the likelihood that this initial experience will be a positive one, an individual must be aware of the individuals' needs and the organizations expectations. In addition the new principal should assess the formal and informal power structures that exist within the school, district, and community to identify the key individuals who are the power brokers. Finally, if change is required then the new principal needs to understand the process as well as the particulars for bringing about substantive change.

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Being Attentive to Changing Student Demographics: Minority School Leadership and Multicultural Environments

Jean M. Haar and Jerry W. Robicheau

INTRODUCTION

The percentage of minority school age children rose from 26% in 1980 to 35% in 2000; the United States Department of Education projects this number will increase to 64% by 2100 (Usdan, McCloud, Podomostko, & Cuban, 2001, p. 15). The change in student demographics has posed a number of challenges for school systems as they address such issues as language barriers and cultural differences.

The changing demographics in student population are evident in rural school districts as well as suburban and urban schools. The Center for Rural Policy and Development (2006) investigated the status and achievement of Latino students in Minnesota schools. There are Minnesota rural districts such as St. James (37.2%) and Sleepy Eye (34.8%) with higher percentages of total Latino student enrollments than urban districts such as Minneapolis (15.3%) and St. Paul (12.5%). Thirty-five districts reported their Latino enrollment was at least 10%. Of these 35 districts, 12 reported a Latino enrollment of more than 20%, and of these 12 districts, 11 were located in rural Minnesota.

Accompanying the changing demographics of student populations is the need for changing demographics with school leadership. The changing student demographics constitutes not only a need for an analysis of the type of leadership required to effectively meet the needs of minority students, but also an analysis of who should be in school leadership positions. The contribution minority leaders can bring to multicultural environments in schools should not be overlooked. D. Brown (2005) noted,

[W]ith the face of public school students becoming more colored, the face of teachers becoming less colored and the face of leadership remaining for the most part white, the effects of race and gender on leadership credibility in diverse organizations we call schools can no longer be ignored. (p. 53)

Addressing the special needs of diverse schools, Usdan, et al. stated, Clearly, schools will have to create programs and systems responsive to the special needs of a diverse, multi ethnic student body. Effective leadership in a contemporary multicultural environment will require different understanding of more complex issues compared to 30 years ago. (2001, p. 15)

Challenges in Multicultural Environments

Lee (1994) outlined the factors necessary to implement multicultural education in schools. She contended it is essential for school leaders to evaluate basic beliefs and determine how they affect instruction for all students, especially students with diverse backgrounds. Issues for consideration include (a) beliefs about the demands of democratic society; (b) knowledge of what it takes to succeed in America; (c) traditional motifs about key periods

in history; (d) beliefs about the critical knowledge base for learning in preparation for the twenty-first century; (e) awareness of how children and adolescents learn; and (f) an understanding of the role of language in learning and value judgments about different variables of English and languages of linguistic diverse immigrant groups (p.10).

There is limited literature on leadership in multicultural environments and cross-cultural leadership (Riehl, 2000); however, one challenge for leadership is to understand the educational ramifications of multicultural environments. Shields, Laroucq, and Oberg (2003) noted that multicultural educational practices have focused on the “superficial cultural differences like food or fashion and have ignored the underlying issues of racism and cultural conflicts that need to be addressed in schools” (p. 117) and that leaders are not willing to be engaged in a discussion of race and ethnicity because “they simply do not know how to address the issue” (p. 119).

Challenges that accompany the establishment of a positive multicultural environment include the need for leaders to be attentive to such issues as parent involvement, testing, the achievement gap, and English Language Learner needs. For example, regarding the achievement gap, Bainbridge and Lasley, II (2000) insisted that to consider the achievement gap only in regards to skin color is a continuation of “self-perpetuation prejudice” (p. 50). Singham (1999) argued that addressing the achievement gap needs to be approached socially, economically, and psychologically; there is no one way to address it. In *Multicultural Education: Challenges to Administrators and School Leadership*, Attinasi (1994) stated, “Multiculturalism challenges the vertical view of cultural development as the refined production of the elite... and recognizes, from an anthropological perspective that all cultures have resources and value” (p. 8). Furthermore, school leaders need to “eradicate stereotypes, enhance self esteem and encourage all people to have a voice” (p. 8).

The changing demographics of schools make it incumbent on school leaders to understand how establishing a positive multicultural environment affects teaching and learning. Leaders need to be intent on creating a climate and culture that feels safe and one that effectively addresses the issues associated with a multicultural environment.

Absence of Minorities in School Leadership

As the changing demographics in student population grow it begs the question of why the absence of minority leadership exists. There is limited research on minorities in school leadership positions (Brown, F. 2005; Whitaker, 2001; Whitaker & Vogel, 2005) and the challenges that result from this shortage in connection with the changing demographics of student populations (Usdan, et al., 2001):

[B]y in large demographics of district population is not reflected in the school district leadership. The top-level berths of district executives' hierarchy are overwhelmingly held by white men in the latter part of their careers. [A]bout 5% of superintendents are nonwhite. (p.15)

One ramification of this absence is the limited number of role models for people of color who may desire to enter the ranks of school leadership. For instance, Brunner and Lisa-Peyton (2000) found there are limited role models for Black women in leadership positions. Alson (2000) discovered that African women held fewer than 5% of over 15,000 superintendent positions and 20% of principal positions. D. Brown (2005) also found limited representation of African Americans in school leadership positions. One reason for this under representation is

the lack of mentoring for African American teachers who wish to enter into leadership positions. Ortiz (2000) contended that the reason for the lack of minorities in leadership positions is because the school board, former superintendents, and search firms, groups that are predominately White, control succession to higher positions. However, Murtadha-Watts (2000) argued that it is women, specifically Black women, who would bring a passion that all students can learn despite poverty and other factors. Consequently, they are often hired for trouble districts in an attempt to restructure these districts. The effects of gender and race on school leadership can no longer be ignored (Brown, D., 2005).

METHODOLOGY

The purpose of this paper is to share the preliminary findings from two surveys in the following two areas: (a) the representation of ethnicity and gender among Minnesota school leaders, and (b) the professional development needs of school leaders regarding cultural diversity and English Language Learners.

Surveys

In January 2006 the first electronic survey was sent to 2409 practicing Minnesota school administrators. The intent of the survey was to investigate the supply and demand of Minnesota school leaders. A total of 1055 surveys were completed and submitted for a return rate of 43.7%.

School administrators surveyed included superintendents, directors of special education, directors of community education, elementary/assistant elementary principals, and secondary/assistant secondary principals. Minnesota requires an administrative license for all of the positions. Individuals who received the survey were members of Minnesota Association of School Administrators (MASA), Minnesota Elementary School Principals' Association (MESPA), and Minnesota Association of Secondary School Principals (MASSP). The membership of these organizations represents approximately 90% of practicing public school leaders. The survey covered all regions of Minnesota: rural, rural regional centers, suburban, and urban. A rural regional center was defined as a district that had a significant student population (approximately 2000–5000 students) where the district office was located in the city that housed the county government.

The survey instrument consisted of 22 questions. Survey questions were structured to solicit information regarding an individual's position, to determine the time an individual planned to vacate a current position either by retirement or other reasons, and to obtain demographic data. The demographic data included questions on ethnicity, age, and gender. For the purpose of this paper the findings regarding representation of ethnicity in school leadership will be reported.

In November 2006 a second electronic survey was sent to superintendents and principals to collect data about how schools were addressing cultural diversity and English Language Learners (ELL). A department level database of superintendents and principals was used to administer the survey. A total of 326 surveys from a possible 998 were completed for a return rate of 32.6%. The survey instrument consisted of 17 questions. Respondents were asked to identify their leadership position and type of district (urban, suburban, rural, or other). Respondents were also asked their perception concerning (a) personal awareness of English Language Learners (ELL) and cultural diversity needs, (b) district efforts through finances and professional development to address ELL and cultural diversity issues, (c) awareness of

higher education efforts to address cultural diversity issues, and (d) level of interest in attending training on ELL and cultural diversity. For purposes of this article, the findings reported will focus on the questions regarding professional development and higher education efforts.

FINDINGS

Supply and Demand of Minnesota School Leaders

The findings regarding ethnic distribution from the supply and demand survey revealed a 95% White/Caucasian population holding school leadership positions. The next highest percentage was 2% for Black/Non-Hispanic. Other minority groups represent less than 1% of the individuals in leadership positions: Asian/Pacific Islander, 0.2%; Hispanic/Latino, 0.4%; and Native American/Alaskan, 0.4%. The findings were evident at each district type: rural, rural regional center, suburban, and urban school districts.

The under-representation of minorities was evident in all district types. In rural districts 99% were White/Caucasian, and in regional rural districts 97% were White/Caucasian. In suburban districts 97% were White/Caucasian, 2% were Black/Non-Hispanic, and 1% were listed as other minorities. In urban districts 77% were White/Caucasian, 14% were Black/Non-Hispanic, and 13% were other minorities.

Addressing Cultural Diversity

The largest administrative group to respond to the cultural diversity survey was elementary principals (42.8%), followed by secondary principals (22.8%), other (those with split duties and different grade configurations) (16.9%), superintendents (16%), and middle school principals (1.5%). Respondents from rural school districts (47.1%) constituted the largest representation by type of district, followed by suburban (37.8%), urban (12.3%), and other (2.8%).

Respondents shared perceptions on their level of preparation in the areas of cultural knowledge and diversity. Seventy-two percent of the respondents stated that they had received training in the areas of cultural knowledge about the diversity of their students. Sixty-eight percent of the respondents stated their staff received professional development in the area of cultural knowledge of the diversity of their students. Sixty percent stated the district provided cultural diversity training for administrators.

Regarding institutions of higher education, respondents overwhelmingly agreed (84.6%) that institutions of higher education should provide cultural diversity training to school administrators. However, only 34% responded that it was their perception that institutions of higher education were providing assistance in diversity training for administrators. Eighty-seven percent stated that institutions of higher education should providing training to administrators in the area of working with culturally diverse families.

Respondents to the survey had an opportunity to share open-ended comments at the conclusion of the survey. Following are responses that reflect the need for cultural diversity training in higher education: One respondent shared,

As an administrator of color, I am very passionate about issues of diversity and integration of all learners. My school has the highest ELL population in my district and I have never received formal training for ELL students. I am learning quickly about how to service this group of students, but I also have what I term “ELL type” learn-

ers because my community is heavily populated with immigrant and refugee families that may have students formally identified as ELL or not, but the general ELL learning style exists with the broader community. I have one ELL teacher per grade level which is a tremendous support for our building. I am also preparing to offer formal ELL training in partnership with our district and a national consultant with a target cohort being my ELL teachers this year and then offering to all teaching staff beginning in the fall of 2007. It is my desire for teacher and administration preparation programs to have a stronger focus on ELL populations, given the magnitude of ELL enrollment in our state.

Another commented, "I am an African American. I am one of very few in my school district. My district provides for SEED [Seeking Educational Equity & Diversity] class on a volunteer bases. This is not sufficient. I find it extremely difficult to work with others who strongly embrace a white middle class perspective and disregard the differences that other people's children bring to the table." A third respondent stated, "It would be very helpful if administrators could have this training provided to them during their administrative training. I have had to seek out my own professional development in this area."

DISCUSSION

The under-representation of minorities in school leadership positions and the leadership needs of meeting a culturally diverse student population have been identified in the literature for the past decade—yet both areas have seen minimal gains.

Absence of Minorities in Leadership Positions

As the results of the supply and demand survey indicated there continues to be an under-representation of minorities in school leadership positions. This finding is supported by Alson (2000), Usdan et al. (2001), and Brown, D. (2005). The absence of minority school leaders is significant given the changing demographics in the school population. If there is to be a change in the number of minorities in leadership positions there is a need to increase mentors for minorities (Brown, F., 2005; Brunner & Lisa-Peyton, 2000). This increase can be accomplished through a collaborative effort among administrative preparation programs, professional organizations, and local school districts.

School leadership is in a state of transformation. There is a shift from leading "mono-cultural" organizations to leading ones that are diverse and ever changing. School leaders need to embrace the multicultural issues that parallel this shift by modeling the knowledge, skills, and dispositions required to assure all students are learning and by creating an inclusive learning environment.

Leadership for a Positive Multicultural Environment

There is evidence, reported by the cultural diversity survey, that districts have provided training for administrators and staff in the cultural differences of a diverse population. This training is a beginning step in developing a positive multi-cultural environment. The training in diversity and cultural backgrounds, however positive of an effort, is not enough. There must also be an intentional initiative to address the instructional needs of a diverse student population. A leader, realizing the "achievement gap" is more than a color issue, needs to es-

establish a safe nurturing environment focused on student learning. University administrative preparation programs can assist school leaders in the establishment of safe, nurturing multicultural environments by developing curriculum content within their training programs that provide the knowledge and skills needed to create positive multi-cultural environments.

CONCLUSION

As our society reflects a more diverse population, student demographics are mirroring that diversity, but school leadership is not. For instance, St. Paul Public Schools, St. Paul, Minnesota, has a student enrollment that is 73.9% students of color and their building level principals of color constitute only 34.65% of the leadership positions (St. Paul Public School student enrollments, 2007). With a limited number of minorities in school leadership positions, it is critical for preparation programs and professional organizations to take an active role in the recruitment and preparation of minorities for school leadership positions.

Another key component to addressing the changing student demographics is the development of a positive multicultural environment. It is critical that school leaders understand and implement effective best practices and strategies that improve student learning for all students, including minority students whose learning needs may differ. School leaders are also responsible for establishing and maintaining a school culture that respects and embraces a multicultural learning environment.

As noted in the supply and demand study (Haar & Robicheau, 2006) and supported by similar studies, little appears to have occurred to encourage minorities to enter the field of school administration. Now is the time to recruit and retain minorities for leadership positions. The effort to address the absence of minority leadership can begin with (a) school districts identifying minorities within their teaching ranks and encouraging them to seek administrative licensure; (b) districts and professional organizations establishing mentoring programs for aspiring minority leaders; (c) universities collaborating with local school districts to recruit aspiring minorities for preparation programs, (d) universities and local school districts collaborating to offer professional development opportunities for aspiring minority leaders, (e) local school districts and professional organizations seeking and encouraging minorities to accept leadership roles, and (f) universities continuing to research the effects of minority leadership on student learning.

As noted from the cultural diversity survey, efforts in training educators have begun. However, training alone will not suffice to establish a positive multi-cultural environment. School leaders need to assure the following: (a) eliminate stereotypes, (b) strengthen the training as it relates to the learning needs of all students, (c) focus on the backgrounds of students and how they enrich learning, (d) understand the dynamics and influences of the family when addressing the achievement gap, (e) understand and implement curriculum and instruction needed in a multi-cultural school, and (f) support teachers in their efforts to provide a nurturing environment.

School leaders are charged with creating a place where all students are engaged in meaningful learning. School leaders are charged with creating a safe and nurturing environment that fosters respect and embraces all people. Moreover, school leaders must assure that schools reflect what is "right and just." Based on these expectations, questions remain: (a) is it "right and just" that there are significant absences of minority leaders; (b) is it "right and just" that there appears to be an absence of efforts to recruit and retain minorities for leadership positions; and (c) is it "right and just" to not have a more concentrated effort to develop and support schools in creating a positive multi-cultural environment? Now is the time to respond

to the questions with action. Now is the time to address the leadership challenges of a changing student population. Collectively, administrative preparation programs, professional organizations, and school districts can do what is “right and just” and make a difference for all students.

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Navigating the Internship through the Political Waves of Collaboration

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This study reports the results of a qualitative research project, the purpose of which was to describe the similarities and differences of quality internships and conduct a deeper analysis of the data to discover the essential components. This was an exploratory study of the political and policy waves encountered during the design and implementation of internships in five selected school leader internship programs. In other words, it describes in depth “why they are the way they are” and provides a model or set of directions to successfully navigate these waves.

Murphy (1992) was one of the first to recommend that universities redesign their preparation programs for school administrators to include authentic experience in schools to connect theory to practice, and some made an effort to take his advice. The accreditation boards also instituted new program guidelines that included internships and field experience. On the advice of researchers and policy boards some states have created policies mandating that universities redesign school leader preparation programs to include authentic, field-based experiences by collaborating with school districts in the design and implementation. However, this policy is one-sided because districts have not been mandated to collaborate with universities. This leaves universities in a difficult position of undertaking political maneuvers as they try to persuade districts to form a collaborative partnership to meet this challenge. Many school leader internship programs are at a “tipping point” in that they are embarking on a journey of systemic change as they navigate the political waves of collaboration with multiple districts, state governments, and organizations.

Bottoms, O’Neill, Fry, and Hill (March, 2003) said, “Redesigning leadership preparation programs does not mean simply rearranging old courses—as staff at some universities and leadership academies are inclined to do” (p. 8). They continue to explain that redesign means that universities should create a new curriculum, new courses, and field-based work in a variety of schools. This would be considered an adaptive change according to Heifetz and Linsky (2004), where the solutions lie in people. To make an adaptive change, the key people must change their values, habits, and ways of working. This would also be considered an in-depth structural reform, where the players have to figure out how theory and practice will mesh together (McEwan, 2003). This further requires that all systems (national organizations, states, universities, and school districts) support the change. When these factors are taken into consideration, it becomes obvious that navigating the political waves between all systems in the implementation of a quality school leader preparation program is essential.

National organizations such as National Council of Professors of Educational Administration (NCPEA), Southern Regional Education Board (SREB), and others worked with the National Council of Accreditation for Teacher Education (NCATE) and Standards Boards such as Interstate School Leaders Licensure Consortium (ISLLC) and Educational Leadership Constituent Council (ELCC) to improve school leadership standards (NPBEA, 1989). In turn, these national organizations proposed that states improve their standards and required that

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universities redesign their leadership preparation programs. Some states have taken the steps to mandate this change. Hall and Hord (2006) stated, "Although mandates are continually criticized as being ineffective because of their top-down orientation, they can work quite well" (p.11). They further pointed out that the mandating process falls down when support is not given after the initial announcement of the mandate. Universities and schools need outside support because this is a large-scale change that is a "complex, dynamic, and resource-consuming endeavor" (Hall & Hord, 2006, p. 13). Unfortunately, universities often encounter roadblocks when dealing with school districts because of long-standing district policies and cultures. It is even more complex when multiple school districts are involved and are asking for resources and support for loss of teachers while they are undergoing school leadership training in redesigned school leader preparation programs. Thus, universities are placed in leadership positions to navigate the political collaboration with school districts and ride the waves of power inequities that could hinder successful internships (Harchar, 1996).

In an effort to determine how successful universities have navigated the political waves of school district and state policies with regard to the internship, the authors interviewed professors at universities that were identified as having excellent internship programs by experts from national organizations. The purpose of this study was to examine the political and policy waves (implications) in the development and implementation of selected quality internships and subject the data to the grounded theory process for deeper exploration of key components (Corbin & Strauss, 1990). This study should have significance and value to educational administration professors and practitioners, particularly those developing and implementing redesigned school leader preparation programs.

LITERATURE REVIEW

The school leader internship can be viewed as the definitive performance test for aspiring school leaders. The performance assessments and artifacts presented for graduation after the internship can show the aptitude for successful school leadership positions (Fry, Bottom, & O'Neill, 2005). Yet we have become increasingly aware that the internship for aspiring school leaders does not measure up to this standard. In 2005, Arthur Levine, president of Teachers College at Columbia University, published a report criticizing the quality of current university-based school leader preparation programs throughout the United States. After four years of research, the report evaluated the school leader preparation programs of 28 colleges of education, concluding that these programs have low admission criteria, irrelevant coursework, unskilled faculty, and unfocused curricula. It also charged that "[c]linical experience tends to be squeezed in while candidates work full time" (Levine, 2005, p. 40) and that administration alumni desire "more hands-on practice" (p. 40). A study conducted by the SREB (Fry, Bottoms, & O'Neill, 2005), supported Levine's research and revealed that university educational leadership preparation programs lacked "purposeful 'hands-on' experiences that would prepare aspiring school leaders to lead the essential work of school improvement and higher candidate achievement prior to being placed at the helm of a school" (p. 3).

A Stanford University study of effective school leader preparation programs identified a number of characteristics that are essential to the development of successful school leaders. Chief among them is the field-based internship which provides experience in authentic contexts requiring the application of skills, knowledge, and problem-solving strategies (Davis, Darling-Hammond, LaPointe, & Myerson, 2005). Scott and Williams (2003) made the following recommendations: practical experiences integrated throughout the entire school leader preparation program with a culminating internship at the end; high quality mentors selected

and trained by the university; internships at diverse settings and levels; internships aligned to the ISLLC standards; interns grouped as cohorts to allow time for bonding, reflection, and problem-solving. Given that the role of redesign and/or meeting the new ELCC Standards belongs to the universities, the researchers interviewed those in charge of five selected quality internship programs with the purpose of examining the political and policy waves (implications) in their development and implementation. Through the use of qualitative research methods, a set of directions was developed to explain the redesign and, hopefully, to assist universities.

THE RESEARCH DESIGN FOR THE QUALITATIVE STUDY

The purpose of the study was to examine the political and policy waves (implications) in the development and implementation of selected quality internships, so the interview protocol was designed to elicit conversation about this phenomenon. After the data were collected, they were analyzed using the grounded theory method. Grounded theory served as the basis for both the theoretical structure and research design of this study (Corbin & Strauss, 1990). This method requires researchers to go beyond describing the data and examine the reasons and underlying implications. Grounded theory approach is a qualitative research analysis, utilizing a systematic set of coding steps: open, axial, and selective. Using these steps of inductive reasoning enabled the researchers to develop a model or set of directions (Corbin & Strauss, 1990). Open coding is the process of breaking down, examining, comparing, conceptualizing, and categorizing data. Axial coding is the process of putting data together in different ways and labeling the connections between the categories. Here, the researchers look for conditions, context, action/interaction strategies, and consequences to make these connections. Selective coding is the process of selecting the core category, systematically relating it to other categories, validating that relationship, and refining other categories. Ultimately, a story line is developed that captures the meaning of the phenomenon being studied. Corbin and Strauss (1990) asserted that researchers can derive a theory from this process; however the researchers in this study postulated that they could derive a model or set of directions. Loosely-structured, open-ended interviews served as the primary data collection strategy. The interview protocol was developed using a guideline recommended by SREB (Fry, Bottoms, & O'Neill, 2005). This guide was developed for designing an internship program using a frame-

Table 1. Interview Protocol.

Demographics: # of professors, # of candidates in your internship, # of school districts.
1. Did you redesign and when? Why did you redesign? (state mandate or certification)
2. Describe your internship program and field experiences in your program. (#hours, length, sequence)
3. Did you collaborate with the school district(s) to design the internship? How?
4. How do you evaluate/supervise the interns?
5. How do you evaluate/supervise the internship program?
6. What are the qualifications of those who supervise?
7. Describe the process of designing your internship program?
8. What problems did you encounter? (Example: school district policy, school site policy and procedures, university policy, state policy, funding) Once you implemented, what problems did you encounter?
9. What are the costs of the internship and who pays for them?
10. What are the factors that contribute to a quality internship?

work of key decision points. The decision points consisted of considerations of the qualities of the internship program and structure; university-school district partnership; purpose and goals; intern competencies; shared expectations; learning plan; program materials; mentor selection/matching/training; monitoring and evaluation; celebrations and rewards; and implementation plan. The researchers believed that this interview protocol would elicit responses that would reveal the political and policy waves (implications) in the development and implementation of the selected quality internships.

Population and Sample

University professors from across the United States served as the study population. Sample selection was by nomination from three experts from ELCC, NCATE, and NPBEA boards who had first-hand knowledge of all universities with nationally recognized programs. Eight universities were nominated. Of these, five lead professors in charge of program coordination, from five universities, participated in the interview.

Expert Nomination. Each nominee was recommended by others on the basis of promising practices for successful internships. As one of the experts stated, “The emphasis on exemplary internships has only been on the university radar screen for a few years, so the measurement of quality graduates (from these internships) is limited or maybe non-existent.” This sentiment is reinforced by Hall and Hord (2006), who claimed that large-scale change may take five to eight years to fully implement. Another expert stated that the quality of internships changes frequently because of changes in school leaders at the university and districts. Another expert said that even though a university has a nationally recognized program, the real quality depends on the people at the university and school districts. For example, one university was referred and then rejected, because the superintendent of the partner school district had resigned. The expert further stated that there was generally a large turnover in university professors and these changes affect the quality of the school leader preparation programs.

Nominees. Five universities and the professors who represented the programs were interviewed: University A from the West, a public university; University B, from the Southwest, a private university; University C, from the South, a public university; University D, from the Southwest, a public university; and University E, from the East, a public university

Following transcription, the data obtained in the interviews were examined using three coding procedures: open, axial, and selective. On the basis of these related concepts, a model and set of directions were developed describing the development and implementation of a quality school leader internship.

ANALYSIS OF THE INTERVIEW DATA USING OPEN CODING

The data obtained through the interviews were presented following the interview protocol. Open coding, the first step in the grounded theory method, explained the similarities and differences in the responses, and major categories were identified (Corbin & Strauss, 1990).

Nature of the Redesign Process used by the Universities Interviewed. All five of the university school leader preparation programs have been in existence for quite some time (15–21 years). Three universities modified the courses in their present degree program rather than redesign, and two preparation programs were completely redesigned and restructured in response to state mandates and ELCC requirements for NCATE accreditation or a combination.

Table 2. Age of Program.

UA	UB	UC	UD	UE
Program 21 years; ongoing revision	Not restructured; revised within the last 5 years	Redesigned; Began '93-95 State mandate	Program 15 yr ongoing improvement State, NCATE, ELCC	Redesigned last 5 years; state mandated, NCATE

Internship and Field Experiences. All the universities' educational leadership preparation programs required some embedded field experiences throughout some or all parts of the program and a culminating internship at the end. Two universities had one year, full time, preparation and internship combined and required that candidates take a year sabbatical and devote their full attention to the internship, whereas three programs had part time internships, which the interns completed while maintaining full-time teaching status. The two universities with the full time program and internship began with eight weeks of university classes in the summer to prepare them for the internship which lasted the school year and was conducted at three diverse sites (other than their own neighborhood or school)—elementary, middle, and high school settings—for 12 weeks each. Each week was a four day week, with one day in the university classroom. The programs ended with another full eight weeks of classes and graduation at the end of the summer following the internship. The other university programs and internships had part-time course work over about two years with embedded field-based experiences at their home schools.

Table 3. Description of Internship.

UA	UB	UC	UD	UE
Full time, require sabbatical leave; 3 sites—elementary, middle, high school 12 weeks at each, 4 days per week and 1 day in university classroom	Part time; Practicum in the 2 nd semester; internship at end; Practicum = 12 hours per week Intern = 18 hours per week	Full time; require sabbatical leave; 3 sites—elementary, middle, high school 12 weeks at each, 4 days per week and 1 day in university classroom	Part time; 2-2 ½ yr program; culminating internship; Final project as intern; Field experience embedded	Part time, 1 year; series of activities, final media plan; 180 hrs field work

Collaboration with School District. Most of the collaboration that existed seemed to be limited to the feedback that school districts and/or practitioner-adjunct faculty gave that guided internship improvement, although one university met with advisory boards when designing the original program and one university had two committees review their proposed redesign. Nevertheless, the universities provided the lion's share of the design and implementation of the internship at each university. Very little interaction with school districts occurred and could not be identified as a partnership.

Monitoring and Evaluating Interns. The university supervisor and the mentoring school leader monitored and evaluated each intern through various collaborative arrangements. In all programs, the university supervisor met with the intern and the mentoring school leader and made site visits. In addition, the intern provided evidence (artifacts, reflections, plans) documenting the authentic experiences.

Table 4. Collaboration with School District(s).

UA	UB	UC	UD	UE
5 school districts participate	No— feedback from adjunct faculty in districts	Yes, with the superintendent involved in the design of the internship	Yes, original program designed with advisory boards; revise with district feedback	Designed with faculty (one faculty member is a retired superintendent); reviewed by 2 committees

Table 5. Monitoring and Evaluating Interns.

UA	UB	UC	UD	UE
University supervisor meets with intern; visits unannounced at site; visits with mentor; checklist to ensure breadth and authentic experiences	University faculty assesses reflective journal and portfolio for evidence of knowledge, skills, and dispositions	University full time and part time faculty assess, site mentor does an informal, formative evaluation	Mentor school leader and university supervisor visit intern and mentor, during campus meeting the school leader and university supervisor evaluate intern	University supervisor, mentor school leader evaluate the intern

Monitoring and Evaluating Internship Programs. The universities used various combinations of the following information to evaluate and revise their internship programs: exit interviews and surveys, alumni surveys, mentoring school leader feedback, candidate evaluations, state leadership test, SLLA, ELCC/NCATE and/or state accreditation criteria, and the degree to which they are successful as practitioners in the field.

Table 6. Monitoring and Evaluating the Program.

UA	UB	UC	UD	UE
NCATE; state accreditation; exit interviews, surveys	Data from surveys; culminating celebratory event gives feedback	Mentor forms to complete for feedback	Candidates evaluate, alumni feedback, assessment piece, Survey results	Feedback from mentor school leader, university supervisor evaluation of success, SLLA success

Qualifications of University Supervisors. Only current or retired superintendents/school leaders, full time tenure-track faculty, clinical faculty, or adjunct faculty were assigned as university supervisors. In every case, the university realized that only those with actual experience as practicing K-12 administrators were qualified to supervise those interning as K-12 administrators.

Table 7. Qualifications of University Supervisors.

UA	UB	UC	UD	UE
Former superintendent/ school leader hired as clinical supervisor	2 retired superintendents hired as clinical supervisors	3 former administrators with doctorates hired as clinical supervisors	Former school leaders hired as clinical supervisors	Former school leaders hired as clinical supervisors

Process of Designing the Internship. Given that three of the universities did not redesign, the respondents described their processes as that of continuous adjustment through ongoing supervision and feedback. Of the two programs that were completely redesigned, one respondent described the process of visiting universities with identified excellent programs, receiving advice from experts, and conducting research on components of successful programs. The other respondent described reviewing past practices and expectations as well as ELCC expectations, after which a matrix was designed to assess all program features with indicators.

Table 8. Process of Design.

UA	UB	UC	UD	UE
Ongoing adjustment; pk-12 administrative experience integral	Formalized the design process within the last 5 years Portfolio, rubric, reflection; holistic view gave structure	Visited universities with reported excellent programs; experts advised; referred to research-base	Revisions from district feedback, advisory board recommendations; adjunct faculty practitioner feedback	Reviewed past practices, past expectations, ELCC expectations, matrix of program features with indicators

Waves (Problems) Encountered. Most waves identified occurred in the universities with part-time internship programs. The most common wave encountered was with the school districts' reluctance to allow teachers to be released from the classroom to perform field-based activities and internship experiences. ELCC Standard 7.4, diverse settings, was especially difficult to fulfill because interns were not allowed to leave their school settings. One respondent pointed out that the districts did not permit field-based leadership experience to be documented as a professional activity. Other waves included the difficulty in achieving a diverse range of educational settings and experiences. On the rare occasion that a school leader refused to mentor, the university had no authority to transfer a teacher to another school where the school leader would cooperate. One professor said, "The ideal situation would be for the state to fund full-time internships."

Other waves were encountered with the states that had separate sets of standards. The language was different and caused confusion. Most agreed that states should adopt ELCC standards, rather than have their own set of standards. One professor reported that one district created a paid position for an administrative assistant to cover requirements for the internship, but the state created a policy mandating that only those with masters' degrees and administrative certification could be hired for any administrative position.

University UA's and UC's state provided money for a full year of paid sabbaticals at 100% of the teachers' salaries. UA encountered a more substantial wave with placement at perceived sub-standard school sites, especially at elementary schools where "not much was going on." UC's main problem was in the turnover of superintendents. UC's professor said, "Superintendents must be supportive of developing a pool of strong school leaders. Sometimes the superintendent will refuse to give a teacher a leave of absence for one year."

Cost of the Internship. Two of the universities required full time internships; in one case, the school district paid for the sabbatical leave of the interns, and, in the other, the state funded the sabbatical leave and a federal grant funded the tuition for all the candidates in the school leader preparation program. One private university provided a 50% tuition break for all the school leader preparation candidates. At two other universities, the fees were paid by the candidate, but the school district paid for the substitute teacher while the intern was released for field-based experiences.

Table 9. Waves (Problems) Encountered.

UA	UB	UC	UD	UE
Districts not allowing full range of experiences; some elementary schools do not offer the experiences required	Separate state standards; districts that do not give release time for field experience	Turnover in superintendents, districts not allowing teachers to take a sabbatical	Being a part time intern while teaching full time; getting diverse levels of experience	No money provided for sabbaticals; some school leaders do not cooperate in allowing release time or experiences needed.

Table 10. Cost.

UA	UB	UC	UD	UE
Sabbatical paid by district; university provides retreat, mentor training	50% tuition break; district paid dues to Leadership Center which gives services	Sabbatical paid by state; federal grant paid tuition for all candidates	Fees paid by candidate; Substitutes paid by district	Tuition paid by candidates; district paid mileage and substitutes

Quality of the Internship Program. When asked what factors contributed to high quality internship programs, qualities that were continually repeated were the following: placement/matching of excellent mentors; excellent candidates; full time internship for candidates; appropriate school site, removed from candidate’s home district; diverse settings; and focus on standards. Other qualities included activities embedded throughout the program and a capstone experience or final project.

Mentor Training/Mentor Selection/Mentor/Intern Matching. All respondents emphasized the importance of the mentoring school leader’s role in guiding the intern through authentic experiences. All of the mentors were unpaid volunteers and were trained by the university in the skills needed to mentor the intern. The mentors at several programs worked with the university and/or the intern to design meaningful experiences during the internship.

Table 11. Perceptions of Components of Quality Internships.

UA	UB	UC	UD	UE
Full time Not home school site Diverse settings Excellent mentors	Excellent candidate Appropriate site Focused on standards Clarity of structure	Full time Thoughtful mentor placement Diverse settings Excellent mentors	Intern activities embedded throughout the program Capstone experience—project Aligned with standards Excellent mentor Experienced university supervisor	Excellent candidates who have past experience in many leadership activities Dedicated mentor

Table 12. Mentor Training, Selection, and Matching.

UA	UB	UC	UD	UE
University trains mentors Mentor not paid	No information offered	University trains mentors; mentors help interns plan experience Mentor not paid Thoughtful mentor and candidate placement	University works with mentor to help design experiences for intern Mentor not paid	No information offered

ANALYSIS OF THE INTERVIEW DATA USING AXIAL CODING

Some qualitative researchers would prefer allowing the data speak for itself to illustrate the similarities, differences, and problems encountered. However, for this study the researchers wanted to provide a deeper analysis by following the next steps, axial and selective coding, of the grounded theory method. During axial coding, the next step, the data were examined further, making connections between each category and identifying subcategories. A set of procedures was used to put the data together in new ways after open coding, thereby making connections between categories. The procedure involved looking deeply into the conditions, context, action/interaction strategies, and consequences of the data (Corbin & Strauss, 1990).

The condition is that universities have been challenged to “fix” the “inadequate or appalling” school leader preparation programs by Levine (2005) and many others before him (Murphy, 1992; SREB, etc.). The context could be seen in the perception of three of the universities when they answered that they did not redesign, but modified their present courses. This was confirmed by SREB’s research (2005) when they conducted a national survey of department heads and found them to be confident in the quality of their programs (SREB, 2005). The context can also be seen in the “disconnect” with districts that were not willing to allow release time and with states that created policies that hindered placement of candidates in internships. Action/interaction strategies could be defined as the change process and were the result of perceptions of those in charge of the redesign at the state and university levels. University A said, “Many (people) at the state and university levels who try to follow the standards resent this standards movement. However, we really believe in them. Everything we do is reflected in the standards and they are our guide.” The consequences of these action/interaction strategies could be seen in the problems each university encountered. While some internship programs were struggling with the districts to allow their candidates release time to fulfill the internships, others were concerned at a deeper level about the quality of the intern’s site. In axial coding the spotlight was on the phenomenon being studied, the development and implementation of a quality school leader internship program. Four connections emerged.

Table 13. Connections between Categories.

POLICY	STATE MANDATES: certification, funding	UNIVERSITY: field supervision, class load	DISTRICT: release time, funding
Change/Redesign	Time	Steps, Technical/Adaptive	Technical/Adaptive
Partnership/Politics	State/University	University/District Collaboration	State/District
People	Professors/Practitioners	Mentors/Candidates	Legislators/Superintendents

ANALYSIS OF THE INTERVIEW DATA USING SELECTIVE CODING

The final step of the grounded theory model is selective coding in which the goal was to identify the core category, relate it systematically to other categories and subcategories, and validate those relationships. The researchers inductively developed a story line and ultimately, a model or set of directions to guide others (Corbin & Strauss, 1990). This model can then be used by other researchers to conduct quantitative validation. The core category identified was change or the innovation, redesign. Change involves people and their partnership in the change process to implement policy to support the innovation, the school leader internship.

Table 14. Actions Aligned with Successful Internship Programs.

Designing internship activities that fulfilled national standards	Complying with state mandates	Obtaining state financial assistance for compliance
Negotiating for school district policy and financial support	Forming a partnership with school districts for collaboration in program design and internship support	Recognizing that only former administrators were qualified to supervise internship experiences in the field
Carefully assigning appropriate school sites to candidates;	Training mentors in coaching candidates;	Matching mentors with candidates

The universities interviewed had been identified as having successful school leader preparation programs with excellent internships. Most had navigated the waves of politics and policies by responding to national organizations, state departments of education, and surrounding school districts. The universities integrated the recommendations of national organizations such as NCATE and ELLC, the mandates of state departments of education, the expectations of local school districts, and the cooperation of university faculty members. It is noteworthy that each university was able to incorporate these necessary components to varying degrees—some more successfully than others. The more effectively a university was able to merge these competing demands, the more likely it was that its change was more profound and its program was more successful. The more successful universities aligned their program features to these actions. When these steps are followed, it is more likely that deep structural change will occur, which in turn will lead to a quality school leader internship program.

Thus, we propose a three-dimensional model of change for developing and implementing a school leader internship: one dimension is the level of authority of the people in the partnership, such as the people at the state, university, and district; another dimension is the depth of change ranging from technical to adaptive; and a third dimension is time.

CONCLUSIONS AND IMPLICATIONS

This study supported the existing research of SREB (Fry, Bottom, & O’Neill, 2005), which found that some universities were doing what they could to make their old courses conform to the standards, whereas others experienced deeper adaptive change. The universities with a course-driven structure implemented technical changes with more field experience during their courses. The universities with the deeper adaptive changes designed the internship at the core of their programs with a full year internship.

Figure 1. Model for Developing and Implementing the School Leader Internship.

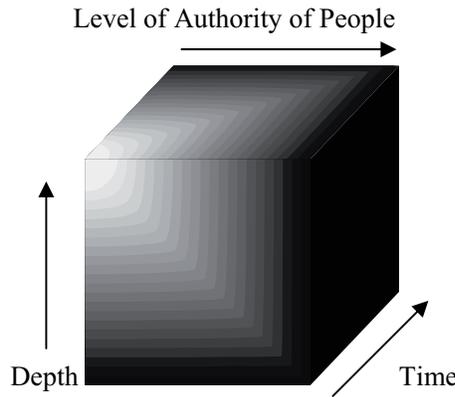


Table 15. Directions for Riding the Political Waves of the School Leader Internship.

(1) The state or accreditation board sets the guidelines or mandates the redesign of school leader preparation programs to include an authentic internship	→	(2) From this point the university department head and staff are the key players, who initiate the plan for development	→	(3) The university forms a partnership with the surrounding school districts.
(6) As the program is developed, publish news articles of its development via multiple venues ↓	←	(5) As these experiences occur, the partnership meets to compile a common set of beliefs and desired support structures, which leads to the development of a shared vision	←	(4) The partnership activities should contain exploratory experiences, such as reading current research on leadership preparation, attending professional development, visiting other partnerships
(7) Others outside the partnership are surveyed for their viewpoints of the process and program development	→	(8) The partnership creates the program and supporting resources and policies	→	(9) The partnership communicates and lobbies to the state for needed support ↓
(12) Provide time to achieve deep structural change as the program is adjusted.	←	(11) Mentors are trained and carefully matched with candidates; and	←	(10) During implementation, informational meetings take place with those in the school districts and community

Of the universities studied, only one had all the components necessary for deep structural reform: a completely redesigned, standards-based program that required a one-year, full time internship at three different sites (elementary, middle and high school), financial support from the state for teacher sabbatical leave, a federal grant for teacher tuition, cooperation from local school districts and collaboration from district superintendents, and supervision/evaluation by university faculty who were current or retired practitioners. Another university also had a standards-based program that required a one-year, full time internship at three different sites (elementary, middle and high school), financial support from the surrounding school districts

for teacher sabbatical leave, and supervision/evaluation by a former school administrator. It was modified continuously through regular feedback from cooperating school districts. The other universities had varying degrees of the components necessary to achieve deep structural change, and continuous change guided by feedback from the school districts seemed to be the norm.

Although all of the universities interviewed had been identified as having successful school leader preparation programs with excellent internships, none were identified as exemplary. In fact, as stated earlier, one expert commented that this phenomenon has not been in existence long enough to have data on the graduates of excellent programs. Hall and Hord (2006) asserted that deep change requires a timeline of at least five to eight years. Change does not occur in a single event (Hall & Hord, 2006); change occurs on a continuum, at many levels, and may be more substantive over time.

The redesign movement is still relatively young to derive substantial results of its impact on quality school leadership. However, as the present study indicated, there are still many political and policy waves to navigate. Continuing research is needed to ensure that school leadership preparation will be successful in producing the quality leaders we need to improve our schools.

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Navigating the Political and Legal Ramifications of Intelligent Design

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President George W. Bush caught the attention of the media in 2005 with a comment suggesting that intelligent design should be taught in public school science classes (Associated Press, 2005). Although the statement made by Bush may not have been as strongly advocating intelligent design as the media reported (Shermer, 2006a), the sensitivity of the issue was evident in the attention received. In fact, political hopefuls who want to tap into the Christian fundamentalist base have often made comments stating their support for intelligent design in the classroom (Karamargin, 2005; Stutz, 2006). These statements in favor of intelligent design occur despite an unambiguous ruling against the scientific merits of this creation hypothesis in the *Kitzmiller et al. v. Dover* (2005) federal court case. Despite the clear decision in this case, along with a similar precedent in *Edwards v. Aguillard* (1987), the political and religious characteristics of American culture makes community concerns likely. What does a school administrator need to know about intelligent design and evolution? Why has there historically been such a strong religious reaction against evolution? How can an administrator navigate the political and legal issues of intelligent design? The purpose of this paper is to focus on these questions by looking at the basic tenets of intelligent design and evolution, exploring religious and political objections to evolution, and making recommendations for handling the social and legal issues involved.

INTELLIGENT DESIGN AND EVOLUTION

Intelligent Design. The belief that the earth, and the organisms on it, present evidence of a creator has a long history. One of the most commonly cited early sources advocating intelligent design was Paley (1820), who wrote a book titled *Natural Theology* nearly two centuries ago. Paley described an individual walking through a field and finding a watch. The craftsmanship and fine inner working led an interested person to believe that the watch was not made by accident, but had been created through the process of a designer who arranged the materials for an intended purpose (Paley 1820). These tenets are similar to the ones in the intelligent design movement of today.

The leaders of the intelligent design movement state unequivocally that they are not part of the creationist movement of prior years (Dewolf, West, Luskin, & Witt, 2006). Creationist proponents attempted to legislate equal time for a literal interpretation of the Biblical origins story, thus there was a strong emphasis on religious faith. Intelligent design leaders promise an adherence to science. In fact, intelligent design does not deny many of the discoveries of material evolution, but they do take exception regarding the interpretation of the data. Where material evolutionists see natural processes, intelligent design adherents see processes guided by a supernatural power.

The intelligent design movement focuses on three fundamental concepts. These are general objections to the conclusions of material evolution and intelligent design beliefs focusing on irreducible complexity and a fine-tuned universe. The major concept is that of irreducible complexity. Proponents of the intelligent design movement assert that there are features in

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many organisms that cannot be explained by evolution because of the complexity involved, and any component of the design being removed would make the structure biologically worthless (Behe, 1996). Thus, the slow process of evolution is believed to be inadequate for the development of many complex features. Examples of organs that are considered irreducibly complex include the eyes of mammals, and flagellum on some microorganisms. These structures, intelligent design proponents assert, do no good partially developed, as would be required to evolve through evolution.

Material Evolution. Evolution is the cornerstone of biology. Most scientists believe, as stated famously by Dobzhansky (1973), that “nothing in biology makes sense except in light of evolution” (p. 125). The importance of evolution to the fundamental understanding of biology is made clear by a study that found 93% of biologists are evolutionists, and almost everyone in the prestigious National Academy of Sciences meet this characteristic (Larson & Witham, 1998).

Evolutionary theory states that all living things evolved over time from a common ancestor. Darwin (1889) suggested that natural selection, along with long periods of time, brought about variety and speciation. Natural selection may be described as the stresses of the environment that favor some traits over others in the fight for survival. The traits that are beneficial (aid in survival and reproduction) are retained, and characteristics that are detrimental are eliminated through death before adequate reproductive efforts occur. The slow change of the environment through time, and the competition for particular niches, fundamentally change organisms. The key to natural selection is long periods of time and selective pressures.

Evolutionary theory has the convergent support of multiple scientific disciplines. Some examples of this evidence include geology, which indicates a time frame that enables evolution to occur; genetics, which provides support in DNA changes through a variety of mechanisms; anthropology, which provides evidence through fossilized remains of earlier organisms, and many others. Medicine, a discipline that most Western societies value, relies on evolutionary theory to better understand the impact of drugs. Evolutionary theory has proven reliable based upon evidence both within and outside biology. There are few tenets of science that are as strong (Shermer, 2006a). Despite this interdisciplinary support, evolution is considered a politically shaky subject.

RELIGIOUS AND POLITICAL OBJECTIONS TO EVOLUTION

A public school administrator must be aware of the religious and political objections to evolution. Although scientific theoretical foundations and legal precedents are clear, there are likely to be questions within school communities regarding Darwinism. Why do these objections occur?

Recent surveys have indicated that 64% of Americans believe that humans were created directly by God, and 45% of those surveyed denied evolution (Harris Poll, 2005). These results are likely due to the influence of American culture, which has long held religious objections to evolution (Numbers, 1998). In fact, international polls suggest that Americans are one of the least likely Western countries to agree with evolutionary theory, ranking the United States in next to last place, with only Turkey having more dissenters of Darwinism (Owen, 2006). There are several proximal reasons for this phenomenon, but they fall into the major tenets of religious and political ideology (Owen, 2006; Shermer, 2006a).

There are many religions, or groups within religions, that recognize the evidence of evolution. In fact, the Catholic Church was known for its acceptance of evolution during the tenure of Pope John Paul II (Gould, 1998), and many scientists have beliefs that are both reli-

gious and scientific (Ruse, 2006). However, there are many individuals who find their faith incompatible with evolution, and as such, oppose the materialistic nature that is the foundation of evolutionary theory. The main religious reasons in opposition to Darwinism are that it questions religious tenets regarding creation, and as such, suggests the fallibility of faith in general (Shermer, 2006a; Dembski, 1999).

The creation stories of the Bible, if interpreted literally, have been questioned by academicians for decades. The six day creation of the world less than 10,000 years ago has no support within scientific circles, despite historical efforts of some religious leaders to justify geographical and fossil structures as a part of the Noachian flood (Numbers, 1992; Ham, Snelling, & Wieland, 1990). The evidence against a literal interpretation of Biblical creation has convinced many Christians of the precepts of evolution, but a guiding hand in the process provides comfort that humans were not the result of blind chance. An intelligent designer suggests a purpose for existence. This may not be supportive of an inerrant view of Christian scripture, but it is a reasonable compromise with science (Dembski, 1999).

An intelligent designer in nature not only provides evidence of a plan for human existence, but concurrently, suggests a scriptural moral foundation for behavior. Christian concerns about immoral behavior based upon a realization among mankind that their creation was accidental has been a consistent concern (Dembski, 1999), expressed by politician Tom Delay after the school shooting in Columbine as follows: “Our school systems teach our children that they are nothing but glorified apes who have evolutionized out of some primordial soup of mud, by teaching evolution as fact” (Drum, 2006). This is a concern for Christians. If science is taught, and it denies the power of God, then morality will decline.

Along with religious concerns, intelligent design has become a political issue among conservatives. Intelligent design proponents, failing to make any significant gains in science, have created a campaign to win the approval of politicians and society in general. The opinion polls and political quotes mentioned previously suggest that they are winning this battle, although there are instances where proponents of intelligent design at the local level have been voted out of their positions. In Dover, Pennsylvania, incumbents who had supported the approved policy to teach intelligent design along with evolution in the science classroom were defeated in the next election (Sherriff, 2005), prompting threats of God’s wrath from Christian broadcaster Pat Robertson (People for the American Way, 2005). The political right, which focuses on a fundamentalist Christian base, publicly expresses dismay that intelligent design is not taught in our public school science classrooms (Karamargin, 2005).

Clearly, intelligent design proponents utilize political means to further their cause. Although there are few studies regarding intelligent design within scientific journals, proponents have written many books regarding their assertions. Wells (2006) recently published *The Politically Incorrect Guide to Intelligent Design and Evolution*, which was designed for the religious layman. The term “politically incorrect” is a conservative term designed to appeal to this group, and interestingly, it is misleading. In a society that has already accepted religious precepts regarding evolution, and the success of intelligent design proponents in getting politicians to espouse the merits of their philosophy, intelligent design has become a term of political correctness. However, science is not a democratic enterprise. Scientists search for truth based upon material evidence, and as such, do not go to the election booth to determine what is considered truth. Either there is evidence for a hypothesis, or there is not. Intelligent design proponents have spent considerable time attacking evolution and promoting their beliefs, but they have not provided the evidence needed to be considered science.

EPISTEMOLOGICAL ISSUES OF SCIENCE AND FAITH

An administrator handling the political and legal ramification of intelligent design must understand the fundamental epistemological differences between science and faith. Both intelligent design proponents and opponents recognize the importance of epistemology, or how we know what we know, in this debate (Pearcey, 2006; Shermer, 2000). Traditionally, science has required hypotheses testable by empirical evidence. The role of supernatural influences in nature, or the world in general, is generally considered beyond scientific measurement (Clark, 2006). Intelligent design becomes a hypothesis based upon a lack of data. Any gaps in scientific knowledge regarding evolution become evidence of design for intelligent design advocates (Miller, 1999).

The proponents of intelligent design have found many examples of gaps and disagreements regarding the mechanisms of evolution. Scientists would agree that these gaps exist. The difference occurs in the explanation. Intelligent design proponents explain the gaps as a place where an intelligent designer interfered and brought about speciation or creation. A scientist would suggest that better evidence may provide an answer in the future. Science closes gaps, as exhibited in the Dover case by scientific answers to areas of claimed irreducible complexity in immune systems and flagellums (*Kitzmiller et al. v. Dover Area School District*, 2005). These answers are recent, and they provided solutions to biologically complex problems that intelligent design proponents asserted were irreducible.

Science provides tentative natural solutions based on testable evidence (*McLean v. Arkansas*, 1982). An intelligent designer, as a supernatural entity, does not meet the criteria of a natural solution. This is a problem recognized by the proponents of intelligent design. The intelligent design movement is an attempt to change the definition of science to include supernatural explanations (Dembski, 1999), which precludes the ability to generalize and test. How does a scientist test an unknown power using unknown means to accomplish unpredictable outcomes? Isaac Newton, Christian and great mathematician, could not understand the subtle aspects of planetary orbit. His equations did not precisely predict the orbits; therefore, he stated that God interfered on occasion to ensure that the planets remained along their proper path. This was good enough for centuries, but Albert Einstein understood, and demonstrated, that natural laws accounted for Newton's dilemma (Bryson, 2003). Claims for supernatural interference in nature may be an easy way out, but it is not science.

Therefore, intelligent design proponents are not just arguing for equal time for their creation hypothesis, but equal consideration for supernatural interference in the universe (Beckwith, 2006; Dembski, 1999). A naturalistic view of the world does not acknowledge miracles, or even more importantly, God. A naturalistic view does not necessarily disprove God, it only makes the idea of a supernatural entity irrelevant. Instead of a natural philosophy in science, intelligent design proponents want consideration for the supernatural as explanatory of world events (Meyer, 2000). Behe (1996) is amazed by the flagellum on a microorganism, but God doing it explains the problem, even if it cannot be proven. If something is considered irreducibly complex by natural standards, than supernatural interference is the answer.

If supernatural influence exists in the natural world, then it can be used to create an acceptance of Biblical tenets. Dembski (1999) asserted that many apparently natural designs may have supernatural origins, and young-earth creationists, although unwilling to accept as much natural science as intelligent design proponents, have recognized implications in this hypothesis (Ross & Nelson, 2006). If a designer is able to interfere in nature throughout

history, what prevents a designer from creating the earth 6,000 years ago and making it look ancient?

The reliance on evidence causes scientists to dismiss the religious concerns of Christians regarding evolution. The Bible may claim a different beginning than evidence suggests, but claims of inerrancy must have empirical support. Evolution has support from many disciplines. A scientist may be a Christian, but faith must be discounted in order to focus on the data. Scientists may be biased in favor of a particular hypothesis, but the conclusions must be based upon the evidence.

Gould (1999) suggested that there is no conflict between religions and science, each focusing upon a unique role in the lives of individuals. Science provides answers for the natural world, and religion provides for the spiritual life. This idea, termed non-overlapping magisteria, seems to work if the individual does not focus too clearly on the claims of each domain; however, science clearly makes claims that refute Biblical accounts, and these must be reinterpreted to account for science. Otherwise, religion makes assertions that contradict science, and there must be a way for this to be conciliated.

Shermer (2006b) has addressed the issue of science and religious conflict by asserting that evolution supports Christianity better than creation beliefs. He stated that creationism limits God, provides a weaker explanation for moral beliefs, and provides a weaker model for economics than evolution. Although Shermer's (2006b) argument may have some merit, it fails to address the central conflict of undirected material evolution. Miller (1999) extended upon this argument. He opined, as both a scientist and Christian, that a world requiring miraculous intervention by God is religiously and scientifically wrong. God would design a perfect world that would not require supernatural intervention, and creating a model that is based on interference, as intelligent design does, is sacrilegious.

The intelligent design movement itself is an attempt to bridge religious and scientific tenets. Intelligent design proponents are willing to acknowledge the evidence accumulated supporting much of Darwinian evolution, but these individuals want science to consider supernaturalism in the natural world. A worldview that acknowledges the occasional event that falls outside the purview of natural laws is important for Christianity. If natural laws are all there is, even if these were put in motion by God, then the Biblical stories of the virgin birth, resurrection of Jesus, and other miracles become a sham (Dembski, 1999).

Faith is clearly an important part of American society. The majority of individuals in the United States consider themselves religious, and peripheral to these beliefs have been initiatives to lend further acceptability to faith. Faith, however, is belief without evidence, and science is belief based upon evidence. Faith has provided hope and interaction with similar believers. Science has provided advances in medicine, technology, and an understanding of the earth's history. Providing for a supernatural designer within evolution relies on faith, and a scientific method that allows for a solution that "God did it" is worthless, and in America, is unconstitutional (*Kitzmiller et al. v. Dover*, 2005).

CONCLUSION

The legal issues in intelligent design are clear: There is a federal court precedent that called the attempt to make this hypothesis part of a science class "breathhtakingly inane" (*Kitzmiller et al. v. Dover Area School District*, 2005). Although this court case does not necessarily have legal implications outside of the areas being served (Dewolf et al., 2006), it is likely to serve as a reference and precedent to other cases. The political issues create further concerns for an administrator in public schools. Discussing honestly and intelligently the

issues helps to create a level of credibility for school leaders. In order to address these issues, the administrator should attend to three primary issues.

First, an understanding of the court cases regarding intelligent design and creationism is important in explaining to community members the legal and constitutional reasons for adherence to evolutionary theory. Along with the *Kitzmiller* (2005) case, attempts to develop policies promoting creationism were found unconstitutional in *Edwards v. Aguillard* (1987). Creationism clearly promotes a Christian religiosity, and Judge Jones in *Kitzmiller* (2005) ruled similarly (Dewolf et al., 2006). The United States was built, in part, around freedom of and freedom from religion. The government is not in the business of religion. Any attempt to promote a personal faith within public schools is unconstitutional.

Second, an explanation of attempts to reconcile science and religion may help community members who struggle with this issue. Gould (1999) adhered to non-overlapping magisteria, which separates science as the best means to understand the material world and religion as the expert on the spiritual world. Sherman (2006b) understood evolution as having a strong theological component that explains the nature of God in a fundamentally more accurate way than creationism.

Third, an explanation of the epistemological issues may help others understand the difference. Judge Jones wrote that intelligent design was not science because it invoked the supernatural (*Kitzmiller et al. v. Dover Area School District*, 2005). Dewolf et al. (2006) took offense to this assertion, stating that the judge should not “arrogate to himself the responsibility of deciding what constitutes science; that is a far more difficult question that should be left to scientists and scholars, not the courts” (p. 27). The judge, however, simply reflected the epistemology of the science community. Science has already decided this issue: Empirical evidence, which can only be determined through natural means, constitutes science (Shermer, 2006a).

A public school administrator will likely have to handle concerns regarding intelligent design, evolution, and science. The political and cultural climate is not in agreement with the courts and scientific epistemology. However, understanding these issues may help in handling and understanding the issues involved.

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The Impact of the No Child Left Behind Act on Administrative Morale

John W. Hunt

INTRODUCTION

Certainly, the impact of the No Child Left Behind Act (NCLB) on teacher and administrative morale is one area closely related to the culture of schools and educational practices worthy of examination. Recent research by the author of this article (Hunt, 2006) has suggested that the failure of public school districts to make Adequate Yearly Progress (AYP) under the auspices of NCLB has led to a modification in the direction and scope of both school improvement efforts and staff development activities at the local school level. Specifically, those schools failing to make AYP have narrowed both their school improvement and staff development efforts to the subject areas in which their schools are failing to meet NCLB standards. Mathematics and reading are now the areas of focus. Not only is the failure to make AYP having a narrowing effect upon school improvement and staff development, but also on the nature of the curriculum offered in failing schools. A study conducted by the Center on Education Policy found a definite constriction of elementary school curricula in response to NCLB. The study, which included 299 school districts from all 50 states, concluded,

Seventy-one percent of the school districts we surveyed reported they have reduced elementary school instructional time in at least one other subject to make more time for reading and mathematics—the subjects tested for NCLB. In some case study districts, struggling students receive double periods of reading and math, or both—sometimes missing certain subjects altogether. Some officials in case study districts view this extra time for reading and math as necessary to help low-achieving students catch up. Others feel that this practice has shortchanged students from learning important subjects, squelched creativity in teaching and learning, or diminished activities that might keep children interested in school. (Center on Education Policy, 2006, p. 2)

One can see some element of discontent with NCLB beginning to emerge from the research just cited. Although discontent with the AYP aspects of NCLB is not universal among educators, a significant number of teachers and educators are struggling with the concept. This mixed view of the issue was also discerned in another major study reported in 2004 by researchers working in conjunction with the Civil Rights Project at Harvard University (Sunderman, Tracey, Kim & Orfield, 2004). These scholars surveyed the teachers of Fresno, California and Richmond, Virginia regarding their perceptions regarding NCLB. The response rate was 77.4% and included teachers from schools making AYP and from those needing to improve. The researchers stated,

In Richmond, we asked teachers “what overall effect do you think NCLB is having on your school?” Teachers in Richmond were divided about the overall effect of the law, perhaps reflecting the complexity of the law. Close to half the teachers believed that the overall impact of NCLB was negative with 45.7% of the teachers in im-

provement schools and 47.3% in adequate schools responding negatively. But substantial numbers of teachers also thought the overall effect was positive, with 36.4% of teachers in improvement schools and 39.4% of teachers in adequate progress schools responding positively. Few believed that NCLB was having no effect. (p. 28)

These researchers found very similar findings in Fresno.

Another NCLB issue that is beginning to generate morale issues among educators is that of “highly qualified” teachers. By the end of the 2005–2006 school year, all teachers of core academic subjects were to have been deemed highly qualified according to federally approved state standards (Porter-Magee, 2004, p. 28). Many states are still struggling with this highly qualified teacher issue. Under NCLB, those districts with teachers deemed to be less than highly qualified were to begin facing sanctions after 2006. Even prior to 2006, one of the provisions of NCLB was that parents had to be notified, after four consecutive weeks of instruction, if their children were being taught by teachers considered to be less than highly qualified.

In a recent study by two researchers from the Education Commission of the States (Wanker & Christie, 2005), they found that, “. . . a number of NCLB requirements are proving particularly challenging for states. For example, few states are on track to implement high quality staff development for all teachers; only 10 states appear fully on track to ensuring that both new and veteran teachers are highly qualified to teach in their subject area. . .” (p. 60). Wanker and Christie went on to say, “ECS analysis of data from March 2003 to 2004 indicates that, although states have passed a number of policies relating to defining a ‘highly qualified teacher’ and addressing subject matter competency, many states have struggled to address the measurable objective requirements in this category” (p. 65). Wanker & Christie further clarified this statement by positing,

The issues and challenges that face states regarding the highly qualified teacher category include (a) ‘certified’ versus ‘qualified’—NCLB forces states to confront the fact that a previously ‘certified’ teacher is not necessarily a ‘highly qualified’ teacher, which may provoke redesign or certification procedures and ways for teaching teachers already in the classroom. (Wanker & Christie, 2005, p. 65)

ANALYSIS

It appears that two aspects of NCLB—failure of students to make AYP and failure of teachers to earn the designation “highly qualified”—can have a negative impact upon teacher and administrator morale. Students, teachers, and administrators alike suffer morale problems in lower-performing schools. One failure seems to lead to another, and soon, those schools are caught in a downward spiral of emotions. Nichols (2005) addressed this phenomenon when he stated, “So, once a school has been labeled failing, the children of that school belong to a failure.

Leaving that school may not be a real option for many of the children, so they are stuck in an inferior school. Further, each such labeling depressed the job quality of the teachers and administrators in those schools” (p. 177). In a very dramatic fashion, Popham (2005) addressed this issue by saying,

Although I’ve never been a death-row inmate awaiting execution, I can imagine how such prisoners must feel, as they watch their attorneys exhaust, one by one, all eligible appeals. Even though public school educators in the United States may not real-

ize it, they are now facing a similar end-of-the-line scenario with respect to adequate yearly progress (AYP), the accountability cornerstone of the No Child Left Behind Act (NCLB). (p. 85)

A number of authors claim that student achievement is directly influenced by the qualifications of the teachers providing instruction in school districts. Some of these authors have decried the impact of socioeconomic conditions on the ability of some districts to produce high levels of academic achievement. For example, the following claim was made in one article,

One of these problems begins with the acknowledgement that high income districts receive many more applications for each position than do low-income districts. Another is that in districts with schools that serve families at both ends of the socioeconomic scale, teachers tend to seek transfers from schools with large numbers of children from low-income families to those with a higher percentage of children from wealthier families. (Burback & Butler, 2005, p. 26)

Darling Hammond (2004, p. 1939) found in her research that “Students in high-minority and low income schools are several times more likely to have underqualified teachers as those in more affluent schools.”

The previously mentioned research by the author of this paper (Hunt, 2006) seems to confirm the link between student achievement and teacher qualifications. Twenty-five percent of surveyed Illinois school districts failing to make AYP also reported having less than highly qualified teachers as employees. The percentage of highly qualified teachers was substantially higher in those districts making AYP.

Failure of a school to make AYP has an influence upon the morale of the teaching staff and the administrators in that particular building. All involved begin to feel the pressure for enhanced academic performance on the part of their students. Gone is the freedom and spontaneity that both teachers and administrators felt prior to being designated a failing school. This feeling is exacerbated to some degree by a feeling of hopelessness on the part of some teachers and administrators. Many educators would agree with Mathis (2005) who is convinced that our educational problems are social in nature and that the solution must expand beyond the individual school building, or even a school district, and addressed this by stating,

As any inner-city teacher can tell us (and many rural and suburban teachers as well), to pretend that schools can single-handedly overcome a lifetime of deprivation through a “whole-school action plan” or through rigorous and intensive adherence to a particular reading program is more an exercise in ritualistic magic than a realistic solution to social, economic, and personal problems. (p. 591)

Mathis (2005) later reinforced this theme by concluding, “Six hours of instruction a day for 180 days a year cannot overcome the effects of a deprived and impoverished home environment for 18 hours a day, 365 days a year” (p. 592).

IMPACT ON ADMINISTRATIVE PRACTICES

The tendency for the failure to make AYP to restrict and narrow both school improvement and staff development efforts has already been addressed. This phenomenon was also targeted in the report of research done in which selected successful and failing schools in the Chicago Public Schools were compared. The researchers found that higher and lower per-

forming schools responded differently to assessment results when they reported, “ More specifically, we argue that incentives in probation schools were focused on sanctions rather than rewards and led to a superficial response based on external threats while high-performing schools responded in ways that were closer to the intentions of policy makers.” (Diamond & Spillane, 2004, p. 1157)

Later, these same authors went on to say,

In probation schools, responses focus narrowly on complying with policy demands, focusing on improving the performance of certain students, within benchmark grades, and in certain subject areas. In contrast, higher performing schools emphasize enhancing the performance of all students regardless of grade level and across all subject areas. (Diamond & Spillane, 2004, p. 1169)

In this situation, the researchers determined that administrators in probation schools had decided to focus improvement efforts upon those students who were just below the required levels for meeting academic expectations. In other words, strategies were designed for those considered to be within “striking distance” of success. Those too far below the academic mark were essentially ignored in this process. School improvement efforts were devoted nearly exclusively to those subjects tested for AYP purposes. In the previously cited research conducted by the author of this article (Hunt, 2006), anecdotal comments by the superintendents surveyed were replete with comments regarding their feelings that they were being forced to narrow the focus of their school improvement and staff development processes. The common lament was that their districts had been forced to shift such efforts almost entirely to mathematics, reading, and test-taking skills. These same superintendents stated that their jobs had become more difficult, and subsequently, their morale had been lowered by such changes. One of the survey questions addressed this very issue. When asked about the extent to which the failure to make AYP had impacted their jobs, just over 46% of the superintendents reported a moderate impact and another 24% reported a significant impact. These superintendents represented 63 school districts of all types and sizes throughout Illinois.

The actions taken by the administrators in the selected probationary schools in Chicago were certainly not unique. Administrators across the nation are facing similar dilemmas on a daily basis. For example, many districts that qualify for Title I dollars have some discretion regarding how to distribute those funds within their districts. Historically, it has not been unusual for districts to allocate a bulk of their funds to the elementary buildings within their districts, even though their middle schools and high schools may also be eligible for funds. The rationale behind this type of allocation was that it made sense to attempt to remediate student academic deficits while the students were still young and these deficits were still relatively small.

One evolving aspect of NCLB, however, is that the middle schools and high schools within a district are often the first to fail to make AYP. It would seem to be logical to shift a portion of the Title I funding in a district to those secondary buildings to address the academic deficits that are occurring. However, the sanctions for failing to make AYP are significantly more severe for Title I buildings than for non-Title I buildings. Therefore, many administrators have decided against shifting those funds to their failing buildings.

An additional major area in which NCLB is influencing administrative morale, and consequently, administrative practices, is in the “highly qualified” arena. One factor that has led to confusion and frustration regarding the qualifications of teachers is that under federal

NCLB guidelines, each state is allowed to establish its own requirements pertaining to the highly qualified issue. Porter-Magee (2004) stated,

. . .one of the biggest loopholes in the highly qualified teacher provision includes a rule that governs how states can prove that existing teachers have demonstrated subject area mastery. Known as the High Objective Uniform State Standard of Evaluation (HOUSSE) provision, it says the states may decide for themselves what existing teachers must do to demonstrate mastery in the subjects they teach. Because the federal government has not articulated acceptable minimum HOUSSE standards, many states have opted to craft standards that yield the greatest number of qualified teachers, rather than risk the political backlash of admitting that some percentage of existing teachers are not highly qualified by NCLB's rigorous definition. (p.28)

Another critic of the HOUSSE approach to qualifying veteran teachers took state departments of education and local school districts to task, when she stated,

Rather than persuade teachers to work toward the public good, state education departments and local districts have validated teachers' indignation. Instead of enlisting the backing of the nation's great teachers and telling them that this mandate represents a genuine effort to identify weak teachers and help them get better, school principals and bureaucracies in many states now find themselves counting up points teachers earned from heading an academic club, mentoring a new teacher, submitting a portfolio, taking an educational technology course, or learning how to better manage the classroom. None of these options will provide objective evidence of teachers' subject matter knowledge, and all will most surely leave the weak teacher safely ensconced in the classroom. (Walsh, 2004, p. 24)

Administrators are busy people. A great majority of building level and district administrators are also excellent professionals, taking pride in their work. When they become involved in the "busy work" of helping qualify teachers through HOUSSE procedures, many are frustrated by the general ethics of this process as well as the time they perceived to have been wasted that could have been spent on more useful educational purposes.

In spite of the supposed flexibility presented to states via the HOUSSE approach to teacher qualifications, the superintendents in the previously cited survey (Hunt, 2006) indicated that the highly qualified issue was beginning to wear on the morale of some teachers and building level administrators. In the case of the less than highly qualified teachers, they are not only in a position of worrying about the academic success of their students, but they are also facing the stress of attempting to become highly qualified. It is not unusual for districts with students failing to make AYP to institute major staff development efforts, in the hope of better addressing the student achievement issues. At the same time, the less than highly qualified teachers must also be involved in coursework or professional development activities related to their qualification deficiencies. Building level administrators are those individuals initially facing the brunt of the teacher stress and are the individuals who must do whatever they can to help ameliorate the feelings of teacher anxiety.

Another impact upon building level administrators is the obligation for the district to notify the parents if their children are being taught by teachers judged to be less than highly qualified. In actual fact, the notification letters, which must be sent out after the fourth consecutive week in this scenario, are often generated by building level administrators. Although the letters themselves are fairly "boilerplate" in nature, the act of stating that specific teachers

are not highly qualified is not routine for building level administrators. In many cases, these administrators sincerely believe that the teachers they are identifying to parents are actually excellent teachers. However, if they do not meet the outlined standards, they are not highly qualified. When there are parental concerns regarding these letters, the building level administrators are the individuals typically charged with responding to these parental concerns.

A third manner in which administrative morale is influenced by the highly qualified issue is in the area of recruiting and hiring new teachers. Typically, the largest areas of non-compliance in terms of finding highly qualified teachers are in the areas of special education, middle level education, and bilingual education. It has long been difficult to find a sufficient supply of qualified candidates, particularly in the areas of special and bilingual education. In the past, it was not unusual to employ teachers in those areas with the proviso that they would immediately begin working on permanent certification in the appropriate area. Many states would routinely grant provisional certification, often for a year, to such individuals. In some states, it was even permissible to employ teachers in high need areas without provisional certification. Now, in the era of NCLB and highly qualified teachers, provisional certification is somewhat moot. Principals are often placed in an untenable situation. On the one hand, they must fill special education, middle school, and bilingual positions, because they have students that must be taught. On the other hand, there are not enough highly qualified candidates available to fill the positions available. This situation is particularly acute in rural, urban, and lower-paying school districts.

CONCLUSIONS

It appears that NCLB, with its attendant AYP and highly qualified issues will be with us for the immediate future. With this in mind, what can and should building level administrators do to manage their morale issues, and those of their teachers, pertaining to these challenges? First, regardless of how they personally feel about the concept of AYP, administrators must work closely with their teachers to develop school improvement activities that will target the specific areas of deficit. At the present, the time spent complaining and fretting about NCLB is essentially wasted time. It will be more productive to develop activities that will help struggling students move forward academically. Administrators can set the tone in this area. To the extent that they can maintain a positive outward presence, teachers will also be positively influenced. Essentially, administrators can take a matter-of-fact approach to these issues, along with promoting other positive elements within their buildings. They can share the good news along with the bad. Although building leaders may be required to issue the dreaded letters regarding qualifications, they can also share with their parents, staff, and other constituents the many positive things transpiring within their buildings. Examples would be the gains of their students on nationally standardized tests, and NCLB measures, even with less than highly qualified teachers. They can inform their constituents of the successes of their schools' academic teams, the happenings in the talented and gifted programs, etc. A large volume of positive information of this nature can help dampen the negative image of the highly qualified issues.

In order to avoid the potentially negative impact that could result from a narrowing of the focus in the areas of school improvement activities, staff development, and curriculum offered, administrators must keep in mind that they have an adopted curriculum in their schools and districts. They should work hard and remain resolute as they work to protect a well-balanced curriculum. They should simultaneously work to ensure that the needs of all students

are addressed, not just those on the borderline of success. Administrators will need to continually remind teachers that this is not an “all or none” proposition.

Although obtaining highly qualified status through the HOUSSE approach has been decried by many, it is incumbent upon administrators to utilize this process. Building leaders must do all they can to facilitate the movement of their less than highly qualified teachers toward highly qualified status. Administrators can work hard to provide meaningful staff development and college course opportunities in convenient locations and at accessible times. By exerting some administrative influence over the process, administrators can help guarantee that HOUSSE activities are more than just busy work. Throughout this process, administrators must continually stress the positive aspects of doing the right thing. Such individuals may often feel that they are walking a fine line between being obstructionist and being helpful. Clearly, they must fall into the helpful category.

Finally, another way in which administrators can mitigate against negative changes in educational practices as a result of AYP issues is to form support groups. Administration can be a very lonely profession. Joining a support group can help administrators share their frustrations as well as their successes with professional colleagues. It is important for administrators to know that others are experiencing similar challenges in the era of NCLB. By sharing stories, ideas, and thoughts with like-minded progressive colleagues, administrators will be given encouragement and will come to understand that they should not, and cannot, be judged by the NCLB issue alone.

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The Emerging Sixty-Five Percent Instructional Expenditure Rule Public Policy: Will Student Performance Improve?

Timothy B. Jones, Wayne D. Bingham, and Sherion H. Jackson

The Sixty-Five Percent Instructional Expenditure Rule Public Policy has taken public school districts across the United States by storm. In just a few short years this expenditure model requiring that 65% of school district funds be spent on instruction has gone from a mere suggestion to a full blown adopted policy in many states and has been touted as a way of maximizing student academic achievement. In August, 2006, Texas was added to the list of states adopting the 65 Percent Rule policy.

Paraphrasing from Executive Order number RP47 dated August 22, 2005, Governor Perry stated:

WHEREAS, in order to maximize the academic achievement of Texas students, it is necessary to maximize the percentage of school funds that are directed toward instructional purposes; . . . NOW, THEREFORE, I, Rick Perry, Governor of Texas, by virtue of the power and authority vested in me by the Constitution and laws of the State of Texas, do hereby order the following: . . . *Reporting Indicators and Requirements*. The financial accountability and reporting system shall include an indicator establishing a requirement that 65 percent of school district funds be expended for instructional purposes as defined by the National Center for Education Statistics. (Perry, 2005)

In short, to maximize the academic achievement of Texas students, Texas schools have been directed by the Governor to spend 65% of school district funds for instructional purposes. The definition of instructional purposes utilized by the National Center for Education Statistics (2003) excludes any cost attributable to administration, plant operations and maintenance, food services, transportation, instructional support including libraries, teacher training and curriculum, and student support such as counselors and nurses.

Although the definition of instructional purposes, as mandated in the Executive Order, is stipulated by the National Center for Education Statistics; the 65 Percent Rule policy is not so stipulated. Rather, the 65 Percent Rule was first introduced in an article in the *Washington Post* by George Will (2005) entitled *One Man's Way to Better Schools*, and then in a policy statement from an organization called First Class Education. First Class Education (2005), founded by Overstock.com President and CEO Patrick M. Byrne, has called for all state governments in the United States, by 2008, to spend at least 65% of school district funds on instructional costs as defined by the National Center for Education Statistics. (First Class Education, 2005) To promote this rule, organizations began supporting the adoption of the 65 Percent Instructional Expenditure Rule Public Policy.

Specifically, First Class Education (2005) suggested that the implementation of the 65 Percent Rule would result in: a) an increase in the amount of money spent in the classroom without increasing taxes; b) a reduction in the amount of money spent on non-classroom ex-

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penditures such as athletics, teacher training and curriculum, student support such as nurses and counseling, instructional support such as libraries and librarians, food service, student transportation, and administration; hence, c) provide school children with a first class education resulting in higher student performance. Other organizations have also joined the 65% call. One such organization is Americans for Prosperity, who cited Texas Polling Data indicating an *overwhelming support* in Texas for the measure (Americans for Prosperity, 2005). Although polling data may be beneficial for politicians and interest group initiatives, it is not particularly helpful for public schools or legislators when it comes to policy decision making.

THE PROBLEM

In the case of the 65 Percent Rule, such polls do not address the obvious question: Will the 65 Percent Instructional Expenditure Rule improve student achievement in the state of Texas? This study attempts to answer this question by identifying any correlation between student performance or achievement and the instructional expenditure level of school district funds defined by the National Center for Education Statistics (2003). School boards and school administrators across Texas require reliable information concerning the impact of the 65 Percent Rule before implementing such an aggressive concept.

THE LITERATURE

The research literature surrounding the newly coined phrase “65 Percent Rule” is somewhat limited. Though there is much data on raising student achievement and learning in schools and funding allotted by Average Daily Attendance (ADA) and Average Yearly Progress (AYP), there is little data to tie learning directly to campus dollars, percentages of campus budgets, or student achievement on state or national tests. Most research in this area indicates resources, such as library time, free lunch programs, or number of counselors, correlate to higher academic test scores for students (Lance, Rodney and Hamilton-Pennell, 2005; Roper, 1996; Turner, 1999; Walters, 2005).

The Lance, et al., (2003) study examined 657 Illinois school libraries and gathered data on hours of operation, staff and activities, the media collection and educational technology, total library expenditures, and several types of library usage. Data analyses indicated statistically significant relationships between various dimensions of school libraries and appropriate indicators of academic achievement in Illinois.

A study by Turner (1999) determined the relationship between fifth grade state reading scores and per pupil expenditure. Data were collected and analyzed from a sample of 40 public schools in Georgia in the 1997-98 school year. Factors such as district enrollment, percentage of students receiving free and reduced lunch, percentage of total budget used for salaries and benefits, average years of teacher experience, and percentage of teachers with a master's degree or higher were also analyzed. Results indicated that there was only a moderate correlation between per pupil expenditure and fifth grade state reading scores. There was a high correlation between percentage of students receiving free and reduced lunch and fifth grade reading scores. There was, however, a very low correlation between percentage of total budget used for salaries and benefits and fifth grade state reading scores. The study researcher noted that one implication from this study might be that increasing school spending does not necessarily increase student achievement, and that targeting specific programs may lead to more significant academic gains.

A study by Roper (1996) examined the correlation between expenditures and student performance using fourth, seventh, and tenth grade students among the 127 public school districts of Alabama. The study utilized the Stanford Achievement Test to measure student performance. This project found that when homogeneous groups were compared, the instructional support expenditures indicated no significant relationship with achievement for any of the separate groups or for the state as a whole. In his findings, Roper indicated that the relationship between expenditures and achievement is a curvilinear, rather than linear relationship.

The Walters' study (2005) attempted to determine efficient allocation of school district financial resources for the delivery of educational services as related to performance outcomes for Arkansas public school students during the 2003–2004 school year. Although this research did find that high academic achieving school districts, compared to the other academic achievement levels, had the highest percent of net current expenditure for instruction, highest support service cost per student for instruction, lowest administrative cost per student, lowest transportation cost per student, and lowest expenditure per pupil cost. The study also found that high academic achieving school districts had the greatest number of students in average daily membership, lowest free and reduced lunch rate, and highest percent of Caucasian students when compared to districts of other achievement levels. (Lance, Rodney and Hamilton-Pennell, 2005; Roper, 1996; Turner, 1999; Walters, 2005).

According to Jonnson (2006), those supporting nationwide implementation of the 65 Percent Rule tend to focus on the issue of efficiency rather than program or demographic factors when it comes to contributions to student academic achievement. Jonnson noted that Patrick Byrne, of Overstock.com would like to see that public debate focuses on what we are spending our resources on and not whether we are spending more or less than in previous years. Furthermore, Byrne suggested that school districts continue to waste taxpayer money and complain about the sad plight of teachers and students (Jonnson, 2006). Through the 65 Percent Rule, Bryne's followers hope to promote a change in the average percent of dollars spent on direct instruction costs between 61.5% and 65% in Texas. This will provide an additional \$1.3 billion for classrooms (Will, 2005b).

In November 2005, Standard and Poor's completed a study on *The Issues and Implications of the "65 Percent Solution."* In this study, data were examined from nine states implementing mandates of some type using the 65 Percent Rule. The states examined by Standard and Poor's were Minnesota, Ohio, Louisiana, Texas, Kentucky, Florida, Kansas, Arizona, and Colorado. Further, the study utilized state testing data gathered in each individual state. Consequently, Texas Assessment of Knowledge and Skills (TAKS) data were utilized for the state of Texas.

Using a linear regression analysis of the data, the Standard and Poor's study revealed no positive correlation between instructional spending allocations and student performance. In fact, this study further documented "that there is no minimum instructional spending allocation that necessarily produces higher student achievement" (Standard and Poor's, 2005, p. 4). They further concluded "there is a lack of empirical evidence for mandating a uniform percentage spending threshold across all districts to raise student achievement" (p. 4).

THE PURPOSE OF THE STUDY

The purpose of this study was two-fold. First, to examine TAKS data extracted from Academic Excellence Indicator System (AEIS) reports in order to either confirm or dispel the findings of the Standard and Poor's study. Second, to further examine a second source, Scho-

lastic Aptitude Test (SAT) performance data, to offer decision-makers in Texas additional insights on student achievement in relationship to the 65 Percent Rule. TAKS data are an important source for identifying a correlation between instructional spending percentages and student performance in Texas public schools, but these researchers believe that one data source should not be the only reliable source for policy decisions; therefore, this project also examined SAT data. SAT data are particularly significant because every state utilizes SAT data and hence provides a normalized data source for comparison among states.

DATA AND DISCUSSION

This study focused specifically on Texas schools, which were also addressed in the Standard and Poor's study (2005), but in order to address Type I and Type II errors, both TAKS and SAT data were utilized in this study. Like the Standard and Poor's study, we utilized linear regression data analysis using a scatterplot for visual presentation. To normalize our sample, we included school districts in Texas having 2003–2004 AEIS data available, which included both TAKS student performance and SAT student performance. For a variety of reasons, not all school districts in Texas administer or utilize both TAKS and SAT tests. Therefore, the numbers of districts in our study, i.e. those utilizing both TAKS and SAT data, totaled 702 public, independent school districts within the 1031 Texas school district population. Our study utilized the percentage of total TAKS tests passed and Mean SAT scores for each district during 2003–2004 as reported in the district AEIS report.

The Relationship between Budget for Instruction and TAKS Performance

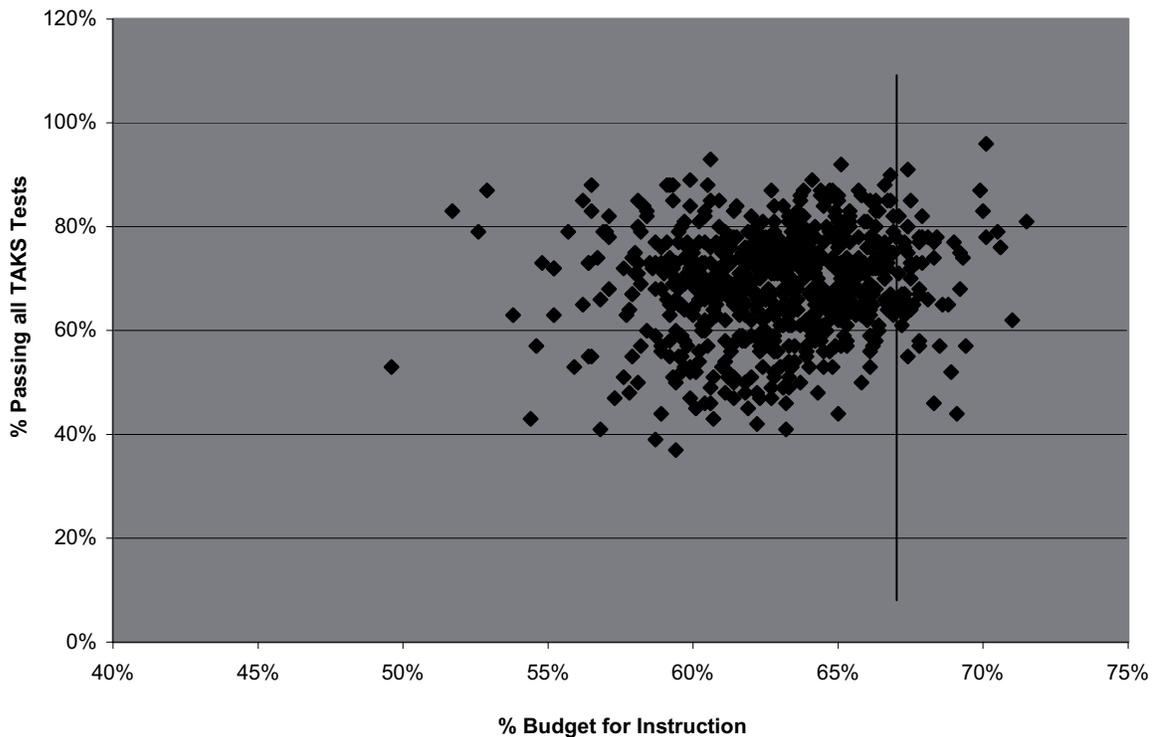
This study describes the relationship between the percentage of a school district budget allocated to instructional costs, as defined by the National Center for Education Statistics and two indicators of student academic achievement. The academic indicators are noted as percentage of students passing all sections of TAKS tests taken in the district and the district mean SAT score. From that data, a linear regression was calculated. This methodology allows the researchers to determine if there is a relationship between the two variables and, further, to determine the strength of the relationship. Ideally, by utilizing this statistical procedure, the relationship would be strong enough to allow one to predict the value of the dependent variable (academic achievement) when given the independent variable (percent of budget allocated to instruction).

Figure 1 illustrates the linear regression of TAKS data collected for the 702 public, independent districts and individual school district budgets for instruction. The R^2 value (0.0156) indicates no positive statistical correlation between percent budget for instruction and TAKS data.

The scatterplot in Figure 1 provides a clear illustration of the concept of there being no magic formula for student achievement at 65%. The scatterplot is divided into quartiles. Moving clockwise around the scatterplot, the upper right quartile holds those districts that consistently spend at or above the 65% level on instruction as defined by the National Center for Educational Statistics (2003) and have more than 72% TAKS student passing rate; the lower right quartile represents those districts that consistently spend at or above the 65% level on instruction but have less than a 72% TAKS student passing rate; the lower left quartile holds those districts with spending that has not generally met the 65% level and have lower than 72% TAKS passing rate; and the upper left quartile depicts districts with instructional spend-

ing of less than 65% but have a TAKS passing rate higher than 72%. For example, in the upper left quartile of the figure, the scatterplot actually shows 207 districts with an instructional budget below 65% and having more than 72% of their students passing all TAKS tests as compared to 101 districts in the upper right quartile budgeting 65% or more for instructional costs and falling below the 72% passing level. The same is true at lower total TAKS passing rates as well. The scatterplot further indicates that districts expending more than 65% have only a 14.3% chance of being in the higher quartile of spending and achievement when looking at student academic achievement, using the TAKS as an indicator.

Figure 1. TAKS Performance Compared to Budget for Instruction—2003–2004.

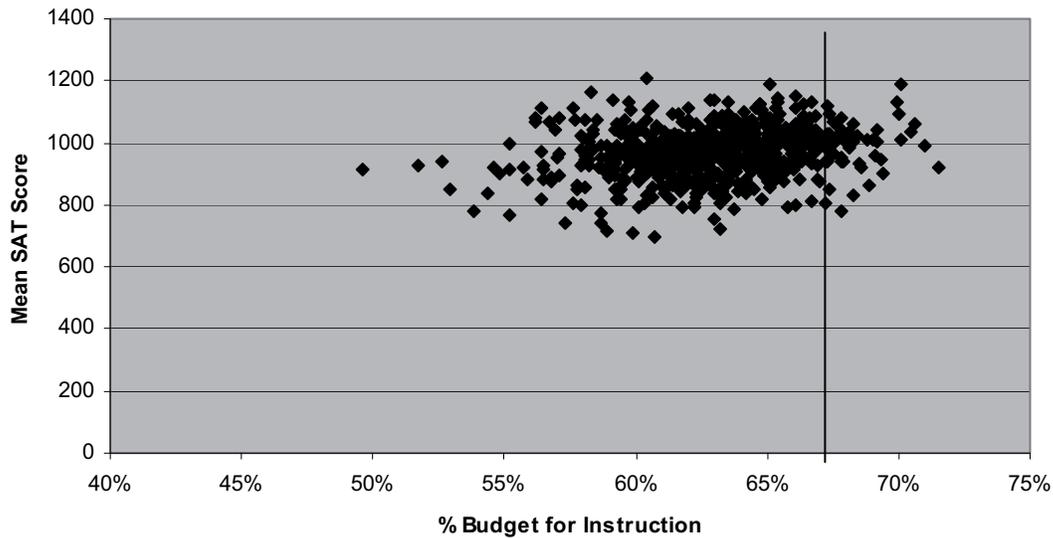


The Relationship between Budget for Instruction and SAT Performance

Figure 2 illustrates the linear regression of Mean SAT data and school district budget for instruction. This R^2 value (0.0587), as in TAKS data, indicates no positive statistical correlation between percent budget for instruction and Mean SAT scores.

Again, using the prior quartile divisions, the scatterplot data clearly indicate no significant relationship at the 65% budget level for Instructional costs using Mean SAT score. For example, the collected data document more school districts (94 districts) budgeting less than 65% on instruction had mean SAT scores of 1000 or above than did school districts spending more than 65% (61 districts). One hundred and forty districts spent more than 65% of the budget on instruction and still fell below the SAT score of 1000. Additionally, the school district with the highest Mean SAT score (higher than 1200) spent considerably less than 65% on instruction in the 2003–2004 fiscal year.

Figure 2. Mean SAT Score Compared to Budget for Instruction—2003–2004.



CONCLUSIONS AND DISCUSSION

Data analyzed in this study clearly indicate support for the conclusions of the Standard and Poor's Study. Additionally, data using a second source of student performance, Mean SAT scores, arrive at the same conclusion that the 65 Percent Rule is not an adequate indicator for, nor does it correlate with student academic achievement. Thus, we agree with the Standard and Poor's conclusion that empirical data do not exist in Texas to support the assertion that spending 65% of a school district budget on defined instructional costs will result in an increase in student performance and that according to other studies noted, there are many other factors, which greatly contribute to production of higher levels of student academic achievement. Further, data analysis concludes that an increase in any percentage of a school district budget attributable to instruction will not necessarily result in an increase in student performance. Additionally, we further agree that there is no uniformed or minimum instructional spending allocation that will necessarily improve student achievement.

Using the 65 Percent Rule standard or mandate as a dependent variable for prescribing improved student performance negates all other dynamics at play in successful school district operations. In fact, such a uniform standard trivializes the complex nature of the public educational systems across the United States and the task of educating individual children with individual needs. The policy also removes the contributions of stakeholders and returns campuses and districts from site-based management to state and federal mandates. Clearly, neither all school children nor all school districts are alike; therefore, districts should not be mandated to spend a prescribed percentage of resources in a prescribed area based on a formula that is not relevant and does not enhance the individual needs of students and stakeholders within the district. Although global or national prescriptions are popular with politicians, businesses, and marketers, and may make great sound-bites for campaigns or initiatives, to suggest the 65

Percent Rule as a standard that will lead to improved student achievement is unfounded and unsupported by current research.

“Nationally, 61.3 percent of schools operating budgets are spent in the classroom. In Texas, 60.4 percent of school districts’ spending currently goes to classroom instruction . . .” (Government Affairs Home, 2006, ¶12). According to this study’s findings, it is not possible to predict whether or not student academic achievement will improve as the percentage of budget spent on instruction increases, as defined by the National Center for Education Statistics (2003). Humanistic factors such as socioeconomic conditions, demographics, individual needs, and program needs, all play an important role in educating students and may not respond to a mere rise of a percent or two in the instructional budget. Issues such as these, along with the decision as to what programs will be cut to rise to the 65% instructional expenditure level on school campuses will designate whether or not a district’s student academic achievement level will respond positively to the rise in the instructional expenditure budget. These issues are all elements to be considered in future research concerning what percentage of the budget should be allotted to designated expenditures. School district policy makers and state leaders might better serve their constituents by concentrating their time and efforts in other directions, which recognize the complexities associated with a quality education for every individual child in Texas and not on the percentage cost involved in instruction for any single district.

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School Board Presidents' Perspectives on Teacher Tenure: Implications for Professors of Educational Administration

Thomas A. Kersten and Susan J. Katz

Ever since the first teacher tenure law was enacted in New Jersey in 1909 (ECS, 1999), the efficacy of state teacher tenure laws has been a subject of debate among local, state, and federal stakeholders. This debate has intensified in recent years, particularly in Illinois, where reports have highlighted an almost non-existent tenured teacher dismissal rate at a time that research data have documented a direct link between effective teachers and increased student achievement (Tucker & Stronge, 2005; Stronge, 2002; Marzano, 2001; Fullen, 2001; Danielson & McGreal, 2000; Reeder, 2005a). As part of this discussion, inevitably questions have been raised about whether the historic reasons, which drove the development of teacher tenure legislation in the United States, are valid today and whether tenure laws have become impediments to school improvement, increased student achievement, and faculty supervision. Understanding both the historical basis of tenure and a variety of stakeholder perceptions of teacher tenure laws are important particularly for professors of educational administration who prepare public school leaders and key policymakers.

ROOTS OF TENURE

The development of state teacher tenure laws can be traced to the federal civil service legislation, which established the National Civil Service League through the Pendleton Act of 1883. In response to decades of patronage employment practices often linked to political and personal employment favoritism, this federal law was designed to employ and retain public employees on the basis of merit rather than political affiliation (Huvaere, 1997).

Even though public school educators were not included in Pendleton, during this same period, professional organizations such as the National Education Association (NEA) argued that public school teachers needed similar employment protections. In fact, in 1885, the NEA called for the establishment of teacher tenure, arguing that teachers needed similar civil service protection and initiated the Committee on Salaries, Tenure, and Pensions, which advocated for tenure protections (Huvaere, 1997).

The teacher tenure legislation debate continued for the next two decades as proponents and opponents alike presented their perspectives. Ultimately, in response to continuing employment abuses, New Jersey passed its landmark teacher tenure legislation in 1909 arguing that it would:

- Attract more qualified and effective teachers;
- Increase the efficient operation of school districts;
- Make teaching more attractive by providing teachers with increased political and economic security; and,
- Eliminate political favoritism in hiring and dismissal.

Opponents, on the other hand, challenged these assertions. Their primary concern, however, was that tenure would inhibit the dismissal of poor performing educators (Huvaere, 1997).

Although this landmark legislation opened the civil service protection door for public school educators, it would be many decades before most states passed similar protections. In fact, it was not until the mid-1940s that approximately 70% of the nation's tenured teachers were covered by some form of teacher tenure (NEA Alaska, 2005). In recent years, nearly every state has provided some form of teacher employment protection through either state teacher tenure laws or linked to due process rights (Chapman, 1998; ECS, 1999).

In Illinois, the battle between teacher unions and their opponents over teacher tenure legislation can be traced to friction in the early 1900s between the Chicago Board of Education and the Chicago Federation of Teachers (CFT) (Huvaere, 1997). After a series of arbitrary teacher dismissals and the growing perception of an authoritarian central office administration and anti-union school board, the CFT was able to influence the passage of Illinois' first tenure law in the 1917 Otis Bill. Given that this legislation only applied to schools districts with a minimum of 100,000 inhabitants, no school district outside of Chicago School District 299 was affected (Huvaere, 1997).

Over the next two decades, abuses similar to those which precipitated both the New Jersey legislation and also the Otis Bill continued to be common practice in Illinois. Some school boards arbitrarily dismissed teachers and others employed friends at the expense of teachers, particularly during the harsh economic times of the 1930s. As these abuses mounted, the Illinois Education Association (IEA), a state affiliate of the NEA, worked diligently for the passage of teacher tenure legislation. In response to perceived ongoing employment and dismissal abuses, Illinois passed its first statewide teacher tenure law in 1941 entitled The Act to Establish and Maintain a System of Free Schools. This legislation provided full-time teachers who complete two years of consecutive service in a single school district with continuous contract protection (Huvaere, 1997).

Over the past sixty years, the Illinois tenure law has undergone two significant revisions primarily related to the initial concerns of tenure opponents that teacher tenure would increase the difficulty of dismissing ineffective teachers. A report by the Illinois State Board of Education in the early 1980s showed that annually on the average, only three tenured teachers had been dismissed for incompetence during the previous nine years (Reeder, 2005c). This low dismissal rate does not necessarily indicate that teachers were ineffective, but it did appear to provide support to those who worried that poor teachers were too protected. In response to the growing visibility of low tenure teacher dismissal rates at a time when schools were perceived to be underperforming, Illinois legislators amended the tenure law to include a provision that teachers who had been rated as unsatisfactory and failed to satisfy a specific remediation plan were subject to dismissal. In addition, they also revised the remediation process in hopes of providing increased flexibility in the dismissal of ineffective tenured teachers. However, since school boards were still required to provide extensive documentation of ineffective teaching performance, the change proved more cosmetic than substantive (Reeder, 2005a).

The 1985 legislation had little, if any, impact. In fact, since then, data showed that annually an average of just 1 of every 930 Illinois tenured teachers was placed on remediation and in the past eighteen years, just 61 remediation cases have proceeded to the state hearing officer level with only 39 teacher dismissals affirmed (Reeder, 2005a). As concerns about the lack of tenure teacher dismissals mounted, Illinois legislators responded in 1997 by extending the number of years required to earn tenure from two to four. Although this did extend the probationary period for teachers, it did not address tenured teacher dismissals.

CURRENT TENURE ISSUES

Since 1997, calls for further changes in tenure have continued. In his recent analysis of tenure teacher dismissals, Reeder (2005a) found that tenure dismissal rates continued to be extremely low. Consider his findings:

- Of 95,500 Illinois tenured teachers, annually only 2 are terminated for poor performance;
- Just 17% of school districts have rated a teacher unsatisfactory since the 1985 legislation; and,
- Only 7% of the nearly 900 Illinois school districts have attempted to terminate a tenured teacher since the 1985 legislation.

Although much of the public discussion has centered on the perceived problems with teacher job protection, organizations such as the American Federation of Labor (AFT) and the National Education Association (NEA) and their state affiliates have a very different view. The President of the Illinois Education Association (IEA) called the inability to terminate a teacher nothing more than an urban myth (Reeder, 2005b). Similarly, the Illinois Federation of Teacher's President said that the reason so few teachers are terminated is that so few need to be (Students First Illinois, 2005).

The NEA—Alaska (2005) summarized the teacher union/association position on tenure. They argued that state teacher tenure laws:

- Do not protect teachers from dismissal but rather guarantee an impartial hearing, which ensures teacher due process rights;
- Protect effective teachers from dismissal and replacement by less qualified, politically connected new teachers;
- Protect the academic freedom of teachers, which allows them to discuss a wide range of perspectives and encourage a free exchange of ideas;
- Allow teachers to exercise their professional judgment rather than teach in lockstep;
- Provide the security to take instructional risks, which may lead to school improvement and ultimately increased student achievement;
- Let teachers maintain high student performance expectations without fear of retribution;
- Encourage administrators to develop faculty members rather than simply dismissing them; and,
- Are not responsible for ineffective teachers; rather poor evaluation processes and inadequate administrator evaluation practices are the cause.

The AFT agreed that a lack of thorough teacher evaluation by administrators was to blame for the retention of ineffective teachers (Shanker, 1996). The Illinois Federation of Teachers further (IFT) pointed out that thorough teacher evaluation is the responsibility of the administration (Dougherty, 2005). In fact, because Illinois law requires administrators to complete specific training in teacher supervision, administrators should be well prepared to evaluate and retain the most effective faculty members, particularly given the four-year probationary period in Illinois. The AFT argue that if at some future point an administrator believes a dismissal is warranted, the tenure law provides a well-defined, objective teacher dismissal process without eroding important due process rights.

This debate over state teacher tenure laws highlights the opposing perspectives of school and political leaders and teacher unions/associations on the efficacy of teacher tenure. Yet, as the demands to improve schools and subsequently increase student achievement intensify, the efficacy of teacher tenure laws only intensifies. Therefore, it is essential to recognize the differences between school leaders and teacher unions/associations and explore ways to find some common ground that may help close this gap.

PROBLEMS AND PURPOSES

As the efficacy of teacher tenure has become an increasingly visible issue, a better understanding of how school board members view tenure issues may be important for both public school administrators and professors of educational administration who prepare them for school district leadership roles. This study, which is part of a broader study, seeks to understand school board presidents' unique perspectives on critical tenure issues of teacher supervision. Data from the study may prove useful to school administrators who work closely with school board members particularly on school improvement and teacher employment issues. In addition, results may also provide valuable information for professors of educational administration as they train administrators to work effectively with both teachers and school board members alike.

This study seeks to understand Illinois school board presidents' perceptions on key issues that emerged from both the historical development of tenure and those prominent in today's professional literature through the following questions:

- Would the elimination of teacher tenure affect arbitrary teacher dismissal?
- Is the present teacher tenure law the primary reason that below average teachers are not dismissed?
- Are teacher evaluation processes a significant factor in the retention of below average teachers?
- Are poor teacher evaluation practices by school administrators a significant factor in the retention of below average teachers?
- Does the teacher tenure law hamper administrative supervision of teachers?

THE RESEARCH STUDY

Illinois is a state composed of 873 school districts configured as K-8 elementary, 9-12 high school, or K-12 unit districts serving 2,111,706 students in 110 counties, with most governed by an elected seven member school board (ISBE, 2006; Ruiz & Dunn, 2005). School district enrollments range from very small districts such as Nelson Elementary School District 8 in Lee County, which enrolls 32 students, to Chicago School District 299, which serves 426,812 students (ISBE, 2005).

Method

This study, conducted from February through July 2006, surveyed 291 school board presidents randomly assigned to the research sample from all Illinois school board presidents except Chicago Public School District 299 (McMillan & Wergin, 2006). Because school board members in Chicago are appointed by the mayor rather than elected and somewhat re-

moved from day-to-day operational issues of their school district, its president was excluded from the study.

Participants

A simple random sample was chosen for this study to achieve efficiency in data collection and ensure that all population members had a similar chance for selection (Fowler, 2002). Of the 873 Illinois school board presidents, 291 (33%) were sent a survey. From these, 118 were returned complete, representing a 40.5% response rate. From those returned, 50 were from K–8 (elementary), 8 from 9–12 (high school), and 60 from K–12 (unit) presidents. These represented 62 rural, 4 urban, and 52 suburban districts. The range of school board experience was from 1–28 years with a median experience level of 9 years.

Questionnaire

An 11-item, self-administered questionnaire was developed and tested with a focus group of former and current school board presidents and school administrators. Each was asked to validate the items against the research questions as well as to comment on the efficacy of instrument and accompanying procedures. Based upon their feedback, these were refined. The questionnaire was then approved by the University's Institutional Review Board (IRB). In the first section of the survey school board presidents were asked to provide demographic data including their district organization (K–8, 9–12, or K–12), district type (urban, suburban, or rural), years of school board experience, and district enrollment.

In the second section, school board presidents were asked to rate their perceptions on eleven key tenure issues, six of which are related to teacher supervision on a Likert scale of 1 through 5 with 1 strongly agree, 2 agree, 3 no basis for judgment, 4 disagree, and 5 strongly disagree. In addition to their perception ratings, they were asked to provide comments for each item to enrich their responses.

Data collection

A modified Dillman's (2000) Tailored Design Method and Fowler's (2002) Survey Research Method was used to collect data. Each participant was mailed a cover letter, questionnaire, and a self-addressed stamped envelope. Both the email address and phone number of the primary researcher were provided if any clarification was needed.

Data analysis

Frequencies and percentages were used to describe all close-ended survey responses. Qualitative data were analyzed for specific trends within categories (Maxwell, 1996).

Through data reduction, conclusion creation, and triangulation, specific trends, themes, and conclusions were identified only after data were analyzed independently by the researcher and another professor of educational administration (Berkowitz, 1997).

RESULTS

For each of the six supervision-related survey items, school board presidents' comments are reported as a percentage of total responses for each item rather than a percentage of total respondents. The higher the percentage; the more often it was identified by participants.

A substantial majority of school board presidents (65%) either agreed or strongly agreed that teacher tenure protects good teachers from arbitrary dismissal (see Table 1). Of the 28 school board presidents who commented, 39% indicated that even though tenure does provide substantial job protection, effective teachers do not need legal protection. They noted that school boards actually seek to retain effective teachers and believe that the existing school board governance structure already provides adequate job protection (39%). Other presidents, though, noted that tenure prevents school districts from hiring higher performers (18%) and protects below average teachers (14%).

Table 1. The Teacher Tenure Law Protects Effective Teachers from Arbitrary Dismissal.

Response	Responses of Board Presidents
Strongly Agree	13%
Agree	52%
No Basis for Judgment	5%
Disagree	20%
Strongly Disagree	10%

Ninety-one percent of school board presidents either agreed or strongly agreed that tenure inhibits the dismissal of below average teachers (see Table 2). In fact, over ninety percent of participants noted difficulties dismissing below average teachers. Seventy-five percent of the 24 participant comments also indicated that once below average teachers are tenured, it is virtually impossible to dismiss them. Some pointed out that teacher evaluation processes are cumbersome (13%) and others commented that poor evaluation processes or administrative implementation are factors (8%).

Table 2. The Teacher Tenure Law Inhibits the Dismissal of Below Average Teachers.

Response	Responses of Board Presidents
Strongly Agree	56%
Agree	35%
No Basis for Judgment	0%
Disagree	7%
Strongly Disagree	2%

Table 3. The Teacher Tenure Law Promotes Fair Evaluations.

Response	Responses of Board Presidents
Strongly Agree	2%
Agree	19%
No Basis for Judgment	19%
Disagree	53%
Strongly Disagree	7%

Most presidents (60%) perceived that the tenure law does not promote fair evaluations (see Table 3). Nineteen respondents (37%) said that tenured teacher evaluations are meaningless and another 25% indicated that tenure is not a factor in fair evaluations. Others commented that evaluation should be fair whether a teacher is tenured or non-tenured (16%).

Although 63% of participants believed that tenure hampers administrative supervision, a sizeable percentage (34%) disagreed (see Table 4). From the fourteen participants who commented, 61% said unions, more than tenure “tie administrators’ hands”. In contrast, 20% said that ineffective administration is the cause of poor supervision.

Table 4. The Teacher Tenure Law Hampers Administrative Supervision of Teachers.

Response	Responses of Board Presidents
Strongly Agree	13%
Agree	50%
No Basis for Judgment	3%
Disagree	33%
Strongly Disagree	1%

School board presidents were split on the relationship between teacher evaluation processes and the dismissal of ineffective teachers (see Table 5). Seventy-five percent of the 20 school board presidents who commented noted that improving teacher evaluation processes would have little or no effect on teacher dismissal rates under the current tenure law. They noted that teacher attitudes toward evaluation, union intervention, effectiveness of evaluations, and the difficulty in dismissing tenured teachers were more critical factors.

Table 5. If Teacher Evaluation Processes were more Effective, the Teacher Tenure Law would have Little Effect on the Dismissal of Ineffective Teachers.

Response	Responses of Board Presidents
Strongly Agree	5%
Agree	38%
No Basis for Judgment	10%
Disagree	33%
Strongly Disagree	14%

Even though 60% of all school board presidents did not link the retention of below average teachers with ineffective teacher evaluation, a third believed that ineffective teachers could be dismissed with stronger evaluation practices even under the present tenure law (see Table 6).

In their comments, 32% of the respondents indicated that other issues such as legal restrictions, time consuming evaluation processes, and costs associated with dismissal are factors. Another 21% believed that frequent, complete, and accurate evaluations would have an impact on their ability to dismiss teachers.

Table 6. Poor Administrator Evaluation of Teachers, Rather than the Teacher Tenure Law, is Responsible for the Retention of Below Average Tenured Teachers.

Response	Responses of Board Presidents
Strongly Agree	10%
Agree	23%
No Basis for Judgment	7%
Disagree	41%
Strongly Disagree	19%

LIMITATIONS

This survey, which had a response rate of over 40%, was distributed to a random sample of Illinois school board presidents excluding Chicago School District 299. Caution, however, must be exercised when drawing conclusions because the data represented only 13% of the study population. Furthermore, since only school board presidents were included, generalization can only be validly applied to this sample. Also, even though continual feedback and data triangulation were used to minimize discrepancies, participant responses may be inconsistent and therefore limiting (Denzin, 1989; Miles & Huberman, 1994). Finally, because the survey employed perception versus empirical-based terminology to define teacher performance, a follow-up survey with more precise terminology is recommended.

SUMMARY

Research has documented the correlation between student achievement and high quality, effective teaching. Because of this, it is imperative that school leaders hire, mentor, and retain excellent teachers. One significant barrier that school leaders face to fulfill this imperative is state teacher tenure laws.

As background for research on one specific group's perspectives on teacher tenure, this paper has reviewed related literature tracing the history of tenure beginning with a federal law in 1883 that was designed to employ and retain public employees on the basis of merit rather than political affiliation to the present debate about the efficacy of tenure among political and school leaders including leaders of teacher associations.

The findings from this study regarding perceptions of Illinois school board presidents on teacher tenure indicate that school board presidents have definite and sometimes conflicting ideas about teacher tenure laws and teacher evaluation. Most school board presidents perceived that tenure does not promote fair teacher evaluations, and in fact inhibits the dismissal of below average teachers. They also perceived that retention of below average teachers was not due to ineffective evaluations, but that tenure hampers administrative supervision. However, a third of the participants in this study believed stronger evaluation practices could be responsible for dismissing ineffective teachers.

School board presidents commented on several key issues related to the six supervision-related survey items they responded to in this study. Regarding teacher evaluations, participants felt that more frequent, complete, fair, and accurate evaluations would impact school leaders' abilities to dismiss ineffective teachers; however, many felt that once below average teachers are tenured, it is virtually impossible to dismiss them. Several participants stated that

there are other issues associated with dismissal that are important to consider, namely, legal restrictions, time consuming evaluation processes, and costs associated with dismissal.

IMPLICATIONS FOR PROFESSORS OF EDUCATIONAL LEADERSHIP PROGRAMS

In this section, we give general and specific ideas about how professors in educational leadership programs can use the results of this study in their coursework. Future school leaders need a clear understanding of the historical basis of key issues they will be encountering during their careers. The history of teacher tenure is one such issue. After reading and discussing historical events related to current issues of teacher tenure, future school leaders will have a clearer picture of past events leading to current tenure laws and issues of teacher evaluation and supervision. The literature reviewed for this study provides a beginning discussion point for professors teaching the history of teacher tenure. Professors might structure assignments and class activities that allow candidates to prepare papers that trace the history of teacher tenure in different regions of the country. Candidates could address questions that might arise when discovering that states differ in their tenure history and how this history has been impacted by historical and cultural events.

Also important for professors who prepare school leaders is to present a variety of stakeholder perceptions of tenure issues. This research provides the perspectives of school board presidents on the issue; one specific group whose roles are to set school policy and whose voices are not often heard in the research literature regarding teacher tenure. Candidates in leader preparation programs can be prompted to conduct mini-research projects that could include other voices of both internal and external stakeholders who have investment in school policy and procedures, e.g., various faculty groups, parents and community members, and students. For these mini-research projects, candidates can complete a thorough review of the literature to determine if previous research has been conducted to bring out the voices of various stakeholders.

The literature reviewed for this research presented perspectives on teacher tenure laws from two very different groups: those of policy makers and those from teacher associations. Both sides have very different views of the impact of teacher tenure laws. It is important for perspective school leaders to read, discuss, and understand how and why various political groups differ in their ideas and belief systems regarding teacher tenure laws. Professors can assign field work where candidates might interview the school board president and the union representative in their school to gain first-hand knowledge and understand the issues presented in this study.

And finally, the legal ramifications of these issues must be presented, discussed, and understood by future school leaders as they must deal with these issues in their careers. Professors can draw from case law regarding teacher dismissal and tenure issues to craft case stories that prompt candidates to read more deeply about the issues and possibly conduct further research regarding specific cases. We believe that professors who prepare these future leaders can use aspects from the results of this research in their courses that emphasize the social, political, and legal implications of a most important aspect of school leadership: teacher tenure.

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Admissions to University-based Programs: Faculty Assessment of Current Practices and Implications for Navigating the Future

Kaetlyn Lad

For most American professions, selective admission requirements into pre-service preparation at postsecondary institutions have been a long-standing characteristic of prestigious programs. It is assumed that the credentials and career potential of prospective entrants are carefully scrutinized—not only by university administrators and professors, but also by practicing professionals—to ensure that highly qualified candidates are allowed entrance. Calls for selective admissions into educational administration preparation programs span over 45 years (American Association for School Administrators [AASA], 1960; Milstein, 1992; Stout, 1973).

Paradoxically, most university-based programs continue to openly admit all students who self-select to participate, provided they meet traditional requirements for graduate-level university studies. This *laissez-faire* approach to entrance into educational administration, rather than purposeful selection of future principals, prompted Murphy to chide his colleagues over a decade ago for their “informal, haphazard, and casual” (1992, p. 80) attention to program admissions. The long-standing practice of open enrollment reaped further criticism of university-based programs and warnings that non-university competitors may assume major responsibility for providing high-quality principal preparation because they selectively admit candidates (Hale & Moorman, 2003; Hess, 2003; Murphy, Moorman, & McCarthy, in press).

RECRUITMENT AND SELECTION: PAST AND CURRENT PERSPECTIVES

For more than four decades, improving the recruitment and selection of new candidates for the principalship has been an item on the educational administration agenda. In 1960, AASA cited the practice of using “*admission* rather than *selection* procedures” (p. 83) as damaging to the field of educational leadership. Thirteen years later, Stout (1973) asserted that admission criteria needed to be “implicitly designed to select for job performance, not for training program success” (p. 33) to “produce better quality administrators than those now in the schools” (p. 39). In 1987, the National Commission on Excellence in Educational Administration cited careful selection of program entrants as critically important, and then two years later the National Policy Board for Educational Administration (NPBEA) reissued that stance.

A somewhat predictable career step for many P-12 educational practitioners who seek greater responsibility and organizational mobility is the decision to become a principal (Ortiz, 1982). Identification of potential leadership talent and active recruitment of promising school leaders, however, is not a common practice in the field of educational administration. Candidate self-selection into preservice preparation programs remains the predominant practice in program admissions despite recent internal critiques by leadership educators (Browne-Ferrigno & Shoho, 2004; Creighton, 2002; Milstein, 1992; Murphy, 1992; Murphy et al., in press).

Critics external to the field have become more assertive about the failure of university-based programs to select carefully prospective entrants into the principalship (Bottoms,

O'Neill, Fry, & Hill, 2003; Hess, 2003; Institute for Educational Leadership, 2000; Norton, 2002). One criticism has been that students in principal preparation programs within colleges of education have lower academic prowess compared with graduate students in other professional preparation fields, a finding substantiated by Keedy and Grandy (1999). Another criticism noted that current admission processes fail to assure sufficient minority candidates or individuals committed to assuming principalships of high-need rural or urban schools (Hale & Moorman, 2003). The challenge of identifying appropriate program admission processes becomes further complicated by the reality that "the more important intent of preparation is to produce leaders" (Milstein, 1992, p. 10) who are able and willing to assume responsibilities for guiding schools. This third perspective about selection into preservice preparation links to earlier criticisms made by Stout (1973).

Determining selection criteria for preservice principal preparation is critical as the once narrowed focus of school management has broadened into leadership encompassing assurances that all children have opportunities to learn at high levels (Council of Chief State School Officers [CCSSO], 1996; Murphy, 1998, 2002). The accountability demands emerging from educational reform and paradigm shifts of the 21st century require school administrators to be more proactive and engaged than in the past (Calabrese, 2002; Elmore & Fuhrman, 2001; Marsh, 1997; Matthews & Crow, 2003; Short & Greer, 1997). Many university programs have been redesigned with greater emphasis on field-based learning to prepare principals to effectively address the changed contexts of school leadership (Browne-Ferrigno & Muth, 2004; Milstein & Krueger, 1997; Peterson, 2002).

Demand for public accountability about the efficacy of university-based preparation programs is not new (Brent, 1998; Haller, Brent, & McNamara, 1997; Usdan, 2002). Such demands, however, cannot be countered without empirical evidence that preparation for leadership leads to effective school leadership (Muth & Barnett, 2001; Young, Peterson, & Short, 2002). Some proactive efforts toward careful recruitment and selection of students have emerged (Crow & Glascock, 1995; Murphy, 1999; Pounder & Young, 1996), but these are not common or widespread (Browne-Ferrigno & Shoho, 2004; Creighton & Jones, 2001).

THE STUDIES

This article is the third in a series by leadership educators who are members of the Taskforce on Evaluating Leadership Preparation Program Effectiveness, a partnership between the Teaching in Educational Administration Special Interest Group (TEA SIG) of the American Educational Research Association (AERA) and the University Council for Educational Administration (UCEA). The taskforce is an outgrowth of initial conversations about principal preparation among professors during a pre-conference workshop at the 2001 UCEA annual meeting. The authors are interested in how program admissions influence the characteristics of students participating in advanced career development and ultimately how they provide effective leadership as practicing principals. This paper reports findings from a study conducted by Browne-Ferrigno and Shoho (2003) and those from a second study by Lad and Gulek (2005).

These two studies, conducted by different teams during different time periods, explored university educators' attitudes about admission procedures used in principal preparation programs. The first study (Browne-Ferrigno & Shoho, 2003) was based on a 50-item survey focused on admission standards and criteria, student support, and student characteristics. The purpose of this initial study was to gather attitudinal data to compare and contrast findings and recommendations from previous studies and to explore possible data collection strategies for a

future large-scale study about student characteristics. Lad and Gulek (2005) conducted a second study using a different, randomly selected national sample, but the same survey instrument developed by the researchers who conducted the initial study (Browne-Ferrigno & Shoho, 2003). This paper reports results from both studies, compares findings where appropriate, recognizing the limitations of such comparisons due to the differences in sampling, and presents findings from inferential data analysis completed in the second study.

FIRST STUDY METHODOLOGY AND FINDINGS

A review of literature about admission practices during 2002 served as the foundation for design of a survey to gather opinions from leadership educators about current admission practices in principal preparation programs (Browne-Ferrigno & Shoho, 2003, 2004). In the first study, a 50-item survey containing Likert-scale, forced-response, and open-ended questions was developed and focused on four broad concepts: (a) current admission standards, (b) types of admission criteria, (c) student financial support, and (d) student characteristics. Program information (e.g., graduation and placement rates, percentage of classes taught by full-time faculty, and use of standards in program design) and respondent demographic information (e.g., gender, ethnicity, work position, state location, and years of experience) were also collected. The survey was revised multiple times, incorporating recommendations by colleagues from within the field.

Because this inquiry was intended to provide a snapshot of current perceptions, a national convenience sample was used. Electronic messages with the survey attached were sent in mid-February 2003 to select faculty who, at that time, worked at member institutions of UCEA, were serving as officers and committee chairs of AERA Division A (Administration, Organization, & Leadership), or were members of the National Council for Professors of Educational Administration (NCPEA). Respondents were asked to fax their completed surveys to a designated researcher by early March 2003.

First Study Respondent Sample

In the first study, a total of 59 surveys were completed and returned by faculty members (76%), department chairs (20%), and deans (4%) from colleges and universities in 27 states. Five pairs ($n = 10$) of responses came from the same institutions (i.e., two faculty members in each of five different institutions submitted surveys). Respondents included representatives of UCEA-member institutions (58%) and non-UCEA institutions (42%). The sample included female (39%) and male (61%) professors in educational administration whose experience in preservice preparation ranged from 1 to 39 years (mean = 12, mode = 10). Additionally, 93% of the respondents reported having experience as P-12 classroom teachers and 77% reported having served as school administrators. For varying reasons (e.g., illegible writing and missing answers), three returned surveys were not usable. Hence, the first study sample size was reduced from 59 to 56.

First Study Findings about Admission Process Attitudes

Seventy-six percent of the respondents indicated they were involved to a large degree in their programs' admission processes to select students and that they wanted to be involved in the process. According to over 80% of the respondents, admission practices used in 2003 (a) provided programs with excellent students, (b) yielded diverse student bodies that included

women and persons of color, and (c) generated optimum enrollments. However, the respondents held differing opinions about how admission practices measured leadership potential, guaranteed quality outcomes, or addressed often-cited principal shortages. In particular, 45% of the respondents felt that criteria used for admission did not include strategies that measured leadership potential and 55% posited that then currently used admission criteria failed to guarantee quality graduates ready to assume principalships. Although only 24% of respondents perceived that admission processes did not help to alleviate the principal candidate shortage, 66% opined that shortages of principal candidates existed, in particular for “good” or “quality” candidates available to fill vacancies in high-need schools.

At least two-thirds (65%) of the respondents believed that changing admission standards would not adversely affect enrollment and reported that the current status of admission standards needed to be addressed for three main reasons. First, 53% opined that accepting lower quality students into administrator preparation programs contributed to the problems of ineffective leadership in P-12 schools. Similarly, a second concern identified by 64% of the respondents was that admission standards linked to the future practice of program graduates. Finally, 70% of the respondents believed that the quality of the students admitted to programs influences the reputation of principal preparation.

First Study Findings from Open-ended Prompts

The survey also provided opportunities for respondents to write open-ended responses to prompts. Based on the diverse responses, the most provocative prompt on the survey was the request to *describe “an excellent graduate student in a principal preparation program.”* Responses varied significantly, although several concepts emerged that linked to admission criteria. Thirty-five of the 56 responses (61%) contained words that reflected learning ability, such as an excellent student “is committed to high standards of learning” or “embraces the coursework and makes connections between theory and practice.” Such an individual has “sufficient intellectual capacity and curiosity” and can “see the ‘big picture’ of theory policy.” An excellent student in a principal preparation program is “learning focused” and thus “does all assignments, asks intelligent questions to challenge others to think.” Further, he or she possesses “solid writing skills” and “excellent interpersonal and communication skills.”

Another finding was the importance of a student being committed to becoming a principal. According to 21% of the respondents, an excellent student in a principal preparation program is “a person who wants to learn how to be an effective leader and manager,” an individual “dedicated to gaining the knowledge, skills, [and] attitude required by a principal.” Such a student is “interested in the work, able to work in groups, unafraid to lead” and “eager to commit to leadership,” often evidencing this by providing “cohort leadership.”

At least ten written responses contained references to the importance of a participant in preservice principal preparation being “a good (excellent, successful) teacher” who has a “strong knowledge base in curriculum and instruction” and an understanding of “the culture in education.” Additionally, “experience in teacher leadership roles within districts,” “prior experience in leadership roles,” and work as an “instructional leader in classrooms and on teams” were also identified as important characteristics of excellent students in preparation programs.

When respondents were asked to rank the students participating in their programs against their self-defined characteristics of an excellent graduate student, they offered quite diverse assessments of student fit. The percentages ranged from less than 10% (reported by 4 professors) to 100% (according to 3 professors) with the highest frequency (17 of 56 responses) ap-

pearing in the 71–80% increment. Prospective students' teaching and leadership experiences and their tacit knowledge about the core technology of schooling were considered important considerations for admission to programs by 33% of the respondents.

The most common criteria reportedly used to assess leadership potential included (a) letters of recommendations from administrative practitioners, particularly those that note specific details about why a candidate would be an effective principal; (b) previous classroom and leadership experience; and (c) writing samples in which candidates reflected about their career goals or described previous leadership activities. Respondents did not agree, however, on what constitutes "effective admission criteria" for use in selecting students for preservice preparation programs. In fact, a perception schism emerged from the data about what respondents thought were the *most* effective and *least* effective admission criteria.

Among the *most* effective were (a) Graduate Record Examination (GRE) scores, (b) Grade Point Average (GPA), (c) letters of recommendation, and (d) writing samples. Conversely, the most commonly reported *least* effective admission criteria were (a) GRE scores, (b) GPA, and (c) letters of recommendation, a finding that aligned with the reported least important indicators of student quality in a study by Creighton and Shipman (2002). One veteran professor of educational administration provided a thoughtful response to this dilemma:

No single criterion can provide a "best" predictor of success in a complex applied field. Multiple indicators must be used. In the case of our program, some of the high GPA/high GRE students are not particularly people-oriented and don't necessarily do well in the field. Others, who are people-persons, nevertheless, have problems with the analytical requirements of an accountability policy environment.

Although admission processes may or may not serve a gatekeeper function, economic costs required to attend graduate school do seem to influence enrollments in principal preparation programs according to 58% of the respondents. Sixty-one percent further indicated that despite the need for inventive financial support systems to broaden the student base, few programs provided financial incentives to their students. Data did not reflect any specific efforts to increase program participation by under-represented groups.

Additionally, 27% of the respondents reported that their universities or colleges offered courses leading to alternative licensure or certification as school administrators. Among the alternative preparation programs, only eight at the time of the first study had admission standards that differed from the regular program.

SECOND STUDY METHODOLOGY AND FINDINGS

With permission from the first study researchers, Lad and Gulek (2005) mailed the same Likert-scale survey on July 15, 2004 to 100 randomly selected institutions in the United States known to have leadership certification or licensure programs for school administrators. Prospective participants were identified using the 21st edition of *Educational Administration Directory, 2002–2003* (Lane, 2003). This directory provides a service to the profession by updating information to improve communication among faculties of departments of educational administration throughout the United States.

Data collected from the second study were analyzed using descriptive statistics in the same manner that data were analyzed in the initial study. When possible, descriptive data are reported in the same format as first study data. The second study also used inferential statistical analysis in the form of correlations and t-tests. Because comparative data between the two

studies were not consistently available, statistical analyses recommended by Little and Ruben (2002) and Schafer (1997) were employed. Due to the negligible amount, a mean substitution method was used in the treatment of missing data. For the inferential purposes of this study, a mean substitution adequately preserves the mean structure, while distortion to the variance-covariance structure is minimal due to the fact that the fraction of missing information is small. Although deficiencies of mean substitution method have been well documented, it appears to be a plausible technique for handling missing values when loss of information due to non-response is negligible.

Second Study Sample

In the second study, 34 completed surveys of the 100 surveys mailed to randomly selected institutions that provided preservice preparation programs were returned. The 34 surveys included responses from faculty members (56%), department chairs (38%), and deans (3%). Respondents included representatives of UCEA-member institutions (77%) and non-UCEA institutions (21%). Demographic data indicated that the sample included females (70%) and males (30%). The group was not representative of racial diversity based on their self-identification as either White non-Hispanic (91%) or Other (9%). Findings suggested an average of 14 years experience as professors in educational administration and previous experience as P-12 classroom teachers (92%) or administrators (85%).

Second Study Findings about Admission Process Attitudes

The first section of the survey gathered information about standards used by departments to admit students into principal preparation programs. Seventy-three per cent of respondents reported that they were involved to a large degree in their program admission processes, while 79% reported that they wanted to be involved in the process. Additionally, 82% indicated that they perceived current admission standards provide their programs with excellent students. Further, 61% indicated that current admission standards measured leadership potential of prospective students, and 76% posited that the admission process guaranteed quality graduates ready to assume principalships. Although only 68% of the respondents perceived that a shortage of principal candidates existed, 71% believed their programs helped to alleviate any existing shortages. Among these respondents, 44% reported that their states offered alternative licensure or certification programs for school administrators, but only 24% actually worked at institutions offering alternative pathways to administrator licensure or certification.

Respondents in the second study characterized 70% of the participants in their programs as “good” or “excellent” students capable of high quality graduate work. Further, 65% asserted that their students had “good” or “excellent” leadership traits, and 60% reported that they believed their students would be “good” or “excellent” candidates for the principalship. Respondents also indicated that 96% of their students had teaching experience and that 67% of those admitted to their programs were able to analyze, synthesize, and think critically. They believed that 29% of their students enrolled in their preparation programs to earn a graduate degree but had no plans to seek placement as school administrators after graduation.

Findings indicated that personnel working at universities or colleges who responded to the second study annually grant an average of 38 graduate degrees linked to educational administration and offer letters of support for certification or licensure were issued for an annual average of 43 candidates. Full-time tenured or tenure-track faculty provided instruction in 64% of the principal preparation program courses. Additionally, 74% indicated that faculty

members regularly collected data from their preparation program graduates about their career paths, with 57% reporting that their graduates currently work as school administrators. Among the randomly selected sample of respondents, 83% indicated that their preparation programs are based on the Interstate School Leadership Licensure Consortium *Standards for School Leaders* (CCSSO, 1996).

Attitudes regarding the need to change current admission practices were also collected in the second study. Forty-seven percent of those respondents indicated that they believed admission standards needed to remain the same because raising admission standards would adversely affect the number of students enrolling in our programs. Among the 34 survey respondents, 31% indicated that they perceived raising admission standards might result in fewer students of color being allowed to participate in preservice preparations programs. Nonetheless, 62% reflected that admission standards needed to be reviewed to ensure effectiveness in providing appropriate preparation for those students planning to become principals. Responses to a statement that admission standards influence the quality of programs generated agreement by 59% in the second study sample.

Second Study Findings from Open-ended Prompts

Similar to the findings from the initial study, opinions in the second study regarding the most and least effective strategies appeared to be contradictory. When asked to identify the *most* effective strategies to assure quality students for principal preparation programs, respondents in the second study provided the following answers in order of preference (a) interviews, (b) site administrator referrals, (c) letters of recommendation, and (d) GRE scores and GPA scores. The *least* effective admission criteria in the second study in order of preference were (a) letters of recommendation, (b) GPA scores, (c) GRE scores, (d) review of applications, and (e) MAT scores. Paper screening was seen as the least effective method of differentiating applicants. Survey results in the second study indicated that “leadership potential of prospective applicants” was *assessed most often* through (a) GPA scores and letters of recommendation, (b) interviews, (c) subjective inventory or rubric completion and analysis, and (d) NASSP assessment centers. Findings suggested that subjective inventories or assessment centers were rarely used.

Only one respondent reported that additional information about candidates’ prior experiences and career goals would be informative in selecting students for preparation programs. However, the most often cited reason for not designing and using different admission criteria was “we take anyone, anyway,” a perception that aligns with similar findings from the first study. Sixty percent of the respondents in the study were aware of alternative admission processes that potentially would better “identify, screen, and select” preparation program candidates. However, they cited three major deterrents why their programs did not use them: (a) lack of resources (i.e., time, faculty, money); (b) concern for social justice issues; and (c) fear of diminished enrollments.

Respondents in the second study indicated that financial incentives most often offered to students were in the form of scholarships, tuition payment by local education agencies, tuition waivers, loans, graduate assistantships, and grants. Perceptions about who received financial assistance varied: Twice as many respondents opined that incentives *were not* geared toward special populations of students compared with those who did. Further, the type of support for engaging students in clinical practice during program participation, ranging from most common to least common, included informal on-site mentor, faculty mentor, paid internship or state-funded 27-day paid work release, and teachers on special assignment in quasi-

administrative positions. When asked if the type of financial initiatives for students influenced program enrollment, twice as many respondents indicated “no” than “yes.” Findings suggest that the most influential type of financial support was tuition reduction.

STATISTICAL INTERPRETATIONS OF STUDY FINDINGS

This section presents a further analysis of the data from both studies. Correlation findings among the survey prompts and t-score comparisons using findings from both the studies are discussed.

Initial Correlations

A survey question regarding the extent to which faculty were involved in the admission processes significantly correlated with a survey question regarding the extent of time faculty wanted to be involved in the selection of students into the principal preparation programs ($r = .774, p < .001$). Another set of two questions in the survey sought faculty perceptions about admission standards presently used and their perceptions that the identification of leadership potential could be determined through current admission processes. Respondents' attitudes about admission processes significantly correlated with their view of identification of leadership potential of prospective students ($r = .654, p < .001$). Faculty perceptions about the need to maintain current admission requirements to ensure that numbers of students enrolling were not adversely affected significantly correlated with their perception that raising admission standards would mean few students of color would be accepted into the programs ($r = .667, p < .001$).

Several survey questions related to respondent perceptions regarding the need to address current admission standards. The findings suggested a significant correlation among responses. For example, accepting lower quality students into programs contributed to the problems of ineffective schools significantly correlated with the quality of principal preparation programs ($r = .812, p < .001$) and with a concern for the level of effectiveness of program graduates ($r = .860, p < .001$). The number of individuals characterized as “good” or “excellent” students capable of high-quality graduate work correlated strongly with the number of students characterized as having “good” or “excellent” leadership traits ($r = .715, p < .001$) and with students characterized as being “good” or “excellent” principal candidates ($r = .637, p < .001$). The number of admitted students viewed by respondents as having ability to analyze, synthesize, and think critically strongly correlated with their perception that candidates possess “good” or “excellent” leadership skills, ($r = .674, p < .001$), to the perception that students were capable of high quality graduate work, ($r = .671, p < .001$), and to the perception that students were characterized as “good” or “excellent” candidates for principalships ($r = .547, p < .001$).

The percentage of students currently working as school principals strongly correlated with the view that these principals were students possessing “good” or “excellent” leadership traits ($r = .611, p < .001$). Results from the analysis of specific survey items indicate that the number of program graduates correlated with the annual number of certificates awarded ($r = .558, p < .001$), and also further data analyses showed that 96% of all students in preparation programs had prior teaching experience. This correlated moderately with the percentage of students who could analyze, synthesize, and think critically ($r = .404, p < .05$).

Correlation Analyses of Cluster Variables

Results present a strong correlation between capable graduate students having leadership traits and capable graduate students having leadership traits and ability to analyze, synthesize, and think critically ($r = .991, p < .001$). A significantly positive correlation exists between graduates who have leadership traits and are working P-12 administrators and capable graduate-students having leadership traits and the ability to analyze, synthesize, and think critically. A strong positive correlation exists between capable graduate students having leadership traits and graduates who have leadership traits and are presently working P-12 administrators ($r = .939, p < .001$).

T-tests of Significance

T-test of significance of cluster variables with survey items generated only one important finding: a statistically significant difference of perceptions exists on one item between those respondents who identified themselves as “non-Hispanic” and those as “Other.” Those who identified themselves as “Other” perceived that admission standards impact schools, while “non-Hispanic” respondents did not. No other statistically significant differences exist among the five-cluster variable in terms of perceptions among respondents based on their university affiliation (UCEA, non-UCEA), gender, ethnicity, position (faculty, department chair, dean), or types of programs (traditional, alternative). Nor do significant differences appear for respondent attitudes (students having or not having prior teaching experience and existence of principal shortages).

IMPLICATIONS FOR UNIVERSITY-BASED PREPARATION PROGRAMS

Both studies intentionally focused on university-based programs and thus excluded other models of principal preparation. Despite small samples, the results of these two studies mirrored those found by Creighton and Jones (2001) in their comprehensive study of 450 programs and by Creighton and Shipman (2002) in a study about student quality indicators.

Program Outcomes Linked to Admission Requirements

The impact of program graduates on P-12 schools is a provocative finding as evidenced by the significant difference between respondent attitudes based on self-identified ethnicity. It is significant that those who selected “Other” as their ethnicity perceived that admission processes for principal preparation programs impacted P-12 schools and those self-identified as “non-Hispanic” did not. Findings from both studies provide no conclusive reasons for this difference, but the authors offer their interpretation.

Principal shortages exist in hard-to-staff schools, easily identified by their low accountability test scores, limited resources, high staff turnover, and history of poor leadership (Gates, Ringel, Santibanez, Ross, & Chung, 2003; Lashway, 2003; Roza, Cello, Harvey, and Wishon, 2003). Transient student populations, ethnic and cultural diversity, and achievement gaps also contribute to making it difficult to staff some schools (Kiefer, 2004). Succession planning through purposeful identification, recruitment, and preparation of prospective principals (Hart, 1993; Petzko & Searcy, 2001), and careful placement and support for principals in high-need schools are strongly recommended as ways to eliminate situational shortages (Arnold, Newman, Gaddy, & Dean, 2005; Miller, 2004).

Returning to admission processes for programs that prepare future principal candidates, several questions arise: (1) do admission processes currently in use hinder or support the identification and recruitment of candidates willing to assume principalships in hard-to-staff schools? (2) was this an issue that respondents were not able to express because the survey failed to ask questions about filling principalship vacancies? Another consideration relates to outcomes: have preparation programs articulated clearly their vision of what their graduates can do and linked that vision to their selection criteria and screening processes? Are programs currently producing candidates with the disposition and courage to assume leadership of low-performing or high-need schools?

Selective Program Admissions Based on Leadership Potential

Nearly twice as many faculty in the second study (77%) thought that their admission standards guaranteed students ready to assume principalships compared with the percentage of faculty in the first study (41%). Nearly twice as many respondents in the second study (47%) than in the first study (27%) also indicated admission standards for principal preparation programs needed to remain the same; they voiced concern that selective admissions might adversely affect the number of students enrolled in programs. Yet, a majority of respondents in both studies asserted that raising admission standards *would not* negatively impact student enrollments. These results are confusing, indicative of the complex and confounding issues concerning selective admissions to university-based programs.

Another interesting finding is that an average of 58% of faculty in both studies opined that admissions processes currently used for principal preparation programs *do* measure leadership potential of prospective students. The same percentage of respondents also asserted that their graduates were characterized as high-quality candidates for the principalship. An average of 62% of respondents in the two studies, however, expressed concern about current admissions processes because they perceived a link between the performance of program graduates as educational administrators and reputations of preparation programs. These results also indicate perplexing differences in perceptions.

CONCLUSIONS AND CALL FOR ACTION

A researcher premise grounding the initial study was that the principalship significantly changed following reports from effective schools research and the advent of high-stakes accountability. Contemporary principals must balance managerial responsibilities and leadership activities to assure high levels of learning by all students (CCSSO, 1996; Marzano, Waters, & McNulty, 2005; Murphy, 1998). Changed expectations for school leadership practices require changed program selection criteria to align with outcome expectations. Recall that Milstein asserted back in 1992 that preparation must focus on producing leaders. After conducting several studies about admission practices, Creighton (2002) and his colleagues (Creighton & Jones, 2001; Creighton & Shipman, 2002) recommended using activities and strategies to measure leadership potential as selection criteria, rather than those traditionally used to predict success in graduate studies.

Faculty respondents in both studies reported here evidenced awareness of alternative selection criteria (e.g., subjective inventories and performance assessments) for measuring leadership potential, but they cited stumbling blocks to changing admission procedures (e.g., limited funding and time constraints, required enrollment levels for programs, and long-standing practice of open admissions). Perceptions or realities about hindrances to moving from open

enrollment to selective admissions must be overcome if university-based programs hope to remain viable (Murphy et al., in press). Criticisms of current admission practices used by universities continue to emerge.

In their review of research about developing successful leaders, researchers at the Stanford Educational Leadership Institute (Davis, Darling-Hammond, LaPointe, & Meyerson, 2005, p. 5) assert that

processes and standards by which many principal preparation programs traditionally screen, select, and graduate candidates are often ill-defined, irregularly applied, and lacking in rigor. As a result, many aspiring administrators are too easily admitted into and passed through the system on the basis of their performance on academic coursework rather than on comprehensive assessment of the knowledge, skills, and dispositions needed to successfully lead schools.

Such arguments have surfaced often over the past 45 years, beginning when AASA first criticized universities for using “*admission* rather than *selection* procedures” (p. 83) back in 1960.

Stout (1973) appears to be the first professor to write about the need for “new selection criteria [that] are implicitly designed to select for job performance, not for training program success” (p. 33). He realized that the development and use of alternative admission practices in university-based programs would require second-order change in institutions whose traditional stance is maintaining the status quo:

One final area of change is the effect new recruiting and selecting practices may have on the universities instituting them. I believe that deliberate consideration of alternative recruitment and selection criteria requires political and philosophical commitments to defining desired changes. . . . It seems that claiming a commitment to a new order imposes an obligation to consistency and honesty and to accountability to groups and individuals to whom professors have not been accountable in the past. . . . Thus, the adoption of new selection criteria probably carries with it the necessity to restructure recruitment, training, and placement. It may even require restructuring the university and the professorship. (p. 42)

Nearly 30 years later a former professor of educational administration expressed concern that professors have yet to understand fully the “needed fresh and vital new thinking . . . required to deal with the profoundly changed requisites for successful educational leadership in the future” (Usdan, 2002, p. 306). Most universities continue to allow students to self-select into educational leadership preparation, despite the realities of growing competition from other providers.

In 2000, the Institute for Educational Leadership published a report by its Task Force on the Principalship that identified changes in the principalship and provided strategies for its reinvention—including the need for careful recruitment and selection of aspiring principals and more rigorous licensure standards. Recently, new models of principal preparation designed by organizations not affiliated with universities and delivered through partnerships with school districts have emerged (e.g., Boston Principals Fellowship Program, New Jersey Expedited Certification for Educational Leadership, and New Leaders for New Schools). The programs use careful selection criteria based on needed leadership talent and potential as part of their recruitment and succession planning strategies (United States Department of Education [USDE], 2005). Moreover, the majority of initiatives funded by the USDE through its

NCLB School Leadership Development Program are provided by non-university entities. [See list of grant recipients at www.ed.gov.]

New accreditation standards for leadership education require university-based preparation programs to provide evidence of performance measures that reflect what their students know and can do (NPBEA, 2002). The clarion call for selective admission into principal preparation programs has been sounding for 45 years, and competitive providers are offering alternative avenues to the principalship. Will new program accreditation requirements finally force professors of educational administration to assess critically their practice of open enrollment into principal preparation programs? If professors do not design and implement selective admission procedures that guarantee quality principals, will universities be eliminated as providers of school leadership development?

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Strategies for Surviving the Professional Victim Syndrome: Perspectives from Superintendents on Navigating the Political Waves of Contemporary Leadership

Walter S. Polka and Peter R. Litchka

Education in the twenty-first century is dynamically changing due to several key cultural forces including, but not limited to, the following: (a) pervasive focus on accountability, (b) omnipresent use of evolving technologies, (c) acute appreciation of the value of diversity, and (d) professional emphasis on constructivist principles (Brandt, 2000). Contemporary school superintendents are the critical educational leaders who are expected to carry out a majority of their roles and duties in a public manner. This “public presence” has become even more pronounced at the dawn of the 21st century because of those previously enumerated cultural forces as well as others still emerging. These forces not only exert their toll on the educational institutions but also on the leadership of those institutions (Norton, 2005). Surviving the stresses associated with these forces and effectively leading meaningful educational changes that address them requires that the executives of those respective institutions (superintendents) develop their personal dispositions of resiliency (Collins, 2001).

The superintendent of schools is charged with the responsibility of assuring the public that their schools are providing quality education at reasonable costs in this era of accountability. Resilient superintendents have learned to navigate the political waves of the position. In *School Leadership That Works* (Marzano, Waters, & McNulty, 2005), it is suggested that, “at no time in recent memory has the need for effective and inspired leadership been more pressing than it is today. With the increasing needs in our society and in the workplace for knowledgeable, skilled, and responsible citizens, the pressure on schools intensifies” (p. 123).

Boards of education change as elections occur on an annual basis and board of education members, who were once supportive of their “new” superintendent, change their perceptions of their educational leader as the political currents change. However, there are times when the superintendent believes that it is in the best interests of the system to remain on the job and directly confront the attacks. Some of these professional victims have survived. They were the focus of a recent research effort and their strategies for survival are highlighted in this article. The professional victim is defined as an educational leader (superintendent of schools) who faces a career crisis in which his/her professional and personal reputation is being tarnished, and he/she has the challenge of navigating the political waves in order to survive, literally and figuratively, as a leader and person (Polka & Litchka, 2006).

CONTEMPORARY CULTURAL FORCES AND THE SUPERINTENDENCY

More stakeholders demand comprehensive accountability from their respective educational organizations in the wake of the intense efforts of the federal government to raise standards and student achievement (Brant, 2000). In addition, the omnipresent use of evolving technologies has accelerated personal and organizational communication channels that enable a greater number of citizens' access to more information about their schools in a rapid manner.

This has both positive and negative impacts as appropriate information may be channeled to more people quicker but so can negative information, rumors, innuendos, and other inappropriate references about school operations and personnel (Hoy & Miskel, 2005).

There is also an acute focus on issues of diversity as the population demographics continue to change and schools become even more inclusive and appreciative of differences that may invite factionalism. Subsequently, accusations of favoritism evolve as various sub-groups struggle for their fair share of the educational experience (Cunningham & Cordeiro, 2003).

In addition, there is an emphasis by the educational profession to incorporate more constructivist principles into programs. This instructional orientation on individualization and/or customization requires educational leaders to be adept at employing those very principles in their management techniques so as not to appear duplicitous in their advocacy of them (Norton, 2005). This necessitates a more transformational leadership style. However, this style of leadership is always evolving in its focus and may appear to some to be inconsistent (Hoy & Miskel, 2005).

School superintendents are constantly balancing their respective educational “big picture” visions with their contemporary economic, social, and political “bottom line” realities. Superintendents serve to further the goals and objectives of the organizations they lead by providing for the needs of its members (Norton, 2005). Subsequently, these leadership positions have often become the centerpiece of community criticism, political maneuverings, and disgruntlement. Almost always, someone or some group is not satisfied with the management or educational decisions made by those chief executives (Hoy & Miskel, 2005). These leaders become professional victims who endure the wounds of those various public assaults.

Their commitment to their organizations, their sense of challenge, and their belief that they can control, in creative ways, the factors that threaten their professional careers contribute to their willingness to become the professional victim and suffer the concomitant wounds of leadership (Ackerman & Maslin-Ostrowski, 2002). However, developing and sustaining personal coping strategies reinforces their hardiness or resiliency and their ability to not become “ground down” by the frustrating events or the negative people who continually threaten them. They are always ready to rebound and lead their organizations through the next changes that result from still other cultural dynamics (Collins, 2001).

A number of researchers have studied educational leaders who, in very difficult times, have been victimized. Ackerman and Maslin-Ostrowski (2002) defined this experience in the following manner:

. . .contemporary school leadership that can take a person from an inspired moment to a crisis in an instant. Things happen unrelentingly, and a leader is expected to know or do something at the moment. Beneath the surface tension, wounding is often felt at a deeper and more personal level, where a leader’s decision, motive, and integrity are impugned by others. (p. xii)

Patterson and Kelleher (2005) addressed resilience in their research as a response to adversity in educational leadership. According to Patterson and Kelleher, “researchers describe resilience in terms of the coping factors needed to survive an array of risk factors and using energy productively to emerge from adversity stronger than ever” (p. 3).

Cunningham and Burdick (1999) found that there exists a relatively low supply of candidates for the position of superintendent due to board interference and micromanagement, time, stress, and the higher levels of accountability combined with fewer resources. The American Association of School Administrators (2000) found that the reasons for the superin-

tendent shortages included inadequate funding of education, too many demands on the time and efforts of the superintendent, and the ever increasing mandates from local, state and national policy makers. Almost 90 percent of the superintendents in New York State agreed that the job of superintendent was stressful, an increase of 7 percent in only three years (New York State Council of School Superintendents, 2004). According to this report, “the demands on the superintendency are becoming more intense and causing superintendents to think about retirement sooner—rather than later” (p. 28).

Superintendents are also leaving their positions earlier. Czaja and Harman (1999) found that superintendents who voluntarily left early did so because of new job opportunities, family reasons, and personal reasons; those who left involuntarily did so because of problems with the school board, union issues, and “moral and ethical discord” (p. 2). Cunningham and Burdick (1999) found that the reasons for superintendents leaving their position were: board interference, diminishing financial resources for the school district, loneliness of the job, amount of time involved, and stress. Salter (2000) found that the two main reasons that superintendents were leaving in Alabama were school board micromanagement and time/stress. In “Career Crisis in the Superintendency” (American Association of School Administrators, 2000), it was noted that 90% of the superintendents felt that districts should provide them with more help and support to ensure their well being and success (p. 33).

RELATED RESEARCH ABOUT PERSONAL COPING STRATEGIES

During the twentieth-century, social science research and literature on coping with change reinforced the five individual “high-touch” personal needs or dispositions as significant for organizational and personal satisfaction and productivity in a climate of pervasive flux (Polka, Mattai, & Perry, 2000). Accordingly, each individual must look at life as a constant “challenge” and develop the ability to see change as an opportunity, not a crisis (Csikszentmihaly, 1990). People who are able to cope successfully with significant life changes exhibit a strong “commitment” to themselves, their families, and their organizations (Kobasa, Maddi & Kahn, 1982). Individuals who believe, and act as if they are “in control,” can influence the course of events in their particular lives and are better prepared for change (Glasser, 1990). People who possess the “creativity” to envision optimal experiences are able to cope most effectively with change (Csikszentmihaly, 1990). In addition, a “caring” family attitude in the workplace plays an important role in the effective adjustment to changes (DePree, 1989).

These five personal dispositions have also been cited as the key “hardiness factors” of management personnel that contributed to the success of companies classified by Jim Collins, contemporary management researcher, as those companies who, “... have made the leap from good to great” (Collins, 2001, p. 82). School superintendents have effectively promulgated organizational changes fomented by various cultural forces by focusing on the personal concerns of their subordinates. Nevertheless, for sustaining their own personal and organizational survival in this century it is imperative that they apply the same “high-touch” approaches to themselves.

SUMMARY OF RECENT RESEARCH FINDINGS FROM THE FIELD

In 2006, the researchers embarked on a comprehensive mixed study to determine the experiences related to the professional victim syndrome of contemporary superintendents.

A total of 496 superintendents from Georgia and New York completed the quantitative survey about their professional victim experiences. That number represented a return rate of 59%, reflecting the degree of interest about the topic on the part of currently practicing school superintendents. Subsequently, 30 superintendents were interviewed out of 50 who self-selected to be interviewed. They provided valuable information to the researchers regarding their personal coping strategies, professional victim outcomes, and recommendations for navigating through similar “turbulent water” (Polka & Litchka, 2006).

The demographics of the superintendents who completed the quantitative survey data were consistent with other superintendent studies in that 73% were male and 27% were female (New York State Council of School Superintendents, 2004). Almost 90% of this sample had over 20 years of experience in education with over 50% having at least 30 years experience in education. Slightly less than half (45%) of those superintendents, however, had five years or less in the superintendency. Most of the superintendents surveyed (59%) were in their first superintendency, although about a quarter of those surveyed (27%) were in their second superintendency, as appropriate. Thus, 86% of this sample was either in their first or second superintendency and had outstanding educational experience but limited experience as superintendents of schools.

Almost one-third of the New York superintendents (32%) and 15% of the Georgia superintendents responded positively to at least one of the following questions:

- Have you ever been fired as superintendent?
- Have you ever resigned as superintendent?
- Have you ever reached a mutual decision with the board to leave as superintendent?
- Have you ever not had your contract renewed as superintendent?
- Have you ever sought legal assistance as superintendent about your status?

In both states, the percentage of female superintendents who responded positively to the above questions was just slightly higher (31%) than male superintendents (28%). This indicates that there is a somewhat greater possibility for female superintendents to be subjected to the professional victim syndrome than males. Also, two-thirds of the superintendents who responded to having professional victim syndrome experiences were in their first or second superintendency, but one-third of the respondents were in their third or more of the superintendency. Apparently, the professional victim syndrome may occur at any time during the superintendency at about the same frequency according to this large sample.

The superintendents’ qualitative assessments of their professional victim experiences were congruent with the related literature and research. They became professional victims as a result of the contemporary political waves associated with the (a) pervasive focus on accountability, (b) omnipresent use of evolving technologies, (c) acute appreciation of the value of diversity, and/or (d) professional emphasis on constructivist principles (Brandt, 2000). In addition, they expressed their personal coping strategies and recommendations for their colleagues within the framework of the following five Cs: challenge, commitment, control, creativity, and caring. The following summary of those qualitative interviews reflects the significance of employing those personal coping strategies to navigate the contemporary political waves and stay afloat as an educational leader.

Challenge

Each of the 30 superintendents interviewed for the study were faced with one or more challenges that ultimately led to their professional victim experience. Twenty of the thirty superintendents (67%) were in their first superintendency and five (17%) were in their second superintendency. About half (47%) of the interviewed superintendents indicated the challenge of dealing with a Board of Education that had fired or removed the previous superintendent, which brought the new superintendent into focus on academic accountability but became mired in the politics of the Board itself. Examples of the politics included a change in Board personnel, from those who selected the new superintendent to a new majority that was not involved in this selection. On several occasions, one person on the Board or an influential member of the community was able to wield a tremendous amount of influence in mobilizing other members against the new superintendent, often using technology (e-mails) to rapidly disseminate negative information and innuendos.

Superintendents were often victimized (43% of the sample) for making decisions that they (the superintendents) thought were in the best interests of the district, only to find out that the decision negatively affected a person(s) who had political influence with members of the Board of Education. Once this influence began to take hold, it was difficult, if not impossible, for the superintendents to lead and manage the district. Superintendents referenced that micromanaging and lack of Board support in most matters began to be the norm, not the exception. Once again, because most of these superintendents were new to this position, they had little, if any, time to further practice, further develop, and enhance the challenge-coping disposition. Furthermore, most felt extremely isolated and alone during this crisis, and because they were, in many instances, new to the community, had little if any support mechanisms or networks in place.

Commitment

From the discussions, it was evident that in the early stages of the victim experience, most superintendents (90%) felt that they could survive this, that they in fact were “good people with good hearts” and would be able to nurture their personal and professional commitment to the district and the community. As the experience began to intensify over time (usually not a very long period of time!), however, superintendents described their feelings as “being betrayed,” “disbelief,” “anger,” and “amazement about how cruel people could be” (especially members of the Board of Education). Furthermore, the victim experience became the dominant force in their lives, with each trying to survive and, at the same time, trying to answer the question, “is this really happening to me?” or “why is this happening to me?” All the superintendents suggested that, prior to this experience, they were very confident of their abilities and had experienced long and successful careers in education.

A number of superintendents in the qualitative sample (18 of 30) indicated that they began to question their own abilities, and in spite of “digging in and fighting this,” eventually began to wear down to a point where they began to lose their commitment, enthusiasm, and sense of purpose. Many of these superintendents became depressed, despondent, angry, physically ill, and self-isolated from family, friends and colleagues.

Control

Overwhelmingly, 93% of the superintendents felt that once this negative experience began, they had less control in leading and managing the district. Furthermore, they indicated that once they were perceived as a tarnished “victim” or “in trouble” with the Board, the more others in the district began to avoid them, not support them, or, in some cases, side with the Board for their own self-preservation. They felt very frustrated that they were not able to make a difference and several developed strong feelings that they were “not the right person for this place at this time.” As a matter of fact, many of the superintendents who went through this experience offered as advice that superintendents-particularly those who are new to the position- as soon as possible, need to “find people you can trust,” “get a support network,” “have a mentor,” and “be ready-it’s only a matter of time before it will happen.” At a minimum, such support would allow the victimized superintendent to have a sense of personal control of their emotions and a healthier perspective of the situation.

Creativity

Effective school leaders need to constantly reflect about their personal and professional choices and actions; and, actively engage with others in creative thinking, decision making, and problem solving (Fullan, 2003). Unfortunately, for all of the 30 superintendents who went through this experience, there was little opportunity to think creatively about changing and improving the school district. Ironically, in some cases, it was their creative thinking that offended a member of the Board or community and, ultimately, led to their “professional victim” experience. Superintendents often remarked about the ability (or inability) to be politically perceptive enough to bring about change within the district by dealing with the politics and, at the same time, not making a “deal with the devil.” Furthermore, in order for a leader to be creative, there must be an environment in which calculated risk-taking is encouraged, and that, when mistakes happen, people will learn from them and move on. Although most of the superintendents (63%) indicated that some of this creative atmosphere was evident in the beginning of their tenure in the district, it quickly dissipated to the point that any creative and reflective thinking by the superintendent was dominated by “how can I get out of this situation with my sanity and reputation?”

Caring

While a number of superintendents did, in fact, begin to question and doubt themselves, some were able to sustain personal relationships or develop new relationships, in spite of the controversy surrounding them. In most cases, this occurred when these relationships were very solid to begin with, and the superintendents felt very comfortable in sharing their experiences. Besides spouses, the other positive relationship most often mentioned was with that of a pastor. Many superintendents (37%) indicated that spirituality and a deep sense of purpose does help in times of personal anguish. It should be noted, however, that in a number of cases, the superintendents did mention the negative effect this experience had on their family life. A number of superintendents (27%) lost their marriages because of it, had dysfunctional relationships with their children, friends, and colleagues, and felt that they had lost their trust in human nature. While some sought professional help, a number tried to get through the experience by using the knowledge and experiences they had gained over the years. Most (63%) of the sample, however, never lost their original sense of purpose or “calling” to what and why

they were involved in education. They were each able to reflect on the experience and, in some cases, became stronger and more committed to their basic ideals. Unfortunately, a number of the superintendents (37%) did not.

NAVIGATING THE POLITICAL WAVES VIA PERSONAL COPING STRATEGIES

The following strategies are presented to assist educational leaders, especially superintendents of schools, develop and reinforce their personal coping dispositions so that they may effectively manage the people, things and ideas of their institutions and enjoy personal and organizational satisfaction and productivity in this era of changing political waves.

Leaders must look at life as a constant “challenge” and develop the ability to see change as an opportunity, not a crisis (Csikszentmihaly, 1990). Accordingly, education leaders must reflect about the Old Chinese proverb: “One man’s crisis is another man’s opportunity;” and realize that there are always personal and organizational opportunities in crisis situations. In addition, leaders should not “Fight Change” or “Flee From Change” but approach change positively (Selye, 1956). Leaders should maintain the metaphorical perspective that, “The Glass is Half Full as Opposed to Half Empty” whenever confronted with various challenges that seem to be crisis loaded. In addition, crisis management is a dynamic tension that can result in positive outcomes if handled appropriately because it promotes “tunnel vision” thinking, which forces people to focus on the issue. However, because education executives operate in such a public arena today and are the quintessential “flak-catchers” due to external cultural forces (Norton, 2005), it is imperative to remember the admonishment of Teddy Roosevelt who emphasized the importance of not letting “nay sayers” capsize or grind down leaders:

It is not the critic who counts, not the man who points out how the strong man stumbled, or where the doers of deeds could have done them better. The credit belongs to the man who is actually in the arena: whose face is marred by dust and sweat and blood; who strives valiantly; who errs and comes up short again and again—who knows the great enthusiasms, the great devotions, and spends himself in a worthy cause; and who, at worst, if he fails, at least fails while daring greatly, so that his place shall never be with those cold and timid souls who know neither defeat nor victory. (Roosevelt, 1910)

The intensiveness and extensiveness of the challenges of the school superintendency in the current context requires each respective leader to further develop and enhance their personal challenge coping disposition. In addition, continuously practicing those techniques tends to keep that challenge disposition acute.

Educational leaders must exhibit a strong “commitment” to themselves, their families, and their organizations (Kobasa, 1982). They need to develop and continually nurture their personal sense of purpose and enthusiasm for their organization and its people. Accordingly, showing enthusiasm and commitment, as well as modeling trust and teamwork, are key factors for leader success (Kotter & Cohen, 2002). In their qualitative analysis of how people changed their organizations, the researchers emphasized the significance of leadership focusing on both short-term objectives and long-term goals (Kotter & Cohen, 2002). However, it is imperative that education executives, such as superintendents, recognize that leadership comes from the “inside out” and is really the continuum of service to others that reinforces

one's own commitment and sense of purpose. A key to that service is knowledge of your own personal strengths and weaknesses (Cashman, 1998).

Similarly, dispositions found in "Good to Great Companies," consisted of leaders who, ". . . lived what they did, largely because they loved who they did it with" (Collins, 2001, p. 62). In the same research, Collins presented the "hedgehog" concept and identified that effective leaders in effective companies used a simple frame of reference for their own behaviors. They did what they did best as their core operational orientation, they possessed piercing insight into their organization and they focused on their most deeply passionate beliefs (Collins, 2001).

In addition, educational leaders need to recognize, as Cashman stated, ". . . feeling is more fundamental than thinking; feeling gives rise to action. Feeling, thinking, and action all have one thing in common—they are always changing" (Cashman, 1998, p. 137). But, connecting to people, including oneself, at deeper levels involves changing behaviors and the facilitating emotions for deep commitment are faith, trust, optimism, urgency, reality-based pride, passion, excitement, hope, and enthusiasm (Kotter & Cohen, 2002).

Educational leaders must consistently believe, and act as if, they are "in control," and that they can influence the course of events in their particular lives and be better prepared for dealing with the ever-changing contexts of contemporary leadership (Glasser, 1990). Such leaders develop and reinforce their individual sense of their significance to their "real world" experiences at all times (Cashman, 1998). They actualize the concept that they can change their external world and not be changed by it. They exude the "power of one" orientation that one person can make a difference and they, in fact, are that person at this time in this place (Quinn, 1996).

Several personal characteristics of resilient people that are consistent with the above control disposition have been enumerated in the contemporary resiliency literature as, ". . . good decision making skills, assertiveness, impulse control, and problem solving skills as well as sense of humor, internal focus of control, autonomy, positive view of personal future, self-motivation, personal competence and feelings of self worth" (Henderson & Milstein, 1996, p. 9). And, although there are some general genetic variables that contribute to this sense of personal control, researchers contend that resiliency or hardiness is a process more than a list of traits and it can be learned (Higgins, 1994).

Educational leaders who possess the "creativity" to envision optimal experiences are able to cope most effectively with change (Csikszentmihaly, 1990). These leaders cultivate this creative thinking and engage their thoughts into actions. Noted management consultants, Blanchard and Waghorn, advocated that there are key components that facilitate becoming more creative personally and organizationally, such as: using the untapped human energy that exists in all organizations, practicing cooperative creativity by making more people your partners in thinking, and meaningfully engaging, via empowerment, people in the improvement of the organization or creating its future (Blanchard & Waghorn, 1997). Leaders must develop and reinforce their own sense of excitement about every new opportunity (Cashman, 1998). They must avoid "same old. . . same old" thinking that will not get individuals or organizations to where they need to be in the future (Blanchard & Waghorn, 1997). This requires that leaders do an unnatural thing—that is, exercise the discipline to take an unusual perspective (Quinn, 1996). Executive leaders, such as superintendents of schools, must always possess and demonstrate a deep creative urge and an inner compulsion for sheer unadulterated excellence for its own sake (Collins, 2001, p. 160).

Leaders need to constantly reflect about their personal and professional choices and actions. They must actively engage with others in creative thinking, decision-making and prob-

lem solving (Fullan, 2003). Personal and organizational satisfaction and productivity are linked to leaders who are “energy creators” and are acutely aware of the significance of creativity in sustaining changes. These leaders engage the mind and heart to solve complex adaptive challenges (Fullan, 2005), at the same time confronting the most brutal facts of their current realities, but retaining faith that they will prevail in the end, regardless of the difficulties (Collins, 2001).

Educational leaders must develop and sustain close personal relationships in order to further refine their resiliency or hardiness factors (Henderson & Milstein, 1996). A “caring” family attitude both at home and in the workplace plays an important role in the effective adjustment to changes (DePree, 1989). There is an old adage that states, “A close friend steps in when it seems that the rest of your world steps out.” People do find meaning by connecting with others and they find well-being by making progress on problems important to their peers and of benefit beyond themselves (Fullan, 2005). Subsequently, employing a “high-touch” caring approach in the way you do business is beneficial for personal and organizational satisfaction and productivity. It not only feels good and becomes infectious, but also promulgates the further development of a key disposition for surviving and thriving in the current waters of school leadership with all of its political waves. However, in America there has been a more acute need for close personal relationships because three times as many people lived alone in the past two decades than lived alone fifty years ago (Stossel, 1992).

A decade ago the Kellogg Leadership Project Report enumerated key purposes of leadership that included: creating a supportive environment, promoting harmony with nature, and creating communities of reciprocal care and shared responsibility (Cunningham & Cordeiro, 2003). It is imperative for superintendents, however, to take care of themselves and utilize the reciprocal care practices they have advocated in their organizations for others. Leaders must also be good to themselves. They must celebrate victories no matter how small and practice self-congratulations in their self-talk (Cashman, 1998). Thus, the caring disposition so significant to resiliency and hardiness can be further developed and reinforced by educational leaders simply “practicing personally what they have been preaching organizationally” for several years.

RECOMMENDATIONS FOR SUPERINTENDENT PREPARATION PROGRAMS

Bolman and Deal (1995) suggested that, “Leaders who have lost touch with their own souls, who are confused and uncertain about their core values and beliefs inevitably lose their way or sound an uncertain trumpet” (p. 11). It is critical, therefore, that if educational leaders are to provide the necessary leadership so that all students meet the high standards that have been set, it is just as critical that those same leaders be provided with opportunities, resources and support to better understand themselves and the dimensions of educational leadership in the 21st century.

In 1996, the Council of Chief State School Officers (CCSSO) adopted a set of voluntary national standards for educational leaders. According to the authors of the standards, their purpose was to “...stimulate vigorous and thoughtful dialogue about quality leadership among stakeholders in the area of school administration” (Council of Chief State School Officers, p. iii.). Since 1996, most states have adopted these standards; professional development programs have been aligned to these standards; university programs for leadership preparation have been revised according to these standards; and many professional organizations across the nation are using these standards to help support leadership development in education (Murphy, 2001).

Although these standards guide the development of educational leaders in areas of visionary leadership, instructional leadership, resource management, collaborative leadership, ethical leadership, and political/community leadership, it is rare to find programs of study, professional development, or personal support programs that address one of the most fundamental causes of the current and future shortage of educational leaders: how to deal with being an educational leader who becomes a professional victim. The need for this focus is particularly acute during these times of high accountability, resource depletion, and the interventionist politics of local boards of education and interest groups. Thus, colleges and universities who have the responsibility of training and preparing future educational leaders, and supporting current educational leaders as well, should play an active role in helping leaders address the professional victim syndrome.

SURVIVAL FOR THE 21ST CENTURY EDUCATIONAL LEADER

Educational leaders, especially superintendents of schools, are the key people at the helm of organizational change in this initial decade of the twenty-first century, and they each need to practice the dispositions of challenge, commitment, control, creativity, and caring on a regular basis in order to enhance their survival and to promote their personal enjoyment and organizational success. Leaders need to remember that, "Change is a process not an event, and is accomplished first by individuals, then by organizations" (Hord, 1987). Quinn (1996) reported, "At a personal level, the key to successful living is continuous personal change. Personal change is the way to avoid slow death. When we are continually growing, we have an internal sense of meaning and impact. We are full of energy and radiate a successful demeanor" (Quinn, 1996, p.35). Success breeds success and is another key component of hardiness, resiliency, and coping successfully in the "real world" (Henderson & Milstein, 1996). Superintendents, however, must be prepared to face the reality of the political nature of their position, and have a deep understanding of the professional victim syndrome, and finally have the skills and dispositions necessary to overcome and be stronger if this should occur. Superintendents must model and promote the dispositions associated with those five Cs for personal and organizational satisfaction and productivity in order not to be a victim of the turbulent political environment, and its ubiquitous negatives that is so often a part of the position.

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Analysis of Superintendent Search Criteria and the Standards for Administrative Preparation Programs

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School boards are the ultimate decision makers in the process that leads to the hiring of school district superintendents. School district chief executives are key factors in the success of their organizations and as such represent one of the most significant decisions made by a school board. For most individuals who aspire to the superintendency, the path to the job is marked by years of experience within the education field and extensive preparation in the form of postgraduate education. As with other management professions in the public sector, for example, city administrators, a body of skill and knowledge related to successful job performance has been identified over time. In turn the professionals themselves have moved to research, deliberation, and an agreed upon skill and knowledge base as the foundation for certification and licensing schemes.

This study undertook an investigation of school superintendent searches from across the nation in an effort to determine the extent to which school boards value the skill and knowledge base adopted by the profession. The inquiry was centered on a content analysis of the selection criteria adopted by school boards as they solicit applicants for the position of school superintendent. These data from the content analysis were compared to the standards of the profession as articulated in the Interstate School Leaders Licensure Consortium (ISLCC). A central hypothesis of the study proffers that geographically and demographically different school districts will vary in their alignment with the professional standards.

A BRIEF HISTORY OF STANDARDS FOR SCHOOL LEADERS

Eleven years ago, ISLCC released a set of six standards for school leaders. This group had been established by the Council of Chief State School Officers (CCSCO) and was directed to develop a set of model standards with the intention of creating “a common core of knowledge, dispositions, and performances that will help link leadership more forcefully to productive schools and enhanced educational outcomes” (Council of Chief State School Officers, 1996, p. iii). Their charge was, clearly, to create a standard for educational leaders that could be implemented as a set of benchmarks for schools and school district leaders nationwide. Funding for the project came from two non-profit foundations.

This charge was necessitated by shifts in the educational environment across the country. Educational administration positions are expected to increase as much as 20% in the next few years (Kaplan, Owings, & Nunnery, 2005). Simultaneously, legislation such as No Child Left Behind (NCLB) has intensified the requirement for data-driven improvement of instruction and teacher accountability. Principals are being held ever more accountable for effective instruction and student achievement in their buildings. Given these demands, the advisability of developing nation-wide standards for both principals and superintendents seemed apparent.

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The National Policy Board for Educational Administration (NPBEA) was a major influence in the evolution toward standards for educational leaders. This board has continued to focus on two major goals: (a) the development and implementation of common and higher standards for the licensure of school principals and (b) the development and implementation of common guidelines for national accreditation of administrator preparation programs (Green, 2005). The various organizations represented on the NPBEA include: (a) accrediting bodies such as the National Council for Accreditation of Teacher Education (NCATE); (b) political bodies such as the CCSSO; (c) practitioner bodies such as the American Association of School Administrators (AASA); and (d) academic bodies such as National Council of Professors of Educational Administration (NCPEA). Given the variety and scope of these organizations, as well as the ongoing national interest in the improvement of student outcomes, it is understandable that the NPBEA has been highly political in both configuration and the individual agendas of member organizations.

Simultaneously, the Educational Leadership Constituency Council (ELCC), whose membership is comprised of four national organizations that represent school leaders, worked with NCATE and NPBEA to improve the ELCC standards by which educational leadership programs are reviewed and accredited. The AASA had previously published a set of standards for superintendents, and the key items within that set can also be identified within the ELCC and ISLCC standards. Kowalski and Bjork (2005), although critical of the ISLCC standards for superintendents, uncovered great overlap with their preferred AASA superintendent standards.

In addition, twenty-four states participated in the developmental process of the ISLCC standards, as did more than a dozen national organizations whose missions were related to the preparation and support of school leaders (Green, 2005). To appreciate fully the standards, it is important to understand the variety of groups and players who worked at various stages of each set of standards, that the ISLCC standards were the result of work by several organizations over time, and that they were created by integrating other sets of standards to complete the final list.

Thus, the standards, while not universally accepted, represent a broad consensus among practitioners, policy makers, and educators regarding the knowledge, skill, and dispositions needed by successful school leaders. Impetus for the shift to a new view of leadership in education emanated from the education reform movement initiated in the early 1980s. Old models of credentialing school leaders, through course taking and credit hour accumulation, were no longer considered adequate. Under the new model, preparation programs would be built on rigorous standards that catalogued the expected competencies of future school leaders (Grogen & Andrews, 2002).

DEVELOPMENT OF THE ISLCC STANDARDS

Seven principles guided the work of the ISLCC Consortium to serve as a focusing agent and to give meaning to the standards (Council of Chief State School Officers, 1996, p. 5). As discussed earlier, the language of the principles was based upon research and best practices in successful schools with the intention of developing standards that would be grounded in a reality of success. The group declared that the standards should:

- Reflect the centrality of student learning.
- Acknowledge the changing role of the school leader.
- Recognize the collaborative nature of school leadership.

- Be high, upgrading the quality of the profession.
- Inform performance-based systems of assessment.
- Be integrated and coherent.
- Be predicated on the concepts of access and empowerment of all members of the school community.

Ultimately, the consortium recommended six standards that would “focus on those topics that formed the heart and soul of effective leadership” (p. 8). Each standard was amplified by a list of benchmarks divided into three areas: Knowledge, Dispositions, and Performances. These benchmarks clearly identified specific (1) knowledge and understanding; (2) beliefs, values, and commitments; and (3) process facilitation and personal engagement. The six standards are listed below.

- **Standard 1—VISION** A school administrator is an educational leader who promotes the success of all students by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by the school community.
- **Standard 2—INSTRUCTIONAL PROGRAM** A school administrator is an educational leader who promotes the success of all students by advocating, nurturing, and sustaining a school culture and instructional programs conducive to student learning and staff professional growth.
- **Standard 3—LEARNING ENVIRONMENT** A school administrator is an educational leader who promotes the success of all students by ensuring management of the organization, operations, and resources for a safe, efficient, and effective learning environment.
- **Standard 4—COLLABORATION** A school administrator is an educational leader who promotes the success of all students by collaborating with families and community members, responding to diverse community interests and needs, and mobilizing community resources.
- **Standard 5—ETHICS** A school administrator is an educational leader who promotes the success of all students by acting with integrity, fairness, and in an ethical manner.
- **Standard 6—POLITICS** A school administrator is an educational leader who promotes the success of all students by understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context.

RESEARCH ON STANDARDS FOR SUPERINTENDENTS

The ISLCC standards and their indicators of knowledge, skill, and dispositions have, at their foundation, been recommended to some degree in various leadership studies over time. One example of this research is on the dimensions of leadership focused on moral authority (Sergiovanni, 2001). Other studies indicated that the “art” of leadership can be learned and assessed (Kouzes & Posner, 2002), adding credibility to the need to define standards for school leaders as they develop and implement their leadership. Moreover, even though the need for instructional leadership has been found in the literature for more than 15 years, it has been only relatively recently that data-driven curriculum has become a norm for schools and that school leadership development programs have included data analysis and action research in their curriculum (Riley, 2002).

Much of this research conducted around professional standards has been focused on the principalship (Pitre & Smith, 2004). Nevertheless, some research has investigated the relationship between ideal and real world leadership of superintendents. In one study, Holloway (2001) described the creation of an assessment for licensure purposes by the Educational Testing Service (ETS). The test was based upon a job analysis of the superintendency that was then aligned along the domains of the ISLCC standards. This analysis purportedly validated the ISLCC standards.

Several state-based studies have also been conducted relative to the leadership of school districts. In one example Hoyle (2002) looked at the “crisis” of leadership among Texas superintendents using the standards developed by the AASA discussed earlier. These standards had been declared a model for superintendent preparation, selection, and evaluation. Hoyle ultimately recommended that a model of the “CEO Superintendent” and several structural changes to board/superintendent interaction would overcome the alleged crisis.

Kowalski (2005a) summed up the expectations of superintendents: “Today’s ideal superintendent is supposed to be a transformational leader, an individual guiding others to rebuild organizational cultures and climates collaboratively” (p. 17). He further described the “new” superintendents as visionary leaders who assist the school community in overcoming obstacles to success. Likewise, Hoyle, Bjork, Collier, and Glass (2005) portrayed the superintendent as Chief Executive Officer with sweeping new responsibilities. While they, too, are critical of the ISLCC standards for superintendents, they highly endorse standards-based preparation programs.

CRITICAL PERSPECTIVES ON THE ISLCC STANDARDS

While some studies confirm the validity or applicability of the ISLCC administrator standards, others do not. For example, Boeckmann and Dickson (2001) challenged the relationship of the ISLCC Standards to daily practice. They raised issues about the worth of the standards to practitioners, the complexities of the superintendency, and the standards’ practical usefulness. They stated that, even though they perceived some value in the standards, they were unlikely to be incorporated into daily practice.

Tallerico (2000) investigated access to the superintendency by women and people of color. Candidates, school board members, and search consultants were interviewed relative to the superintendent search process. Findings indicated that endemic biases existed among school board members and search consultants that played a larger role in identifying the “most qualified” applicants. Even with well-researched lists of norms such as the ISLCC Standards, personal bias and proclivity were the final determinants for choosing superintendents. Similarly, Funk, Pankake, and Schroth (2004) studied characteristics and leadership styles of successful female superintendents to develop an archetype of an outstanding female superintendent. Their list of “leadership themes” had limited overlap with ISLCC standards.

Another criticism of the ISLCC Standards is their tendency to provide standards without methodology, leaving the practitioners to discern methods in isolation (Pitre & Smith, 2004). In an ideal world, the methods are taught in preparation programs, but there are many states in which non-educators can become superintendents without knowledge of how school systems differ from other organizations. The argument that a CEO of a for-profit company or government agency can transfer leadership skills to the superintendency effectively has been challenged by supporters of the ISLCC Standards (Pitre & Smith, 2004). Further, these researchers beg us to consider leadership as a contingent of individuals rather than a single person and that only one of the standards reflects collaboration with other individuals who contribute to

school and school district effectiveness. Critics claim that the standards are centrist in nature and rely on an outdated model of leader/followers.

Kowalski (2005b) also pointed to shortcomings in the ISLLC standards in his description of the perception of the role of superintendents during historical periods of the late nineteenth and twentieth centuries: teacher of teachers, manager, statesman, social scientist. He argued that communication is the paramount competence for success in the superintendency and proffered a fifth conceptualization of the superintendent as communicator. Kowalski criticized the ISLLC standards for their deficiency in emphasizing communication more robustly among the standards.

Although their study did not examine the ISLCC standards specifically, Peterson and Klotz (1999) surveyed 66 superintendents and school board presidents to determine the correlation in opinions regarding the competencies needed to continue employment as a superintendent. A high degree of correspondence existed between the two groups around the nine competency areas listed on the probe: public relations, school finance, personnel management, curriculum development, policy formulation, school construction, accomplishment of board goals, superintendent/board relations, and collective bargaining. Problems with curriculum and board/superintendent relations were determined to be the areas most likely to lead to non-renewal of a superintendent contract.

Buchen (2001) likewise did not conceptualize his study within the ISLCC standards but did analyze board solicitations for superintendents. He found five categories: leadership, management skill, school reform, instructional leader, and technology. Based on the scope of demands placed on superintendents, he was critical of board expectations for superintendents and calls for reform in the area of leadership.

Clearly, a variety of claims exist relative to the ISLCC Standards, yet their potential for creating successful leadership of school districts persists. Thus, it becomes apparent that the selection process for identifying quality superintendent candidates might be well served by alignment with the standards. This study, the second in a series of such studies relative to the superintendency, focused on the selection process and asked several important questions.

METHODS

This study began with the following research questions:

- (1) Is there a significant difference in alignment with the ISLCC standards by local school boards during superintendent searches based on school district characteristics?
- (2) What district characteristics best predict alignment with ISLCC standards by local school boards during superintendent searches?
- (3) Is there a significant difference in emphasis given to each of the ISLCC superintendent standards by local school boards during superintendent searches based on school district characteristics?

Sample

The sample in this study included 67 school districts gathered from superintendent searches that took place from 2001 through 2006. In an effort to build a large sample, and because of the difficulty of collecting data from searches, no effort was made to randomize the sample. Thus, the study is limited in this regard. However, an effort was made to stratify

the sample to include school districts from each geographic region in the country, districts of varying sizes, and school districts with different demographic profiles. Geographically, the sample is distributed among 13 Western states, 32 Midwestern states, nine Northeastern states, and 13 Southeastern states. The school districts represented in the sample range in size from just less than 400 to slightly more than 160,000 students. Demographic data show districts with poverty rates from one percent to more than 30 percent and minority enrollments from two percent to 98 percent.

Note that the mean enrollment for the sample school districts is 20,527 students. Less than six percent of the sample, four school districts total, account for school districts with enrollments fewer than 1,000 students. This contrasts with 21 percent of the sample, 14 school districts total, comprised of school districts with enrollments greater than 30,000 students.

Based on observations while collecting the sample, three reasons are suggested for this variance in the size distribution of the sample. First, very small school districts tend not to advertise broadly when soliciting for nominations for new superintendents, i.e., they do not engage in national searches, so they are harder to find. Two, these same school districts also tend to use generic position announcements with limited descriptions about desired qualities and characteristics for the new superintendent. Three, very small school districts are less likely to use search consultants and elaborate community engagement processes that would lead to more definitive hiring criteria. All three of these issues relate to the cost associated with an executive search.

Variables

For questions one and two, the dependent variable is alignment between ISLCC standards and characteristics/qualifications/expectations identified by local school boards during superintendent searches. This measure is represented by a ratio of standards addressed by each school board over the total number of standards. The dependent variable for question three is the emphasis given to each standard by each school board. This is represented by the frequency of references to each standard contained within job announcements. Specifics on the source of these data and the construction of these variables are included below.

Independent variables for all three questions include district enrollment, student to teacher ratios, urbanicity, district total annual expenditures, annual expenditures per student, percent federal revenue, percent minority, percent poverty, and the allowance of non-traditional candidates in the pool. Specifics on the source of these data and their respective scales are also included below.

Data

Both dependent variables were created through a content analysis of superintendent job announcements posted by the school districts included in the sample. Consistent with standard deductive content analytic coding methods (Holsti, 1969; Neuendorf, 2002; Weber, 1985), three raters independently coded announcements at the phrase level using the aforementioned ISLCC standards as coding categories. For the first dependent variable, the ratio was created by counting up the number of standards addressed by each district (regardless of how many times each standard was mentioned). For example, if a job announcement contained phrases that discussed creating a vision, working collaboratively with stakeholders, and acting with integrity, this was given a score of three (out of six).

Following independent coding, inter-rater reliability was measured by both percent agreement (Watkins & Pacheco, 2000) and Cohen's Kappa (Cohen, 1960). Percent agreement after initial coding indicated only 25% agreement between the three raters. Likewise, coefficient kappa indicated .265 ($p = .000$), which is considered only fair (Landis & Koch, 1977). Thus, the raters met to discuss discrepancies in interpretation and then recoded. After the second coding, percent agreement indicated 67% agreement, and Cohen's Kappa resulted in .673 ($p = .000$), which is considered substantial. Of course, after the second coding differences still existed. Therefore, the final overall ratio scores used for questions one and two reflect those numbers where at least two raters agreed.

The dependent variable for question three was also created using the aforementioned coding. Once job announcements were coded, frequency counts were tabulated for each standard for each district based on the number of phrases each announcement contained specific to a particular standard. Using the previous example, a district's announcement may have addressed vision once, working collaboratively five times, and acting ethically twice, which provides a measure of emphasis districts give to certain standards. Thus, each district has six different scores (one per standard) for this dependent measure. Scores used in the analysis represent the mean of the three raters' frequency counts per standard.

Table 1. Descriptive Statistics.

	<i>M</i>	<i>SD</i>	Range	
enrollment	20,527.11	33,532.87	374–164,235	
student teacher ratio	16.04	3.67	9.6–34.2	
expenditures	172,626,910.44	281,577,301.56	3,084,000–1,554,591,900	
expenditures per student	9,119.05	2,853.55	5,878–18,796	
percent federal revenue	.05	.05	.00–.24	
percent minority	.31	.25	.02–.98	
percent poverty	.07	.06	.01–.32	
overall ratio score	5.23	.97		
urban	5.52	.87		
suburban	5.18	1.02		
rural	4.77	.83		
non-traditional yes	5.50	1.06		
non-traditional no	5.20	.96		
	<i>M</i>	<i>SD</i>	Σ	%
standard 1	1.02	.66	69.00	7
standard 2	3.08	2.74	206.67	24
standard 3	2.76	2.04	185.33	21
standard 4	3.81	1.65	255.67	29
standard 5	1.50	.88	101.00	11
standard 6	1.10	.96	74.33	8

Of the nine independent variables, two are nominal (urbanicity and non-traditional candidates) and those remaining are continuous. Urbanicity measures the type of community in which the district resides: urban ($n = 21$), suburban ($n = 37$), or rural ($n = 9$). In the regression analyses described below, urbanicity was dummy coded, using suburban as the reference category. These data were collected from the Common Core of Data (CCD).

Non-traditional candidates is a dichotomous variable (yes, $n = 8$ /no, $n = 59$) indicating whether the district encourages/allows non-traditional candidates to apply, which is defined as incumbents who enter the superintendency from outside educational organizations (business,

military, etc.). These data were gleaned from each job announcement. All continuous data came from the CCD. Total district student enrollment is self-explanatory. Annual expenditures per student was created by dividing total annual expenditures by total enrollment. Annual expenditures, percent federal revenue, percent minority, and percent poverty were included in their originally reported state from the CCD. Table 1 includes descriptive statistics for the dependent and independent variables.

Analysis

Questions one and two were analyzed using multiple regression. Prior to these analyses, continuous independent variables were evaluated for colinearity, which is a condition in which the independent or predictor variables in a regression analysis are correlated, resulting in spurious results. If colinearity is evident, typical procedures include omitting one of the correlated variables, combining them, or transforming the data. Results indicated colinearity between the enrollment and the total annual expenditures variables. Given that the expenditure variable would be represented in another form (by the expenditures per student variable), it was omitted from subsequent analyses. None of the other variables evidenced colinearity.

For question one, the enter regression method was used. This introduces all the variables into the model and allows for the examination of particular variables of interest while controlling for the effect of all the others. Question two was analyzed using backward stepwise regression. In so doing, we were not interested in the effects of all the variables, as in question one, but in those that best predict alignment with ISLCC standards. Like the enter method, backward stepwise begins by introducing all the independent variables into the equation but then eliminates them one at a time based on their individual levels of significance until a model of “best” predictors is left.

Question three was analyzed using correlation, goodness of fit chi-square, and MANCOVA. The correlation analysis provides a relational analysis (or lack thereof) of the emphasis across the standards. For example, if school districts emphasize Standard Two, what other standards likewise receive emphasis, and, more specific to question three, which do not?

The goodness of fit chi-square analysis examines the distribution of the sum of the frequencies across the six standards to determine if the distribution is non-random. Given the absence in the superintendent ISLCC standards literature concerning relative emphasis of the standards (which would provide the expected frequencies), we gave the standards equal emphasis in this analysis.

Finally, as results below indicate, the emphases among several standards are strongly correlated. Therefore, MANCOVA (rather than six separate univariate analyses) was performed to examine differences in emphasis within the standards based on school district characteristics. In this analysis, the nominal variables were the independent variables, and the continuous variables were treated as covariates.

RESULTS

Results below are arranged and discussed by research question:

Is there a significant difference in alignment with the ISLCC superintendent standards by local school boards during superintendent searches based on school district characteristics?

As Table 2 indicates, none of the independent variables indicate significant differences on the overall ratio score after controlling for all other variables, a finding complemented by overall F and R^2 results. Specifically, the overall model is not statistically significant (p

=.102), and the variance explained by the model is slightly less than 10%. Practically speaking, this means to the extent that differences exist among districts in their alignment with the ISLCC standards, they cannot be substantively predicted or explained by the combination of school district characteristics included in this table. If one seeks to make distinctions in alignment between districts based on an index of characteristics, this model, or combination of variables, would not effectively serve the purpose. However, the next research question and its results seek to develop such a model.

Table 2. *Enter Regression Results.*

	β	p
(Constant)		.000
enrollment	.188	.276
student teacher ratio	-.047	.770
expenditures per student	-.054	.739
percent federal revenue	.074	.757
percent minority	-.038	.883
percent poverty	-.370	.099
allow non traditional candidates	.049	.765
urban	.250	.102
rural	-.122	.387

* $F(9, 67)=1.73, p=.102; R^2_{Adj}=.091$

What district characteristics best predict alignment with ISLCC superintendent standards by local school boards during superintendent searches?

Results for the second question indicate percent poverty, urbanicity, and enrollment best predict alignment between local school board searches and ISLCC standards. As Table 3 indicates, the beta directions for all three variables are in an expected direction. That is, larger school districts in urban settings with fewer poor students show greater alignment with the ISLCC standards. Moreover, the strongest predictor is percent poverty. Of course, the overall model is statistically significant, but the variance explained by this model remains relatively small. Although slightly less than double the full model included above, these significant predictors only account for 16% of the variance. Such results point to characteristics that significantly predict differences in alignment and provide a model, or combination of characteristics that facilitate such predictions, but the small amount of explained variance means there are other variables at play in the differences in alignment that remain, as of yet, unmeasured.

Is there a significant difference in emphasis given to each of the ISLCC superintendent standards by local school boards during superintendent searches based on school district characteristics?

An examination of this question began with a series of bivariate correlations between the six standards. As results in Table 4 reveal, there appear to be moderate to strong correlations among standards two through five but not between those and standards one or six. Moreover, the correlation between standards one and six appears small. Thus, as the frequencies and percentages in Table 2 also reveal, the emphasis given to standards by districts appears uneven.

Table 3. Backward Stepwise Regression Results.

	<i>B</i>	<i>p</i>
(Constant)		.000
enrollment	.242	.041
percent poverty	-.356	.005
urban	.286	.027

* $F(3, 67)=5.22, p=.003; R^2_{Adj}=.161$

School boards appear to stress ethical leadership in creating learning environments that result in improved instruction and learning, but they appear comparatively less interested in politically savvy leaders with vision.

Table 4. Intercorrelations of Frequency.

	standard 2	standard 3	standard 4	standard 5	standard 6
standard 1	.306*	.284*	.403**	.374**	.299*
standard 2		.758**	.619**	.526**	.157
standard 3			.695**	.620**	.270*
standard 4				.530**	.389**
standard 5					.324**

* $p=.05.$, ** $p=.01$

As Table 1 indicates, the distribution of the sum of the frequencies of the standards further indicates a greater emphasis on standards two, three, and four. Goodness of fit chi-square analysis reveals this unequal emphasis is non-random, $\chi^2(5, 892) = 203.83, p = .000$.

MANCOVA results revealed few differences within each standard based on school district characteristics. Among the covariates, no clear trends emerged concerning interactions with the standards. Only enrollment on Standard 2, $F(1, 67)=5.44, p=.023$, federal revenue on Standard 5, $F(1, 67) = 4.87, p = .031$, and percent poverty on Standard 5, $F(1, 67) = 5.17, p = .027$, revealed any significant interactions. No other covariates indicate significant interactions with any of the standards.

Of the independent variables, only urbanicity revealed significant differences and only within Standard 6, $F(2, 67) = 3.55, p = .035$. Specifically, boards in urban districts ($M = 1.86$) referenced politics more than boards in suburban districts ($M = .89, p = .033$) and rural districts ($M = .591, p = .034$). No other standard evidenced differences based on urbanicity, and the allowance for non-traditional candidates did not produce significant differences within any of the standards. Thus, district characteristics appear to make little difference in the emphasis given to the ISLCC standards. Aside from the greater emphasis on politics among urban school boards, school districts in this sample appeared consistent in their emphasis on the characteristics/qualifications/expectations of superintendents as represented by the ISLC standards.

DISCUSSION

The content analysis from the 67 superintendent searches in this study revealed a high degree of alignment with the ISLCC standards among the school districts. Although not com-

pletely consistent, the search criteria from the individual school districts readily matched with the ISLLC standards in a majority of cases. This indicates that school boards hold a similar view to the professionals in the field of educational leadership regarding the skills and knowledge needed to succeed as a school superintendent. It also suggests that the six standards are written as generic statements that can subsume the many tasks and responsibilities expected of superintendents.

It should be noted that the process by which school boards identify the qualities and characteristics they desire in a new superintendent often involves broad-based input. This was the case with the districts in our sample. Community forums, focus groups, and surveys are commonly undertaken as part of the search process. In this way school boards consider the opinions of a spectrum of stakeholders, such as employee groups, parents, students, business leaders, labor organizations, civic leaders, and taxpayers. Thus, the search criteria adopted by the school board often represent a consensus of opinion within the community.

Overall, the ISLCC standards were identified 892 times among the search criteria in the 67 searches studied. Additionally, a clear pattern of emphasis was seen between the standards. Standard four, related to collaboration, was the most often mentioned. This was followed by Standard two, which focuses on the success of all students and a positive school culture. Standard three was the next most frequently identified and it is concerned with the management and operation of the school district. This pattern seems consistent with contemporary issues in public education across the nation, such as the emphasis on standards and assessment, accountability for student achievement, and their related curriculum and instruction issues. But traditional board concerns for sound fiscal management, planning, and organizing were also evident.

Larger school districts in the study tended to have the greater match with the standards, although, within this larger school district group there is a marked difference. Among the larger districts poverty and minority enrollment were distinguishing factors. This might be related to how the districts are categorized within the CCD database and the fact that all large districts were collapsed into one group to achieve a larger sub-sample for this study. As a result, urban core districts and large county school districts, both with large enrollments, were treated alike.

Differences, however, were observed within the large school district sample. Districts with a city core profile tended to emphasize ISLCC Standard six, related to politics, more than other large districts. On the other hand, school districts with a more suburban profile tended to cover all the standards in a more even manner. One can speculate that the diversity of opinion about the role of public education in these two kinds of communities accounts for the difference in emphasis among the standards, where suburban districts exhibit more consensus about the role of the superintendent, and urban districts tend toward a more wide ranging role.

Surprisingly, school districts expressing an interest in considering non-traditional candidates comprised only seven percent of the sample. Given all the media attention in recent years about non-traditional candidates, and the support of several foundations that endorse the hiring of non-traditional candidates, this number seems small (Broad Foundation and Thomas B. Fordham Institute, 2003). These school districts also tended to be among the larger ones in the sample. Unfortunately, because this sub-group was so small, no viable comparisons could be made. This will be left for future studies.

Also left for subsequent research is the relationship between alignment with the standards and superintendent longevity. That is, superintendents complete programs based largely on the ISLCC standards, creating a pool of candidates with a particular definition of the superintendency and conceptualization of the importance of certain skills and knowledge. Thus, one

might expect greater alignment between ISLCC standards and school board expectations (as measured by solicitations) to result in greater superintendent longevity. Such research would be a valuable and natural extension of the present study.

What is clear from our analysis is that expectations from school boards and communities for superintendents are extremely high. The demands of the position are expansive and growing. Given these trends, thoughtful consideration of future directions in education, targeted research on the superintendent career, and continuing reflection about the viability of university preparation programs is needed.

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Navigating the Political and Policy Waves: State Education Leadership Policies and No Child Left Behind

Virginia Roach

INTRODUCTION

School administrators and the programs that prepare them are influenced by the political and policy trends in the field. Policymakers and other education stakeholders have become increasingly concerned over the supply and quality of education leaders at the building and district level (Adams & Copeland, 2005; Levine, 2005; Murphy, 2003; National Association of State Boards of Education, 1999). Several studies have linked school administrators with student achievement (Leithwood, Seashore Lewis, Anderson, & Wahlstrom, 2004; Waters, Marzano, & McNulty, 2003; Witziers, Bosker & Kruger, 2003). These studies and a growing best practice literature have encouraged the creation of coherent state policy systems that reflect the developmental nature of building-level administrators (von Bertalanffy, 1968; Sanders & Simpson, 2005). At the same time, frustration over persistently poor student performance on standardized assessments and gaps in achievement between student groups, led to the passage of the *No Child Left Behind Act* (NCLB). Arguably, both of these political and policy trends are impacting the work of school administrators and should influence the work of the programs that prepare them. The purpose of this study was to examine the degree to which the major tenets of NCLB have been reflected in state policies related to school administrators since 2001. Specifically, this study focused on the ways in which the K–12 building-level administrator policy has addressed the issues of equity, accountability, and achievement as they relate to the Adequate Yearly Progress (AYP) provisions in NCLB. By understanding these trends, professors of educational leadership can improve their programs through alignment with the policy imperatives in the field and the goals for the profession.

Several efforts over the past decade to improve the administrator policy context have created notable shifts in the field with respect to leadership standards, preparation, licensure, mentoring, induction, and on-going professional development requirements. For example, common standards based on those established by the Interstate School Leaders Licensure Consortium (ISSLC) were adopted in over 40 states. These standards are codified in administrator licensure and assessment requirements (Murphy, 2003; Sanders & Simpson, 2005). The standards are also the basis for state and national accreditation of educational administration programs (Educational Leadership Constituent Council [ELCC], 2002; National Council for the Accreditation of Teacher Education, 2006). By 2005, 12 states had created a tiered licensure structure with provisional and full credential levels, followed by on-going licensure requirements (Illinois State Action for Education Leadership Project, 2005). These policies suggest a continuum of development throughout the career of the education administrator.

While policies regarding education administration have been changing over the past decade, education accountability policy has changed dramatically in the same time frame. The No Child Left Behind Act of 2001 (NCLB) put in place a number of assessment mechanisms with which to judge schools. Chief among these are the annual state assessments in reading and mathematics in grades 3–8, with an additional assessment at least once in grades 10–12.

Beginning with the school year 2007–2008, states are also required to assess students in science at least once in grades 3–5, 6–9 and 10–12. Each school is to make Adequate Yearly Progress (AYP) on the tests by aggregating the scores across student groups to ensure that all students reach the designated level of proficiency. The law created a series of sanctions for low performing schools. These sanctions include restructuring, reconstituting the school, and privatizing the school, if necessary (Essex, 2006). In addition, parents may choose to send their children to other schools when a child's school is "identified for improvement, corrective action, or restructuring" (p. 3). Through this assessment and accountability regime, standardized state tests have taken on a new importance (Essex, 2006).

Another key provision of NCLB is the strong orientation toward equity that is embedded in the law. The law requires that all students be included in the assessments, except for a very small percentage of students with disabilities and non-English speakers. Yearly test scores are disaggregated for these student groups as well as for students by race/ethnicity, economic status, gender, and migrant status (Essex, 2006). In this way, school officials at each school are held accountable for all students.

These major tenets of NCLB—accountability, assessment, and equity—have had a profound impact on school administrators. Yet, it is unclear the extent to which NCLB is impacting the policies that are guiding the development of educational administrators.

THEORETICAL FRAMEWORK

Systems theory posits that rather than viewing events in the environment as discrete activities or elements, they can be thought of as arrayed in a system where the sum of the parts is greater than the whole (von Bertalanffy, 1968). Indeed, the focus on policy alignment through the U.S. standards-based reform movement of the 1990s was to establish standards for student achievement, align policy to support those standards, and restructure governance to align responsibility and authority throughout the *system* of education, from the federal government to the classroom (Fuhrman, 1993; Fullan, 1993; Fullan & Miles, 1992; Smith & O'Day, 1991).

The policies that guide K–12 education administrators can be thought of as a system (Haynes, 2006; Roach, 2006; Sanders & Simpson, 2005). Beginning with established standards for school administrators, the system also includes cultivating the pipeline of prospective administrators, the pre-service education of administrators, initial licensure of administrators, induction in the field, full licensure, and on-going professional development of school administrators. Ultimately, advanced licensure and on-going professional development can support differentiated staffing of administrators into positions in schools, central offices, regional service districts, state departments of education, and higher education institutions. Administrators in these positions, then, review and revise the administrator standards in a continuous process of evolution (von Bertalanffy, 1968; Roach, 2006).

In 2005, Sanders and Simpson framed five areas of this administrator development cycle in their *State Policy Framework to Develop Highly Qualified Educational Administrators*. In their state policy study, they analyzed policies through five state policy levers:

Policy Lever 1: The state certifies highly qualified administrators and requires continuous improvement across the career continuum.

Policy Lever 2: The state establishes professional administrator standards and uses performance-based indicators and measures of administrator quality, benchmarked along the career continuum.

Policy Lever 3: The state establishes performance-based criteria for approval of administrator preparation programs and policies to recruit diverse, qualified

aspirants; prepare candidates to meet entry-level benchmarks; and support early career success.

Policy Lever 4: The state requires professional development for certification and continuous improvement of leadership practices and to support and retain effective administrators on-the-job.

Policy Lever 5: States gather and use performance-based evidence of administrator quality for state accountability and program improvement. (p. 1)

By surveying state education agencies in 2004, Sanders and Simpson sought to provide a snapshot of where state policies stood in relation to this framework. The researchers noted the utility of discerning current status, emerging trends, strengths, and gaps in existing policy both within and across states (Sanders & Simpson, 2005). As one of the first attempts to develop a taxonomy of state policy in this area, Sanders and Simpson noted the need for further data collection and analysis.

PURPOSE

Education is described as an “open system.” According to von Bertalanffy, such systems “are open to, and interact with, their environments, and . . . can acquire qualitatively new properties through emergence, resulting in continual evolution,” (Heylighen & Joslyn, 1992, 1). State education administration policy has been transforming across the country to a system of aligned policies that reflect the continuous and developmental nature of becoming an administrator. Yet unexplored is the degree to which the NCLB legislation is impacting school administrator policies. There is a need to update the findings of Sanders and Simpson using the actual policies and to broaden the conceptual framework to include NCLB as a major element of the educational environment. The purpose of this study was to examine the degree to which the major tenets of NCLB have been reflected in state policies related to school administrators, particularly in the areas of equity, accountability, and student achievement.

METHODOLOGY

In contrast to Sanders and Simpson’s state survey, the actual state policies in each state were reviewed in this study with respect to standards for school leaders; state licensure assessments; mentoring, induction and internship; and ongoing professional development requirements for building-level school administrators. The policies were first accessed through the each state’s published administrative code, which is annually updated through state legislative and legal services. Additional updates were received through state department of education websites and contacts with state departments of education. Each state’s published code is the repository of all official rules and regulations issued by each agency. Only official state rules, regulations, or guidance are reported in this study. By sticking to approved rules and regulations, the data relate to actual state policy versus plans, or in some instances, “wishful thinking” of respondents. Legislation, which is often more general and directs the governing boards to develop rules and regulations, was not reviewed in this study.

The policies were gathered and examined between November 2005 and February 2006. Each state’s policies were then reviewed between September 2006 and January 2007 to ensure any changes in policy over the course of 2006 were also captured for analysis. State policies were retrieved and sorted into five categories: (a) standards; (b) licensure and assessment; (c) program approval; (d) mentoring; and (e) ongoing professional development. These categories a–e are related to the 2005 Sanders and Simpson policy levers 1–4 (p. iv).

The analysis was conducted by reviewing the policies in each of four policy areas (i.e., standards, assessment for licensure, mentoring, and ongoing professional development). The researcher began with a “start list” (Coffey & Atkinson, 1996) of codes related to student equity, accountability, and assessment. As this descriptive study sought to evaluate the degree to which these elements were represented in the state policies, other “bottom up” codes (Coffey & Atkinson, 1996) were generated from the data as a point of comparison. The coded policies were then analyzed for larger themes. Themes, with supporting data, were generated for each of the four policy areas investigated.

FINDINGS

Many states have revised or created policies in education administration since 2000. For example, Delaware adopted their standards in 2002, the administrator certificate structure in 2003, the on-going professional development requirement in 2003, their performance appraisal system in 2004, and the mentoring requirement in 2004. Similarly, Georgia adopted new administrator standards in 2004, a new licensure system that includes an assessment and internship component in 2004, and new on-going professional development requirements in 2004 and 2005. Other states, such as Wisconsin, have updated significant portions of their administrator policy (e.g., standards, licensure requirements, program approval requirements, and mentoring requirements in 2005) but have not updated others, e.g., licensure renewal and ongoing professional development requirements (2000). To measure the impact NCLB has had on these policies, it is important to look at those policies that were enacted after January 2001.

Yet, simply setting a date post 2001 is insufficient. If a policy was revised just prior to the enactment of NCLB, the chances of a policy body going back to revise the same policy in the next year or two is low. State boards of education, as many policy boards, typically review policies on a three- to five-year cycle (Department of Aging, Disability & Home Care, 2006; National Association of State Boards of Education, 1986). As such, policies enacted from 2004 through 2006 were of particular interest in this investigation. This allowed for a policy review and development cycle to occur after NCLB was implemented.

Leadership Standards

According to Sanders and Simpson’s findings of their 2004 survey, 46 states have leadership standards and 41 of those states report that they either adopted the Interstate School Leaders Licensure Consortium (ISLLC) Standards or ensured that standards were aligned with the ISLLC standards (Sanders & Simpson, 2005). Most states adopted standards in the late 1990s and early 2000 or 2001 before the passage of NCLB.

Of note are the standards passed since 2004. Many of those standards are, essentially, a restatement of the ISLLC standards. For example, the California, Georgia, and Missouri standards, passed in 2004, are almost verbatim the ISLLC standards. The Kansas, Ohio, and Massachusetts standards, passed in 2005, are closely aligned to the ISLLC standards. The Wisconsin standards, passed in the same year, are the ISLLC standards plus the requirement that the administrator meet the teacher standards as well. While the passage of uniform standards can promote the professional identity of education administrators, these standards were established in 1996 (Council of Chief State School Officers (CCSSO), 1996), long before the current assessment and accountability movement.

In contrast to the states that passed the ISLLC standards, a few states have recently passed standards that seem more aligned with NCLB (although perhaps influenced by

ISLLC). The Alabama standards, passed in October 2005, specifically reference assessment and accountability for student learning. Furthermore, Alabama standards specifically address diversity: “Effective instructional leaders respond to and influence the larger personal, political, social, economic, legal, and cultural context in the classroom, school, and the local community *while addressing diverse student needs to ensure the success of all students*” [italics added], (Alabama State Department of Education Administrative Code, 2005).

Florida included specific standards in instructional leadership, operational leadership, and school leadership in the 2005 revisions of their standards. Embedded in these three categories are standards addressing diversity, accountability, and assessment. The standards state, “High performing leaders promote a positive learning culture, provide an effective instructional program and apply best practices to student learning, especially in the area of reading and other foundational skills,” (Florida State Board of Education Rules, Chapter B6-5). States that have recently adopted standards that are distinguishable from the ISLLC standards appear to have a greater emphasis on diversity, equity, student assessment, and accountability.

Assessment

Assessment policies are often part of licensure requirements in states. Three assessment models emerged when reviewing the policies. First, some states require assessment as part of graduation from an approved administrator preparation program. These states include: Iowa, Montana, Nebraska, Vermont, Rhode Island, and Alaska. Equity, accountability, and assessment are infused in varying degrees across higher education institutions.

Under the second model, assessment is performance-based and completed during the internship portion of the licensure process. For example, Louisiana’s Level II Educational Leader Certificate requires the candidate to earn a passing score on the Interstate School Leaders Licensure Consortium (ISLLC) Portfolio Assessment (Louisiana Board of Elementary and Secondary Education, 2005). Delaware, California, Ohio, and Colorado require assessment through the induction program. Delaware’s assessment policy includes a Performance Appraisal System (2004) for administrators composed of four components, two of the four components being *assessment of school improvement plan*, and *assessment of measures of student improvement*. Teachers with less than three years experience are required to complete two cycles of performance appraisal and one “summative evaluation at the end of a one-year process” (Delaware Administrative Code, 14-100-108). Ohio’s induction program requires mentoring congruent with performance-based assessment (Ohio Department of Education, 2004).

The third model is a written assessment separate and distinct from the pre-service education process. Some states use national assessments for this purpose, some have created their own assessment. Fifteen states now require administrative candidates to pass the School Leadership Licensure Assessment (SLLA). These include: Arkansas, California, Connecticut, Washington, D.C., Indiana, Kentucky, Louisiana, Maine, Maryland, Mississippi, Missouri, North Carolina, Pennsylvania, South Carolina, Tennessee, and Virginia. The SLLA is ISLLC-based and purports to assess administrators in a variety of areas, including teaching and learning (Educational Testing Service, 2006).

Other states requiring assessment in the relevant “content area” have developed their own assessment or rely on another commercially developed assessment. States such as Colorado established their written assessment before NCLB. The Illinois and Florida State Boards of Education have both passed regulations regarding written assessments since NCLB.

The test frameworks for the state-developed assessments tend to follow the ISLLC standards where student achievement is one area covered in the assessment along with several

other administrative functions. There are some states that move beyond the ISLLC guidance. For example, one aspect of the Illinois testing framework specifically refers to educational leadership and accountability, including student achievement, and addressing student diversity by providing “multiple learning opportunities” (Illinois State Action for Education Leadership Project, 2005, p.4). In Florida, the Educational Leaders Exam Subtest #1 requires the respondent to revise a school improvement plan, (Florida State Board of Education Rules, 2005).

The majority of states that have implemented a written assessment policy since the passage of NCLB require the SLLA. This assessment is based on ISLLC standards (Education Testing Service, 2006). Other states require graduation from an approved Master’s program or induction assessments for licensure. Few states have created a specific focus on student equity, assessment, and accountability in their administrator assessment policies.

Mentoring, Induction, and Internships

While recognized as an important element of administrator development (Eric Clearinghouse on Teacher Education, 1986), half of the states do not have regulations requiring administrative mentors. Of those states that require mentored induction, four states have required extended mentorship as part of the administrator training program (Georgia, Alabama, Iowa, and Kansas). Seventeen states with internship programs for school administrators have enacted those policies since 2003. The policies are typically characterized by process requirements related to mentoring. For example, in California, the Professional Credential Induction Plan guidance delineates who works with the candidate to develop their plan, the qualifications and activities of the mentor, and the process for evaluating the candidate for their Administrative Services Credential (California Commission on Teacher Credentialing, 2004). Typically administrative candidates must complete a certain number of internship hours during their one- or two-year induction program in order to achieve full licensure as an administrator. The majority of these policies require the candidate to demonstrate proficiency in the state standards, which are predominately the ISLLC standards. Where specific competencies related to NCLB are noted, it is the assessment and accountability features of NCLB that are raised, not competencies specifically related to closing the achievement gap based on race/ethnicity, income, or disability. This is consistent with findings in standards and assessment. A notable exception is South Carolina whose law predates NCLB. The South Carolina internship program requires emphasis on “the elements of instructional leadership skills, implementation of effective schools research, and analysis of test scores for curricular improvement” (South Carolina Administrative Code, 1999).

Ongoing Professional Development

Whereas the standards, assessment, mentoring and induction policies focus on the early stages of the administrative career, ongoing professional development policies focus on the established administrator. These policies are generally less well developed in states (Roach, 2006), yet may be most closely aligned with NCLB. Two particular trends in this area of policy provide a framework for incorporating NCLB into the system of administrator development. First, states are requiring administrators to complete professional development plans to renew their administrative licenses. Second, states are requiring administrators to create professional development plans linked to school improvement.

States are increasingly requiring administrators to develop and complete individual professional development plans on a regular cycle throughout their careers. The cycle is

typically every five years. This policy “opens” the system to ongoing influence from the immediate policy environment (von Bertalanffy, 1968). In Louisiana, each administrator must develop an Individual Professional Growth Plan and educational leader’s portfolio (Louisiana Board of Elementary and Secondary Education Administrative Regulation, 2005). The overwhelming influence that NCLB is having in districts drives the plans to take assessment, accountability, and equity into consideration. Hence, the very policy structure of renewal has opened the system to the influence of NCLB.

Many administrator professional development plans must be linked to current school and district initiatives. In Ohio, for example, the plan must consider the current needs of the district, school, and students (Ohio State Board of Education Rule, 2004). New Jersey’s three-year professional growth plan must be based on the standards for school leaders and specific district or school needs and related to teaching, learning, and student achievement (New Jersey Administrative Code, 2005). The Rhode Island professional growth plan must include three to four goals, at least one of which must relate to school or district initiatives (Rhode Island Board of Regents for Elementary and Secondary Education Certificate Renewal Process, 2005). In Georgia, professional development experiences must be focused on school improvement leading to greater student learning (Georgia Professional Standards Commission Certification Rules, 2005). In this way, the influence of NCLB is directly infused into the ongoing professional development of administrators.

In sum, this investigation found very little influence on the system of administrator development in the areas of standards, mentoring and induction, and assessment. Those states that specifically addressed assessment, accountability, and equity were often just as likely to have passed their policy prior to NCLB as they were to have passed the policy since the 2002 passage of NCLB. NCLB did seem to impact ongoing professional development of administrators, principally because the policies are structured in such a way as to encourage the administrator to respond to the environment and current issues faced by districts, schools and students.

DISCUSSION

Four areas of state administrator development policy were reviewed in this study. Although not all of the state policies in the administrator development cycle, the policy areas reviewed provide a glimpse into this policy system. Two of the four areas investigated specifically related to early phases of the administrator’s career: licensure assessment and mentoring. The fourth area of study, ongoing professional development, related to mid- and later-career professionals, while the standards assumedly are infused throughout the entire cycle.

Overwhelmingly, state administrator standards shape the development of assessment, mentoring, and induction policies. The ISLLC standards dominate the policies that have been adopted. The adoption of the ISLLC standards is a victory for those who supported the uniform adoption of standards as a way to upgrade the profession (Murphy, 2003). The extent to which those standards are then reflected in other aspects of the system is a testament to policy alignment (Fuhrman, 1993; Fullan, 1993; Fullan & Miles, 1992; Smith & O’Day, 1991). Yet, the policy alignment process can be lengthy, spanning several years. And, states are reluctant to change policy too frequently in order to maintain stability in the system. As a result, this type of alignment can have the unintended impact of creating an inflexible system that is not supple enough to respond to emerging trends. Alignment might unwittingly “close” the system.

In contrast, recent ongoing professional development policies seem to be structured to “open” the policy system and allow for influence from the current policy and practice environment. Requiring administrators to undertake professional development activities related to the needs of their schools, districts, and students, forces the administrator to be responsive to the environment. In this way, NCLB is infused into the policy system.

Although the ISLLC standards do not preclude mastery of the types of knowledge, skills, and dispositions related to implementing NCLB, they do not necessarily promote the goals of that legislation either. Administrators under ISLLC are to “sustain a school culture and instruction program conducive to student learning,” but not develop an understanding of state accountability and assessment systems per se. Further, while the ISLLC standards do address student diversity, (i.e., “promoting the success of all students,” and “responding to diverse community interests and needs”) the language does not address the achievement of student sub-groups, as expressed in NCLB (CCSSO, 1996). While these differences are subtle, they are significant and may contribute to the ongoing achievement gap in the country today.

These findings suggest several implications for administrator preparation programs. First, school-based administrator preparation programs must look beyond the ISLLC standards when developing their curriculum. While ISLLC can be seen as a floor to competency, the diversity requirements of the National Council for the Accreditation of Teacher Education (NCATE) unit standards are much more explicit with respect to equity and diversity (NCATE, 2005). ISLLC standards delineate the need for administrators to address student needs, administrator preparation programs may wish to consider explicit instruction in cultural competency and how administrators can develop and support cultural competency in teachers.

Second, student achievement, accountability, and equity should be strong components of preparation programs. As the state policy currently stands, competencies related to school improvement and student achievement are developed and assessed at later points in the development cycle (induction and ongoing professional development). Yet, building administrators are expected to address these issues from the beginning of their administrative careers in the context of NCLB. This suggests that professors of educational leadership must ensure that pre-service programs prepare candidates to address student achievement, accountability, and equity as a strong area of emphasis, both in the classroom and through pre-service clinical experiences.

Third, professors of educational leadership should clearly link student subgroups, achievement, assessment, and accountability. As written, the state policies often treat these as separate and distinct issues. It is incumbent upon the educational leadership faculty to draw an explicit connection for aspiring administrators. Programs where the courses *integrate* the state, ISLLC, and NCATE standards across classes, rather than address the standards through different classes, may be better organized to create these types of linkages for students.

The field of education administration is embarking on a review of policy standards with an eye toward melding the standards that drive licensure in the states (ISLLC) and those that underpin accreditation of many pre-service programs (ELCC, 2002). Policymakers and practitioners in the field should also consider both how the new standards will incorporate NCLB and the heightened importance of equity, assessment, and accountability in the national and international educational landscape.

As the ISLLC standards note, it is the role of the administrator to continually understand the political, social, economic, legal, and cultural context in which they practice (CCSSO, 1996). Those who prepare administrators must be sensitive to the political and policy waves that influence the practice, preparation, and competencies of administrators. The profession should further consider the mechanisms for control and policy structures in the field to ensure

that the policy structures support a cycle of continuous improvement and renewal and create an open system. Such systems are both better able to navigate successive waves of political and policy reform as well as create their own culture of reform.

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**NAVIGATING THE TEACHING AND
LEARNING INITIATIVES**

Mapping Principal Preparation Programs at the State Level: The Indiana Bulding-Level Administrator Study

William R. Black and Justin M. Bathon

Those of you reading this contribution to the yearbook are probably aware that many critical and important questions have been raised about the efficacy, rigor, and relevance of university-based educational leadership preparation programs. In particular, concern for the development of school leaders capable of leading reform and increasing student learning outcomes for all students is evidenced in state-level educational policy deliberations (McCarthy, 2005). Wallace Foundation funded multi-state initiatives and studies (Fry, O'Neil, & Bottoms, 2006; Wallace, 2005), as well as University Council For Educational Administration (UCEA) and National Council of Professors of Educational Administration (NCPEA), provide reflective commentary, ongoing self-critique, and an expanded interest in measuring program outcomes (Black & Murtadha, 2006; Cambron-McCabe & McCarthy, 2005; Creighton & Jones, 2001; Murphy, 2002, 2006; Orr, 2006; Pounder, 2004; Pounder, Reitzug, & Young, 2002; Young & Peterson, 2002).

In this context, some reasonably high profile critiques of principal preparation programs and educational leadership departments have emerged (Hess & Kelly, 2005a; Levine, 2005). These critical voices portray the state of affairs in educational administrator preparation as mediocre and inconsistent (Hess & Kelly, 2005b), and at worst, as “a race to the bottom” (Levine, 2005). Advocacy researchers further argue that the exclusive reliance on University-based educational leadership preparation programs is unnecessary (Hess, 2003). They encourage the emergence of non-university based preparation programs (see Barbour, 2005) and an opening of licensure gate-keeping policies (Meyer & Feistritzer, 2003).

Not sitting idly, many within the educational leadership professoriate are responding to these challenges and other shifts in the preparation landscape with renewed interest in improving educational leadership preparation programs. This is reflected in extended commentaries and program evaluation efforts undertaken at the national and state level through NCPEA and its state-level affiliates, as well as UCEA (see Dembowski & LeMasters, 2006; Murphy, 2006; Orr & Pounder, 2006). Now, more than ever, there is an accumulated sense of urgency to improve principal preparation as many states, urban districts, foundations, and programs themselves question how best to prepare leaders, particularly given perceived or actual shortages of qualified principals and corresponding demand for developing leaders capable of reforming schools. Yet, it is surprising to note that efforts to gather information on leadership programs and to comprehensively describe and “map” the state of educational leadership preparation in individual states are rare. There are efforts underway in Utah (Pounder & Hafner, 2006) and Missouri (Friend & Watson, 2006), as well as incipient efforts in New Jersey, Illinois, and Virginia (Orr & Pounder, 2006). This article seeks to illuminate the process of conducting a collaborative mapping study that involves multiple parties, including institutions and educational leadership departments with different missions and rationales. The study we describe in this article provides an example of a collaborative and comprehensive process for mapping states' principal preparation programs that we hope will be useful for others.

THE INDIANA PRINCIPAL PREPARATION AND LICENSURE STUDY

The State of Indiana has already invested in educational leadership development through the adoption of ISSLC-based Building-Level Administrator Standards that guide a multilevel licensing process. As well, the Indiana Department of Education supports a new mentoring program, on going professional development through the Indiana Professional Leadership Academy, as well as the Indiana Promise Consortium, which is a consortium of select university preparation programs charged with innovating principal preparation. Indiana is also one of 15 states funded through the Wallace Foundation's State Action for Educational Leadership Project (SAELP) initiative that aims to retrain current leadership, recruit effective new candidates, and improve the practicing conditions of principals and superintendents. It is within this history of support for leadership development that the Indiana Department of Education's Center for School Improvement and Performance funded a study of the 17 Indiana Department of Professional Standards approved building-level leadership preparation programs in Indiana. The Indiana Building-Level Leadership Preparation Study was initiated with four objectives in mind:

1. To comprehensively describe the state of educational leadership preparation in the State of Indiana.
2. To report on national level efforts and methods utilized to evaluate and improve educational leadership preparation.
3. To provide data that will inform policy decisions made at the state level as to (a) how programs are approved/accredited to offer licensure and master's degree programs in Indiana and (b) how approved/accredited programs in Indiana are held accountable for delivering the program submitted to the State for approval/accreditation.
4. To provide data to colleges and universities now providing licensure and master's degree programs in Indiana that will inform their program development and operational procedures.

Indiana Department of Education funding was seeded through the Wallace Foundation and provided support for a principal investigator, graduate assistant, two consultants, and some small consulting fees and remuneration for the professors from multiple institutions in Indiana who participated in the analysis of the data. It is important to note that the study only covered licensure-only and master's plus licensure programs that lead to individuals' obtaining their Indiana building-level administrator license.

STUDY DESIGN

The Indiana study is distinct in that it examines very closely characteristics of a large number and fairly complex set of programs, and combines that descriptive analysis with state-level program production and program completer placement data. Published in the Spring of 2007 and titled *Looking in the Mirror to Improve Practice: A Study of Administrative Licensure and Master's Degree Programs in the State of Indiana*, the study undertook the ambitious tasks of not only illuminating the present activities of the full sample of the 17 accredited and approved programs, but also revealing program production and placement trends mined from state data sets, reviewing state mandated program documentation and assessment reports, and importantly, melding new affiliations to begin the arduous within and across program conversations about program development and policy modifications (Black, Bathon, & Poindexter, 2007).

In alignment with the work of the UCEA/TEA-SIG Taskforce on Evaluating Leadership Preparation Programs, we believe that the Indiana study represents an important and early step towards the development of statewide collaborative evaluation research designs. Orr and Pounder (2006) referenced the work in Missouri, Utah, and our study in Indiana as a new type of collaborative evaluation research:

Using the Taskforce's multi-stage evaluation model, several states are now initiating collaborative evaluation research among leadership preparation programs in the state and, in some instances, with state education officials and professional association representatives. This model begins with documentation of each program's core features. In the second step of the evaluation model, programs field a follow-up survey to all program graduates for the past 5 or 10 year period. This collaborative evaluation work, while politically challenging, enables programs to benchmark their program delivery attributes and graduate outcomes, and provides much needed information on the impact of programs on graduates and the schools they serve. (p. 7)

METHODS

After a series of meetings with the Indiana program representatives and a full-day work session with our national consultants, Dr. Joseph Murphy and Dr. Diana Pounder, in the fall and winter of 2005-2006, we finalized the topical coverage and structure of the program narrative, which was designed to capture detailed program-level data on program characteristics and served as the primary program-level research instrument. Concurrently, state officials assisted us by cross referencing two separate state datasets on new building-level licensures and employment data, which enabled us to analyze trends of recent program completers who received building administrator licenses. Although these two research pathways formed the core of the study, the researchers also engaged in document analysis of program submissions to the state, review of program publications through the Internet, as well as numerous conversations with representatives of the different building-level leadership programs. These additional efforts served to triangulate program narrative responses.

State-level Licensure Production and Placement Inquiry

At our request, contacts at the Indiana Department of Professional Standards compiled building level administrator original licensure data and then cross-referenced those individuals with Indiana Department of Education employment data. The building-level administrator licensure database included individual-specific licensure data that allowed us to cross tabulate original building level administrator licenses to various individual characteristics: preparation institution, race, gender, and teaching experience. The Department of Education data included recently licensed individual's employment by location (with categories ranging from large city to rural districts), type of job (Principal, Assistant Principal, Counselor, Teacher, Department Head, or other), and type of school (primary, secondary, or combination). By cross referencing individuals across both data sets and utilizing a snapshot date of October 31, 2005, we were able to analyze administrative placement information for the full sample of all accredited program completers who received their original building-level administrative licenses between October, 2001 and October, 2005.

Using this information, we were able to analyze trends across the state and to construct a profile of Indiana's recent building-level leadership graduates. We examined overall produc-

tion of licenses and compared production growth to administrator job growth. Five-year production trends of each of the 17 approved principal preparation programs were compiled and analyzed. This allowed for a comparison of institutional production across the five-year period. We then descriptively analyzed statewide career outcome trends for all individuals receiving building level administrative licenses for the five year period across combinations of the following variables: preparation institution, regional placement, gender, and race. Complete analysis is available in the final report (Black, Bathon, & Poindexter, 2007).

Preparation Program Narrative Inquiry

The program narrative was the central research instrument used to capture program-level information in this study. It essentially provided us a means to compile descriptive data on distinct program characteristics from the full population ($n = 17$) of building-level leadership preparation institutions in the state. The instrument included questions requiring forced choices, but it was primarily designed to collect narrative responses from programs, as well as require respondents to attach specifically designated evidence. Although we readily acknowledge the limitations of self-reported data, this approach did provide significant information about preparation programs. Between the narrative responses and accompanying evidence, we were able to collect information on each of the 17 accredited programs, receiving over 1500 pages of documents.

The contents of the narrative inquiry instrument were generated through a review of literature on principal preparation programs, as well as in collaboration with both national consultants and peer representatives from other programs in Indiana. General content and structure of the instrument drew from the narrative developed by Pounder & Hafner (2006) in their study of programs in Utah. This approach allows us to do cross-state comparisons.

The 13 distinct program features or topical areas that are covered in the program inquiry narrative are: Rationale, Leadership Standards, Program Structural Elements, Candidate Admission, Candidate Assessment, Program Curriculum and Curriculum Sequence, Teaching Methods and Pedagogical Approaches, Program Evaluation and Continuing Assessment, Program Field Experiences, Program Recruitment Strategies, Program Faculty, Program Strengths and Limitations, and Distinctive Program Elements. Within each of these topical areas we sought data on various program elements, including how long current programs have been in implementation, program's conceptual or thematic focus, accreditation standards used, program's structural elements such as cohort model, program's curriculum and pedagogy, program's field experiences including internship requirements, programs' candidate assessment standards and procedures—from admission to program completion, program faculty qualifications and credentials, and other data.

The program narrative inquiry asked respondents from each preparation program to explain their program's activities with regard to each of the specific topics through narrative responses. Within each of these topical areas, sub-questions guided the responses from each of the administrator programs. To generate depth and validity across program responses, specific information was additionally requested with respect to each topical area and evidentiary documents were requested to supplement the responses (when applicable and not overly onerous). This effort to capture complementary evidence was an attempt to ensure greater reliability in program responses and to provide the researchers additional evidence. Examples of evidence requested include: mission statements, program syllabi, faculty vita, and internship handbooks. All 17 program responses were received by the end of June, 2006.

We found, not surprisingly, that the responses varied in depth and quality, as the approach is, to a large degree, dependent on the time and effort program representatives put into their responses. However, the richness and volume of information collected was sufficient to provide a portrait of the state, including trends, challenges, and promising practices across the 17 leadership preparation programs in the state. After all program narratives were submitted in June, 2006, program identifying information was eliminated and each program was assigned a random number to protect, to the extent possible, program confidentiality for the next step of the process, collaborative analysis.

Collaborative Analysis of Data

For the analysis of the submitted program data, Indiana engaged in a unique collaborative process. Because of concerns related to author positionality and the desire for this study to catalyze program improvement through the development of an Indiana educational leadership research consortium, program representatives from across the state participated in analysis of program narrative data that we (Black & Bathon) disidentified. This took an extensive amount of time but led to greater willingness on the part of leadership preparation programs to submit information for further analysis.

An invitation to participate in the analysis was extended to all leadership preparation programs, and eight program representatives, or a little less than half of the currently existing programs, accepted the opportunity. The representatives came from large and small preparation institutions, as well as public and private preparation institutions. The participating analysts engaged in a two-day discussion and training session in June, 2006. Through the use of grant funds, we covered costs of housing and transportation to Indianapolis as well as compensation in the form of a small consulting fee to each of the eight analysts. During the two-day discussion and training session, participating analysts each received a full set of responses and affiliated evidence on one or two of the thirteen narrative sections. The participants were provided guiding questions for analysis, which were commented upon and refined collectively as a group. Then, the analysts participated in a practice analysis session involving one or two topical sections of the narrative to establish norms and guidelines for analysis. This process offered professors from different institutions an opportunity to come together and express common concerns about the field, as well as individual benefits in terms of payment and service opportunities that could be submitted in annual reports. In addition, members of this group presented perspectives on the study process at the NCPEA conference in Lexington, Kentucky, in August, which also provided professional benefits (See Black, et al., 2006). This careful structuring of benefits to program representatives was an important catalyst for more robust engagement from programs and their representatives.

The participant analysis primarily described trends in particular program features and characteristics as they exist across the state of Indiana. The analysts clustered categories and themes within program feature areas. Then we continued the analysis. This was a substantial endeavor, as the participant analysis was edited for consistency of voice as well as subjected to consistency checks with all other evidence obtained. In conducting ongoing cross-case analysis, we took care to identify and analyze not only the data pertaining to specific program areas or features, but also to encounter larger thematic consistencies across the multiple building-level leadership preparation program features and characteristics. Therefore, analysis included constant comparison across program feature areas to more broadly cluster patterns, establish variations, and identify potentially systemic patterns across all seventeen programs in the state (Borman, Clark, Contner, & Lee, 2006; Miles & Huberman, 1994). The multiple

levels of analysis generated higher reliability in the data and validity in reporting, as well as promoted greater legitimacy with various study stakeholders.

NEGOTIATING MULTIPLE AGENDAS AND POLITICAL CONSIDERATIONS

Throughout the course of this report, there were multiple agendas and political considerations at play. Initially, care was taken to avoid the effort being solely devoted to evaluation of programs. Not only would that effort be methodologically more complex, but such an approach might also deeply fracture any program consensus because the evaluator would have represented the interests of a larger peer program with a long institutional history in the state. For those considering such work, there are multiple agendas and political considerations that should be considered, some of the most prominent of which are presented below.

State Agendas: Mapping or Evaluating Research Design?

The State's role in this process has been complex. On one hand, the State of Indiana invested money in a study that should improve building-level leadership preparation in Indiana. This money came to the Indiana Department of Education through the Wallace Foundation, which has a strong interest in improving leadership preparation, and funding research that highlights effective and ineffective preparation program approaches (for example, see the work of the Southern Regional Education Board-Fry, O'Neil, & Bottoms, 2005, 2006). In this context, there was a push on the part of select parties within the state to not only conduct a mapping study, but to evaluate individual preparation programs in a manner that might legitimize potential actions to further monitor or close programs. On the other hand, the State of Indiana is interested in working with leadership preparation programs to move toward improved quality of preparation. Thus, the state was not relentless in its pursuit of an evaluative instrument if it meant undermining the collaborative potential of the work. Focusing primarily on evaluation, we believed, would have been problematic in terms of the type of relationship building and trust that was needed not only to conduct the study and collect the data, but to engender future collaborative work in which programs themselves conducted ongoing and rigorous formative evaluation (through an Indiana Educational Leadership Research Consortium).

Additionally, actors within the state were divided as to the regulatory role of the state. Whereas some desire a more active role, others expressed that market forces, as reflected in enrollment numbers, would be the best arbiter of program efficacy. In negotiating these multiple interests of both state and program level stakeholders, we negotiated our path by explicitly highlighting the mapping design of the study. Ultimately, our funders at the state level understood the need for a study investigating the "state of the state" of educational leadership preparation. This resulted in the research design described above.

Strategic Considerations: The Evaluation and Research Team

An important aspect to the success of the study was connecting with other researchers at the national level through UCEA, NCPEA, and other organizations, as they provided perspective and guidance. Also, the structure of our own research team had advantages. First, running the study from the Indianapolis campus, rather than the Bloomington campus, was symbolically important as it might have been easier for different program representatives to view the researchers as peers. Additionally, the two principal investigators (Black and Bathon) had a

total of one year residing in the state of Indiana when the study began. Therefore, we may not have been seen as representing institutional agendas. Dr. Betty Poindexter, the study coordinator and our colleague at Indiana University, has deep roots in the state's education and leadership preparation community. She has been engaged in multiple state-wide educational endeavors and has a respected standing with Indiana Department of Education. Her ongoing work with other educational administration departments in her superintendent placement work provided an immeasurable amount of support to the study amongst various stakeholders and enabled us to get a strong response rate from our peer programs.

Divergent Program Missions and Rationales

Although it was not clearly understood at the outset of the study, program mission divergence occurred along with consistent efforts to adhere to standards. The variety of program missions guiding the building-level leadership programs and their institutions were one of the more difficult political aspects of this study because it required us and the participating analysts to be sensitive to context and the types of evidence that relate to individual program missions. To gain insight into the driving mission and rationale for each program, we asked questions designed to illicit (a) the program's specific mission statements, (b) college of education or other institutional mission statements, and (c) the program's specific rationale for training school leaders.

What is striking about the responses is the diversity of program missions and rationales. Although some programs did not have a specific mission statement and chose instead to rely on the school of education mission, the programs with mission statements varied from the more common effective leadership responses to schools reporting program missions based on Christian values or the centering of multicultural and social justice perspectives. A sampling of the different variations of program mission statements are presented below and are characterized roughly as traditional (focusing on instrumental purposes of training and effectiveness discourses); faith based (all these programs explicitly centered their program on faith-based, Christian perspectives or value orientations); or other distinct program mission statements (for example, reflecting broader discourses of care, social justice, or multiculturalism).

There were a proportionally large number of programs that included text regarding the instillation of Christian values into their graduates. Another interesting mission related finding is the large number of programs that do not specifically refer to preparing educational leaders as their primary mission. Many programs referred to preparing program professionals and some programs even referred to their mission of preparing teachers. Whether this is just a semantic quirk that reflects the central position teacher preparation occupies in the college of education (most likely) or there is an official recognition of the program's mission as preparing individuals other than school leaders is unknown. However, the program missions' lack of specific focus on preparing educational "leaders" or "administrators" and use of more general language around practitioners was striking.

Two programs referred to part of their mission as being the premier educational leadership preparation institution in the state, reflecting the competitive nature of school leader preparation. This was later drawn out in the context of conversations around one program that went from accreditation in 2002 to becoming by far the number one producer of licensed administrators in the state. Care had to be taken to defuse any defensive postures taken by multiple programs about that particular program's quality and rapid growth.

A few programs referred to caring or nurturing leadership training for a multicultural society. These social justice orientations have become much more prominent in the field (Mar-

shall & Oliva, 2005) and serve to expand traditional principal effectiveness orientations. Finally, the one state-wide trend that all programs seem to agree upon is the use of the terminology of “educational leadership” instead of the terminology of “educational administration,”

Table 1. Selected Indiana Building-Level Leadership Missions.

Traditional Program Missions	Faith-Based Program Missions	Other Distinct Program Missions
To prepare professional educators who have the knowledge, skills, and dispositions essential for becoming reflective professionals, master educators, and educational leaders.	To become lifetime advocates for Catholic education as leaders who serve the Church’s most valuable asset: her children.	To transform educational institutions into nurturing and effective organizations through the creation and application of knowledge, skills, and attitudes developed through the collaborative preparation of educational leaders.
To prepare administrators for professional service and leadership.	To prepare school leaders who understand a Christian perspective of life and their profession, and who will model how the Christian faith can be an integral part of the role of a teacher in both public and private schools.	To develop high quality, caring professionals who stimulate continuous renewal of schools within a multicultural society.
To prepare highly qualified school leaders who serve children by providing exemplary leadership.	To promote academic knowledge, technological skills, pedagogical proficiency, life-long learning, Christian ethical and moral values, enhancement of each candidate’s intellectual, spiritual and social development, and community service through positive leadership.	To be the premier program in the preparation of working professionals for administrative leadership in elementary, secondary, and post-secondary education.

reflecting the broader skills, knowledges, and dispositions in the ISLLC and Indiana Building-Level Administrator standards.

Combining these differences in program missions, along with the inherent differences among programs that are statewide, regional, Christian, and urban, quickly translated into some reporting challenges. In conversations among program representatives, there was much discussion about statewide data generation and their programs’ position within this larger context. For instance, there was some concern that comparing programs across different program elements unfairly placed some programs in a bad light given a program mission that did not highlight elements or program characteristics mentioned in the program narrative. Therefore, care was taken to assure anonymity among programs in the narrative data and to report on trends in statewide data rather than to evaluate individual programs. Also, the data trends that were reported emerged from program element data that seemed to be evident in the majority of programs, such as credit hours and faculty characteristics.

These affirmative steps on the part of the research team seemed to allay some of the mission oriented fears on the part of the programs. Yet, to not write up some policy implications of the study, which does contain evaluative elements in the selection and crafting of the policy arguments, would have made the entire study anemic. In this sense, we had to negotiate the evaluative elements that necessarily underpin our policy recommendations, while conducting

a study that should not be primarily characterized as an evaluation. In the following section, we highlight just a few of the many findings and implications of the study that we found in the analysis of the data and the writing of the report.

LOOKING IN THE MIRROR: SELECTED FINDINGS

Besides the characteristics of the program missions, there were many other findings on each of the other program narrative topics as well as from the state data that are available in the final report. A selection of these findings are presented in the following section.

First, there has been a large increase in the number of providers statewide during the past ten years (from 10 to 17) and a nearly 20% rise in licensure production from 2001 to 2005, while the demand for building-level leaders has only slightly increased as measured in the 5.3% growth in administrative positions over the past decade. Therefore, at present, there would seem to be a higher than necessary number of building-level leadership programs in Indiana. Some of these programs, however, only have a small number of graduates as their initial cohorts move through their preparation programs. Concerning graduate employment after graduation, the state average graduate employment rate for the graduates between the years 2001 and 2005, was 53% placement in principalship positions. The graduate placement rate varied between programs with the highest having over a 60% placement rate and the lowest having a 35% placement rate. Further, the Indiana state data showed there are still significant gender and racial based differences both in candidates recruited and selected by programs and program completer placement rates (Black, Bathon, & Poindexter, 2007).

From the program narrative data, we found that there is growing trend in Indiana toward the usage of cohorts and fixed program sequences, as over half of the programs are using this model. Another trend is the program's increase in their control over course syllabi. Over a third of programs either have syllabus templates or fixed syllabi. Also, candidates are admitted in the state of Indiana at a very high rate with almost all programs reporting an acceptance rate above 90% and many programs reporting 100% acceptance rates for program applicants. Another interesting fact about Indiana's preparation programs is the large role of the candidate in the control over their primary field-based experience. In Indiana, 70% of programs allow candidates to choose their own internship site, and 65% of programs allow the candidate to choose their own site supervisor. Additionally, internship requirements fluctuate from 60 hours to 300 hours.

Another important state of affairs that emerged from the program narrative responses is the extensive use of adjunct faculty to teach courses in building-level leadership. Nearly half of the program faculty in Indiana were reported as field-experienced adjunct faculty. Full-time program faculty (assistant, associate, and full professors) comprise only 35% of Indiana's building-level leadership faculty. Again, there are very few women and minorities represented among Indiana's building-level leadership faculty. Many more findings are presented in the final report (Black, Bathon & Poindexter, 2007).

PEERING OUT FROM THE DATA: POLICY IMPLICATIONS

Although there were several Indiana specific findings and implications, some of the policy implications for programs are important to share both with the field and with other states interested in engaging in such state-wide investigations. First, it is important to mention that greater oversight on the part of the state was not a recommendation of this study. This is the case partly because of the limitations inherent in this study, but also because as a result of the

study, the researchers believe that the most positive movement toward change can occur through self-regulation by the programs themselves. The strongest recommendation to emerge from this study is that the programs begin the process of self-reflection. We believe this can best be accomplished by professionalizing the training of school leaders within a collaboration of all state building-level leadership preparation programs. Many such state program collaborations already exist, partly due to the efforts of the National Council of Professors of Educational Administration in supporting state-level efforts. Such efforts should continue to be supported and explicitly connected to robust and critical self-study. While lobbying and professional networking are vitally important functions of state-level affiliates, our data, as well as increasing competition from non-university providers, makes a compelling argument for reflective and self-critical conversations around program efficacy and eventually, for professionally self-regulating actions.

Although there were significant differences between program missions, as mentioned above, those mission oriented differences did not translate into as many discernable differences between most program elements as what one might expect. Thus, at least on paper, a significant amount of the programs in the state are very similar in terms of many characteristics such as syllabus content, weak student evaluation protocols, extensive use of technology and case studies, high use of adjunct faculty, etc.. Programs should attempt to differentiate themselves more to compete in an increasingly crowded marketplace. Not only should each program have a program-specific mission statement, these mission statements should direct the program's capacity building efforts and ongoing self-evaluation. Then, the mission statement is more than a slogan above the door; it concretely guides the programs' courses, student evaluations, and other program elements.

Programs should make a habit of collecting and analyzing data on their specific programs, including program completer outcomes. For many programs, the data we were seeking were not collected, even as much of what we were asking for could be characterized as fundamental to the programs operations. Programs should collect data on standard program elements, not just for state reviews, but simply to know what is happening within their own programs. Consistent with other Wallace Funded studies, we found that very few programs collected information from and about program graduates. Program improvement efforts could be informed through a systematic and consistent tracking of program completers' career paths. Furthermore programs should strive to ascertain how successfully students are in terms of content learned, leadership behaviors, and other measurable outcomes. Thus, it is recommended that programs put procedures in place to regularly track program completers, and we believe the state departments of education can play a supportive role in this endeavor. This recommendation is consistent with calls in the profession for greater professionalization and attention to outcomes (Murphy, 2002; Orr & Pounder, 2006; Fry, O'Neill, & Bottoms, 2006).

Another clear policy implication is that the programs need to be more active in recruiting not only minority candidates (less than 9%), but also minority and female faculty. The lack of minority representation in Indiana's building-level leadership programs was, frankly, frightening. The program reported faculty demographics were 80% male and 93% White, with only 6.5% minority. Programs need to be intentional and creative in bringing in minority candidates and ultimately will need to support P-20 pipeline initiatives that create larger pools of candidates (currently only 5% of Indiana's teaching force is minority). Additionally, and perhaps correspondingly, because there is a large usage of typically male adjunct professors (with large amounts of collective experience), it is easy to see how the percentage of women in faculty positions is so low. Because over half of Indiana's building-level leadership candidates are women, this is startlingly non-representative. Not only should the employment of

more full-time women faculty be considered, but specifically programs should consider employing current female administrators as adjunct professors.

Finally, programs should seek to establish more rigorous candidate assessments. It is the case, at least in Indiana, that most candidates that apply are admitted (nearly 95% across all programs), most candidates complete the programs with relative ease, and nearly all candidates pass the School Leaders Licensure Assessment and are licensed. Throughout the time the programs are in contact with the potential building-level leaders, there are few substantial checkpoints for graduates and even fewer gateways through which candidates must pass. There is an open pathway to licensure in Indiana. Although programs need to assure strengthened assessments do not negatively affect minority and diverse representation, there does need to be meaningful program evaluation of candidates. Some suggested possibilities for strengthening candidate assessments include making admissions more personal with candidate interviews and tasks, designing more robust and ongoing internships, and strengthening the program exit requirements.

NEGOTIATING REFLECTIONS IN THE MIRROR: IMPLICATIONS OF THE STUDY PROCESS

The authors of this report have been approached on several occasions from individuals based in other states about similar studies either underway or under consideration. The state-of-the-state study of building-level leadership preparation programs is a good model for initial baseline information to catalyze conversations. It sets the stage for more sophisticated evaluation studies. Because there does seem to be interest among other researchers, however, it is important to take time to explain the lessons learned and the practical implications that can make such a study flow more smoothly and quickly in the future.

First, this study sought and obtained data on most program elements from all 17 approved programs. When fewer than all programs responded to a specific inquiry, the data were still aggregated and analyzed with the number of non-responding programs noted. To get a full sample of program responses was difficult, and researchers should carefully deliberate on whether full sampling and perhaps utilize other sampling techniques. The attempt to include all programs was extremely helpful in bringing some programs that were traditionally distant from such collaborative conversations to the table for the first time. In states with existing collaborations in place (for example, NCPEA affiliate structures), this may not be necessary. From our experience, we also believe that if a study is to engage in obtaining information from all approved programs, it is important to have the backing of state officials. We found it useful to send out the official request to the programs on state letterhead with the explicit support of the state officials. The collaboration with state officials with some measure of regulatory power, along with phone calls, e-mails, and personal relationships was apparently enough to entice all programs to submit in Indiana. These efforts also served to strengthen the ties between the research team and the state sponsors.

Second, future research should be clear in requesting only the additional evidence that is necessary to verify self-reported data. The sheer volume of documentation provided to the researchers in this study made it impossible to carefully analyze every piece of evidence. For instance, only some programs submitted syllabi, and although syllabi were consulted as evidence of program characteristics, it was very difficult to collect and report population data based solely on syllabus analysis. It is advised that collaborative evaluation research make specific supporting evidentiary requests, aggressively seek completion of that request, and only examine additional data if the self-reported data lead to doubts about validity.

Third, state datasets are invaluable resources. Although the data can be difficult to obtain and require repeated requests from the state departments of education, the information contained therein, such as employment and licensure production data, can provide snapshots of the entire state system of leadership preparation. Thus, it is imperative that researchers consult the state data sources and the people overseeing those resources. Many researchers have already found state datasets on employment to be useful (Fuller & Orr, 2006), and there may be many other state datasets that could potentially yield insightful results. Additionally, the state datasets are typically public knowledge; thus, as in the Indiana study, there is no need to protect the identity of programs so the data can be disaggregated and reported. This data in the Indiana study proved to be some of the most dramatic and controversial, as well as some of the most generative in terms of conversation around the state of leadership preparation and the directions programs needed to take.

Fourth, future researchers should take advantage of every chance to bring programs together to discuss findings. In Indiana, the researchers had been presenting findings based on the available data for nearly a year and a half before the report was released. Thus, the programs were aware not only of the information likely to be contained in the report, but also of the personality and tenor of the research team. Further, in states without active collaboration amongst program representatives, the opportunities to meet were not only useful for sharing data, but they were also useful in forging bonds between the different program representatives. This helped to alleviate the competitive mentality and began the process of sharing.

If such research is conducted in other states, the researchers would be wise to take a long-term approach. The research team in Indiana were contracted to complete the study within a year. This was nearly an impossible task given the difficulty of obtaining population data, the necessary coalition building, the sheer amount of paper and megabytes, and the length of the potential final report (about 300 pages with the appendices). It ended up taking us approximately a year and a half to finish the study. Further, although Indiana has completed the state-of-the-state of leadership preparation, it is by no means finished investigating its educational leadership programs. A survey of graduates is already underway at some programs and further investigation of state data is probable. The approach to researching and improving educational leadership preparation must be long-term because without the commitment both by the researchers and by the programs, any possibility of significant programmatic changes from within the profession will be quickly stamped out and state governing bodies might feel compelled to take regulatory action.

The Indiana principal preparation study should dispel many myths existing in the state; it has also started a statewide conversation about improving educational leadership preparation. We hope that it begins the kind of professional dialogue and internal evaluation of preparation programs that the field is urgently called upon to do. While these investigations and collaborative work are not easy and take a long time to complete, it may be the best way to gain detailed, state-wide information on preparation program elements. Although additional and methodologically distinct investigations are necessary, this type of study represents a first step that is likely to encourage more understanding on the part of the state actors and action on the preparation program representatives themselves. Proactively defending educational leadership preparation from outside attack, strategically responding to fluid market pressures, and engaging in self-improvement is truly an ambitious affair, but there may be no better first step than examining the reflections in the mirror of our own practices.

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Charting the Course of Improvement: Using Hybrid Programs to Enhance Pedagogy for the Preparation of School Leaders

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We live in a fast-paced ever-changing world where new becomes old at an ever-increasing speed. Technology has played a significant role in this development and has impacted everything in our lives including the manner in which instruction can be delivered and the methods that can be used for this delivery. The possible change in the delivery of instruction must be countered with the “educational need, problem or gap” (Ambrose & Smith, 2006, p. 2) that technology can fill. The need identified by the Educational Leadership Program (EDL) was that of increasing student involvement and requiring students to take greater responsibility for their own learning. Duffy and Jonassen (1992) stated that it is clear that constructivism and information-processing technologies have much to offer to contemporary approaches to instruction. To achieve a high quality educational experience in an online format, online learners must demonstrate skills in multiple areas including flexibility and the willingness to manage their own learning (Palloff & Pratt, 2001). Merging technology with course designs that supported the constructivist theory of learning was the main focus of online course development.

Central to the vision of constructivism is the notion that the learner is active in the learning process (Duffy & Jonassen, 1993). Piaget (as cited in Brooks & Brooks, 1993) believed that learning was a dynamic state, a philosophy that runs counter to the passive state created by the traditional lecture method. Similarly, it is the engagement of students in the learning process by requiring the students’ active participation in the learning process where technology can enhance instruction by requiring students to engage with and make sense of things (Duffy & Jonassen, 1993). This is especially true of adult learners who are more “autonomous and self-directed” (Live, 1991, p.1) than younger students. “Their teachers must actively involve adult participants in the learning process and serve as facilitators for them” (Lieb, 1991, p.1).

Dewey stated that education is not just a preparation for life but is life itself (as cited in Boisvert, 1998). This philosophy is seen in the development of the EDL online courses that focus on student interaction, response to each other, and project development that maintained the academic rigor of existing on campus courses.

Distance learning students outperform or perform on par with on-campus students on measures including level of academic challenge; student-faculty interaction; enriching educational experiences; and higher-order, integrative and reflective learning; and gains in practical competence, personal and social development, and general education. (Redden, 2006, par.18)

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A myriad of instructional delivery systems have emerged that can aid instructors in assisting students to assimilate information. The development of web sites that offer course information, lectures through Podcasts or Vodcasts, narrative explanations of highly challenging concepts provided in HTML format, and online tutorials for students desiring additional help are examples of how technology has magnified the opportunities for teachers to assist student learning. E-mails and chat rooms add to the ability of students to communicate with their instructors on a regular basis. Educators generally accept that information and communication technology can enhance and extend the curriculum and promote life-long learning (Hogan, 2000, p.1).

New social software systems allow for interactivity between student and instructor, student and student, and student and theory or content. These social software systems include blogs, wikis, and websites such as *del.icio.us*, *Flickr*. Other systems that take advantage of the collective knowledge of the participants may be incorporated into instructional platforms. The development and use of these technologies combined with the ever-growing popularity of and access to the Internet created an environment in which online classes could not just exist, but could deliver instruction that reflected the constructivist theory of learning.

The lessons learned by the EDL program about the delivery of online instruction over the past six years mirror the statement by Dewey and the findings of Duffy and Jonassen (1992), Hogan (2000), and Sisek (1992) that effective instructional delivery must actively engage the learner in the learning process. These lessons included greater interaction between the students, more collaborative assignments that increased student to student interaction, and involvement of students in the analysis and assessment of written peer submissions. These instructional adjustments required the application of knowledge learned in the course to a real-life setting. Pelz (2004) agreed with this approach and noted that the characteristics of an effective online program must demonstrate the following:

1. *Planning and preparation is essential:* The instructor must know the long- and short-term goals for the class, the relationship of these goals to NCATE standards, and what activities will be performed by the students to verify to the instructor that the lessons and skills have been gained.
2. *Communication:* It is essential that the students know the instructor is there and that the instructor has a true presence within the class (Pelz, 2004). Timely feedback to student assignments serves to reinforce appropriate responses and correct errors. This reinforcement is one of the four principles that must be addressed when teaching the adult learner (Lieb, 1991) and is critical for the professor who wants the students to develop a sense of community among learners. Students who receive prompt responses to their questions and whose submissions on the Discussion Board are addressed quickly know the instructor is present and has the students' interests in mind. Timely responses to e-mails and telephone calls are just as important. Quick responses to student questions and submissions online will help assure that the three categories of social presence, "Affective, Interactive and Cohesive" (Pelz, 2004, p. 41) are addressed. The inclusion of *voice over IP* and *Eluminate* in the instructional tool box allows the instructor to communicate directly with students. These tools, along with *Skype*, expand the offerings available to the students and permit guest speakers to join the class. Voice interaction as well as text interaction injected into the course permits expert presentations and allows students to ask questions on the designated topic.

3. *Students must be active participants:* This is true in any type of classroom but this is essential for the online class. Each class must be designed to assure that students are answering questions, completing projects, and communicating with the instructor and each other in a community effort to learn the material. This can be accomplished through group projects, student critiques of their colleagues, and the design of lessons or explanations about the course material (Swan, 2004).

The Educational Leadership Program (EDL) at the University of Illinois at Springfield began their online classes in the Fall of 2000 with funding by the Sloan Foundation grant and the support of University of Illinois at Springfield. During this time the online program has evolved from offering a few courses to the creation of the Master Teacher Leader (MTL) graduate program. The MTL program is a totally online offering of a Master's Degree for teachers with leadership capabilities who wish to remain in the classroom. This master's offering has aided in the growth of the EDL program from a staff of three professors offering two online classes in the Fall of 2000 to a staff of nine professors who serve over 280 on-land and 400 online students.

The courses offered within this program have been reviewed and refined every semester to meet the student needs, assure that the rigor of the classes meets the standards of the EDL program and the university, and ensure that the efficacy of the instruction correlates with the known pedagogy for andragogical instruction. Most programs have online coordinators, who support student learning from inquiry to graduation. Having tracked the online course completion rate since UIS began offering online classes in 1998, the percentage of students completing online classes remains consistently above 90%—hovering just a couple of percentage points below our on-campus classes. Student persistence toward degree completion is comparable between both online and face-to-face students (Cook & Kubatzke, 2007). Additionally, a study of 151 corporate learning executives revealed the views that online educational opportunities would continue to grow within their corporate organizations and almost half of the executives participating in this study saw online education as effective as traditional classroom instruction (Trierweiler & Rivera, 2005).

Online classes provided the opportunity for those students who lived a great distance from a campus to obtain a degree or gain knowledge that helped them improve in their career options. These classes also provided challenges for the students and the instructors. Online classes removed the opportunity for the instructor to see the students and read their body language, which can provide clues as to whether or not a student or class understands a concept. Regular communication combined with the redesign of assessments helped reduce, but not fully eliminate, these concerns. Campbell (2004) noted that laboratory work is a significant barrier and precluded courses that require laboratory experiences from going online. He stated that the physical labs are costly and present a time challenge for the professors who may not be available to work with their students in the evening due to other instructional requirements. In addition, Campbell (2004) noted that the cost to continually upgrade a laboratory and find teacher assistants who will be present to monitor the laboratory use negated the cost argument but did not fully meet the pedagogical needs for the class.

Some students thrive in the classroom setting and learn by listening to and speaking with other students and other students respond better to the online environment because they are given the time to consider their responses and are less reluctant to respond to answers (Young, 2002). Based on department data and professor observations, there is a higher rate of participation in online courses as opposed to traditional classrooms. As a result, the active engagement of students creates a successful online learning environment with engagement measured

by time on task, students' willingness to participate in the class, and the measurement of cognitive, behavioral, and affective indicators (Chapman, 2003).

Analysis of assessment data over a three year period led to the awareness that the issues associated with some online offerings could be addressed by developing hybrid courses. Among these issues was the need for computer laboratory access, test monitoring and proctoring, and improvement of quality of assessment. These hybrid or blended courses incorporated elements of online and on-campus classes that would remove the laboratory, testing, and contact barriers and improve the quality of the assessment of candidates for school leader preparation.

The development of the hybrid classes in the EDL program, which combines both types of instruction, has been a natural bridge between the online and on-campus offerings. The Clinical Internship course provided leadership practice for students completing their Master's degree in Educational Leadership with Principalship certification. The course included a scheduled orientation on campus to provide the instructor with the opportunity to directly meet with the students, explain the goals of the course, and provide samples of completed projects. The initial campus meeting is complemented by instructor visits to the school sites on at least two occasions. The time between the initial and final visit is filled with student-teacher e-mails and *Black Board* discussions in which the students provide regular updates on their progress toward the completion of goals, activities, and standards.

Throughout the seven years that the Clinical Experience courses have existed there has been continual adjustments in the course expectations. Reflecting the on-going migration within the EDL program toward using technology to facilitate student learning is the replacement of the paper portfolio with the creation of the e-portfolio using *Task Stream*. The e-portfolio better meets the students' needs in that it can be regularly adjusted and improved. Consequently, the e-portfolio serves the students as a source of information on which they can rely when they obtain an administrative position. In addition, students benefit from on-going feedback that is provided as they complete the portfolio and submit it online to the instructor. This immediate feedback was not possible using the paper system and delayed the necessary adjustments and improvements.

The experiences gained by the EDL program for how to effectively develop the hybrid offerings has led to the creation of the Chief School Business Official (CSBO) endorsement. The CSBO certificate program that has emerged at University of Illinois at Springfield demonstrated how graduate programs can provide courses that remove barriers that distance places on the university's ability to meet student needs. The removal of these barriers increased student enrollment, expanded the geographical range for students who could be reached with this program, and increased the presence of the university across the state as these individuals obtained administrative positions.

Online, hybrid, and face-to-face instruction have their own strengths and weaknesses as previously mentioned. The University of Wisconsin Milwaukee (2007) noted that to teach a successful hybrid course, instructors must re-examine their course goals and objectives, design online learning activities to meet these goals and objectives, and effectively integrate the online activities with the face-to face meetings. Hybrid courses reduce the barrier that driving to campus on a weekly basis presents to students by providing the opportunity to occasionally meet the instructor and interact with their peers. Working within the constructivist framework that challenges teachers to create environments in which they and their students are encouraged to think and explore (Brooks & Brooks, 1993, p.30), the EDL program at University of Illinois at Springfield continues to consider all avenues for meeting student needs; this technology provides state-of-the-art leadership preparation programs, which meet the needs of

students, and improved methods of course delivery. Continued expansion in the areas of information technology will allow for significant adaptability of instruction delivery that will assist in preparing effective leaders for the future.

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Research Skills for Effective School Leadership: School Administrator Perceptions

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INTRODUCTION

For decades, graduate programs in education have required core courses in research methods. Educational leadership preparation programs are no exception. In the United States, most accredited educational leadership programs require students to successfully complete a minimum of one research methods course; doctoral programs typically require more. Pohland and Carson (1993) reviewed 40 educational administration programs offered at universities and found that university faculty ranked the research course as eighth most important among other courses offered in the leadership program. The research course was most frequently titled *Introduction to Research* or *Research Problems in Educational Administration*.

Although the traditional courses have been offered for a number of years, few studies have been conducted to determine the course's alignment with practitioners' needs. Furthermore, it is unclear if the content and techniques typically covered in graduate research courses adequately prepare school leaders with the research skills and competencies they need to effectively manage schools. Researchers have reported some consensus among school administrators about the overall leadership training program, which includes the research methods course. According to Farkas, Johnson, and Duffet (2003), 72% of the superintendents and 67% of the principals surveyed believed that leadership programs offered by universities lacked relevance. Moreover, preparation programs for school administrators have been criticized for deficiencies such as a lack of recruitment of quality candidates, a lack of collaboration between university faculty and practitioners, and a lack of relevant curriculum (Jackson & Kelley, 2002).

Professional accreditation standards such as those drafted by the National Policy Board for Educational Administration (NPBEA) (2002) stated that leadership candidates should be able to make *data-based decisions* in nearly all areas of school operations such as school culture, assessment, student achievement, adult learning, and community outreach. These professional standards are used by professors and instructors to guide the content of courses offered in leadership programs and outline the leadership skills required to "generate a culture for effective teaching and learning in restructured schools where teachers are viewed as professionals" (National Council for Accreditation of Teacher Education [NCATE], 2001, para 2). Additionally, the effective implementation of the standards is assessed in accreditation evaluations, such as those conducted by NCATE.

We analyzed the *Standards for Advanced Programs in Educational Leadership for Principals, Superintendents, Curriculum Directors, and Supervisors* using content analysis methods. The term *research* was used 28 times in the professional standards, *data* was found 15 times, and the word *theory* appeared 12 times. Moreover, the document was reviewed for the most frequently occurring phrases related to research and data. The three most common phrases stated

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that administrators should be able to: (a) understand and apply research, (b) ensure decisions about curriculum, instruction, assessment, and professional development are based on sound research, and (c) analyze emerging issues and trends. Clearly, the NPBEA authors of the standards, which included representatives from nine national professional associations, believed *research, data, and theory* were essential concepts in leadership preparation programs.

School leaders are under increasing pressure to apply research skills in their daily school operations and use data to demonstrate student achievement and school improvement. In a recent study, superintendents ranked important skills displayed by effective campus principals. Research skills, defined as finding data, interpreting data, using data, and clearly presenting results to a variety of audiences were ranked highly by survey respondents (Lease, 2002). The No Child Left Behind Act, signed into law in 2002, included legislation that requires educators to base policy and practice on *scientifically-based research*. The term *scientifically-based research* is mentioned over 100 times in the act and is integrated into almost every program contained in the law (Hess & Petrilli, 2006). Educational leaders must be able to understand and evaluate research and determine its utility in improving the school or district (Lauer, 2006). In addition, leaders need to know how to ask the most effective questions regarding their problem, interpret empirical evidence, and create a logical argument for a decision (Haller & Kleine, 2001).

Although research concepts are covered in educational leadership courses, Haller and Kleine (2001) found that few administrators used research to impact decision making. Some of the reasons cited were: (a) a lack of knowledge in accessing and interpreting research studies, (b) a lack of trust regarding the results of research, (c) a need for immediate answers, and (d) a lack of time combined with the abundance of available information. Moreover, Ranis (2003) found that over 50% of a sample of administrators and teachers enrolled in a research methods course were not interested in taking additional courses in research methods. Ranis concluded that a gap existed between faculty and student perceptions of the necessary learning objectives of the research course.

Improving the preparation of educational leaders is a factor in improving schools (Scribner & Bredeson, 1997). Graduate programs in educational leadership must ensure required research courses truly provide school administrators with the research tools they need to perform their jobs effectively. Currently, however, there is a dearth of research exploring the potential disjuncture between what is taught in graduate research methods courses and the research skills actually needed and utilized by administrators in schools (i.e. Ranis, 2003).

The purpose of this exploratory study was to describe school administrators' perceptions of graduate level research methods courses and to identify some of the research skills K–12 school administrators perceived to be most applicable to their roles as school leaders. More specifically, we asked school leaders to recall the graduate-level research courses they had taken and to describe the research skills used in their current positions. Our study was designed to set the foundation for further research to identify the specific research skills and competencies needed by school administrators and to evaluate how well the content of the graduate level research methods course is aligned with practitioners' needs. Three research questions guided this study: (a) What do practicing school leaders recall about their research methods courses and how do they remember feeling about these research courses? (b) How do these school leaders report using research skills in their current administrative positions? and (c) What research skills and competencies do practicing school leaders believe administrators need to effectively manage schools? The procedures for conducting the study are described in the next section.

METHODS

Data were collected using an on-line questionnaire. Both open-ended and closed response items were included. The open-ended questions were analyzed using traditional qualitative techniques. Closed-item responses were analyzed using descriptive statistics.

Participants

A convenience sample of 30 educational leadership doctoral students at a regional state university in the southern U.S. was included in this study. All were working as K–12 school administrators. Twenty participants (67%) voluntarily consented to participate in the study and responded to all survey items over a two-week period. One e-mail reminder was sent prior to the announced deadline. Participant anonymity was ensured through use of a direct web-based link.

Of the total 20 participants, 60% were male and 40% were female. Most of the participants (80%) served as school principals or assistant principals. Of these building leaders, 10 worked at the secondary level and 6 worked at the elementary level. The remaining four worked in administrative positions at central office. All but one held the state principal certificate.

Instrument

The 12 item on-line questionnaire (see Appendix) was developed based on: (a) a review of the current literature on research methods courses for school practitioners, (b) input from graduate students and practicing school administrators, and (c) our experiences as school principals and university professors. The initial questions asked participants to provide their gender, job position, type of administrative certificate held, and when their research methods courses were completed. The remaining seven items were open-ended questions designed to elicit more in-depth responses about participants' personal experiences, memories, and feelings related to research methods courses and their use of research skills in their work as school administrators.

The instrument draft was reviewed by four practicing school administrators for clarity and content validity. These individuals were selected based on their demonstrated competency and interest in using research and data in their schools. They provided comments that were used to improve the face validity of the instrument. Additionally, they tested the feasibility of the on-line questionnaire.

The questionnaire was distributed using the Internet for several reasons. On-line questionnaires were deemed the most effective means to reach the geographically disbursed group of school administrators and were therefore determined to be the most convenient method for participants to access the questionnaire and submit their responses. The web-based questionnaire also allowed for greater anonymity because responses were not connected to individual participants. In addition to participant convenience, some studies have suggested that respondents to electronic surveys actually answer more honestly than on paper and pencil questionnaires or in interviews (Walsh, Kiesler, Sproul, & Hesses, 1992). All students in the sample had access to the Internet and demonstrated technology proficiencies prior to being admitted to the doctoral program.

RESULTS

Participant responses for each open-ended question were collated and analyzed collectively using the comparative method, a qualitative analysis technique (Strauss & Corbin, 1998). To enhance objectivity and reliability in the data analysis process, two researchers individually analyzed the data to identify emerging themes. Then themes were collapsed and ranked by frequency. Researchers reconvened to compare observations and further expand topics. Finally, themes were collapsed until a consensus was reached.

Participants reported that they completed the research methods course between 1980 and 2006. Of the 20 administrators responding, 7 had completed the course in the 1990s and 12 had completed their course after 2000.

Participants were asked to recall how they felt during their graduate research course (question 12). The responses were grouped by the overall feeling tone into negative, positive, and neutral categories. Over half of the participants provided comments in the positive category; 11 students believed that research courses were valuable and important. Although many participants expressed positive feelings, 9 participants reported negative feelings about research classes as indicated by words such as “boring,” “confusing,” “overwhelming,” and “incomprehensible.” Fear, anxiety, and apprehension were also frequently mentioned concepts and students expressed appreciation for instructors that worked to alleviate fears. None reported neutral feelings about the research course.

The remaining open-ended responses centered on school leaders’ perceptions of the applicability of the skills and content presented in research methods courses to their roles as school leaders. Table 1 displays participant responses to questionnaire items 7, 9, and 10. The first column contains the theme we assigned to the responses. The next three columns compare (a) what school leaders remembered about research methods courses they had taken, (b) what research skills they reported using on their current jobs, and (c) the research skills that participants thought school administrators really needed to know. The final column lists some of the professional standards for school leader preparation programs authored by the NPBEA (2002).

Participants were asked to recall the research methods content. Most participants remembered learning how to cite existing literature, how to identify a research design, and how to compare quantitative and qualitative methods. Three participants stated that they did not complete a research course in their administrator preparation program. One stated that he/she remembered very little from the course. Using a thematic analysis, categories were developed including: (a) research methods and designs, (b) data collection and analysis, (c) research vocabulary, (d) literature review, and (e) technical writing.

A majority of the comments (15) focused on various research designs and methodologies. One student commented that he/she gained a “few dry details about types of research studies...” Although the administrators remembered learning about research methods and designs, none mentioned using the concepts in their current jobs. When asked what skills and content related to research and data analysis that educational leaders need to know, one student believed that “we need to know how to conduct research that affects our campus.” The NPBEA standards listed in the last column of Table 1 are those most closely related to the theme of research methods and designs. Many students remembered learning research methods; however, few apply the skills related to research designs or believe these to be of importance.

The two themes that had the greatest alignment across all categories analyzed in Table 1 were data collection and analysis and literature review. Ten of the students remembered skills

related to data collection and analysis and 10 of the students mentioned using these skills in their current jobs. Twelve students believed that collecting, analyzing, and interpreting data were essential skills for administrators. Likewise, the need to use data is found multiple times in the NPBEA standards.

Students also believed that locating, reading, and understanding research were important skills that they learned, used, and should use as administrators. Moreover, the skills related to consumption of research are listed several times in the NPBEA standards, calling for educational leaders to understand best practices and apply research knowledge to improve schools.

A few of the participants in the study recalled concepts categorized as *research vocabulary* and included terms such as sampling, statistical significance, and reliability. Although none of the students mentioned the need for specific vocabulary terms in their roles as administrators, application of these concepts can be inferred from participant responses related to the reading of professional literature and the interpretation and evaluation of research reports. In order for individuals to comprehend and to evaluate research reports, they must have prerequisite knowledge of research concepts and vocabulary.

Most students are required to complete a research proposal or research report in the research methods course. Four of the students recalled aspects related to the written product, including the application of the style manual, the *Publication Manual of the American Psychological Association*. For example, students mentioned “APA” three times in the recall question. None of the students mentioned the need to write technical reports as administrators and no mention of technical writing was found in the standards. One student wrote the “APA style for practical administrators is a waste of time.”

DISCUSSION

Findings revealed the participants remembered learning research methods and designs, data collection and analysis, research vocabulary, literature review, and technical writing. In their roles as administrators, the participants used data collection, data analysis, and literature review skills. Likewise, participants believed administrators needed to learn data collection and analysis and literature review. The NPBEA standards specifically mention research skills related to research methods and designs, data collection and analysis, and literature review. Knowledge of research vocabulary is essential to sound evaluation and interpretation of research. Participants in this study did not mention technical writing or application of APA style guidelines as critical skills for administrators.

From the findings, we offer the following conclusions: administrators in the sample (a) value “best practices” and understand that research can be used to determine best practice, (b) use data, (c) understand the usefulness and availability of research, (d) believe that they can conduct research, and (e) use surveys and tests as primary data sources.

Even though the participating school administrators possessed a general awareness of research, they shared responses representing a wide range of skills and competencies they remembered learning in the research methods course. Responses were grouped according to five themes and the most frequent theme related to course recall focused on research designs and methods. Research classes were reported to have been taken over a seven year time span, which may have greatly affected participants’ memories of course content.

Although school leaders believed that consumer research skills were important, findings did not indicate that they viewed themselves as qualified critical consumers of research. This may

reveal a lack of emphasis on the importance of critical inquiry in research methods courses. Many participants recalled learning research methods, suggesting that instructors commonly rely on traditional research textbooks, which tend to focus on in-depth discussions of research designs, methods, and students. Ranis (2003) conducted a content analysis of three popular research textbooks and found that most of the content centered on designs and methods. Ranis concluded that course textbooks did not pinpoint what educational leaders need to know and were limited in introducing the processes of critical inquiry and educated consumerism in research. What school leaders seem to be receiving in research methods courses matches the traditional research textbooks; these texts typically do not present the content that administrators need to know and fall short of being relevant to school practitioners (Beghetto, 2003). The students in this sample agreed; few believed that skills related to research methods and designs were applicable to their roles as school leaders.

This exploratory study has several limitations. First, we are unable to generalize our findings due to the small sample size. A larger random sample of practicing administrators should be surveyed so that findings can be generalized to master's students in educational leadership programs. Second, one of the researchers was a former professor of some of the participants and may have unconsciously framed the study in a way that influenced the validity of participant responses. Third, the instrument appears to have been limited in eliciting the depth of responses required to identify research competencies needed by school administrators. Fourth, the fact that the school practitioners were also doctoral students appeared to distort perceptions of the research skills needed by school practitioners since doctoral students are encouraged to acquire an academic, rather than applied, style of inquiry. Finally, in many cases, participants appeared to provide socially acceptable responses regarding the value of research and research courses. This may stem from the strong emphasis on the importance of research-based practice and the rhetoric around *accountability* and *data-driven decision making* within the current educational and political environment. The primary implications of our study point to the need for further empirical studies on the research skills required of school administrators. In addition, the study also informs the design of future studies addressing the research needs of school leaders.

RECOMMENDATIONS FOR FURTHER RESEARCH

The NPBEA (2002) standards for educational leadership programs emphasized the need to equip school leaders with the necessary skills to lead schools that demonstrate continuous improvement. A content analysis of the standards resulted in numerous counts of the terms *research* and *data*. A review of scholarly literature relevant to research skills needed by school administrators to be critical consumers of research and apply research in their roles as school leaders resulted in few studies. Literature examining the content of research methods courses in educational leadership graduate programs and the relationship between the content of these courses and the practical needs of school leaders was found to be scarce overall and limited to conceptual pieces or studies with poor designs and few implications for continued research. In an era when school leaders are required to consistently use data in making their decisions, the need for further research in this area is evident.

A major outcome of this study reveals the direction for further studies. Some of these areas directly correspond to the limitations cited in this exploratory study such as: (a) the need to increase the validity of the questionnaire to elicit more in-depth information and reduce the tendency to provide socially acceptable responses; (b) the desire to expand the sample to a larger,

more randomized group of school administrator participants who are not all doctoral students; (c) and the need to explore the relationship between the research skills school leaders perceive they use and the research skills they actually employ in their daily tasks. Both qualitative and quantitative methods are needed to answer these questions.

The aim of our study was to initiate an exploration of the relationships between the research skills actually taught in graduate level research classes and those skills actually learned and applied by practicing school administrators. Further research can be used to define the research skills mentioned in the professional standards and to inform course content and teaching strategies in a way that ultimately improves school leaders' facilitation of school improvement.

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Table 1. Comparison of Research Skills used by Practitioners and Skills Cited in Standards.

Theme	Research skills remembered from course	Research skills used as an administrator	Research skills needed to be an administrator	NPBEA Standards (2002)
Research Methods and Designs	Understanding quantitative and qualitative research methods	---	---	“use appropriate assessment strategies and research methods” (p. 4) “using data-based research strategies” (p. 1)
Data Collection and Analysis	Collecting, analyzing, and interpreting data using statistical software	(a) Reviewing student performance data (b) Conducting school surveys (c) Observing instruction in classrooms	(a) Interpreting and summarizing raw data into graphs (b) Analyzing quantitative and qualitative data (c) Explaining data to a variety of audiences	“use strategies such as observations, collaborative reflection” (p. 2) use “needs assessment, research-based data” (p. 3) “draw on relevant information sources” (p. 1) “can assess school culture using multiple methods” (p. 2)
Literature Review	Searching and sourcing existing literature	Reading literature on instructional strategies and best practices	Reading research to be informed of current issues	“understanding and applying best practices” (p. 2) use “research-based knowledge” (p. 4) “consumers of educational theory” (p. 6)
Research Vocabulary	Defining numerous research terms	---	---	---
Technical Writing	Writing a research paper	---	---	---

APPENDIX**Questionnaire: School Administration Perception of Research Courses**

This questionnaire has two purposes: (1) to obtain your perceptions of research methods courses you have taken and what you remember about them and (2) to ascertain how applicable you have found research courses to be in providing you with the skills you need to effectively manage and lead schools. This research aims to support the needs of school administrators in the areas of research and data analysis. The estimated time to complete this survey is 20 minutes. All responses will be strictly confidential. We sincerely appreciate your time and effort in supporting this important research.

Please click on the one answer below that best describes your response:

1. Gender:
 - Female
 - Male
2. Which best describes your current position?
 - Elementary Principal or Assistant Principal
 - Secondary Principal or Assistant Principal
 - Superintendent or Assistant Superintendent
 - Other (please specify)
3. What was the most recent Texas Accountability rating that your school (or district, if you work at central office) received?
 - Not rated
 - Academically Acceptable
 - Recognized
 - Exemplary
 - Academically Unacceptable
4. What type of administrative certificate do you hold?
 - Lifetime certificate (issued prior to 1999)
 - Temporary or emergency certificate
 - Standard certificate (issued after 1999)
 - I do not hold an administrative certificate
 - In what year did you get your certificate?
5. From where did you receive your certificate (list university or credentialing program)?
6. When did you take your Research Methods course(s)?
 - Before 1980
 - Between 1980–1989
 - Between 1990–1999
 - Between 2000–2006
7. Please describe what you remember learning in your Research Methods courses:
8. What does "data-driven decision making" mean to you?
9. What research skills do you use in your current job?
10. What skills and content related to research and data analysis do you think educational leaders really need to know?
11. Describe how well you believe that your principal or administrative preparation program equipped you with the skills to make data-based decisions.
12. When you reflect back on the Research Methods courses that you took, the overall feeling(s) you remember is/are...
13. Please feel free to share any other information that might help us understand administrator needs related to using and understanding research and data to effectively manage schools.

Thank you kindly for taking the time to complete this questionnaire. Your responses will assist in the development of relevant Research Methods courses for future administrators.

The Efficacy of School Leadership Programs

Helen A. Friedland, Carol Fleres, and Frederick Hill

Historically, criticism of leadership preparation programs has been the impetus for change in preservice and inservice programs (Achilles, 2005; English, 2006; Hale & Moorman, 2003; Orr, 2006). Researchers criticize programs as insufficiently aligned with the demands of leadership (Farkas, Johnson, Duffett, & Foleno, 2001). In the mid 1990's, the Interstate School Leader Licensure Consortium (ISLLC) established guidelines that have become central to principal licensing criteria (Murphy & Shipman, 2000).

Nevertheless, there is a paucity of research regarding the extent to which urban principals see current criteria for licensing, practice, and preservice education as relevant in their day to day activities. This study focuses specifically on inner city principals as it seeks to understand the nature of their work and the significance of programs that prepare them for it. Using performance indicators of six ISLLC Standards, it investigates how these Standards are implemented in urban practice and how preservice leadership programs are perceived to have used ISLLC Standards to prepare principal candidates.

ISSLC STANDARDS AND THE WORK OF SCHOOL PRINCIPALS

Responding to the continuous criticism of school leadership programs as theory based and inconsistent with the demands of the profession, the ISLCC Standards were created as a means of enhancing student achievement through effective administrative practices that emphasized teaching and learning (Murphy & Shipman, 2000). In November 1996, the Council of Chief School Administrators formally adopted the ISLLC Standards for School Leaders and, in doing so, changed the emphasis from examining and measuring school input activities to measuring outcomes for children and youth. Most states have adopted the ISLLC Standards in their quest to reconstruct school leadership and meet the National Council for Accreditation of Teacher Education (NCATE) accreditation standards (Murphy, 2005).

ISLLC Standards have become the basis for examining school leaders because, as Mazzeo (2003) told us, the ISLLC framework permits assessments of performance-based evidence in graduate curricula and internship experiences. Although the development and use of performance standards appears to be a worldwide trend, the practice is not without its critics (English, 2006; Waters & Grub, 2004; Waters, Marzano, & Nutley, 2003). Critics of the ISLLC Standards point out that, in general, standards have shortcomings in scope and, in particular, the ISLLC Standards lack a basis in research (Leithwood, Louis, Anderson, & Wahlstrom, 2004; Waters & Grub, 2004; Waters, Marzano, & Nutley, 2003). English argued that standards are limiting and result in reductionism. Similarly, Leithwood, Louis, Anderson, and Wahlstrom are concerned that existing standards treat the practice of leadership as static and unproblematic.

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EVOLVING ISSUES IN URBAN LEADERSHIP

There is no greater need for excellence in leader preparation than in urban centers where many students are at risk (Darling-Hammond & McLaughlin, 1995; Levine, 2005; Mazzeo, 2003; Prince, 2002). Glassman and Glassman (1997) reminded us that training programs need to apply research in aligning preservice experiences with actual practice. Such alignment is especially needed with regard to the experiences of urban principals (Portin, 2000; Shen, Rodriguez-Campos, & Rincones-Gomes, 2000).

Today's successful leaders are considered those who emphasize learning and a positive learning environment, whereas previously successful principals may have been defined as those who managed well-organized and safe schools (Quinn, 2005). However, despite the fact that instructional leadership rather than management is now emphasized, school leaders generally must address both without sufficient time and resources (Pierce, 2000). Researchers (Archer, 2004; Dandridge, Edwards, & Pleasants, 2000; Portin, 2000; Shen, Rodriguez-Campos, & Rincones-Gomez, 2000) have found that principals complain that they spend increasing amounts of time with (a) managerial pressures such as discipline and economic deprivation, (b) complex social needs of students, and (c) maintenance. Urban principals, consumed by these issues, feel that increasing legislation adds new responsibilities to their already overloaded schedules. Consequently their influence as instructional leaders is diluted as their attention is drawn away from instruction.

THE EFFICACY OF PREPARATION PROGRAMS FOR URBAN SCHOOL LEADERS

Petzko (2005) found that principals of highly effective schools identified instructional leadership, organizational development and the change process, as well as oral and written communication as essential characteristics of effective leadership programs. Least important were theory, research methods, and school board relations. Kerrins, Johnstone, and Cushing (2001) asked superintendents to rate newly hired principals using ISLLC competencies. The results showed academic instruction as an area of need. Similar findings are reported in an extensive study by Farkas, Johnson, Duffett and Foleno (2001). When superintendents and principals were asked about the credentials and ability of their principals, 65% of the superintendents viewed their principals as putting the interests of children above all else. But when it came to recruiting talented teachers and knowing how to make tough decisions, only one in three saw their principals as doing well. A meager 18% saw their principals as effective in holding staff accountable for results.

Although ISLLC Standards fail to take into account the differences between novice and expert leaders, Adams and Copeland (2005) would like to see preparation programs differentially designed to accommodate entry level and expert practice. They posit that the Standards are an important step forward in requiring uniform demands of entry-level practitioners. Given that the ability to move the organization and community generally comes into play after a principal is seasoned and has had substantial, ongoing training, which the organization invests in him or her, they recommend post-licensure certifications for more experienced practitioners.

This study focuses on how ISLLC Standards align with the unique challenges of the role of urban principals, the adequacy of preparation for their day-to-day mission, and the degree to which the Standards are reflected in leadership practices.

METHOD

Genesis of the Survey

A questionnaire was designed to assess the day-to-day work of school principals and their perceptions of their leadership preparation programs. Elements of effective school leadership were identified from the ISSLC Standards used to determine university program effectiveness by NCATE, a national accrediting agency. Of the 43 ISLCC knowledge indicators, 36 unduplicated items were selected for the survey.

Research Questions

Three research questions framed the study: (a) With regard to ISLLC indicators, how does the frequency with which urban principals engage in them align with their perception of the thoroughness of preservice programs? (b) What factors enable urban principals to be effective leaders? (c) Which ISLLC indicators do urban principals most value and recommend be included in preservice programs?

To operationalize the first question, urban principals were asked, “How often do you engage in the following activities?” and “To what degree did coursework prepare you for these activities?” These two questions were applied to 36 pairs of ISLLC indicators on which respondent’s used a Likert scale to rate their experiences. Inasmuch as ISLLC indicators are not rank ordered in terms of importance, the term “frequency” as used in this study is designed to measure the relative amount of time and focus in preservice curriculum and on-the-job actions of principals, and not their relative merit.

To operationalize the second question, urban principals were asked to use a Likert scale to rate seven factors including teaching experience, graduate course work, internships, mentoring, on the job experience, professional organizations, and informal collegial support. Space was provided for respondents to write in other factors that may not have been included in the question.

To operationalize the third question, urban principals were asked to list five topics to be included in leadership programs.

Participants

The target group was approximately 500 principals who work in Abbott districts in New Jersey. The term “Abbott district” is limited to a class of school districts identified as “poorer urban districts” or “special needs districts.” In 1997, these districts became known as “Abbott districts” (Librera, 2003).

Instruments

Cover letters, instructions, and surveys were sent to principals in 31 Abbott Districts in New Jersey. The survey consisted of both Likert scale and open-ended questions. The 36 Likert scale questions were based on ISSLC indicators; principals were asked to judge (a) their day-to-day work and (b) their preservice preparation.

Principals evaluated the frequency with which they were engaged in 36 work activities by selecting “always,” “often,” “sometimes,” or “never.” For example: How often do you engage

in these activities on the job: (a) strategic planning, (b) effective communication methods and strategies, (c) systems theory, and (d) consensus building and negotiation skills.

Principals also evaluated their professional preparation program by selecting “strongly agree,” “agree,” “disagree,” or “strongly disagree” in relation to an identical set of work activities and in response to the question: To what degree did *coursework* provide the knowledge, skills, and dispositions for these activities?

Principals were asked to rate seven factors influencing their leadership skills using the scale “great value,” “some value,” “minimal value,” or “no value.” An open-ended question assessed critical leader preparation program topics.

Five principals pilot tested the letter, instructions, and survey and provided feedback on the form, content, appearance, and clarity of each document. The final version of the letter, instructions, and survey were mailed to principals and superintendents.

Data Collection

The first mailing and two follow-up mailings were sent to principals in 530 schools including high schools, middle schools, elementary schools, special education schools, and county vocational schools. An additional mailing to Abbott district superintendents requested their support and asked that they encourage principals to participate.

Data Analysis

Responses to the demographic questions and Likert items were analyzed using descriptive (i.e., item means and percentages) and inferential statistics (t-tests). Answer sheets were scored by assigning consecutive integers to the Likert response options. The lower the integer, the higher the degree of agreement. Mean scores for each of the 36 job activities and 36 coursework indicators were calculated. We assessed the differences between means of (a) reported job activities and (b) coursework by comparing the mean scores for each pair of ISLLC indicators. Paired sample t-tests were used to evaluate the research questions on 36 pairs of mean scores.

Qualitative analysis involved content analysis of the open-ended question: If you were designing a leadership program for future principals, list five vital topics. Two of the researchers independently analyzed and aligned responses with the six ISLLC Standards. An experienced professor of educational leadership refereed differences. Finally, similar responses were collapsed.

RESULTS

Of 530 surveys sent to principals of Abbott districts, a total of 84 were returned resulting in a 15.8% return rate. More than 54% of the respondents were White, 13.1% were Hispanic, 25% were African American, and 6% selected other or did not designate ethnicity. Most of the respondents (80.24%) completed their principal preparation programs in state supported public institutions in New Jersey.

Approximately half (48.8%) of the respondents have been principals for one to five years. Fifty-six percent of the respondents were female, 41.67% male, and 2.4% did not designate gender. Most respondents have been educators for more than 20 years (76.2%).

Approximately 61% of respondents were elementary principals, 12% were middle school principals, 19% were high school principals, and 6% were in other school configurations (e.g., K–8).

Engagement in On-The-Job Activities

Question 1: With regard to ISLLC indicators, how does the frequency with which urban principals engage in them align with the thoroughness of preservice programs?

The t-tests revealed significant differences between 19 of the 36 mean scores; there were significant inverse relationships between job and preservice coursework on 15 ISLLC indicators in Standards 1 through 5; four Standard 1 indicators, four Standard 2 indicators, five Standard 3 indicators, and two Standard 4 indicators. There was a significant positive relationship between job and preservice coursework on four ISLLC indicators in Standard 6. Table 1 lists the significant results of these t-tests.

The 15 significant inverse relationships between ISLLC indicators and coursework suggest that principals are called upon to carry out job responsibilities for which they did not perceive themselves to be adequately prepared in preservice programs. In addition, the four significant positive relationships between ISLLC indicators and coursework suggest that respondents had coursework that they perceived as unrelated to the demands of their job. All four significant positive relationships are included in Standard 6.

Preservice Educational Needs Identified by Urban Leaders

Question 2: What are the factors that enable urban principals to be effective leaders?

The following experiences were rated as having “great value” in terms of their effectiveness to the principalship: on-the-job experiences (90% of respondents), teaching (86.9% of the respondents), and informal collegial support (58.33% of respondents). Experiences rated as having “some value” in relation to principal effectiveness included coursework (54% of the respondents), professional organizations (40% of respondents), and graduate internships (28.57% of respondents).

Question 3: Which ISLLC indicators do urban principals most recommend to be included in preservice programs?

Principals were asked: If you were designing a leadership program for future principals, list five topics that cannot be left out of graduate programs.

There were a total of 340 items generated for the first question with most responses aligned with ISLLC Standards 2 and 3. There were 57 topics aligned with Standard 1 (Leadership and Vision), 123 aligned with Standard 2 (Learning and Teaching), 126 aligned with Standard 3 (Productivity and Professional Practice), 25 aligned with Standard 4 (Support, Management and Operations), two aligned with Standard 5 (Fair and Ethical Issues), and seven aligned with Standard 6 (Social, Legal, and Cultural Issues). Table 2 lists topics aligned to each ISLLC Standard suggested by at least 10 respondents. Respondents provided 28 suggestions that related directly to internship experiences, such as having a mentor or shadowing a principal.

Summary Statements of Significant Findings

1. Respondents reported a mismatch between job demands and preparation programs:
 - (a) Slightly more than half of the ISLLC indicators that principals most frequently

engaged in on the job were perceived as under addressed in their preservice preparation program. (b) Two thirds of the indicators in Standard 6, which were perceived as most thoroughly addressed in preservice programs, did not represent activities frequently engaged in on the job.

2. Principals rated on-the-job experience, previous teaching experience, and informal collegial support as having “great value.”
3. Standards 2 (Learning and Teaching) and 3 (Management) were identified most often as essential for preservice programs and internships.

DISCUSSION AND IMPLICATIONS FOR URBAN PRINCIPALS

The purpose of this study was to investigate the relationship between preservice programs and the work of urban principals relative to 36 ISLLC indicators. Did principals receive adequate preparation in indicators included in ISLLC Standards and how frequently do they use them in their work? The analysis of data obtained in surveys returned by urban New Jersey principals has several limitations, including the small sample of respondents and a small number of questionnaires that were returned with several responses omitted. We feel confident, however, that the observations in our analysis are robust and, if anything, underestimated. The findings serve as a springboard for additional investigations into the implementation of the ISLLC Standards. Therefore, bearing these limitations in mind, we focus our concluding discussion primarily on these significant observations.

Education and Professional Experience of Urban Principals

Urban principals reported a mismatch between training programs and work experiences. That is, they were frequently called upon to implement ISLLC indicators they perceive as not having been stressed in their preservice programs. Areas under represented in their preservice program fell into Standards 1 through 4: leadership as it pertains to school vision, learning and teaching, management, and community involvement. When asked to identify essential elements of preservice programs, they identified the same indicators. Petzko (2005), who asked principals to identify characteristics of effective leadership, had similar findings. Highly effective schools were led by principals who valued learning, instruction, and effective communication, but not theory or research.

What are some possible reasons why urban principals focus on these standards? In this study, urban principals identified high need/high stress job requirements also identified by other researchers (Dandridge, Edwards, & Pleasants, 2000; Pierce, 2000; Portin, 2000; Shen, Rodriguez-Campos, & Rincones-Gomez, 2000). Urban principals find themselves in situations in which they must build partnerships between all constituents and develop programs that connect home, school, and community. They must manage and operate facilities that are often in need of significant improvement; simultaneously, they are expected to construct a vision and culture that counteracts poor literacy and raises student achievement despite a lack of resources. The respondents indicated that these extremely important aspects of their work were not satisfactorily addressed in preservice programs. Unfortunately, their effectiveness is often compromised as well by the tendency of central office administrators to move principals, especially urban principals, to different schools before the school has had a chance to show improvement (Pierce, 2000).

Promising Practices for Urban Practitioners

Given the high stakes testing associated with the No Child Left Behind Act, there is significantly more pressure on urban principals to produce high-achieving schools. But principals are also expected to carefully manage the school (Archer, 2004; Portin, 2000), which includes administering school budgets, maintaining safe and secure learning environments, and addressing issues within the limits of ever-changing laws. It is not surprising, therefore, that respondents most often suggested that preservice programs and internships include knowledge and experiences from Standard 2, which focuses on student learning and Standard 3, which includes management of the organization, thus expressing the duality of their complex role.

Portin (2000) found that urban principals give managerial indicators high priority because they represent high stakes for job retention. Similarly, there is a lot riding on a principal's ability to appropriately navigate the community and political forces in it. As suggested by Portin, "leveraging resources, communicating and understanding the needs of their community, and the ability to serve as hub for multiple social services and educational agencies should better prepare [urban] principals. . ." (p. 504). However, they also must be afforded sufficient time without transfer to a new school to examine the fruits of their efforts as change agents (Pierce, 2000), while they are also being trained in implementation of the Standards.

As echoed in other studies (Friedland, Fleres, & Shevey, 2005; Leithwood, Jantzi, Coffin & Wilson, 1996), respondents perceived on-the-job experiences as most important in becoming effective leaders, supporting the idea that preservice programs should immerse candidates regularly in authentic contexts that undergird learning and successful practice. Increasingly, practitioners and policymakers are recognizing the need to provide a seamless continuum of professional training throughout the leader's career (Lashway, 2003b). Such a program enhances the value of preservice classroom instruction by combining it with authentic field experience. It also extends mentoring, professional development, and supervision for practitioners through their early years on the job.

It may be that preservice programs include too broad a curriculum and insufficient field experiences. In so doing, they sacrifice breadth for depth of learning so that effective application of the Standards is reduced. Actual practice is "messy" and usually involves multiple issues as well as multiple Standards. For example, curriculum issues are often embedded in vision and change process issues, school culture issues, community and parent issues, and the larger political context. To study curriculum development in isolation limits the time to study that topic and others and fails to appropriately contextualize the process.

Because schools of education are the major source of preservice training, recent emphasis on school improvement and leadership quality require schools of education to reinvent themselves so as to create innovative programs that focus on essential leadership skills. Restructured programs should form partnerships with school districts to identify potential leadership candidates from the ranks of teachers who have a strong commitment to democratic principles and believe that they can positively impact student learning on a school-wide basis. Such preservice programs should provide field experiences with exit criteria that assess how well the candidate effects learning.

State departments of education should consider multi-year funded internships as part of the graduate pre-service program. Such experiences might be funded through tuition, and/or by allowing candidates reduced teaching loads, summer appointments, and eliminating non-teaching duties from their schedules. Promising candidates, in turn, would agree to work in the district for a stipulated amount of time once fully certified. In this way, induction into school leadership would begin well before principals take charge. In addition, differentiated

levels of certification, such as a two-track system for novices and experienced practitioners proposed by Adams & Copeland (2005), would occur in conjunction with professional development on the job. Clinical and field activities, sequenced in complexity throughout the program at every level of certification and supported by experienced mentors and supervisors, would provide valuable experiences that support continued learning.

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APPENDIX

Table 1. Significant Differences between Job and Coursework Experiences of Urban Principals.

Survey Questions Based on ISLLC Indicators	Mean difference	SD	t
<u>Standard 1 Leadership and Vision</u>			
Strategic planning	-.64	1.205	-4.826***
Effective communication methods & strategies	-.60	1.126	-4.876***
Consensus building	-.40	1.268	-2.856**
Information sources & data analysis	-.48	1.335	-3.225**
Developing, articulating, implementing, monitoring vision	-.53	1.172	-4.120***
<u>Standard 2 Learning and Teaching</u>			
Student growth and development	-.39	1.135	-3.094**
Learning and motivation	-.25	1.103	-2.091*
Technology for student learning and professional growth	-.49	1.501	-2.998**

Survey Questions Based on ISLLC Indicators	Mean difference	SD	t
School cultures	-.34	1.290	-2.382*
<u>Standard 3 Management and Operations</u>			
School safety and security	-.93	1.323	-6.388***
Fiscal operations	-.54	1.272	-3.884***
School facilities	-.76	1.331	-5.197***
Technology associated with management functions	-.51	1.409	-3.272**
<u>Standard 4 Families and Community</u>			
Dynamics of the school community	-.55	1.161	-4.349***
Community resources	-.36	1.111	-2.965**
<u>Standard 6 Larger Political, Social, Economic, Legal and Cultural Context</u>			
Democratic principles that undergird American education	.40	1.115	3.250**
School's role in renewing a democratic society	.43	1.202	3.289***
Impact of political, social, economic, cultural, and legal systems on teaching and learning	.29	1.205	2.186*
Global issues affecting teaching and learning	.39	1.167	3.010*

* p < .05 **p < .01 ***p < .001.

Table 2. Leadership Topics Identified by Ten or More Urban Principals.

Topics	Number of responses
<u>Standard 1 Leadership and Vision</u>	
Communication /Leadership strategies	19
Consensus Building/Conflict Resolution	21
Data Analysis & Technology	17
<u>Standard 2 Learning and Teaching</u>	
Curriculum Design and Evaluation	31
Effective Instructional Practices & Diverse Teaching Strategies	14
Staff Development Programs	14
Supervision of the Instructional Program & Observation	12
<u>Standard 3 Management and Operations</u>	
Budget and Finance	33
Safety Issues/ Discipline/Aggression Management	16
School Laws/Legal Issue	30
Human Resource Management(Hiring/Interviewing/Conflict)	19
<u>Standard 4 Family and Community</u>	
Community Relations & Resources	11

Navigating the Future through Practice: Preparing Future Leaders with an Elaborated Professional Development Model

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INTRODUCTION

Starting in the 1990s, professional development research has contrasted two teacher learning paradigms, one old and one new (Elmore, 2002; Fullan, 1991; Sparks, 1995). In the old paradigm, professional training is focused on the individual teacher who attends some relatively short-term learning activity like a presentation or a workshop. Teacher learning that results from short-term training is usually assumed and not assessed for its effects on the school. There is no follow-up to either support the individual teacher or assess implementation fidelity. In this paradigm, professional development evaluation gathers evidence of teacher satisfaction and self-reports about classroom applications (Guskey, 2000). The culture of teacher isolation is reinforced with this type of professional training that has little or no follow-up (Little, 1990; Lortie, 1975). This culture of isolation is a factor that severely limits the ability to create a culture of change and improve teaching and learning through improving curriculum, instruction, and assessment in schools (Fullan, 1993; Fullan & Hargreaves, 1996; Sarason, 1996).

In the new paradigm, teacher professional learning is a daily imperative in the lives of schools (Hawley & Valli, 1999). Teachers are active designers of their own professional learning, often using student assessment data and local instructional renewal initiatives to focus their collaborative efforts. Because collaboration alters the culture of isolation, teacher work is changed. Teachers, principals, and other staff assume new roles and responsibilities for student success. Schools may be reconceptualized as professional learning communities (Bryk & Schneider, 2002; DuFour & Eaker, 1998; Wenger, McDermott, & Snyder, 2002; McLaughlin & Talbert, 2006), and teacher work is fundamentally reorganized (Little, 1999). Teacher leadership is developed for mentoring, coaching, and teaming (Bolman & Deal, 1994). Leadership is distributed among teachers, principals, and staff (Spillane, Diamond, & Jita, 2003; Timperley, 2005). In this paradigm, evaluation assesses teacher learning, implementation fidelity, organizational support, and, ultimately, student learning that results from professional development (Guskey, 2000). Teacher learning is understood in terms of adult learning principles (Bredeson, 2003) that consider learning a rich, cognitive, and social activity, not a simple dissemination process that assumes implementation with fidelity to a vision of change or a new policy (McLaughlin & Talbert, 2002; Spillane, 2002).

The two paradigms clearly contrast common, old paradigm professional development practices in the field with a vision of professional learning for an era shaped by a broad commitment to improving student learning outcomes and renewing curriculum, instruction, and assessment in schools. The paradigms can also be considered as two dimensions of

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professional development design and implementation, each with its own applications. The first dimension is the personnel or people focus, a determination of who will engage in the professional development. Will the professional development activities focus on individual teachers or on working groups, grade level teams, departments, or schools? The second dimension is the use of time. Is the professional development seen as a one-time event? Or is professional development intended to be long-term and ongoing as reformers advocate? In addition to raising questions about exemplary professional development practices in schools, the answers to these questions raise issues for educational leadership preparation. First, how can these two paradigms or dimensions help administrators think more productively about professional development? Second, how can elaborating professional development models help administrator preparation programs ready their students for a new world of professional learning in schools?

The two dimensions described above distinguish the focus of professional development (on the teacher versus the team, department, or school) and the use of professional development time (short term, discrete events versus ongoing, collaborative working arrangements). Taken together, they create four options for the design and implementation of professional development. Developed by a four-member professional development evaluation team from the Center for the Study of Education Policy at Illinois State University, the Structures of Training and Processes of Implementation (STPI) Model separates four professional development design and implementation variables implicit in the two paradigms (see Figure 1). The Center team studied 28 professional development projects in order to develop and refine the model over a three year period as they used the model to support grant directors to evaluate their own grants. The STPI model is the result of their efforts and the collaboration of the 28 project directors in a long-term action research project. The four parts of the model (A-D) that distinguish key dimensions found in the collaborating projects, outlined in Figure 1, are pure types. There is no claim that one model is superior to another. Rather, each model requires thoughtful reflection on critical assumptions that have a bearing on practices and outcomes.

In STPI, Models A and B are Workshop models that take a short-term approach to professional development. In Model A, the Individual Workshop, the single focus is on individuals who complete short-term training. Training assumes the teacher is an independent practitioner who will continue to work in the conventional roles of the classroom. Further, it is assumed that short-term professional development is sufficient for improvement of curriculum, instruction, or assessment. In Model B, the School Workshop, multiple members of a school community are engaged in professional development that is designed to be short-term. In this model the isolation of the teacher is addressed by including others (*e.g.*, the principal or other staff) in the training program. The training program has greater depth than Model A, but professional development is still limited to relatively short-term commitments of the initial training program.

STPI Models C and D are Network models of long-term professional development. In Model C, the School Network, multiple school community members engage in professional learning that is ongoing and collaborative. Participants are expected to open up new networks of consultation in the school to address critical questions of student learning. This work requires collaborative problem solving and many occasions of leadership are distributed throughout the school. Finally, in Model D, the Individual Network, individual teachers are the focal group in training that is ongoing and connects them to other individuals. In Model D the burden of continuous improvement of pedagogical strategies rests with professional peers inside the school and beyond. Collegial networks are critical for the ongoing success of pro-

professional development. The most common use for the Individual Network is the creation of networks of high school teachers in the same subject area or interactive websites that provide on-line subject-based support.

Figure 1. Structures of Training and Processes of Implementation (STPI) Model.

Implementation: Processes of Interaction In School Settings			
		Improvement Within Same School Roles: Teaching & Leadership Roles Remain Same	Improvement With New Collaborative Opportunities: Teaching & Leadership Roles Expanded
		(B) <u>Multiple Roles:</u> <u>Training Completed</u>	(C) <u>Multiple Roles:</u> <u>Training Ongoing</u>
Design: Structural Arrangements For Training Of Teachers	Complex: Two or more More Levels	<i>Teachers, Plus Others</i> (Training is sufficient for improvement; minimal networks are developed)	<i>Teachers, Plus Others</i> (Training is not sufficient for for improvement; it is em- bedded, interactive, & it- erative)
		(A) <u>Single Role:</u> <u>Training completed</u>	(D) <u>Single Role:</u> <u>Training Ongoing</u>
	Simple: One Level	<i>Teachers / Individuals Only</i> (Training is sufficient for improvement; no further Networks are needed)	<i>Teachers / Individuals Only</i> (Training is not sufficient for for improvement; consult with peers or experts in new networks)

These four models provide a way for administrators to think about professional development and for leadership preparation faculty to test the usefulness of the model for practice and its viability for coming to better understand the role of professional development in school improvement and renewal. The two dimensional model, based on the two paradigms, needed to be tested in action research in schools. To do that, a course project that would help students and faculty in administrator preparation sharpen their thinking about and practice of professional development in schools was developed and implemented in the spring and summer semesters of 2006, resulting in 24 case projects from students' own school settings.

The initial work of using the STPI Model in PK–12 schools came about through an assignment used in a principal preparation course entitled *Organizational Development* designed to supplement student learning about professional development and faculty understanding of student experience in schools. The thinking was that if the STPI Model was appropriate for use in assessing professional development work done in schools funded by grants, then the model should also work when applied to other schools. Therefore an action research project using the STPI Model was instituted to gather data to understand professional development in PK–12 schools. In order that students would take the data gathering and analysis seriously with real investigative intent, this action research project was a core course

assignment supported with reading, writing, and ongoing, rich discussion about the real and the ideal in professional development.

The research project was called an Action Research Project on Professional Development (see Appendix A for project protocols). Students were to implement the research project in three steps. In step one, students were asked to conduct thorough research on the full range of professional development activities in their own school for the past two to three years (Appendix A-1). They were encouraged to review documents such as School Improvement Plans, Professional Development Plans, and Internal Review Reports as means of gathering insight into professional development activities that had taken place in their school. Step two of the research called for the students to use a packet of information containing the following: interview questions (Appendix A-2); Structures of Training and Processes of Implementation or STPI Model (Appendix A-3); an information gathering protocol; and Participant Consent Forms. Using the packet materials, they were to interview four people from their own school and district: the person in the central office of the school district primarily responsible for professional development; the principal; and two teachers. The STPI Model was used in the interview process. All students were instructed on the use of interview protocol questions and the recording of interviewee answers. Step three of the project asked the students to analyze the data that they collected and write an eight to ten page paper characterizing professional development in their school using the STPI Model. These materials were used in the class for analysis and discussion.

The early usefulness of the STPI Model for describing variation among professional development projects was not simple and automatic. Students in *Organizational Development* discovered that the application of the model to the real life work of their schools and districts created a new awareness of disconnections between the model and their experiences in schools. After reviewing the data collected by each student, a compilation of the data with examples from the students' action research was made in each quadrant of the STPI Model (see Table 1). The data were used in class for discussion and elaboration and suggested a range of activities in each model or quadrant.

Table 1. Initial Professional Development Model: Structures of Training and Processes of Implementation (STPI) with Exemplars from Student Projects by Quadrant (A-D).

MODEL B: School Workshop Activities Teachers & Others	MODEL C: School Network Activities Teachers & Others
<ul style="list-style-type: none"> • Guest speakers • Scope and sequence review • Review of sexual harassment policy • Team building day • Cardio pulmonary, CPR training • District-wide conference • Diversity workshop • First day (of the school year) orientation • School improvement and institute days 	<u>Activities:</u> <ul style="list-style-type: none"> • Committees for differentiated instruction • School Improvement Planning (SIP) • SIP team meetings throughout the year • Curriculum mapping meetings • Ongoing training with Modern Red Schoolhouse • Committee on statewide assessment • Committees on Keys to Reading Success and Math Their Way
MODEL A: Individual Workshop Activities Individuals Only	MODEL D: Individual Network Activities Individuals Only
<u>Activities:</u>	<u>Activities:</u>

<ul style="list-style-type: none"> • Grade level or subject academy courses • Technology training for student data base • Training on use of special ed forms • One-day workshops and seminars • New staff orientation • CPR certification • Professional development courses • Conferences 	<ul style="list-style-type: none"> • Graduate courses • Monthly department work time • Master’s program classes • Freshman program curriculum writing • New teacher induction program • National Board Certification training • Advanced Placement Course training • Regional networking activities
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The information collected and the types of activities found under each quadrant of the model raised a number of critical questions about professional development design and implementation for students and faculty. Multiple definitions applied to the same activities, and the same type of activity was represented in several quadrants. An activity could be “short term” for one person and “long term” for another. It was clear to the students and the professors teaching the class that there was no common understanding or terminology of what professional development was, that it took many different forms, and that these forms were not generally chosen strategically, but rather followed past practice, most often the old paradigm. First, the project taught students to see the complexity and ambiguity underlying common professional development arrangements. Second, the project taught students that professional development has divergent meanings that differ by circumstance. For example, students noted that administrators and teachers had very different perceptions of professional development activities. Finally, the project called attention to the fragmented and limited nature of professional development that has little lasting impact.

To teach is to intervene in someone’s life to help them learn to do something that they otherwise would not do and that would make a difference to the learner. This project made a difference as students came away with a new understanding of professional development that was useful to them and that they could practice using together in the class.

So what conclusions can be drawn from all the rich data and information that the students had gathered, presented in papers, and discussed? And what needed to be done to prepare students to lead professional development? In the discussions with the students and after again reviewing the papers along with the actual data collected, it became apparent that students were very able to gather accurate data about the current state of professional development in the schools. Although the data suggested that that current state was one of disarray, at least the students in the class came away with a thorough understanding of what was happening in their schools and what good professional development could be. Also, the four frame model that differentiated two factors, people and time, was not adequate to clearly define professional development and how it was being used in PK–12 education.

But what was missing? Throughout the discussions the students talked about the reason for professional development activity or its underlying need. It was then that the third dimension of professional development became apparent: its purposes. The real differentiators of professional development were contained in three dimensions: people, time, and purpose. The 24 cases and the cumulative impacts of weeks of discussion and careful analysis supported this view. Hence a new paradigm, the Professional Development Elaboration (PDE) Model, was conceived to account for further elaboration of professional development options with purpose as a third, critical dimension. Beyond Workshop and Network Models, core purposes for professional development had to be cultivated from student perceptions and collective study of the cases.

The four models A-D that resulted from the Center for the Study of Education Policy evaluation action research project helped distinguish professional development projects in the field in light of old and new paradigms. But even taken together, the four models did not take into account the multiple purposes for which teacher professional learning is intended, a discovery faculty made learning along with principalship students who understood variations in professional development most clearly in terms of purposes. Once purposes could be established, then the people and time dimensions from the STPI Model fell into place. For principal preparation students, there were two distinct sets of purposes for professional development that came out of writing, reading, and class discussions. The first set of purposes involves the management of the school as an organization with policy imperatives to create and to implement. The second set includes professional development that is intended to improve the teaching and learning in the school, enhancing student learning outcomes. With these two purposes, professional development choices can evolve from an elaborated set of options.

Taken together, the new, elaborated options can help school leaders distinguish professional development approaches that allow them to effectively manage their schools from those that carry with them the potential to change curriculum, instruction, and assessment to support student achievement. Preparing school leaders who can use professional development strategically for both organizational management and real changes in the day-to-day lives of schools is an imperative for educational leadership programs in an era of increased accountability and attention to renewal and improvement.

The Professional Development Elaboration Model design takes into account three dimensions that influence professional development for schools: people, time, and purpose. This model differentiates professional development in the following design format. An elaboration of the three dimension's descriptions are: (1) focus of training: for individuals as solo practitioners or collective groups (such as the school or another distinct group); (2) time of training experience: as discrete and short-term or continuous and long-term; and (3) purpose for training: to improve instruction and student learning or organizational management and related skills. When all potential combinations are placed together, eight configurations of professional development are possible (see Table 2).

The Professional Development Elaboration Model recognizes and addresses the several issues cited in prior research. First, there is a need for individual, short-term, management-related professional development. From the examples students developed in their projects, several are clearly management-associated tasks that do not require networked arrangements or long-term learning opportunities. Just the same, the primary purpose of professional development is to create collaborative, long-term, improvement of learning for students. Good organizations must do both. Great organizations do both strategically.

First, all organizations must address and keep up-to-date on management and organizational issues to continue to be effective. Many management and organizational issues, such as work rule updates, new policies, or new laws and regulations can easily be addressed in single workshops of short duration. Furthermore, there are many other management and organizational issues, such as computer training, scheduling, or working together as content area teams, that require longer term training that can be provided through networks or long-term providers. CPR Certification training is a clear example of a management purpose appropriately met with an old paradigm professional development design, the Individual Workshop. A School Workshop to review sexual harassment policy is another appropriate management

Table 2. The Professional Development Elaboration Model Shows Eight Configurations of Professional Development Based on a Study of School-University Professional Development Grants and Student Action Research Projects, Discussion, and Collaborative Analysis.

<u>Focus:</u>	<u>Time:</u>	<u>Purpose:</u>	<u>Description:</u>
Individual Vs. School	Short-Term Vs. Long-Term	Teaching/Learning Vs. Org. Mgt.	
<i>School</i>	<i>Long-Term Networks</i>	<i>Teaching/Learning Goals</i>	School Networks for Learning
<i>Individual</i>	<i>Long-Term Networks</i>	<i>Teacher/Learning Goals</i>	Colleague Network for Learning
<i>School</i>	<i>Long-Term Networks</i>	<i>Org'l Mgt. Goals</i>	School Network for Management
<i>Individual</i>	<i>Long-Term Networks</i>	<i>Org'l Skill Goals</i>	Colleague Network for Org'l Skills
<i>School</i>	<i>Short-Term Workshop</i>	<i>Teaching/Learning Goals</i>	School Workshop for Learning
<i>Individual</i>	<i>Short-Term Workshop</i>	<i>Teaching/Learning Goals</i>	Solo Workshop for Learning
<i>School</i>	<i>Short-Term Workshop</i>	<i>Org'l Mgt. Goals</i>	School Workshop for Management
<i>Individual</i>	<i>Short-Term Workshop</i>	<i>Org'l Skill Goals</i>	Solo Workshop for Org'l Skills

function of professional development. It is important to help school leaders, teachers, and others understand the purpose for these types of training and use them accordingly.

Second, the PDE Model clearly delineates between professional development for management and organizational issues and those directly connected to the main purpose and focus of the organization: learning and teaching through curriculum, instruction, and assessment. Using the PDE Model, this primary purpose of professional development can be addressed in several ways: individual or group and short-term or long-term approaches. Many curricular or instructional issues, such as curriculum updates, new assessments, or new time schedules can easily be addressed in single workshops or meetings of short duration. However, there are many other curricular, instructional, and assessment issues, such as new curriculum adoptions, creating new assessments, using assessment results to improve instruction, or working together as action research or study teams, that require longer term training that must be provided through long-term relationships or networks and provide teachers with the support they need to face the possibility of change in the school. Student examples of this included ongoing curriculum mapping, strategic and school improvement planning (SIP), and ongoing training with Modern Red Schoolhouse representatives to implement comprehensive school reform. These examples are School Networks, a new paradigm for professional development with the power to support schools as they face the challenges of change and renewal. Purposeful examples of an Individual Network from student cases include networking with other teachers through the Regional Education Office (ROE) or networking with others seeking National Board certification. In these cases, networks support individual learning that uses internal and external teacher networks, a model for professional learning that is all but completely

unrecognized but has worthy applications to explore. Examples can be developed from student data and analysis for each of the eight elaborated options in the PDE Model.

Finally, the PDE Model can be used as a planning tool for administrators or those in charge of professional development. By using the eight configurations as a method for planning, administrators can be assured of delivering the most appropriate professional development for the correct purpose, for the right length of time, to the correct audience. When there is good alignment between all three factors, people, time, and purpose, significant, lasting, and useful professional development will occur. By reviewing the data collected from the students that distinguished professional development arrangements by people, time, and purpose, it was very clear that the model addressed most items presented.

USING THE ELABORATION MODEL FOR LEADERSHIP PREPARATION

How can university professors of educational leadership use the new Professional Development Elaboration Model? The Action Research Project on Professional Development proved to be a useful learning project for future administrators even as it helped administrative leadership faculty understand the reality of professional development in schools. Not only do the students learn first hand information about professional development, it is meaningful information because it is from their own schools and districts. Students are naturally interested in that type of data. Students are also introduced to a “real research model,” and they must gather data, analyze the data, drawn conclusions, and make recommendations for improvement. This is a “real life” application of work that administrators must do. Combining the Action Research Project on Professional Development with the Professional Development Elaboration Model is a natural methodology of learning for future administrators. Students will learn about and be able to analyze what the current state of professional development is in their schools and districts. Students will have real tools and learn to use them in their work. By working with the PDE Model, students will understand its uses and potential for helping them as they become administrators.

The project’s benefit for professors and instructors using the action research project was the refinement of the PDE model from earlier research that can now be further refined and applied while working with students in class. If the model is to be a useful tool for future use by administrators and others who work with professional development, it must continue to be researched and tested. The challenge is there: Eliminating the old paradigm of professional training focused on the individual teacher engaged in short-term learning activities to establish purposeful professional development. Purposeful professional development meets the needs of both organizational management and organizational change necessary for the renewal of schools with a vision of improving educational outcomes. Students and faculty in administrative leadership preparation both benefit from developing a more nuanced picture of professional learning arrangements in schools shaped by factors that can help elaborate choices.

CONCLUSION

Starting with a professional development model (STPI) that represented two familiar paradigms, principalship students and faculty collaboratively developed and refined a Professional Development Elaboration Model. This model does not just break out of the old versus new paradigm that many authors have written about and that has probably lived out its usefulness for both theory and practice. The PDE Model also provides a framework for further in-

vestigation on how to align the purposes of professional development with practical decisions about design and implementation to meet managerial and change agendas in schools and districts. The key insight for both students and faculty involved in this collaborative action research in courses is remembering the main purpose of schools: to promote student learning and achievement. Therefore, the main purpose of professional development is to provide learning-centered opportunities for teachers to continue to advance their skills for helping students become better learners. All other professional development concerns are secondary. The problem with most professional development is that it too often neglects schools' primary purpose. This action research project moved students and faculty to a better understanding of elaborated options to teach about professional development, to collaborate in an ongoing research project, and to support administrative leaders in preparation programs to use their options well and wisely.

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APPENDIX A

Action Research Project on Professional Development

After a careful examination of Professional Development and having a clear understanding and appropriate definition, the student will do the following based on the outlined steps below:

Step One: Exploring Professional Development

1. Describe the major professional development activities of your school during the past two or three years. You may also consult any documents that have specific information about professional development plans and activities (*e.g.*, School Improvement Plans, Professional Development Plans, Internal Review Report, etc.).
2. Use this information to write a one page summary of professional development plans and activities at your school.

Step Two: Action Research on Professional Development

[For this step, each student will be using a packet of information containing the following: Interview Questions; Figure 1, Structures of Training and Processes of Implementation; Figure 2, Frames A, B, C, and D; and Participant Consent Form.]

1. The purpose of this step is to explore the kinds of professional development that are found at your school and school district through action research. You will be interviewing the following people for this step: the person responsible for Professional Development at the central office of the district, your school principal, and two teachers in your school building. Follow the interview protocol questions and be sure to write down what the interviewees are sharing with you. Note that questions 6 & 7 are models that you may share with the interviewees; however, you are to record/write down the answers to the questions that correspond to these Figures.
2. In reviewing your data in preparation for step three, explore the implications of the four models for the effectiveness of professional development at your school. Explore such basic issues as the relationship between professional development and the school improvement planning process.

Step Three: Analysis of the data and paper

On the basis of the data you have received from steps one and two above, your estimated profile of professional development and the interview with the four colleagues, write an eight to ten page paper on professional development at your school. Be sure to use the scholarly works of Newmann, Smith, Allensworth, and Bryk along with Hawley and Valli (and other sources in the course) as a framework for your critical reflections. Also include appropriate appendices to your paper.

Metaphor as an Instructional Tool to Develop Metacognition in Educational Leadership Students

Bobbie J. Greenlee

The challenges of educational reform efforts have greatly increased the expectations for school principals in understanding and solving complex educational issues. Leadership development efforts must be directed at educating future school leaders to generate and interpret knowledge, analyze the complexities of organizational life, disturb prevailing assumptions, and stimulate new possibilities. Although debate exists whether the content and delivery of educational leadership preparation programs can adequately prepare leaders to meet the challenges in schools, the perspective in this paper is that reflection, analysis, and decision making are enhanced by a language of thinking (Perkins, Jay & Tishman, 1993). Metaphors are pervasive in our language and conceptual systems (Lakoff & Johnson, 1980), providing a framework that enables learners to not only to actively construct meaning, but also influence future directions.

METAPHORS

In a foundational work on metaphors, Lakoff and Johnson (1980) argued that abstract reasoning is essentially metaphoric, and compelling metaphoric structures shape fundamental theories in such disciplines as urban planning (Schön, 1979), communications (Reddy, 1993), politics (Lakoff, 1995), and religion (MacCormac, 1986). Any discipline that seeks to examine how individuals make sense of reality and act accordingly must therefore acknowledge the importance of metaphors as “the basis of conceptual systems by means of which we understand and act within our worlds” (Taylor, 1984, p. 5).

Metaphor, according to Lakoff and Johnson (1980), is “a way of conceiving of one thing in terms of another, and its primary function is understanding” (p. 36). It conveys complicated ideas from a conceptual domain by drawing on one’s knowledge of a familiar concept and, as a result, enables learners to grasp distinctions (Lakoff & Johnson, 1980; Lakoff & Turner, 1989). Metaphors are effective ways to make sense of complex concepts through mapping the like relational and operational structures that can be applied from the familiar concept onto the new domain. Using this process of mapping, learners indicate commonalities, understand the relational structure, and recognize the schema in new situations (Gentner & Gentner, 1983). However, metaphors are not precise and usually something is lost or added in the comparison (Srivastva & Barrett, 1988; Trice & Beyer, 1993). Nevertheless, metaphors simplify and clarify arguments and ideas by invoking a resemblance that quickly conveys the essence of the concept (Beyer, 1992) in vivid and emotionally appealing ways (Ortony, 1975).

Metaphors have been recognized as sense-making devices in organizational development and change processes (Cleary & Packard, 1992; Marshak, 1993; Sackmann, 1989). According to Marshak (1993), metaphor can be used to analyze organizations and shape the way people think about change. Keizer and Post (1996) suggested that metaphor should be used in organ-

izational development to determine “gaps” in individual acceptance of proposed changes. They argue that sensitivity to the use of metaphor on the part of leaders can point out the difference between where the organization is currently and where it wants to be. They, too, contend that metaphor can work as “a catalyst of organizational change” (Keizer & Post, 1996, p. 103).

Several writers (e.g., Bolman & Deal, 1991; Burke, 1992; Cleary & Packard, 1992; Koch & Deetz, 1981; Morgan, 1996) asserted that metaphors may be used to convey large amounts of information and alter perceptions “in ways that facilitate organizational transformation” (Sackmann, 1989, p. 468). Cleary and Packard (1992) advocated for using metaphors as organizational change interventions to stir creativity and imagination. Morgan (1996) looked at the potential of metaphor as a tool to disturb dominant assumptions in that it allows “continuous construction, deconstruction, and reconstruction” (p. 236) of ideas. Koch and Deetz (1981) offered metaphor as a means to “bring more productive or interesting possibilities to conceptualization” (p. 13). In a similar vein, Bolman and Deal (1991) argued that metaphors present alternatives and new ideas. Taking it further, Burke (1992) proposed that metaphors can be used as “rallying points for the change effort” (p. 257) and suggested that leaders can use metaphors to influence understanding.

There have been, however, only a few writers in educational leadership who have considered the potential of metaphor as a tool for changing schools. Sergiovanni (1993), reflecting on the metaphors that have shaped educational leadership, argued that to change schools the root metaphors for schools must change from “organization” to “community.” The formal organizational model of schools remains most prominent despite growing evidence that such models do not meet the needs of students, teachers, or society. In describing the different root metaphors of “organization” and “community” of schools, Sergiovanni revealed the embedded assumptions, perceptions, and implications for action dominant in each paradigm. The root metaphor of “organization” presents the assumptions that hierarchy equals expertise; ties among people are contractual; and motivation is external and driven by self interest. In contrast, he pointed out that the metaphor of community is characterized by interdependent relationships and commitment to shared beliefs and purpose. Sergiovanni advocated the use of metaphor to change what is true about how schools should be organized and run, what motivates teachers and students, and what educational leadership is and how it should be practiced. Such a change would necessitate the establishment of new standards of quality, new approaches for accountability, and new ways of working with people—the invention of a new kind of educational leadership. He asserted that:

Unless the root metaphor for school is changed I fear that whatever might be considered new with community will be understood in terms of the already established categories. The tendency to understand new ideas in old terms, will ensure that despite some surface changes, underneath schools and administrators within them will remain exactly as they are now. (Sergiovanni, 1993, p. 20)

Sergiovanni made a case for strategically using metaphor to deliberately influence interpretation and alter perceptions of schooling to present a future that promises improvement.

Metaphors have also proved valuable as a means of developing knowledge and understanding of the teaching and learning processes. Researchers have argued that metaphor can be helpful as a memorable clarifying or teaching tool (Barrett & Cooperrider, 1990; Ortony, 1993; Provenzo, McCloskey, Kottkamp, & Cohn, 1989). Metaphor is the primary means through which we comprehend abstract concepts and perform abstract reasoning (Lakoff,

1993). The advantage of the metaphor is in its ability to “clarify meaning in the midst complexity” (Provenzo et al., 1989, p. 551). Some metaphors are particularly robust as conceptual aids for developing students’ understanding of new or abstract concepts. Such as, “for the young science student who is cognitively blocked in trying to grasp the structure of the atom, the metaphor ‘the atom is a solar system’ could indeed be useful” (Barrett & Cooperrider, 1990, p. 222). The findings from several other studies indicate that metaphor is vital to the processes of teaching and learning. Metaphors have been demonstrated as effective aids in helping students learn new material (Mayer, 1993); solve problems (Reed, Ernst, & Banerji, 1974); make inferences (Simons, 1984); enhance metacognition (Thomas & McRobbie, 2001) and understand reading strategies (Paris & Oka, 1986; Paris & Winograd, 1990).

Metaphors have also been used to help teachers re-conceptualize roles and associated beliefs in classroom situations (Tobin, 1990, 1993) to assess students’ ideas of learning (Berry & Sahlberg, 1996); to initiate and maintain constructivist practices (Ritchie, 1994); to analyze high school students’ perceptions of themselves as chemistry learners (Thomas & McRobbie, 1999); and, to advance a common language of learning among teachers and students (Thomas & McRobbie, 2001). Tobin and Tippins (1996) stated that “metaphors appeal as ways of beginning conversations about teaching and learning science and making it easier to be reflective on and in practice” (p. 728). Development of metaphors, according to Grimmett and MacKinnon (1992), may be a way of incorporating craft knowledge into teacher education. Bullough and Stokes (1994) argued that through metaphoric thinking novice teachers begin to think meaningfully about themselves as teachers, to shape satisfying and ethically responsible roles, and to consider means for creating contexts more beneficial to their own professional development.

Some researchers (Tobin, 1990; 1993; Tobin & Ulerick, 1989; Volkman & Anderson, 1998) suggest that many of the practices adopted by teachers are guided by the metaphors they use to conceptualize particular teaching roles. Just as metaphors structure all conceptual thinking (Lakoff & Johnson, 1980), the metaphors used to make sense of teaching roles can enable reflection and change (Tobin, 1990). Tobin (1990, 1993) proposed that if teachers are assisted in understanding their teaching beliefs and actions in terms of new metaphors, they can significantly change their classroom practice. Similarly, other researchers found that metaphors of teaching and learning provided a basis for student teachers to reflect upon their primary assumptions and how these assumptions informed solutions to teaching dilemmas and facilitate professional development (Bullough, 1989; Bullough & Stokes, 1994; Marshall, 1990).

METACOGNITION

The term metacognition is simply defined as “thinking about thinking.” Metacognition not only refers to one’s knowledge and beliefs about cognition; it includes having awareness and control of that knowledge (Flavell, 1979; Sternberg, 1998; Tei & Stewart, 1985). Flavell and Wellman (1977) offered four distinctions of metacognition: (a) knowledge about tasks; (b) knowledge of one’s own thinking; (c) knowledge of strategies that can enhance performance; and (d) interaction between these three categories of information. Generally, most conceptions of metacognition include two crucial aspects, which are described by Gott, Lajoie, and Lesgold (1991) as both knowing and controlling one’s own cognitive system.

There is some promise in the literature that interventions aimed at developing metacognitive skills in students leads to improved learning outcomes (e.g., Baird & Northfield, 1992; Glaser & Chi, 1988; Paris & Jacobs, 1984). Studies have found self-monitoring ability related

to students' reading, writing, problem solving, and test performance (Baker, 1989; Bereiter & Scardamalia, 1987; Schoenfeld, 1987; Schraw, 1994; Swanson, 1990). Furthermore, metacognitive skills have been found to be crucial in problem solving and decision making in military tactical situations (Cohen, Freeman, & Wolf, 1996).

Metacognition is regarded as an essential aspect of expertise development (Sternberg, 1998) and a necessary characteristic of a reflective practitioner (Schön, 1987). Sternberg (1998) claimed that metacognitive behaviors are not unlike the attributes associated with expert behaviors such as high levels of declarative and procedural domain specific knowledge, skillful automaticity in performance, and careful monitoring of one's own problem solving processes. Research on physics students' problem solving ability shows that experts demonstrated stronger self-monitoring abilities, evidenced by knowing when they are making errors and when their solutions should be verified (Glaser & Chi, 1988). Similarly, Brown (1980) stated, "Metacognitive deficiencies are the problem of the novice, regardless of age" (p. 475). Findings from metacognition studies indicate that experts "differ from novice thinkers because they have greater knowledge about when and how to use their cognitive resources" (McGuinness, 1990, p. 302).

The scope of the descriptions of metacognition presents difficulties in trying to identify metacognitive statements from study participants. Cohen and colleagues (1996) used a metacognition model to explain how naval officers analyze a situation for clarification and adjust their assumptions over time. They argued that skillful problem solving and decision making involve the metacognitive skills of critiquing and correcting activities that correspond to the broadly reported key aspects of metacognition—awareness and control of thinking about thinking. Cohen et al. conclude that critiquing includes testing for inadequacy, revealing conflicts and recognizing flawed assumptions. Correcting involves collecting more information, activating knowledge, and deciding whether or not to adjust assumptions.

In a work, which is particularly relevant to this study because it described the effect of metaphor for improving metacognition in students, Thomas and McRobbie (2001) used a conceptual change model as a framework to explore metacognition suggesting that

metacognition can be examined in relation to individuals' ability to (a) recognize the existence and nature of their own conceptions of learning, (b) decide whether or not to evaluate the utility and worth of such conceptions, and (c) decide whether or not to reconstruct their conceptions with a view to altering their learning processes. (p. 224)

Cohen et al. describe a problem solving model of critiquing and correcting that involves essentially the same aspects of metacognition as the conceptual change model, discussed mostly in relation to science education literature. For this study, the categorizations that these and other authors have developed for metacognition are used as a framework to describe participants' metacognitive enhancement as result of the interventions.

PURPOSE

If metaphors, as powerful sense-making and change-making devices, have implications for learners, it follows that metaphor may be instrumental as a pedagogical tool in educational leadership to develop metacognitive skills in aspiring school leaders. This analysis expands an earlier study (Mullen, Greenlee & Bruner, 2005) in which educational leadership students engaged in sustained inquiry using metaphor to make sense of the complexities of the relation-

ship of theory to practice. The purpose of this paper is to explore how these initial metaphor activities during the first class session for a new educational leadership cohort consequently enabled improved metacognition and influenced subsequent metacognitive behavior throughout their program. For this study, the interest is in the use of metaphor as a tool for conceptual change during the class activity as well as the effect of metaphor in succeeding classes and how metaphoric thinking may influence subsequent purposive action.

DATA SOURCES AND METHODS

The research in this study was drawn from a larger project that engaged educational leadership students in reflective inquiry using metaphor as a tool for deconstruction and self-reflexivity of the theory-practice relationship (Mullen, Greenlee, & Bruner, 2005). The initial study was conducted with a cohort of 20 students who were nominated, interviewed, and selected in a district led initiative to cultivate potential school leaders. Students in this study were taking the first course in the program. The class activity in the original study provided students with opportunities to investigate the theory and practice relationship guided by Mullen's (2004) binocular metaphor to describe the relationship of theory and practice and then use the architect/builder metaphor to make sense of the tension between theory and practice. Subsequently, students were asked to generate their own metaphors as a way of allowing the students to be self-reflexive and to explore different assumptions about the theory-practice relationship. The evocative imagery of metaphors challenged students' understanding as they "shifted from seeing theory and practice as tangible antithetical forces to powerful, interrelated constructs" (Mullen, Greenlee & Bruner, 2005, p. 12).

Data collection for the present study occurred in two phases. In the first phase, as part of their initial class session in the educational leadership program, and the second phase surveyed students more than 20 months later upon completion of the program.

In the first phase, twenty students from a newly developed cohort participated in structured classroom activities designed to explore the abstract and complex meanings, as well as elicit their personal understandings of the theory and practice relationship. The metaphor intervention consisted of four activities, which were as follows.

Activity 1. Students, in groups of 3 or 4, were asked to explain their current conceptions of the theory and practice relationship.

Activity 2. The binocular metaphor was presented, and students were asked to relate key features of the metaphor to their existing notions. The rationale of the metaphor was made clear to the students.

. . . [T]he metaphor of binocular vision was used to describe the relationship of theory and practice. After a brief discussion of how binoculars bring distant objects into clear view, a pair of binoculars, fixed with the letter *T* on one lens and *P* on the other, was passed around. Upon peering through the binoculars, students saw a holistic image, merging the separate close-up view seen by each eye. (Mullen et al., 2005, p. 4)

Activity 3. In an effort to extend their interpretation of the theory and practice relationship,

students were encouraged to imagine the architect/builder relationship as a metaphor for the conflicted relationship of theory and practice. When an architect sees possibilities for implementation in his or her drawings, the builder must interpret the architect's vision and improvise in uncertain situations. (Mullen et al., 2005, p. 4)

Activity 4. As a concluding task for this class session, students were asked to create their own metaphors for the theory and practice relationship providing detailed justification for selecting their particular metaphor.

Two weeks after the metaphor class activities, the participants were asked to complete an online open-ended response survey. The survey allowed students to present their thought processes individually without influence of the other students. Twenty students responded. Items in the survey prompted students to discuss their thinking about how the metaphor activity was useful in expanding their understanding of concepts and for advancing analysis and construction of new ideas.

Approximately twenty months after the original metaphor class activities, when the cohort had completed the program, the students were asked to participate in a follow-up survey. Six, out of the twenty original students, completed the survey. Open ended items in the survey asked how the use of metaphors, conducted during the first class sessions, continued to be useful for understanding and explaining complex concepts, consequently enabled further perception and interpretation of experience, and influenced subsequent action throughout their program and in their schools.

To analyze the data from both surveys, in terms of the conceptions of metacognition, the narrative responses were coded for the variables that were indicative of the identified conceptual change model. Data were coded to document when students (a) recognized their own thinking, (b) considered alternatives to their own conceptions, and (c) used metaphors to develop their own conceptual thinking.

The ideas and steps of interpretational analysis were followed, as set out by Gall, Gall, and Borg (2005), which included the initial coding of responses, development of meaningful categories, and generation of themes from these categories to reveal broad topics. In coding the data, the researcher reviewed the material for emerging themes and patterns using a data reduction process of extracting themes, making chunks, and sorting collected data into categories based on recurring patterns (Miles & Huberman, 1994).

It is important to consider several limitations when reading and evaluating this study. The study is limited to a sample of teachers who, as educational leadership students, were recruited and selected for cohort membership. The opinions of this group may vary from the Educational Leadership student population taken as a whole. Additionally, students volunteered to participate in the survey. It is possible that those who volunteered were more positively disposed to the metaphor activities.

Methods to systematically assess and evaluate metacognition are scant. This situation calls for exploratory and discovery-oriented inquiry to understand the effects of using metaphors to develop metacognitive skills. Qualitative research methods, notable for their relative openness, provide structured means to look for meaning and perspectives from participants (Janesick, 1994). This study includes multiple perceptions as an innovative synthesis of students' metacognition. Students' perceptions, offered in the surveys, represent a renegotiation of their thinking about thinking and are not interpreted as outcomes, but are provided as a descriptive narrative.

FINDINGS

The emergence of patterns from statements made by students permits the analysis of metacognitive skills reflected in the metaphor activity. Based on the literature reviewed, categories of metacognitive skills identified in transcript and survey data reflected (1) monitoring one's own knowledge and thinking, discovering conflicts or unreliable assumptions, and as-

sessing information and developing some sort of personal reaction to it; and (2) evaluating the worth of alternative conceptions, deciding whether or not to adjust assumptions, or selecting an explanation for rejecting alternative conceptions.

Assessing One's Own Thinking

Each of the 20 respondents in this study noted dissatisfaction with their existing conception of the theory-practice relationship. Students admitted that the metaphors disturbed their taken-for-granted notions stating that the activity provoked them to “be more aware of [their] own thinking;” “stop and consider what [they] understood;” “analyze the construction of ideas;” and “examine what [they] thought and compare it with the metaphors.” Many of the teachers engaged in a kind of self reflective dialogue that allowed them to consider “new insights into the way things are perceived and the way things really are.” Evaluating her own thinking, one student described “how narrowly focused my thinking is; I am now trying to think more globally.” She went on to say that the metaphor activity “has created a dissonance in my professional work, which is quite uncomfortable for me.” However, she reported, “It’s exciting in a way because I know that I am learning and exploring new avenues.” One student stated that the activity caused her “to question and think about everything that [she does].” The larger body of literature in organizational analysis reiterates the power of metaphor to promote redefinition. For example, Morgan (1996) argued that metaphor allows for “continuous construction, deconstruction and reconstruction” (p. 236) of ideas.

Evaluating Worth of Conceptions and Consider Altering

Every one of the students indicated they found the new conceptual models clarifying, useful, and credible declaring that “metaphors brought out some subtle points that I found clarifying;” “it brought the idea to a ‘complete’ level of understanding;” and “it caused us to analyze the very way in which we think of theory and practice.” Several students mentioned that metaphors facilitated a shared language, as one teacher described it the metaphors “help fill in the gaps of my own understanding and gave me a better grasp of the concept. The language shared helped to take the chaos of ‘floating ideas’ in my head and organize them into coherent concepts.”

Moreover, there were many comments that indicated students considered the alternatives to their existing conceptions. Students revealed that they had initiated changes, “I have begun to look back on some of my practices;” “I can pull that vision [the metaphor] back and use it in my everyday work;” and “I’m already looking at education differently.” Still another student highlighted a significant shift in thinking, “I never considered prior to [the metaphor activity] how [theory and practice] can be so intertwined and so important to successful teaching.” One student reflected, “I am coming to realize that I do the things that I do because of something that I have learned. Where did I learn it?” As one student contemplated the alternatives to her own thinking, she stated, “I just don’t want to completely throw them away.” She debated,

I began to think about the reasons I do the things I do. I was able to reflect on them and judge for myself the value I place on them. In many cases it validated what I did, however the class has certainly got me thinking and questioning what I believe to be true and what I value.

The perspectives provided by students demonstrate that they found the new understandings from their interpretations of the metaphors compelling enough to consider and/or to change their beliefs regarding theory and practice.

The interpretation of the student responses suggests that the students experienced conceptual change. Hewson, Beeth, and Thorley (1998) argued that learning a new concept begins when learners understand it, accept it, and see that it is useful. When students become dissatisfied with existing conceptions, they then challenge one idea with another. It is this process of having alternative ideas compete for consideration that draws attention to conceptual change as primarily a way of thinking about learning and, therefore, as metacognition.

Influence Subsequent Action

Research suggests that the metaphors teachers use to conceptualize teaching roles actually influence their practice (Tobin & Ulerick, 1989). Moreover, further research has attempted to tap into the potential power of metaphors to help teachers reconceptualize their teaching roles and, as a result, change instructional practices (Tobin, 1990). However, Garner (1990) argued that learners will not engage in strategies that demand time and effort if they are not convinced of the strategy's usefulness for them.

The second phase of this project, described previously, was designed to capture subsequent changes in students' understanding, beliefs, and action. The results to the follow-up survey indicated that their own use of metaphoric thinking persisted even though metaphors as sense making devices were not systematically integrated throughout the program. All six students surveyed claimed that they initiated the inclusion of metaphors to communicate complex ideas in the other courses. Students reported they used metaphors "to share our thinking;" "in conveying ideas in papers and projects;" "to analyze and explain complex concepts;" and "to communicate new theories" Particularly, one student stated, "The paper [from a subsequent course] I am most proud of used a lighthouse metaphor."

Perhaps a more noteworthy finding is that the use of metaphors extended to their work in their own schools. Students claimed that they were "more deliberate in [their] use of metaphors." They reported that they were using metaphors "during teacher workshops;" "to help teachers reflect on change in instructional practices;" and "as our grade level meets during preplanning [for curriculum development]." The actions of these students are affirmed by organizational change literature, which encourages tapping into the capacity of metaphor to uncover perceptions and inform solutions (Morgan, 1996; Ott, 1989; Sackmann, 1989; Schön, 1979).

In a fortuitous turn of events, the membership of the cohort was altered near the end of their program. In order to accommodate the program's burgeoning enrollment, during the last semester of their program, the cohort was joined by a few non-cohort students. Survey comments reported differences in the new students' capacity to use metaphors. Students noted that the non-cohort "students who had not been initiated with the metaphor activities did not use metaphors as readily. They tended to rely on their limited experience instead of connecting and applying the information for future use." Another student added, "I thought it was apparent who was ready to use metaphors and who wasn't. Our (cohort) images were more thought out and relational to the topic/concepts. We were also able to illicit more deep thinking from our groups." Still one more claimed,

The students who had not been in the initial classes with the cohort seemed disoriented and confused by the idea of creating metaphors. There was little reflection at

the beginning but they were able to adjust to the use of metaphors and began to expand on their reflections and practice. I think for some, this level of reflection never came.

It seems the metaphor class activities experienced by the cohort facilitated metacognitive reflection capacities that were not readily accessible to the students deprived of the metaphor intervention. Examination of these responses may offer an argument for the importance of direct instruction using metaphor as a tool for exploring dominant assumptions and enacting conceptual change.

DISCUSSION

The work described here suggests some possibilities for enhancing educational leadership pedagogy and presents some promising lines for future inquiry on the significance of metaphor. Scientific interest in metacognition seems to be increasing. In much of the research, the emphasis is on developing metacognition in children to improve learning outcomes (Baker, 1989, Glaser & Chi, 1988; Schraw, 1994; Thomas & McRobbie, 2001). However, some researchers feel that enhancing metacognitive skills show promise for fostering expertise, problem solving and decision making across different domains (Cohen et al., 1996; Sternberg, 1998).

Despite the apparent potential of metacognition for enhancing problem solving, decision making, and expertise, there is still an emphasis in educational leadership programs on attainment of domain specific knowledge and skills. However, the career approach of the successful school leader is not unlike any other expert in their field:

The career of the expert is one of progressively advancing on the problems constituting a field of work, whereas the career of the nonexpert is one of gradually constricting the field of work so that it more closely conforms to the routines the nonexpert is prepared to execute. (Bereiter & Scardamalia, 1993, p. 11)

The ways in which experts differ from novices is in their self-monitoring capability and in knowing how and when to use their cognitive abilities (Bereiter & Scardamalia, 1993; Glaser & Chi, 1988; McGuinness, 1990). These and other researchers asserted that experts have greater metacognitive skills than novices and that teaching metacognitive skills can have a positive impact on performance.

In this study, the metacognitive undercurrent suggested by educational leadership students' ability to evaluate their own thinking, recognize flawed assumptions, and reconstruct their conceptions demonstrate the effectiveness of the metaphor intervention. The elucidatory imagery of the metaphors used in the intervention facilitated comprehension and provoked conceptual change. Students were able to "step back" from the dominant ideas held by themselves and others to consider alternative conceptions, a process central to metacognition (Hewson, Beeth, & Thorley 1998). Also, findings in this study suggest that it may be important to provide direct instruction using metaphor models to facilitate creative thinking and understanding.

Both organizational and educational literature present pervasive evidence that metaphor can be a valuable tool for describing and constructing complex concepts, revealing hidden tensions, and promoting change (Cleary & Packard, 1992; Koch & Deetz, 1981; Lakoff & Johnson, 1980; Morgan, 1996; Sackmann, 1989; Tobin, 1990, 1993). These writers raise the possibility that significant changes in practice are possible by introducing new metaphors. It

would seem important, then, to investigate the metaphors used to conceptualize school leadership roles and the consequences of introducing new metaphors.

The findings here suggest that metaphor may be useful as a tool for improving aspiring school leaders' capacities for metacognition, therefore facilitating problem solving and expertise (Schoenfeld, 1987; Sternberg, 1998). Actually, leadership behaviors are underpinned by strong metacognitive foundations. Thus, using challenging and stimulating pedagogical strategies, such as metaphors, to develop metacognitive skills in aspiring school leaders may hold promise for improving leadership outcomes.

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Learning Transfer Strategies: Impact on Changed Leadership Understandings and Practice

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INTRODUCTION

In 2005, Levine issued an attack against the quality of doctoral programs in educational leadership preparation programs. Following this, Shulman, Golde, Bueschel, and Garabedian (2006) suggested that these programs “lack rigor and substance. . .” (p. 26). Criticisms to leadership preparation programs are not new. In 1987, the National Commission on Excellence in Educational Administration reported that these programs in the United States lacked definition, lacked collaboration with school districts, lacked modern content, and lacked clinical experiences (Milstein & Krueger, 1997). Others have criticized what they viewed as a disconnect between theory and practice (Murphy, 1999, 2002; Nyquist & Woodford, 2000; Starratt, 2004).

Consequently, today’s scholars are addressing strategic ways to improve educational leadership preparation programs to have a positive effect on school improvement. Anderson (1996) suggested beginning a discourse that provides a vision of what a democratic school culture should look like. Murphy (2002) recommended re-examining the knowledge base that supported the methods and procedures used to educate school leaders. Kochan and Reed (2005) argued for the necessity of equipping leaders with the knowledge, skills, abilities, beliefs, and dispositions that encourage success so that educators can become “bridge scholars” who can effectively unite the practice of teaching and learning with the practice of leading schools (Starratt, 2004, p. 265). Harris (2005) suggested enfolding the study of democratic community and social justice within the school improvement paradigm.

As educators strategize ways to improve preparation programs, this necessitates a look at the theories that describe how learning takes place, such as Piaget’s theory of intellectual development, Vygotsky’s sociocultural view of developmental, Erikson’s theory of personal and social development, Kohlberg’s theory of moral development, constructivism, behaviorism, and motivation (in Eggen & Kauchak, 1999). Complex cognitive processes that enhance teaching and learning also include transfer of learning. General learning transfer occurs when a student is able to take knowledge or skills learned in one situation and apply them to a broader range of different situations (Eggen & Kauchak, 1999).

PURPOSE OF STUDY

Measuring the transfer of student learning to professional practice in school leadership is not an easy task; however these studies are needed to more effectively prepare administrators who can lead school improvement (Browne-Ferrigno & Muth, 2003). Therefore, this study asked the following question: What is the impact of learning transfer strategies embedded in

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a doctoral educational leadership program on students' changed leadership understandings and practice?

LITERATURE REVIEW

Transfer of Learning

As educational leadership programs are being restructured to better balance the role of scholar and practitioner, embedding strategies for learning transfer into university preparation programs may enhance this process. Perkins and Salomon (1992) noted that transfer of learning occurs when learning in one context enhances (positive) or undermines (negative) a related performance in another context. The importance of the transfer process is critical because positive transfer often does not occur without a purposeful focus on connecting the new learning with changed performance (Barnett, 2005; Guskey, 2000; Perkins & Salomon, 1992). In fact, empirical evidence suggested that learning transfer is "rare, and its likelihood of occurrence is directly related to the similarity between two situations" (Barnett, 2005, p. 6). Complicating the understanding of learning transfer is that researchers have consistently found that transfer tends to be more specific than general. For example, studying Latin may result in the learner acquiring expertise in Latin and even recognizing Latin roots in English words, but it does little to improve thinking (Eggen & Kauchak, 1999).

Positive findings of transfer have been found in several studies. For example, Campione, Brown, Reeve, Ferrara, and Palincsar (1991) reported positive transfer to other subjects when children were taught to self-monitor and self-direct during reading. Salomon et al. (1989) found transfer in computer program use also emphasizing self-monitoring and self-directing.

Under What Conditions Is Transfer Likely to Occur?

Transfer is most likely to occur when certain conditions are present (Perkins & Salomon, 1992). Marini and Genereux (1995) suggested that there were three important conditions that influence transfer: features of the task, features of the learner, and features of the organization and social context. Eggen and Kauchak (1999) noted five factors that affected the transfer of learning which were primarily task-oriented or seemed to be more learner centered: similarity between the two learning situations, variety of learner experiences, quality of learner experiences, i.e. meaningfulness to the learner, the context of learner experiences, i.e. embedded within various contexts, and the depth of understanding and practice.

Features of the task. Features of the task included understanding the benefit of the task to the individual or the organization and the similarity of the task between the learning situation and the work setting (Barnett, 2005). It is critical for educators to develop learning activities that, as closely as possible, replicate work place tasks for transfer to occur (Caffarella, 2002). Multiple opportunities to practice the new tasks are important (Perkins & Salomon, 1992), as is meaningfulness of the task to the learner (Eggen & Kauchak, 1999).

Features of the learner. Features of the learner included understanding levels of concern about how the individuals incorporated change into their personal and professional lives (Hall & Hord, 2001). Providing opportunities for reflection were critical. Barnett (2005) suggested a three-phase model of reflective thought and action: reflective observation, abstract conceptualization, and planning for implementation. This was also consistent with Perkins and Salomon (1992) who addressed the need for explicit abstractions of principles to foster transfer.

Another feature of the learner was the attitude of the learner. While transfer of learning tended to be more specific, dispositions can transfer in a general sense (Prawat, 1989). Thus, the disposition to reserve judgment, to explore facts for supporting conclusions, and to be open-minded is a general disposition. Specific knowledge was necessary to understand conclusions and relevancy, but the disposition was general (Eggen & Kauchak, 1999).

Features of the organization and social context. Features of the organization and social context included understanding the organization's history with change. The level of collegiality and collaboration within the workplace, as well as the external economic and political factors, such as federal or state policies and funding, affect the opportunity for transfer (Barnett, 2005; Caffarella, 2002).

Strategies for Transfer

Based on the understanding of conditions where positive transfer theory is most likely to occur, there are strategies that may influence the level of transfer in leadership programs. Perkins and Salmon (1992) defined two broad instructional strategies to foster transfer: hugging and bridging. *Hugging* encouraged reflexive transfer that occurs when an instructor simulates an activity rather than just talks about it. *Bridging* escalated transfer when instruction encouraged thinking abstractly, identifying possible connections, being mindful and analyzing metacognition. Caffarella's (2002) learning transfer framework extended hugging and bridging strategies in what she called timing and activity selection.

Timing strategies. Based on Caffarella's (2002) work, Barnett (2005) suggested timing strategies as connecting course content with practices in school settings by collaborating with field-based mentors. This could happen before or during the time when transfer had occurred. Perkins and Salomon (1992) suggested that this also happened when new material was studied within the context of previously learned material that serves as a metaphor. This allowed the thinking of an "old" domain to be transferred to a "new" domain increasing the level of understanding.

Brown (2006) noted the importance of experiential learning which she has framed within a transformative andragogy. She suggested strategies that emphasized relevancy such as life histories, prejudice reduction workshops, and cross-cultural interviews to deepen one's personal agency and increase the level of understanding.

Activity selection. Activity selection focuses on reflection as an important strategy for helping learners understand new ideas and applying them in the workplace through four ways:

- recounting their own past experiences (hugging)
- reviewing other peoples' experiences (hugging)
- practicing skills and receiving feedback (bridging)
- integrating theory and practice by comparing new understandings with a student's workplace practices (can be hugging or bridging activities). (Barnett, 2005, p. 10)

Perkins and Salomon (1992) called this active self-monitoring or metacognitive reflection, which appears to promote transfer of skills.

Freire's (1990) work in the area of critical social theory supported the importance of learning transfer in adult students that occurred through the opportunity to engage in reflective criticism of their own work and the work of others. Thus, transfer occurred through praxis, reflection and dialogue, especially concerning issues of transformative social action.

Collaboration with overseers. Finally, Caffarella's (2002) third component of transfer of learning included collaboration among the several individuals who oversee student learning.

These individuals included the professor of record for the course being taught, supervisory faculty, university faculty mentors, school campus mentors, and other campus and district officials (Barnett, 2005).

Within this teacher/student collaboration, Eggen and Kauchak (1999) suggested that teachers encourage general transfer of dispositions/beliefs through “modeling across disciplines and by the day-in and day-out message that learning is a meaningful activity facilitated by cognitive monitoring” (p. 338). Kotter and Cohen (2002) supported this contention when they wrote that people are much more likely to change in a “see-feel-change” sequence (example of hugging), rather than just an “analyze-think-change” (example of bridging) (p. 11). Most recently, Brown (2006) pointed out that transformative learning is not to change values, but to re-examine them. She further argued that it is a responsibility of preparation programs to provide opportunities for future leaders to “set and implement goals in terms of behaviors, boundaries, alternatives, and consequences” (p. 4). One can infer that this responsibility must be led by the overseer (professor) to enhance transfer of learning.

METHODOLOGY

This study used qualitative methodology to explore the notion that when learning transfer components are embedded in a doctoral educational leadership program changes in personal and professional practice occur. Creswell (1998) suggested that qualitative methodology is an appropriate design to yield rich, deep understandings embedded in student writings.

Population

Thirty seven doctoral students were enrolled in a new educational leadership doctoral program, which emphasized the scholar-practitioner model. Students represented areas of Texas and Louisiana. When data were gathered, 15 students had just completed their second year in a planned three-year program and 22 students had just completed their first year. The students, 15 males and 22 females, had a wide range of school experiences, which included the superintendency, principalship, counseling, and teaching at the K–16 level. Thirty students were white, 4 were African American, 1 student was Asian, and 2 students were Hispanic.

Setting

Participants attended a regional university, which followed a cohort scholar-practitioner model. Scholar-practitioner programs tend to emphasize coursework that focuses on reculturizing schools through curriculum and instructional leadership, school change, democratic community, diversity, social justice, and field-based activities (Harris, 2005). The program offered an Ed.D. doctoral degree and followed a week-end format because all of the students were full-time employed as school leaders at the K-16 level. The doctoral program had only been in existence for two years at the time data were gathered. The researchers were teachers in this program. Two of the researchers had taught previously in another scholar-practitioner doctoral program.

Data Collection

Students responded to a program evaluation at the end of the school year. This evaluation was qualitative in design. Parker Palmer (1998) developed a method that he termed “critical moments” to enable participants to examine personal experiences, which may have opened up

or impeded opportunities related to learning and leadership. Students were asked to write critical moments regarding their personal and professional leadership experiences while in the doctoral program using the following prompts as guides:

- What critical moment(s) have I experienced?
- How did the critical moment impact, change, or influence me?
- Who or what was involved in creating this critical moment?
- How did I respond or how was I drawn into the critical moment experience?
- How did I feel about the critical moment?

In addition to writing critical incidents about their learning, students were asked to respond to the following questions:

- How has your participation in a doctoral cohort program changed your understandings of leadership?
- What did your practice look like before you began a doctoral program?
- What does your practice look like now?

A third area of data collection consisted of an open-ended course evaluation which asked students to identify activities and assignments that they considered most valuable. Students were directed to respond to all of these questions and to elaborate on each by providing examples of how their understandings had changed and by describing how and in what ways their practice was different. Students who completed a field-based internship also put together a portfolio of this experience. The portfolio included an evaluation of the project by the students and also by the field-based mentor.

Data Analysis

Content analysis was the primary analytical method employed to analyze the data inductively. Student papers were read for emerging themes using an open coding process as described by Creswell (1998). Common themes were categorized accordingly in a process for data reduction called constant comparative analysis. Careful attention was given to learning transfer theory and how this theory was evidenced in issues of changing leadership beliefs and subsequent changing practices in the field. For the purposes of this paper, the researchers specifically investigated student responses for evidences of learning transfer strategies that had been identified in the literature. We created a table of transfer strategies framed within Caffarella's (2002) work on transfer and specific strategies for educational leaders as discussed by Barnett (2005) (Table 1).

Table 1. Learning Strategies for Transfer Model.

Strategy	Description
Timing:	Connecting course content with practices through simulations, case studies, problem-based learning; collaborating with field-based mentors, school-university partnerships; describing learning through metaphors
Activity Selection:	Reflecting on past experiences; reflecting on and examining other peoples' experiences; practicing skills and receiving feedback; integrating theory and practice by comparing new understandings with the workplace; written reflections, such as autobiographies, journals; group discussions
Collaboration Among Overseers:	Professor of record for the course; supervisory faculty; faculty mentors; campus mentors; other district and campus officials

Note: [based on Caffarella's (2002) transfer framework and Barnett (2005)]

FINDINGS AND DISCUSSION

The purpose of this paper was to investigate the impact of learning transfer strategies (timing, selection, and collaboration) embedded in a doctoral educational leadership program on the changed leadership understandings and practices of students. Students discussed these changes on their leadership understandings in personal and professional practices. We report findings within the framework of the Learning Strategies for Transfer Model.

Timing

In reviewing student responses, all of the 37 students in the program noted that connecting course content with practices through simulations or case studies was valuable for changing leadership understandings. For example, one student wrote:

Using case studies has been a valuable experience for me. One professor introduced us to cases that were very similar to problems that I faced in my school. Discussing this case in class, provided some really good strategies for me to try in my own district.

She noted that working through a good case study was like having “my own personal coach on my campus.”

Another student who was assisting a professor in teaching a principal preparation class at a nearby university was responsible to develop a new syllabus. She wrote:

This project was of value to my district because I was able to showcase [DPISD] by presenting our practices and providing guest speakers from our district. This experience has been of tremendous value, both professionally and personally. I expanded my knowledgebase and experience, gained confidence, and learned much about myself in the process. It forced me out of my comfort zone, which [has resulted] in meaningful growth.

Her campus-based mentor noted very similar comments regarding the experience.

Those students in the program who already had a superintendent certificate were not required to complete a field-based internship because they completed a full year internship when earning that certificate. However, all of the other students (24) were required to participate in an internship under the guidance of a campus mentor during their first summer in the program. Students participated in a variety of field-based projects, including writing curriculum for a music school, partnering with a nearby district to gather data on ninth grade retentions, and working with district personnel to write a grant for the English as a Second Language program. In a variety of ways, students commented on the value of this internship in the field.

One student gathered data on staffing at Title I schools. She considered this a valuable learning experience. Her campus mentor noted that she had “provided an excellent project that can be used by our district to meet a district goal of retaining qualified staff.”

Metaphors were found throughout the student writing, especially when discussing their changed understandings. One student compared the experience of the doctoral program to:

A trail ride into the Grand Canyon [taking] a visitor slowly into another world that is filled with sights and sounds that are different from above. The rider descends into the canyon and becomes awestruck at walking across millions of years of existence. . .

She concluded by writing:

When the journey is complete, the rider and guide emerge changed. Because of the Guide, the rider has experienced something that is life changing. Just how much the Experience changes the rider is up to the rider. I know that I am prepared to do the work.

Another student wrote that her enhanced understanding of communication through the doctoral program caused her to feel like Little Red Riding Hood when she saw the Big Bad Wolf for the first time and commented “What big ears you have.” Then she noted that she is a much better listener today in her personal and professional life.

Another student wrote of feeling like Dorothy in the Wizard of Oz as she experienced a new world of leadership possibilities that she had not even realized existed. Yet, another student commented that the doctoral experience was similar to Jack and the Beanstalk’s search for gold.

Activity Selection

Student writing occurred in many forms including journal writing and autobiographies. Students were also required to write and reflect on class discussions that emphasized what they had learned from the experience and from the experiences of others. Through acting out scenarios in case studies, students were critiqued by other students and professors. This instant feedback was a valuable experience according to students.

When we examined students’ critical incidents, we noted that 24 of the 36 students began their incident by reflecting on their own past experiences. It was as though they could not discuss today’s experiences without connecting them to their past. One student wrote:

The shaping of the person I am today began a long time ago in second grade. My first grade year had been marked by many absences due to illnesses. . . What I do remember from my second grade year is despair, lack of tolerance, belittlement, and a negative view of the educational process. . . However, a saving grace appeared when I entered the third grade and had a teacher whose belief in me changed my whole outlook.

Another student began his critical incident by quoting the Paul Simon song, “I am just a poor boy and my story’s seldom told. . .” He concluded by writing that “amazingly I had watched people in my cohort grow without realizing that I was growing too. . . we have all come such a long way.”

Students commented on how much they learned from others. One student wrote, “Without a doubt, the part of our class today that I enjoyed the most was the opportunity our deaf classmates had to ‘speak’ to us.” In one of the classes, four students from another doctoral program on our campus were taking the class with the cohort. This led one student to write, “The deaf students in our class are amazing. I would love to hear their life stories and hope as they write their dissertations we will keep up with them.” Other students mentioned that class discussions “allowed us to learn from each other.”

Many of the students reflected on other peoples’ experiences and noted how this had led to their own growth. One student commented:

It is an eye opener that something like doctoral research, which would seem mundane to the general populace, takes on a whole new meaning as a life changing ex-

perience to the dissertation author when dealing with powerful and emotional subjects. As I listened to the details of those studies, I felt myself somewhere in the middle of one of those great Ken Burns documentaries where the stories of individual human lives take on epic proportions. . . . I suddenly see many possibilities and new perspectives for my study.

Students received immediate feedback in their writing because most professors used an on-line editing process. All students, but two, specifically commented on the power of “instant feedback and ongoing encouragement” they received from faculty using this system.

Integrating theory and practice by comparing new understandings with the workplace were discussed by many of the students. Most frequently, they commented on culturally proficient teaching, pointing out how they now understood the importance of diversity becoming an every day part of school, and not something to be celebrated just during Black History Month, Cinco de Mayo, or the like. Frequently Freire’s challenge for dialogue was discussed in the same sentence with an understanding that students must be the ones to start the “difficult conversations” of diversity and not “remain silent” as they may have done before.

Regarding practicing skills and receiving feedback, a student commented:

Last year at this time, I discovered that I knew absolutely nothing about research. . . . What bothered me the most was that I knew that I was supposed to like doing research, but I didn’t. What was wrong with me? But then, without realizing it, I discovered that my perspective had changed. I like the research; I like reading it, and I like hearing [our professors] talk about it from their different perspectives. [When did this change take place?] The feedback from our professors as we wrote our papers was so helpful, by the time I finished, I had a much better understanding of the whole process. . . . Now, I even wish I had more time to spend doing research. If someone had told me last year that would say this, I would have thought that was impossible.

Over half of the students commented that written reflections were a “wonderful way to synthesize” class discussions and readings. Additionally, all 37 students identified the group discussions as something they liked “best” about the program.

Collaboration among the Overseers

Consistently, students commented how much they liked the “flexibility of the professors,” and their “support.” One student commented regarding the “continual communication with professors.” All 37 students used the word “mentor” at some point in their writings about direction they had received from faculty members. They wrote positively about activities such as the equity audit research project done in one class because this required them to collaborate with their school districts and as one student wrote “collaboration is real world.”

Students in writing about the positive support from professors also noted with equal importance the “strong support from the cohort that we all feel.” One student noted how other students and professors helped him find “data and literature to make the case” when seeking solutions to “problems on my own campus.” This student noted how this caused him to rethink “my own feelings about collaborating with others.” He then said that he felt because of this experience, he would be “much more collaborative in the future.”

CONCLUSION

Through reviewing student writings as they described critical incidents in their personal and professional lives, themes emerged that suggested learning transfer strategies embedded in the program impacted their understandings of leadership resulting in changed practices in their personal and professional lives. Recently there has been a challenge to university preparation programs to create learning cultures that emphasize connections with authentic learning and the needs of K–16 schools (Murphy, 2002). This study suggests that when universities embed components of transfer learning theory, leadership programs can better meet the challenge to enhance student understandings of leadership which result in school improvement.

The students participating in this course evaluation process were educators who participated in learning that connected with the goal of improving schools through their leadership. All 37 doctoral students indicated a deeper understanding of social justice issues, the importance of on-going reflection and opportunities for authentic learning. This is consistent with a study of 51 doctoral students, which found that all of the students in a scholar-practitioner doctoral program reported that leadership paradigms had changed practices to become more effective school leaders (Harris & Alford, 2005). Harris (2005) also reported similar findings with a cohort of 15 doctoral students writing synthesis experiences after their second year in a doctoral program.

Study findings also suggested that learning transfer strategies as Barnett suggested “[change] behavior in a new context” (2005, p. 7), thus enhancing a doctoral program’s capacity to connect the learning process and the work of educators “more fully and more efficaciously to the human project” (Starratt, 2004, p. 267.)

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Charting a Course in the Preparation of School Leaders: Quality, Quantity, or Both?

Hal Holloman, Art Rouse, Marjorie Ringler, and Lynn K. Bradshaw

In North Carolina, an unexpected piece of legislation attached to the state budget bill in the summer of 2005 reopened the route to add-on licensure in school administration. Although adding an administrative license to a graduate teaching license had been a common route to licensure historically, the add-on option was eliminated in the 1990s as part of a comprehensive effort to strengthen the quality of school leadership in the state. The NC Standards Board was created and charged with developing high standards and an assessment for school leaders. Existing preparation programs were phased out as universities redesigned programs and submitted competitive proposals in an effort to be one of the six programs selected to continue preparing school leaders in the state. These surviving Master of School Administration (MSA) programs became the only avenue to principal licensure in the state, regardless of numbers of graduate degrees held and employment experience. Finally, the NC Principal Fellows program was created to support two years of full-time study, including a full-time year-long internship for highly qualified candidates.

Although quality continues to be an important concern in the preparation of school leaders, current and projected shortages of school leaders have resurrected concerns about supply and demand. As a result, quality, and quantity must be addressed simultaneously in meaningful ways. At first, concerns about the supply of school leaders were addressed gradually. The number of approved university preparation programs increased as one campus after another obtained permission to offer an MSA program. For districts experiencing a shortage of qualified candidates, licensure became more flexible. Assistant principals could obtain a provisional administrative license, but they were still required to enroll in and complete an approved MSA program. Clearly, the 2005 legislation, House Bill 11, represented the most significant flexibility. Currently, to qualify for certification as a school administrator, an individual must (a) submit an application to the State Board; (b) pay the fee; (c) have a bachelor's degree from an accredited college or accredited university; (d) either (i) have a graduate degree from an approved public school administration program, (ii) a master's degree from an accredited college or accredited university and have completed, by December 31, 1999, a public school administration program that meets the public school administration program approval standards set by the State Board of Education, or (iii) have education and training that the State Board of Education determines are equivalent; and (e) pass the licensure exam.

In the fall of 2005, the State Board of Education established an ad hoc committee to make recommendations defining the "equivalent" to the MSA degree. The committee was also charged to (a) review standards for MSA programs to be sure that appropriate competencies related to teacher retention, teacher evaluation, teacher support programs, and teacher effectiveness are included and emphasized and (b) review and revise as necessary the standards and criteria for the evaluation of school administrators to include accountability measures for teacher retention, teacher support, and school climate.

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Although information is available regarding current and projected shortages of school administrators in North Carolina, little is known, other than annual totals, about the provisionally licensed assistant principals. This paper explores the characteristics of provisionally licensed assistant principals in NC and their distribution throughout the state in order to better understand the political context for relaxed licensure requirements and to anticipate the strengths and needs of those who will seek add-on licensure in school administration or alternative routes to the principalship. Implications for preparation programs are explored.

PRINCIPAL PREPARATION PROGRAMS NATIONAL PERSPECTIVE

Approximately 470 master's programs in school administration are available nationally, and they are typically housed in departments of educational leadership within colleges of education (Orr, 2006). These university programs are the main route to the principalship and offer similar courses nationwide except for variations based on state licensing or certificate requirements (Hess & Kelly, 2005; Levine 2005; Orr).

With increasing accountability and calls for educational reform that leads to high student achievement, there are concerns about the effectiveness of principal preparation programs. Several recent studies have concluded that the content and relevancy of the courses offered have not kept up with the needs of local school districts. Specifically, future school administrators often lack strong field experiences and have not been adequately prepared to use data, research, and technology to address the challenges found in schools today (Hess & Kelly, 2005; Levine, 2005). A consistent theme is that systemic preparation of principals to improve instruction and student learning is the answer to the shortage of quality principals in schools today (O'Neill, Fry, Hill, & Bottoms, 2003). Programs should include learning experiences with vision, purpose, and coherence that connect coursework to field experiences for practice in local schools (Levine, 2005).

At the same time, there is evidence that many principal programs across the nation have redesigned their programs. Many innovations have been based on input from leaders in local school districts who have worked collaboratively with local universities to focus on instructional leadership and school reform (O'Neill et al., 2003; Orr, 2006). Many programs recognize the importance of designing content aligned with practical field-based learning experiences and accountability requirements in school districts. A study conducted by Kenneth Leithwood (1996) and his colleagues found that redesigned programs were significantly associated with teachers' perceptions of the leadership effectiveness of their graduates when the programs had a strong foundation in theory and research, provided authentic field-based experiences, stimulated development of situated cognition, and developed real-life problem-solving skills. In further studies, Leithwood, Louis, Anderson, and Wahlstrom (2004) were able to affirm that second only to teaching, principal leadership was a main factor in improved student learning.

SHRINKING POOLS OF PRINCIPAL CANDIDATES

Recent efforts to redesign principal preparation programs and create new paths to becoming a principal lie in the perceived leadership shortages (Orr, 2006). However, a review of literature indicates the shortage is more a matter of quality than numbers. Although there are many who are certified or licensed to be a principal, there is a shortage of candidates whose university preparation program prepared them to effectively lead a school to high student achievement. In fact, the demand is not simply for a licensed candidate, but for a "new and

improved” school leader. The expectations of policy makers, researchers, and other stakeholders in education and the hiring practices of local districts create a supply and demand conundrum. How many licensed/certified candidates do we have? How many qualified candidates do we have? What qualities are superintendents looking for in a potential assistant principal or principal? How do educational leadership preparation programs (ELPP) produce more “new and improved” school leaders? As states work with other institutions to define and refine the preparation of school leaders, they must do so with a clear and collective understanding of the mutual implications of quantity and quality.

As states and local school districts struggle with shortages of candidates for principal positions, they must also consider the working conditions of the “office” as a possible deterrent in the recruitment of candidates. In an exploratory study commissioned by the National Association of Secondary School Principals (NASSP) and the National Association of Elementary School Principals (NAESP) to examine the “state” of the principalship (Educational Research Service, 1998), district personnel officers reported that the inability to hire individuals for principal positions was directly related to long hours, increased stress and accountability, and low pay. In fact, of the 403 districts responding to the study, 60% reported that low pay for the responsibility that comes with the principalship was the number one reason for not being able to attract qualified candidates. In addition, 32% reported that the job was too stressful. This spring, a *Money Magazine* report on the 50 best jobs in America ranked the job of a school administrator at number 50 (Kalwarski, Mosher, Paskin, & Rosato, 2006). Flexibility and stress of the position were factors that weighed into the ranking decision.

THE NORTH CAROLINA CONTEXT

A principal supply and demand report compiled by the North Carolina Principals’ Executive Program for the North Carolina Department of Public Instruction revealed that approximately 19,000 North Carolina educators presently hold the school administrator license or are enrolled in an institutional program that will lead to licensure (Sneeden & Hitch, 2006). However, a closer look reveals that less than one-third are currently serving in an administrative capacity, most others are not available candidates, and 16% have left education. Sixty per cent of the teachers who hold an administrative license were 50 years old or older. The report noted that North Carolina has an average need of 280 new principals and 435 new assistant principals each year, about 200 more than the approximately 500 school administrator candidates graduating from the state’s public and private ELPP’s each year.

There are also data in the report which chronicle the increase in the number of provisionally licensed school leaders in the state. This option was introduced in 1999 to increase local flexibility in the hiring of assistant principals when a local board had determined that there was a shortage of persons who hold a principal’s license or who were qualified to hold a principal’s license. Table 1 shows the numbers of provisionally licensed assistant principals since this option was introduced. While those numbers have increased, especially in the first three years, it is not possible to determine an unduplicated count from those data. Because provisionally licensed APs remain provisionally licensed until they complete an approved program (two or three years), each provisionally licensed AP is likely to remain in the total count of provisional licenses for several years.

Although a “500% increase in the number of provisional licenses” has been mentioned as a cause for alarm in the state, there is a need to examine the patterns in the use of the provisional licensure option for assistant principals more carefully. There is concern that the increase in the use of provisionally licensed APs reflects a weak “bench strength” in districts

across the state, but there is also a possibility that boards and superintendents are using the provisional option to strengthen bench strength in their districts.

DESCRIPTION OF THE STUDY

This study was designed to explore the effects of the availability of the provisional license for assistant principal candidates. Since 1999, school districts in North Carolina with documented shortages of candidates for school leadership positions have been allowed to place candidates without a license in school administration in an assistant principal position and obtain a provisional license for them. The candidate was then required to affiliate with an approved university preparation program and complete the licensure program (and the MSA Degree) within a period of three years.

Sixth pay period (December) state payroll data for the 2005–06 school year were used to identify provisionally and regularly licensed assistant principals in North Carolina. Once identified, the social security numbers of the individuals were queried against the license data base to gain additional information regarding gender, age, race, licensure, and experience. Results were reported in aggregate counts by district, limiting comparisons of the groups.

THE RESULTS

According to the December 2006 salary data for the NC Department of Public Instruction, 2749 individuals were serving in assistant principal positions in North Carolina at that time. Of those individuals, 292 (10.6%) held provisional assistant principal licenses. The remaining almost 90% of principals had earned administrative licenses through a MSA Program, another Master's degree leading to a license in school administration, or an add-on licensure program depending on the routes available when they pursued an administrative license.

An initial glance at the data across the eight educational regions of the state (see Figure 1) revealed variations in the numbers of assistant principals per region, most likely due to the numbers and sizes of the school districts in each region. The total number of assistant principals in each region ranged from 130 to 582. (See Table 2). The number of provisionally licensed assistant principals in each region ranged from 8 to 61, but there was not a direct relationship between the number of provisional APs and the total number of APs in each region, with the percentages of provisionally licensed assistant principals ranging from 4.6% to 16.8%. In the two smallest and most rural regions, only 8 (6.2%) APs in the Northeast were provisionally licensed and 28 (16.8%) of the APs in the West were provisionally licensed. Surprisingly, two of the most urban regions had small percentages of provisionally licensed APs, 4.6% and 7.4%.

Overall, there were slightly more provisional male APs (47.6%) than traditional male APs (43.2%) and the percentage of minority provisional and traditional APs were almost equal at slightly more than 30%. Again, regional differences were interesting. Provisionally licensed APs were more likely to be male than traditionally licensed APs in the Northeast, North Central, South Central, and Central regions. Provisional APs were less likely to be male in the South Central and West regions. Provisional APs were more likely to be minority than traditional APs in five regions. The Southeast and South Central regions gained the highest percentage of minority APs through the provisional route with 14% higher minority representation among provisional APs than among traditional APs.

Figure 1. Geographic Regions of NC.



As the use of the provisional AP license increased, there were concerns about the qualifications of these candidates. Although the available licensure data can be cumbersome because individuals can be licensed in multiple areas, three issues were explored for purposes of this preliminary study: the number of provisional APs who were licensed in other leadership areas, the number licensed in student services areas, and the number licensed in physical education or health areas. Seventeen provisionally licensed APs held licenses in other leadership areas, including twelve who were licensed as curriculum instructional specialists or supervisors. Twenty-seven held licenses in student services areas, including 16 counselors, and there were 21 “physical education specialists.”

With respect to age, provisionally licensed APs were most likely to be 30 to 49, and more than one-third of the traditionally licensed APs were 50 years of age or older. There was a range in years of teaching experience for both groups, with provisional APs somewhat more likely to have less teaching experience and the traditional APs more likely to have 25 or more years. It is important to note that individuals in an AP position earn annual credit in both teaching and administrative experience. Therefore, the teaching experience of the traditional APs is inflated by the number of years as an AP.

The administrative experience of the traditional APs seems quite low, with 2276 traditional APs having 4 years or less than 4 years in an administrative role (see Table 4). This suggests that AP roles are being used to develop future principals and that APs are moving into principal roles somewhat quickly.

Almost one-third of the assistant principals in the state are in six urban districts (see Table 5). However, 73 provisionally licensed APs, or only about one-fourth of the provisionally licensed APs in the state, were in the urban districts. In regions of the state with large urban districts the regional trends seem to be skewed toward the pattern(s) that exist(s) in the urban district(s). The differences in the use of the provisional AP licensure option in these urban districts were interesting (see Tables 6–9). Two of the six urban districts, including the largest in the state, had no provisionally licensed APs even though one of those districts has expressed interest in an alternative licensure program as a strategy for responding to shortages of administrative candidates. One urban district had no provisionally licensed APs, and another had only one. Two districts had relatively large numbers of provisional APs, representing 20.9% and 30.9% of the APs in the districts. In both districts, the use of the provisional license ap-

peared to have increased the number of male and non-White APs, not unlike the effect of alternative licensure on the teacher candidate pool (Bradshaw & Hawk, 1996).

CONCLUSIONS AND IMPLICATIONS

The purpose of this study was to explore the effects of the provisional AP license as an option for filling AP positions when there was a shortage of licensed candidates. It appears that as a group, the provisionally licensed APs are quite similar to the traditionally licensed APs. Because they are completing the required MSA program, their preparation will be comparable, and they have had the added support of MSA faculty and student colleagues during their first years in an assistant principal role. In some cases, districts appear to be using the provisional licensure option strategically to diversify their workforce and develop the candidate pool for future principal openings.

Historically in education, shortages have ultimately been field- and location-specific. Over time, economic, geographic, and cultural variations in labor markets have been observed “as local definitions of what constitutes a quality workforce are translated into specific everyday needs, limitations, and actions” (Berry & Hare, 1985, p. 29). Without clear standards for defining shortages and a process for monitoring them, local boards of education have determined whether and how to implement the provisional AP option.

Major changes in administrative preparation and licensure in the state have been triggered by concerns in two local districts, the urban district mentioned earlier, which has not exercised the provisional AP option, and a smaller district with two provisional APs. The changes have also been fueled by predictions of impending crises in the supply of administrative candidates, exacerbated by shortages of teachers, the pool from which administrative candidates are typically drawn. Furthermore, perceptions that school leadership preparation programs are broken and must be fixed, prevalent in the national press, have created an urgency to produce stronger candidates with fewer courses and in less time than what has been required for traditional licensure in North Carolina. Although the results of this study suggest that there is ample room for expanded use of the provisional AP licensure option, with positive results for the workforce, the numbers also confirm diminishing candidate pools and less time for on-the-job development of APs before assigning them to principal roles.

RECOMMENDATIONS FOR FURTHER RESEARCH

The reinstatement of add-on licensure in school administration, combined with efforts to explore alternative routes to the principalship, poses opportunities and challenges for preparation programs and continues to create an interesting policy context. Additional research is needed to inform both short- and long-term responses to calls for stronger preparation programs for school leaders, especially when those programs are expected to accomplish their goals with less coursework (once credit is given for related coursework and experience) and respond to the needs of individuals who bring varied work experiences within and outside public education. In addition, appropriate studies could provide a base for policy decisions as stakeholder groups continue to balance quality and quantity needs in the field of school leadership.

- Continue to monitor the use of the provisional license for assistant principals and conduct concurrent studies of the use and effects of add-on licensure and alternative routes to licensure in school administration. It is important to understand how these

options are being used to meet the needs of individual school districts and to examine the effects of these practices on student performance, the workforce, and the candidate pool.

- Monitor the effects state efforts to improve working conditions for principals on the supply of candidates for assistant principal and principal positions and the interest in preparation programs for school administrators.
- Conduct a qualitative study of the experience of provisionally licensed assistant principals in the state. A deep understanding of the challenges they have faced and the development opportunities that have and have not been helpful will inform efforts to design appropriate add-on and alternative licensure programs.
- Conduct a qualitative study of district attitudes toward the provisional license for assistant principals. In districts with larger numbers of provisionally licensed assistant principals, what is the purpose of this strategy? To what extent does it reflect a “succession plan” for future administrative openings? Why have other districts chosen not to use the provisional licensure option? What are the characteristics of their applicant pools for administrative positions? What plans have both groups of districts made with respect to add-on and alternative licensure options?

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APPENDIX

Table 1. Number of Provisionally Licensed Assistant Principals in NC.

School Year	99–00	00–01	01–02	02–03	03–04	04–05
# of Provisional Licenses	40	120	232	244	262	243
Unduplicated Count—2 yrs	*40	*80	*152	*92	*172	*71
Unduplicated Count—3 yrs	*40	*80	*152	*12	*98	*233

Note. * indicates estimates based on expected years in MSA program.

Table 2. Number and Percent of LEAs Using the Provisional AP License by Region.

Region of NC	Total # LEAs	# LEAs Using Prov License	% LEAs Using Prov License	Total # APs	Total # Prov APs	% Prov APs
1 Northeast	15	2	13.3	130	8	6.2
2 Southeast	14	10	66.7	287	32	11.1
3 North Central	14	7	50.0	519	24	4.6
4 South Central	12	11	91.6	319	52	16.3
5 Central	15	11	73.3	465	61	13.1
6 Southwest	11	8	72.7	582	43	7.4
7 Northwest	19	11	61.7	280	44	15.7
8 West	17	6	35.3	167	28	16.8
Total	117	66	56.4	2749	292	10.6

Table 3. Number of Regular and Provisionally Licensed Assistant Principals by Region.

	Traditionally Licensed Assistant Principals						Provisionally Licensed Assistant Principals						Total APs
	Male	Female	Black	White	Other	Total	Male	Female	Black	White	Other	Total	
1	50	72	39	79	4	122	4	4	3	5	0	8	130
2	95	160	68	179	8	255	12	20	13	18	1	32	287
3	202	293	202	284	9	495	11	13	7	17	0	24	519
4	115	152	79	163	25	267	27	25	26	24	2	52	319
5	172	232	127	267	10	404	31	30	21	39	1	61	465
6	228	311	173	345	21	539	16	27	6	32	5	43	582
7	121	115	13	217	6	236	23	21	7	37	0	44	280
8	78	61	6	133	0	139	15	13	0	28	0	28	167
T	1061	1396	707	1667	83	2457	139	153	83	200	9	292	2749

Table 4. Years of Administrative Experience for Traditionally Licensed APs.

Region	No Data	< 4	5–9	10–14	15–19	20–24	> 25
1 Northeast	2	110	4	3	1	1	1
2 Southeast	4	230	12	4	3	1	1
3 North Central	5	466	15	4	1	3	1
4 South Central	2	257	5	0	2	0	1
5 Central	4	369	15	7	8	0	1
6 Southwest	6	513	8	9	0	3	0
7 Northwest	13	207	8	4	3	1	0
8 West	3	124	6	0	3	2	1
Total	39	2276	73	31	21	11	6

Table 5. Number and Percent of Provisionally Licensed APs in Urban Districts.

LEA	Total APs	Total Prov APs	% Prov APs
260	134	28	20.9
320	73	1	1.4
340	115	0	0.0
410	110	34	30.9
600	297	0	0.0
920	147	10	6.8
	876	73	8.3

Table 6. Percentage of Assistant Principals in Urban Districts by Region.

Region	Urban LEAs	Total APs in Region	Total APs in Urban Districts	Percent of Urban APs in Region
1 Northeast	None	130	0	0.0
2 Southeast	None	287	0	0.0
3 North Central	Code 320		73	
	Code 920		247	
		519	320	61.7
4 South Central	Code 260	319	134	42.0
5 Central	Code 340		115	
	Code 410		110	
		465	225	48.4
6 Southwest	Code 600	582	297	51.0
7 Northwest	None	280	0	0.0
8 West	None	167	0	0.0
Total		2749	976	35.5

Table 7. Number of Traditionally and Provisionally Licensed Assistant Principals in Urban Districts by Gender and Race.

LEA	Traditionally						Provisionally						Total APs
	M	F	B	W	O	T	M	F	B	W	O	T	
260	36	70	45	56	5	106	12	16	17	11	0	28	134
320	31	41	44	27	1	72	1	0	1	0	0	1	73
340	50	65	45	67	3	115	0	0	0	0	0	0	115
410	33	43	34	41	1	76	21	13	16	17	1	34	110
600	108	189	126	158	13	297	0	0	0	0	0	0	297
920	88	149	77	154	6	237	2	8	2	8	0	10	247
	346	557	371	503	29	903	36	37	36	36	1	73	976

Table 8. Number and Percent of Male Traditionally and Provisionally Licensed APs in Urban Districts.

LEA	# Male Trad APs	Total Trad APs	% Male Trad APs	# Male Prov APs	Total Prov APs	% Male Prov APs
260	36	106	34.0	12	28	42.9
320	31	72	43.0	1	1	100.0
340	50	115	43.5	0	0	0.0
410	33	76	43.4	21	34	61.8
600	108	297	36.4	0	0	0.0
920	88	237	37.1	2	10	20.0
	346	903	38.3	36	73	49.3

Table 9. Number and Percent of Non-White Traditionally and Provisionally Licensed APs in Urban Districts.

LEA	# Non-White Trad APs	Total Trad APs	% Non-White Trad APs	# Non-White Prov APs	Total Prov APs	% Non-White Prov APs
260	50	106	47.1	17	28	60.7
320	45	72	62.5	1	1	100.0
340	48	115	41.7	0	0	0.0
410	35	76	46.0	17	34	50.0
600	139	297	46.8	0	0	0.0
920	83	237	35.0	2	10	20.0
	400	903	44.3	37	73	50.7

Navigating Learning and Teaching in Educational Administration: Educating Aspiring Principals in Wisdom

Richard M. Jacobs

. . . [H]e accustomed you to give a bold and grand answer to any question you may be asked, as experts are likely to do. (Plato, 1981, 70b-71a, p. 59)

For at least the past century, students have matriculated into Educational Administration programs hoping they will develop the expertise they will need to lead schools to fulfill their noble civic purposes. Laudable as these aspirations are, Socrates commented more than two millennia ago to his student, Meno, that expertise is not wisdom and being an expert is not synonymous with being virtuous. This distinction isolates an NCEA 2007 Tipping Point—The Moral and Ethical Challenges—that professors must navigate effectively if they are to direct learning and teaching toward wisdom that will evidence itself in educational administrators who are virtuous as they engage in professional practice.

Were professors to navigate the moral and ethical challenges confronting principals toward educating aspiring principals in wisdom, how might this transform learning and teaching in educational administration? In response to this question, a very brief summary of the history of educational administration will provide a framework to consider Socrates' arguably radical proposals.

A VERY BRIEF SUMMARY OF A HISTORY DETAILED ELSEWHERE

The terrain of educational administration is littered with programs that were once believed to provide definitive solutions to the problems of professional practice (Culbertson, 1988; Murphy, 1999; Willower & Forsyth, 1998). Likewise, solutions touted as “innovative” and “cutting-edge” and canonized in educational administration textbooks, journals, and professional literature have been supplanted by newer, more innovative, and cutting-edge solutions. Across the decades, professors busied themselves seizing upon new solutions and designing new programs. However, as the shelf lives of these solutions and programs evidence, they were not efficacious. Schools continue to be “in trouble.”

All the while—albeit slowly and imperceptibly—a functional-procedural, scientific paradigm descended upon professors of educational administration in the form of an “Iron Cage” (Weber, 1992). For at least the past century, this paradigm has exerted control over how professors have navigated learning and teaching in educational administration, that is, in the direction emphasizing the acquisition of a professional knowledge base (Culbertson, 1988). Responding to this history, Hodgkinson (1978a) pronounced administration theory a “failure.” And, for his part, Greenfield (1986) announced the decline and fall of science in educational administration.

For professors of educational administration, perhaps this history provokes feelings of discomfort and/or embarrassment. However, it is not unique to educational administration.

Kuhn (1986) demonstrated, for example, how professors in the natural sciences fell into the same trap. Training aspiring scientists to think within the established paradigm's boundaries, mentors routinely rejected the anomalies uncovered by their students. As a result, the reigning paradigm's assumptions went unchallenged and so-called "discoveries" only built upon and extended the hegemony exercised by the paradigm—that Iron Cage—which remained impervious to challenge.

What the history of educational administration has emphasized as the best way to train aspiring principals—by inculcating in them a body of professional knowledge and skill sets—ends up indoctrinating them in what Socrates termed "incorrect opinion tied down" (Plato, 1981, 98a–99a, pp. 86–87). More than two millennia ago, Socrates lamented that citizens trained according to this regimen might just as well call themselves soothsayers or prophets because, while they "say many true things when inspired...they have no knowledge of what they are saying" (99c, p. 87).

What Socrates proposed to remediate this state of affairs—arming citizens with "correct opinion tied down" (98a, p. 99) so that wisdom would guide decision making—reaches far beyond developing the more "robust understanding of the principalship" proposed by Beck and Murphy (1992). As public servants, women and men armed with correct opinion tied down would provide leadership not by "doing things right"—imposing what they have learned from experts—but by "doing right things"—judging wisely and acting virtuously—as Bennis (1994) noted.

So, what about wisdom? Can teaching about wisdom encourage learning about it and, more importantly, encourage students to follow its dictates when making decisions one day as principals? Perhaps yes. But, as Carr (1991) noted with regard to virtue, *training* students about wisdom is one matter, and *educating* them in wisdom is an entirely different matter.

Were professors to navigate this 2007 NCPEA Tipping Point—The Moral and Ethical Challenges—in the direction of educating aspiring principals in wisdom, what might learning and teaching in educational administration look like?

The good news is that nothing "innovative" or "cutting-edge" awaits discovery because Socrates already navigated this terrain. In his dialogue, *Meno*, Socrates modeled a teacher whose primary goal is to educate his student in wisdom. Implementing this model to educate aspiring principals in wisdom would require professors, first, to re-envision learning, that is, to view it consisting not solely of the memorization of a body of knowledge and practicing skill sets presented in textbooks, journal articles, and professional literature but as an arduous process wherein each student is busy "discovering everything else for [oneself]" and where "[one] is brave and does not tire of the search" (Plato, 1981, 81d, p. 70). Implementing this model would require professors, second, to re-envision teaching, that is, to view it as providing students "correct human guidance" (99a, p. 87). Professors would accomplish this objective by asking their students probing questions about what is currently believed to be true about professional practice—all of what is enshrined in textbooks, journal articles, and professional literature—that may prove *not* to be true when subjected to intense and critical public scrutiny.

Where the pedagogical goal is to educate aspiring principals in wisdom, the work of navigating learning and teaching in educational administration is found—just like the Devil—in the details. Those details concern what this implies for aspiring principals—learning characterized by discovering everything else for oneself, of being brave, and not tiring of the search. Those details also concern what this implies for professors—teaching characterized by "providing correct guidance based upon right opinion tied down."

In what follows, we will examine these details and then will conclude by considering *why* professors of educational administration navigate learning and teaching in the first place. “Doing right things” is not an either/or proposition where wisdom and virtue trump science and expertise or vice versa. At this 2007 Tipping Point—where moral and ethical challenges are focal—“doing things right” requires professors to navigate learning and teaching in educational administration to give due consideration to wisdom and virtue and away from any obsessive preoccupation with science and expertise.

NAVIGATING LEARNING: DISCOVERING EVERYTHING ELSE FOR ONESELF, BEING BRAVE, AND NOT TIRING OF THE SEARCH

As is true with any academic discipline, learning in educational administration focuses primarily upon the student and only secondarily upon the professor. This certainly is not a radical notion. But, were professors to navigate the moral and ethical challenges confronting principals by directing learning toward educating aspiring principals in wisdom, professors would endeavor to strengthen each student’s ability to discover everything else for oneself, to be brave, and not to tire of the search for what wisdom dictates as constituting best practice rather than engaging students in discovering the body of professional knowledge and skill sets that others have already discovered. What this learning will entail concretely—eschewing a decidedly utilitarian attitude and intent, becoming comfortable with ambiguity, suspending judgment, and being tolerant as well as valuing humility as the basis for professional practice—may prove to be a very radical notion!

Typical of students today, most aspiring principals come to their graduate programs imbued with a decidedly utilitarian attitude and intent; that is, they are predisposed to view learning as the acquisition of a body of professional knowledge and skill sets that are believed to be constitutive of expertise as currently conceived. To the degree that professors meet this expectation, aspiring principals believe their programs are “relevant” and are equipping them, as Socrates noted, to “give a bold and grand answer to any question. . . asked, as experts are likely to do” (70b, p. 59).

If professors are to navigate the moral and ethical challenges confronting principals by directing learning toward educating aspiring principals in wisdom, however, this utilitarian attitude and intent must be changed. In place of engaging in learning about educational administration for the purpose of becoming experts, aspiring principals must learn to view education as an “end,” an endeavor valuable in itself. What this requires of aspiring principals is learning to be comfortable with ambiguity rather than seeking certainty (Hofstede, 1992, 1993) because, as Socrates told his student, Meno, it is in the experience of “not knowing” (and, in this case, not knowing exactly how to solve administrative problems) that aspiring principals will discover everything else for themselves; that is, if they are to be brave and not tire of the search.

To foster greater comfort with ambiguity, professors must assist their students to learn the refined intellectual habit of suspending judgment. This new learning can prove to be an especially daunting challenge, primarily because what students typically desire is to acquire efficacious solutions to the problems of professional practice as quickly (and, perhaps, too, as easily) as possible. But, herein is found the bedeviling challenge of learning in educational administration, that is, if professors are to navigate learning in the direction of educating aspiring principals in wisdom: solutions provided by textbooks, journal articles, and professional literature offer guidance *not* answers concerning what expert principals do. In fact, the idiosyncrasies associated with a school’s context oftentimes require principals to adapt and

sometimes even to reject solutions proposed by experts. Thus, as long as students view learning as the memorization of solutions and practicing skill sets that textbooks, journal articles, and professional literature associate with expertise, students will only discover what others have written and has worked in other contexts. They will not discover everything else for themselves, likely not be brave, and quickly tire of the search. Nor will they become educated in wisdom.

Moreover, if aspiring principals are to be comfortable with ambiguity, they must learn to suspend judgment if they are to reflect upon and to contemplate what particular professional knowledge and skill sets are needed given a school's idiosyncratic context. Unfortunately, the history of educational administration training suggests a different learning. As Bates argued two decades ago, principals have been trained for all too long not to think but to implement, with the consequence that they discover themselves working within an organizational vestige of the Industrial Age featuring accumulation, hierarchy, and domination as governing metaphors (1986, p. 272). Suspending judgment by considering the relevant facts and making tentative decisions that can be publicly tested and adjured prior to implementation is evidence of wisdom; on the spur-of-the-moment, will-o'-the-wisp, snap decisions based upon what experts dictate or what one's hunches and intuitions dictate—even if these solve problems—do not evidence wisdom.

When training is aimed at developing experts who solve problems, research indicates that principals quickly find that nothing learned in their training programs works in professional practice (Farkas, Johnson, & Duffett, 2003; Haller, Brent, & McNamara, 1997; Wildman, 1991). Perhaps for this reason Murphy (1999) judged this approach to training “bankrupt.” But, principals also learn something else, namely, that experts can implement “incorrect opinions tied down” expertly, sometimes with devastating consequences for human beings. For example, after principals find what they have learned does not work in professional practice, they may actually wonder about the impact this will have had upon the young people enrolled in those schools where nothing has worked. Could these principals bear personal responsibility for administering educational programs that have rendered young people capable only of achieving educational outcomes which correlate with lower earnings over the course of a lifetime (Hanushek, 2002; Murnane, Willett, Duhaldeborde, & Tyler, 2000)? What principals need if they are to make their schools “work” are not solutions but “correct opinion tied down,” which is the consequence of learning how to discover everything else for oneself, to be brave, and not to tire of the search.

Lastly, becoming comfortable with ambiguity also requires aspiring principals to learn tolerance, but not in the colloquial sense of the term, which connotes according every opinion equal merit. As this term pertains to professors who seek to navigate learning in the direction of educating aspiring principals in wisdom, tolerance denotes forthrightly stating one's cherished beliefs, assumptions, and values, subjecting these to critical public scrutiny and, as is more than likely in a pluralistic democracy, to hear that what one believes is true may *not* be true, what Socrates called “incorrect opinion tied down.” To learn tolerance, then, aspiring principals must desire to inculcate the refined habits of listening carefully to others, of engaging them in substantive discourse, and of allowing the desire to become wise rather than to be correct to direct discourse. As aspiring principals learn to state honestly “I'm not quite sure, but I do believe. . .,” they evidence the refined abilities of suspending judgment and being tolerant both with themselves and others, two crucial behaviors for public servants who uphold the public trust (Cooper, 1998).

More importantly, once aspiring principals engage in professional practice and as they suspend judgment and exercise tolerance, these behaviors will signal to their followers that

they—not the principal—possess the professional theory and skill sets that guide the decision-making process. The virtue of humility, learned as aspiring principals suspend judgment and become tolerant, reins in any excess of pride that can transform administrative expertise into tyrannical arrogance. Humility, then, builds upon the learned behaviors of suspending judgment and exercising tolerance and, in turn, enables principals to engage teachers, staff members, and students meaningfully in the more egalitarian and democratized decision-making process typifying authentic learning communities (Mitchell, 1999; Myers & Simpson, 1997). In these schools, wisdom informs the decision-making process, what teachers and professional staff members decide necessary is what prescribes curriculum and instruction, and no child is left behind because these schools work.

Navigating learning in the direction of educating aspiring principals in wisdom is not easy for professors of educational administration and certainly will not come easily for aspiring principals. Yet, as professors navigate learning so that aspiring principals become increasingly comfortable with suspending judgment, dealing with ambiguity, and developing humility, they gradually become capable of thinking more critically. And, as they think more critically about what is really transpiring in schools, their minds develop “*cognitive complexity*,” namely, “*the intellectual ability of a manager or leader to envision the organization from multiple and competing perspectives so as to develop a depth of organizational understanding that is at least equal to the factors impacting its functioning*” (Jacobs, 2006, ¶2).

When professors navigate learning in the direction of educating aspiring principals in wisdom, successful learning becomes more of an intellectual and philosophical endeavor—a matter of careful reflection, contemplation, and deliberation—than a professional and scientific endeavor—a matter of memorization and replication. These professors assist aspiring principals to be brave and not to tire in seeking wisdom by learning to suspend judgment, to be comfortable with ambiguity, to exercise tolerance, and to be humble. Through their professors’ correct guidance, aspiring principals develop the wisdom they will need to identify, address, and resolve the substantive organizational issue from which recurrent organizational problems emerge (McWhinney, 1992; McWhinney, Webber, Smith, & Novokowsky, 1997).

Commenting about how students imbued with the desire to become experts behave, Socrates observed to his student, Meno, “. . .you are forever giving orders in a discussion, as spoiled people do, who behave like tyrants as long as they are young” (Plato, 1981, 78c, p. 65). Professors of educational administration might substitute the word “uneducated” for “young,” which clarifies Socrates’ point, at least in so far as this involves navigating learning in the direction of educating aspiring principals in wisdom. When learning denotes filling one’s mind with professional theory and skill sets as well as mastering this body of content, students unwittingly conclude that they possess those efficacious solutions which will enable them to solve the problems emerging in professional practice, just as experts do. But, Socrates’ pedagogical objective was not that his student learns to parrot back what his teacher said. Instead, Socrates desired that Meno learn to discover everything for himself, to be brave, and not to tire in his search for what wisdom dictates.

This would be no solitary search, however. Standing alongside Meno—the student who is learning—is Socrates—the source of wisdom who is teaching. As fellow companions, they journey together to “tie down right opinion.”

NAVIGATING TEACHING: PROVIDING CORRECT GUIDANCE

Notice, first, the more egalitarian teacher-student relationship Socrates endeavors to establish with Meno and, second, what this relationship suggests professors must consider if

their purpose is to navigate teaching in the direction of educating aspiring principals in wisdom. Yes, professors and their students are not equal if only because the students do not know as much as their professors do. But, when professors navigate teaching in the direction of educating aspiring principals in wisdom, professors understand that they and their students are equal because both have embarked upon a journey to discover what wisdom dictates—“right opinion tied down”—concerning professional practice. What embarking upon that journey entails on the part of professors—strengthening cognitive complexity in students, assisting them to recognize that what they believe is best may *not* be best, and recognizing that knowing less is knowing more—may prove to be a very radical notion for transforming teaching in educational administration!

In this more egalitarian relationship, professors do not allow their students to sit back passively; nor do professors desire their students to think the way their professors think. No, as fellow companions on the journey where wisdom is the goal, professors navigate teaching in the direction of educating aspiring principals by assisting them to think for themselves and, in particular, about their antecedents and theories of practice, to question their applicability in various situations, and to draw and to test conclusions for practice episodes (Sergiovanni, 1986). As Socrates noted, it is in the crucible of ambiguity—of not knowing what “doing the right thing” requires—that professors inject into classroom discourse, not their thoughts and opinions but correct guidance—by asking provocative questions that challenge what their students believe is true. Navigating teaching in the direction of educating aspiring principals in wisdom, then, requires students to think about all of these matters more accurately, compellingly, and forcibly. Then, as students gradually begin to inquire into their own thoughts about the professional knowledge and skill sets they are learning, as well as about what practice episodes might require, the correct guidance professors pose to their students in the form of provocative questions strengthens cognitive complexity as students begin thinking “outside of the box.” Two methods professors can use to strengthen cognitive complexity in their students include examining more critically their professional experience as well as case studies from a variety of contradictory frames or images (Bolman & Deal, 2003; Morgan, 2007).

Strengthening cognitive complexity also requires professors to challenge their students to recognize that what they may believe is the best solution may *not* be the best solution in professional practice. (Indeed, they may discover there is no solution at all!) In the crucible of ambiguity, many aspiring principals may find themselves wondering: “Shouldn’t there be simple and straightforward answers so that I can make my school better?” Eschewing the desire to reduce complicated and complex issues to smaller and more manageable problems can prove especially unsettling to students, especially those whose initial impulse is to become experts rather than to be wise.

In addition, as professors engage their students in wondering just how it can be that they know *less* about professional practice by learning what it is *not*, students who are already feeling unsettled and disquieted may even begin to question the efficacy of their programs! What these students fail to realize, however, is that as professors introduce perplexity and provoke thinking by providing correct guidance, what professors are doing pedagogically is to challenge their students to strengthen their intellectual powers, especially as students come to the realization that they now know what they did not know before, namely, what the solution may *not* be. In the middle of this perplexity, Socrates would remind professors to encourage their students to be brave and not tire of the search (Plato, 1981, 81d, p. 70).

Ideally, professors have been educated in wisdom and are wise; although, like Socrates, they may not be as wise as they believe they are (1981, 71b–72b, pp. 59–60). That is, professors possess wisdom evidencing itself in the virtues they are teaching—namely, the refined

ability to suspend judgment, being comfortable with ambiguity, being tolerant, and exhibiting humility—so that they listen to and challenge as appropriate their students' assumptions, beliefs, and values. Furthermore, as fellow companions with their students on the journey to discover what wisdom dictates, professors also possess wisdom evidencing itself as they invite their students to challenge their professor's assumptions, beliefs, and values as appropriate. Adopting this pedagogical stance, professors navigate teaching in the direction of fostering the formation of these refined "habits of the mind" which become evident as students learn to think about professional practice, not as their professors think about it but as their students now think about these matters for themselves. Lastly, when students know what is *not* true and question the truth of solutions proposed by textbooks, journal articles, and professional literature, students not only exhibit wisdom but also provide professors a benchmark to evaluate their success in navigating teaching toward the development of wisdom and away from any preoccupation with science evidencing itself in expertise.

As professors engage their students as fellow companions in the journey to discover what wisdom dictates, professors assist their students to construct the solid foundation upon which they hopefully will practice their profession as experts do. Wisdom—not gut feelings, nor hunches, and not intuition—provides this foundation.

IN THE FIRST PLACE: ARE MY STUDENTS BETTER OFF BECAUSE I WAS THERE?

"Just do it," the Nike advertisement encourages unwary consumers, whatever "it" may be. When professors of educational administration navigate learning and teaching in the direction of training aspiring principals, what they seek are those "novel" and "cutting-edge" solutions to the problems of professional practice that will make it possible for aspiring principals to learn how to "do things right." Unfortunately, there is no "end" toward which professors direct aspiring principals and against which they can judge the efficacy of those solutions.

Worse yet, this approach to learning and teaching in educational administration is the fecund breeding ground of "administrative evil" whose mask evidences itself in public servants who perform their jobs expertly—yes, they "do things right"—but never question—and may even believe it wrong to question—the ends toward which they are directing their efforts (Adams & Balfour, 1999). These public servants—reminiscent of those competent, dependable, and expert train station managers and engineers of the Third Reich who kept the trains operating on time—"just do it," namely, "it" being their jobs. But, these public servants—again, reminiscent of those Third Reich public servants who never asked where the passengers were headed or what would happen once they arrived at destinations like Dachau, Birkenau-Auschwitz, and Treblinka—do not worry about ends, only the means to those ends.

In contrast, when professors navigate learning and teaching in educational administration in the direction of educating aspiring principals in wisdom, professors are primarily interested in constructing a solid foundation upon which aspiring principals might envision professional practice—even when solutions proposed by textbooks, journal articles, and professional literature are discovered to be false—because there is an end toward which professors direct both learning and teaching. That end is wisdom which envisions professional practice not as "doing things right" but "doing right things" and using that as the principled standard for decision making.

Undoubtedly, professors of educational administration attend to many pedagogical challenges as they navigate learning and teaching in the direction of educating aspiring principals in wisdom. This goal focuses professors not so much upon what they will have students do to

improve schools once they are principals. Instead, this goal focuses professors primarily upon fostering those classroom conditions that will make it possible for their students to become wise—not expert functionaries in an administrative hierarchy—who ask not only where schools and people in them are headed, but also what may be a better—if not the best—way to get there. It is in this sense that navigating teaching and learning in this direction possesses the power to transform Educational Administration into an ethical practice or, as Hodgkinson (1991) called it, “a moral art.”

When learning and teaching in educational administration prizes science more highly than wisdom and the development of expertise is valued more highly than virtue (Hodgkinson, 1978b), professors must be brave and not tire in redressing this imbalance so that educating aspiring principals in wisdom receives at least equal status to the acquisition of professional theory and skill sets. The first step at this 2007 NCPEA Tipping Point requires professors to ask themselves a very tough question: “Will my students be wise because I *was* there?”

In the end, this question of personal efficacy draws attention to what may well be absolutely crucial, namely, the subjective quality of the professor’s character that shapes both learning and teaching in educational administration. As professors navigate learning and teaching in the direction of educating aspiring principals in wisdom, it is the quality of character that professors communicate to their students that ultimately educates them in wisdom.

Like Socrates, no professor of educational administration is immortal. But, the character of every professor can impact aspiring principals in such ways that the wisdom animating how one navigates learning and teaching in educational administration will take root in and live in one’s students because that professor *was* there. When professors fail to possess or, as is more likely the case, when they fail to act upon what wisdom dictates for a variety of reasons, their students may earn their professional certificates and become successful principals as this can be measured quantitatively in terms of school, professional, and personal goal attainment. But, when these women and men fail to exhibit wisdom in the administrative decision-making process and to build more democratic learning communities that work for the benefit of young people, this fundamental failure raises another very tough question for professors of educational administration to answer: “Why *was* I there in the first place?”

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Preparing School Leaders to Support Rural Communities of the Future

William K. Larson, Aimee Howley, and Lawrence Burgess

INTRODUCTION

Although a number of educational administration programs address the leadership needs of urban schools (e.g., Anderson & Louh, 2005; Fusarelli & Smith, 1999), far fewer programs set out to prepare leaders for rural schools. Rural schools and districts, however, continue to represent a sizeable proportion of the educational institutions in the United States. In 2003–04, for example, 62% of all school districts and 40% of all schools were located in rural places or small towns (NCES, 2004, 2006). Nevertheless, despite the size of the enterprise, the needs of rural schools are often overlooked. According to some researchers, an urban bias pervades discussions of educational policy as well as actual policy decisions (e.g., Ayalon, 2003; Harmon, 2001; Nachtigal, 1989).

This urban bias conveys the view that all communities, regardless of locale, have the same needs and interests as communities in cities. Rural communities, however, differ in significant ways from those in other locales (Howley, Woodrum, & Pendarvis, 2005). Differences relating to culture, social structure, and economic opportunities distinguish rural from non-rural places (Flora, Flora, & Fey, 2004). At the same time, these community characteristics interact in different ways to produce considerable variability in the types of places that are nonetheless all appropriately defined as “rural” (e.g., Brunn, 2002; Howley et al., 2005). Moreover, both the commonalities and the differences among rural communities have important influences on schooling. Attentiveness to these characteristics and their distinct manifestations in particular rural communities enables educational administrators to provide leadership that addresses local needs and aspirations.

In our view, cultivating this type of attentiveness among novice administrators is the primary goal of a *rural* preparation program. The principal preparation program described in this paper has evolved over a 14-year period in ways that enable it to achieve this goal quite reliably. To set the stage for our description of the features of the program, we first explain the characteristics of rural communities to which, from our perspective, principals need to attend. Then we explore the methods by which the program faculty develops prospective principals’ awareness of and sensitivity to these general characteristics as well as to the unique characteristics of particular rural communities.

THE RURAL LANDSCAPE

Two sets of characteristics seem particularly germane to school administrators who plan to work in rural districts. First, the demographics—racial and ethnic composition, socioeconomic profile, and family structure—of rural communities provide a context for understanding their identities and prospects. Second, the cultural values and practices of such communities influence how their members view education in a broad sense as well as how they construe the roles and functions of schools.

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Demographic Characteristics

Despite the popular image of rural places as uniformly white and agrarian, not all rural communities conform to this stereotype; nor are all rural communities alike (Flora et al., 2004). In fact, across such communities, there is considerable diversity related to economic, cultural, and demographic factors (Freshwater & Scorsone, 2002). In addition, significant economic transformations have been producing dramatic demographic changes within an increasing number of rural communities (e.g., Kandel & Cromartie, 2004; Nelson, 2002; Serow, 2001).

Changes in the economic and social characteristics of communities tend to affect local schools in significant ways, perhaps representing a “tipping point” to which leaders of rural schools ought to attend. For example, shifts in the ethnic makeup of a rural community can fuel tensions that may erupt as classroom arguments and fights, and increases in the number of students who are learning to speak English as a second language may strain district resources. School administrators who understand and anticipate such dynamics are well positioned to cope with them either by responding to changing needs or by finding ways to buffer the demands associated with increasing levels of conflict and complexity.

Poverty. Even though rural communities differ, poverty is an on-going concern in many rural places. Poverty rates in rural America are as severe as they are in central cities, and remote rural communities are particularly vulnerable (Mosley & Miller, 2004). Moreover, as Mosley and Miller noted, “persistent poverty is overwhelmingly a rural problem” (p. 2), particularly in Appalachia, the deep South, parts of the Great Plains, the Rio Grande Valley, and the four corners region of the Southwest.

Associated with rural poverty are conditions that adversely affect schoolchildren. For example, such children tend to have limited access to health care and social services (O’Hare & Johnson, 2004). Lack of public transportation and affordable child care often exacerbate the difficulties their parents face in finding and holding jobs, interacting with schools, and cultivating other sources of family support (Howley et al., 2005; O’Hare & Johnson, 2004). In addition, impoverished children and families routinely face the suspiciousness and sometimes even the contempt of middle-class professionals, such as teachers and social workers, who ostensibly work on their behalf (e.g., Dodson, & Schmalzbauer, 2005; Duncan, 1999).

Although school leaders have little control over the conditions that produce and sustain poverty, they can make use of practices and offer programs that dampen its effects. For example, programs that bring community services into schools (e.g., Motes, Melton, Simmons, & Pumariega, 1999) make it easier for rural families to gain access to providers of health care and social services. And efforts to help teachers understand the complex causes of poverty can off-set the tendency to blame families for the economic circumstances that confront them (Gorski, 2006). In fact, the responsiveness of rural schools is increased when school administrators have the knowledge and skills needed to develop and support programs such as these.

The Interface between Culture and Education

Because education is an important cultural function, communities inevitably have a stake in how it is accomplished. Under the U.S. Constitution, however, states have ultimate authority for the provision of schooling. Communities, therefore, try to find ways to get state-controlled schools to accommodate their preferences for particular educational arrangements and curriculum content. For the Amish, the choice was to use the judicial system to limit state control over the education of their children (Dewalt, 2001). In other rural communities, citi-

zens have tried to influence educational policy and practice by sharing their concerns directly with members of local school boards (e.g., Peshkin, 1982). From the early 20th century onward, however, this approach has hardly guaranteed that schools would be responsive to rural values and concerns (Tyack, 1997). Furthermore, toward the end of the 20th century, the federal government helped states leverage greater control over local schools (Malen, 2003). Predictably, this change often exacerbated tensions between rural schools and the constituencies they served (see e.g., Dinero, 2004). These dynamics persist; how they play out in particular rural districts has important ramifications for the practice of educational leadership in those places.

Local control of rural schools. Because schools are a primary source of identity and pride in rural communities, their boards of education typically play an important role in translating local expectations into school policies and practices. According to a recent survey commissioned by the National School Boards Association (Hess, 2002), there are notable differences between school boards in small, mostly rural, districts and those in mid-sized suburban and large urban districts. These differences point to some important generalizations about the characteristics of rural board members. Rural board members, for example, tend to be well-known, respected members of their communities. Although they are not as well educated as their suburban and urban counterparts, they typically are better educated than average in their own communities (Hess, 2002). They are also more likely than board members in cities and suburbs to identify themselves as conservatives. Furthermore, board members in small, rural districts tend to be more involved in the actual day-to-day operation of the schools than those in larger jurisdictions.

Considering the role that boards of education play in school governance in rural communities, administrators' responsiveness to children and families depends on their attentiveness to the concerns of their local boards, and these concerns often focus on the maintenance of tradition and stability (Matthewson, Castillo, & Caldwell, 2003). Nevertheless, administrators find that they must also be attentive to an increasingly insistent set of state mandates (e.g., Ladd & Zelli, 2002). An important role for rural administrators, therefore, is to negotiate the difficult terrain between local and state interests. Further, in many communities, board members belong to or respond to pressures from a local elite or some other unitary constituency with a vested interest (e.g., Duncan, 1999; Lawrence, 1995). Opening up discussions about school aims and practices to a wider range of community members represents an important, though sometimes delicate, role for school leaders in these places (e.g., Fuentes, 1995).

Traditional views about teaching and learning. Although it has not been studied systematically, educators often report that parents in rural communities tend to value for their children the types of traditional curriculum and instruction that they experienced themselves (Howley, 2003). According to some accounts, traditional pedagogical practices, such as the use of textbooks, lectures, recitations, and worksheets, also continue to have widespread appeal among educators in all locales (Harpaz, 2005; Null, 2004), but recent research suggests that a sizable minority of teachers (approximately 20%) now makes use of a variety of pedagogical practices that might be characterized as "progressive" or "student-centered" (Abbott & Fouts, 2003). And certainly teacher preparation programs as well as the prescriptive literature on pedagogy favor these more progressive approaches (Null, 2004). Efficacy studies, however, do not show that one approach consistently outperforms the other (e.g., Mussoline, & Shouse, 2001).

With no clear consensus about the types of curriculum and instruction that work best, administrators in rural districts need to look for evidence of the effects of the instruction that their schools provide (Howley et al., 2005). To do so, they must draw on a thorough under-

standing of assessment, program evaluation, and data analysis. Few educators, however, have sufficient knowledge of these processes to undertake systematic inquiry of educational programs and practices (Cousins, Clark, Goh, & Lee, 2004).

Traditional views about educational aspirations. A number of studies show that rural students tend to have somewhat lower educational aspirations than their non-rural peers (e.g., McCracken & Barnicas, 1991; Rojewski, 1999). At one time, this difference related to the baccalaureate degree (e.g., DeYoung, 1995), but recent research now shows a significant difference only with regard to aspirations for graduate-level education (Howley, 2006). Speculations about the reasons for such differences vary, but empirical findings seem to support a rational-choice interpretation: in general, rural youth plan to pursue the types of schooling that will enable them to make sensible career and related life choices, often *within* their rural communities (Burnell, 2003; Hektner, 1995). This interpretation, moreover, fits with research showing that rural family members prefer to live in close proximity to one another (Larson & Dearthmont, 2002) as well as with research indicating that youth who are raised in the country tend to value a rural way of life (Hektner, 1995; Ley, Nelson, & Beltyukova, 1996).

Whereas this analysis avoids placing blame on rural families and schools for deficiencies that limit students' aspirations (Howley, 2006), it does not excuse school administrators from the obligation to work to disrupt social dynamics that tend, in fact, to keep some rural students from accomplishing all they might (e.g., Duncan, 1999; Howley, Howley, & Howley, 2006). Notably, when educators lower academic expectations for students from low-income families, these students' perceptions of their own capabilities suffer (e.g., Cooper & Good, 1983). As a consequence, such students may perform badly in school—a circumstance that eventually restricts the educational and career options open to them.

School at the center. Historically, as families in rural places established schools, these institutions became central to community life (DeYoung, 1995). In fact, as some have argued, the common school became the democratic heart of many communities across the United States (e.g., Mathews, 1996; Theobald, 1995). Whereas participation in families and churches was limited by obvious boundaries, participation in public schools was open to everyone. As a result, schools took on socialization functions that were much broader than the teaching of basic skills and general knowledge (e.g., DeYoung, 1995). Because schools were the sites for communal learning, work, sport, recreation, and celebration, they came to symbolize the communities where they were located.

Nevertheless, from the early 20th century onward, efforts to improve rural education often entailed closing or consolidating small, local schools (Reynolds, 1999). School consolidation often was associated with other “reforms,” such as age-grade placement, school inspection, and the creation of state-level curriculum documents, whose aim was to standardize schooling across localities (e.g., Kliebard, 2002). Of these reforms, however, consolidation was the most likely to cause distress among rural residents because the identity of communities and their material and social well-being were so closely tied to the fate of their schools (e.g., Lyson, 2002; Peshkin, 1982). Despite a century-long effort to close small rural schools, the practice of consolidation persists. Policy makers frequently cite out-migration and economic decline in rural places as conditions necessitating school closures. Principals of rural schools often confront the negative consequences—parent and community disengagement and distrust—that follow closely on the heels of school consolidation.

THE RURAL PRINCIPAL PREPARATION PROGRAM

Responding to the characteristics of rural communities and their schools, the Educational Administration faculty at Ohio University designed a principal preparation program with a rural focus. The faculty was particularly interested in addressing the complex interaction of culture, economic dynamics, and schooling that takes place in Appalachian communities. The effort to develop, evaluate, and refine the program has persisted for 14 years, resulting in a 24-month, eight-quarter curriculum. Encompassing course work, internship placements, and extensive field-based projects, the curriculum entails a developmental sequence of activities intended to match the expanding concerns of aspiring principals as they move from a perspective dominated by a focus on classrooms to one enlarged to take in the scope of rural schools and the communities in which they are situated. Leadership, organizational structures, curricular matters, and research are addressed as the students begin the preparation program.

Leadership

Leadership studies include a survey of relevant theories and concepts as well as discussion of the manner in which they might be applied and received in rural communities. The objective of these initial studies in the program is to prepare prospective administrators to undertake instructional leadership in support of practices that are effective as well as culturally resonant. Because of the need to respond both to community and state interests, culturally resonant leadership sometimes involves efforts to convince stakeholders—teachers as well as community members—to accept change. Authentic change often occurs best in rural Appalachia, as in other locales, if stakeholders have an opportunity for involvement, ownership, and commitment. For these reasons, principalship candidates typically select transformational and cultural leadership as important perspectives for guiding their work.

As previously suggested, the candidates also learn, during the course of the program, that the approaches they see as effective may not fit well with the expectations of all stakeholders. In the case of leadership, top-down, transactional, and coercive approaches are expected by some Appalachian stakeholders, in part because of the long history of economic and political oppression in the region. Nevertheless, even when stakeholders seem to prefer top-down leadership, they can come to appreciate other approaches when these are used on behalf of community interests (e.g., Carlson, Thorn, Mulvenon, Turner, & Hughes, 2002). Moreover, in communities with changing demographics, some constituencies respond better to one approach to leadership and other constituencies respond better to a different approach. A case study that focuses on such dynamics has been used by some program faculty to illuminate the complexities of leadership in rural communities that are experiencing the influx of new population groups.

Organizational Structure

The organizational studies included in the program also enable prospective principals to consider the school structures that might serve their communities best—existing structures, new ones, or some combination. In many communities—rural and otherwise—stakeholders initially prefer traditional structures because these seem familiar. Therefore, efforts to restructure the school as a learning organization or as a professional learning community may seem foreign. Of course, because “community” is an idea that rural residents understand well, they

may actually be receptive to changes that restore a family and community atmosphere to schools that, over the years, have become bureaucratic and impersonal.

Standards-based Curriculum

The preparation program also explores various perspectives on standards-based curriculum, with particular attention to the way these perspectives help principalship candidates address the question, “What is in children’s best interest?” Academic content standards almost always are state and nationally based. Many, if not most, of the standards have their foundations in national organizations (e.g., the National Council for Teachers of Mathematics). Such standards are formulated and adopted with the explicit intent of specifying the instruction that seems most likely to serve the needs and interests of school students across the nation. But not all communities and the children raised there have the same interests.

When viewed as agents of the State’s interests, schools appear to have compelling reasons for wanting their students to become conversant with the knowledge and skills that content standards identify. But, as we mentioned above, rural school leaders must mediate between the interests of the State and those of their local communities, and community members might not always see the value of such content, especially when it goes beyond the basics. In addition, they may favor the inclusion of different content, perhaps focusing on knowledge and skills that are grounded in the legacy and values of their own communities. Projecting themselves into the role of administrators, principalship candidates must draw on what they have learned about leadership to consider ways to address this dilemma. A case study simulating actual negotiations over standards and curriculum provides a framework for deliberations about this difficult issue. Case studies are, in fact, used throughout the program as a way to accustom principalship candidates to the practice of considering a variety of perspectives when they address complex issues relating to school leadership.

Research

Because small rural schools often cannot afford to hire external program evaluators or assessment consultants, their principals need some of the skills that such experts possess. Two courses in the principal preparation program give candidates the skills needed to interpret data about school performance, conduct surveys, and design and execute simple program evaluations. Faculty members who teach the second course in the research sequence have recently been experimenting with an elaborate group project simulating data-based planning at a rural school. The project involves identification and analysis of relevant data, interpretation of those data from the vantage point of various stakeholders, and development of improvement goals that are responsive to the school’s needs.

Human Behavior

At the next stage of the preparation program, principalship candidates examine theories of human behavior and begin the first of two internships, each lasting for a full academic year. The focus of the human behavior studies tends to be directed toward at least three primary topics. They include concepts and practices that can assist candidates in understanding the manner in which they react to and influence others, the cultural practices of rural Appalachian adult stakeholders and other diverse constituencies, and techniques that can be used to address conflict.

Consideration of the manner in which candidates react to and influence others is directly related to their preparation to be leaders. Self-understanding, after all, forms an important foundation on which all leadership rests.

The examination of theories and concepts of human behavior also represents a significant part of the students' preparation to be principals in rural Appalachia. For example, students explore historical and cultural patterns that influence local people's attributions about their own abilities to control the circumstances confronting them. Such attributions about locus of control affect Appalachian residents' beliefs about their personal efficacy and ultimately affect their ability to achieve self-determination. Discussions of theories of motivation lead to a consideration of ways that poverty may interfere with the satisfaction of physiological, safety, and security needs. This discussion illuminates dynamics that are already familiar to many of the principalship candidates, who quickly come to realize that the apparent unwillingness of some impoverished students to engage in meaningful learning can be understood better in terms of unmet basic needs than in terms of character flaws or cultural deficiencies. At the same time, the discussion exposes the inadequacy of explanations that view human behavior only in terms of individual and small group dynamics without attending to larger social and cultural considerations.

In related discussions, principalship candidates also examine views about the extent to which students' academic ability represents a stable or malleable characteristic. Some stakeholders, including many teachers in rural communities, express the belief that ability, particularly the ability of their low socioeconomic status (SES) students, is stable. This belief further supports the view that attempts to help certain students learn represent a waste of time and effort. To counter this unproductive way of looking at the learning process, faculty members encourage principalship candidates to consider and prepare to provide instructional leadership premised on the belief that academic ability is likely to be malleable; in other words, the abilities of the students in their schools can be increased with the application of thoughtful and persistent approaches to instruction. As a considerable body of research on teacher expectations shows, the view that ability is malleable supports instructional practices, such as heterogeneous grouping, that build rather than disable the intellectual capabilities of students from low-SES and underrepresented groups.

Internships

The two internships, each spanning one academic year, provide the candidates with an opportunity, under the direction of a mentor principal and a university advisor, to learn about the ways in which the daily regimens of the principalship are practiced in rural Appalachian schools. In addition, during the internships, principalship candidates compare, analyze, and offer recommendations regarding the manner in which the theories and concepts discussed in their courses are being practiced in their schools. The first-year internship asks candidates and their mentors to address specific domains of the principalship: learning and teaching, organizational management, personnel management, business management, and external relations. The interns are also encouraged to engage in critical reflection about their experiences by providing weekly journal entries reporting and analyzing what they observe.

Actual improvements for their rural Appalachian schools are the focus of the second internship. The concept of continuous improvement is studied and practiced. Each intern develops a "white paper" describing his or her school as a better place. The assignment asks interns to pay particular attention to student engagement, community engagement, academic climate, and professional competence including staff engagement and commitment to school better-

ment, particularly as these issues are manifested in the rural schools in which their internships are taking place. The “white paper” is followed by a “gap-analysis” in which the differences between the schools’ current status and desired status are described and analyzed. The ingredients of the “gap-analysis” are used to develop an “action plan” in which the differences will be addressed and, as a result, school practices will be shaped in more effective and culturally responsive ways. During the remainder of the school year, the interns write and submit reflections regarding the manner in which the ingredients of the action plan are being implemented or, in some cases, thwarted by actors in their school communities.

Portfolios

Four portfolios—each tied to a course in the curriculum—represent an important component of the principal preparation program. The portfolios, like the internships, cause principalship candidates to examine, analyze, and engage in the leadership and management of their rural Appalachian schools. To complete the first portfolio, each candidate is expected to identify and analyze relevant data regarding his or her school and the rural community in which it is located. One significant outcome of the learning endeavor is that the candidates come to see that assumptions resulting from the experiences of living and teaching in a community are not always accurate, and sometimes markedly skewed.

The data identified and analyzed for the first portfolio are used later on by each of the candidates to address the activities included in the other portfolios. These activities involve, in a second portfolio, the development, articulation, implementation, and stewarding of a vision and the identification and examination of relevant sources for the construction of a code of ethics for a school. The activities in the third portfolio require candidates to draw on the research literature and to involve stakeholders in developing school-based instructional and management plans. And the needs of special education students and their families and an examination of a local issue within a wider educational context represent a primary focus of the fourth portfolio.

The outcomes of the portfolio endeavors are presented by the principalship candidates to audiences such as central office leadership teams, teachers, boards of education, and parent organizations. Candidates also obtain reactions and input from the stakeholders to whom they present information. Finally, they write and submit reports about the presentations and the reactions and input.

PROGRAM COMPONENTS NOT ENTIRELY UNIQUE TO RURAL APPALACHIA

The portfolios and other components of the rural principal preparation program have been developed, as described above, to be attentive to the needs of rural Appalachia communities and their schools and in synchronization with national standards for principal preparation. However, some of the demographics of the rural Appalachian communities are similar to the demographics of communities in other regions of the state and country, and the national standards for the preparation of principals tend to be broad enough to be applicable to communities throughout the country. As a consequence, certain ingredients of the preparation program are unique to the needs of rural Appalachia, and others are applicable to other regions as well. For example, universities that prepare principals to serve suburban and even urban communities with large numbers of indigent stakeholders might see the value of some of the activities used in this rural program.

OUTCOMES OF THE PROGRAM

Based on an external evaluation, periodic surveys of program graduates and superintendents in the region, and metrics derived from assessments of portfolios and internship experiences, the rural principal preparation program appears to be effective in promoting culturally responsive leadership. Moreover, the program has been well received in and seems to have had a substantive influence on the rural Appalachian region in which its graduates frequently seek employment. In fact, the principalships in many of the districts throughout the region have become comprised primarily, and in some cases entirely, of graduates of the program. The leadership provided by program graduates also contributes to promising results. For example, in some of the schools where graduates have become principals, students from low socio-economic environments are being engaged in learning that is meaningful to them and productive of high levels of academic performance, community members play an increasingly important role in the life of the school, and teachers address their work with renewed enthusiasm and heightened sense of purpose.

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Navigating the Future through Practice: A Heuristic Model of the Role of Supervision in the School Improvement Process

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The professional knowledge base on school supervision is quite robust and generally devoid of substantive controversies. Well accepted textbooks (e.g., Alonzo, Firth, & Neville, 1975; Daresh & Playco, 1995; Glickman, Gordon, & Ross-Gordon, 2006; Sullivan & Glanz, 2000; Wiles & Bondi, 2000; Wiles & Lovell, 1995) have traced the long history of instructional supervision in America's public schools from colonial roots to the more collaborative models of the 21st century. This knowledge base contains a rich variety of established models of, or approaches to, supervision, from which the practitioner can choose those best suited to his or her school's specific needs and circumstances. These range from directive forms of supervision, such as developmental supervision, staff development, monitoring, and formal evaluation, to more collaborative forms of supervision, such as structuring and facilitating planning sessions, peer mentoring, coaching, action research, reflective thinking, and building learning communities.

One set of circumstances commonly faced by schools in today's era of high public accountability is engagement in formal school improvement processes. Although the content foci of these improvement efforts may vary widely, from block scheduling in high schools to school-wide reading, math, and/or science initiatives in elementary schools, the underlying organizational change processes share many similarities. The purpose of this article is to link the knowledge base on the overall school improvement process with that on supervision and to use those linked knowledge bases to propose a heuristic model of supervision specifically aimed at facilitating significant organizational change at the campus level.

WHAT IS SUPERVISION?

As the contexts for supervision have varied greatly over time and across school circumstances, a widely varied set of definitions has arisen. Daresh (2006) summarized this as: "no real consensus has ever been reached concerning what supervision should be or what educational supervisors should do" (p. 3). However murky the precise definition of supervision may be, it is clear that supervision is a leadership role rather than a prescribed set of responsibilities or actions. The focus of that role is equally clear—to help improve the educational process in such ways as it increases student learning. It is similarly clear that supervision is a complex role; however, perceptual differences exist as to what that role comprises. For example, Shanks-Pruett (1991) confined her list of supervisory roles to three basic purposes: to help teachers develop their skills, to help teachers develop their self-confidence, and to provide teachers with professional support and growth systems. Wiles and Bondi (1996, p. 8) greatly expanded this to six major components: (a) administration, (b) curriculum work, (c) instructional functions, (d) human relations, (e) management, and (f) generic leadership. Rather than adopting a succinct, formal definition of supervision or a restricted role prescription, this model is built upon the premise that all leadership behaviors that fall within Wiles and Bondi's broader parameters are supervisory in nature. This broad conceptualization

serves especially well in the highly complex context of the school improvement process. It also corresponds to Glatthorn's (1990) thoughts on *differentiated supervision*, in which each school or district develops its own homegrown model responding to its special needs and circumstances (p. 179).

THE SCHOOL IMPROVEMENT PROCESS

Although each school improvement process is unique, conforming to the conditions of the school and the nature and scope of the changes contemplated, a generic process model (Beach & Lindahl, 2004) is presented here as a general framework for examining the role of supervision in the various stages of the planned change effort. This generic school improvement model, based upon Lewin's work with *force field theory* (1951, 1997), begins with the school's leaders identifying a need for significant change and then *unfreezing* the school from past behaviors, practices, and values, *implementing* the desired changes, and *re-freezing* the school at a new level of performance, with the changes fully integrated into its operations and culture (see Figure 1). Although graphically depicted as such, this process is neither linear nor monolithic; change occurs at different rates among the individuals and sub-groups of the school. It progresses in desired directions at times but reverts or diverts from the planned course at other times. It is precisely because of these dynamics that effective differentiated supervision is such a critical contributor to the process.

Figure 1. The Generic School Improvement Model.

Phase I: <i>Planning</i>	Phase II: <i>Implementation</i>	Phase III: <i>Institutionalization</i>
		Gradual absorption of the changes into the practices and culture of the school
	Implement planned changes; Ongoing formative assessment of processes and change effects; Adjustment of the implementation plan	
Analysis of the need for change; Assessment of organizational readiness and capacity for change; Planning the change process		

As depicted in Figure 1, the initial phase of the school improvement process is the *planning* phase, during which the need for change is identified, the organization's readiness and capacity for change are assessed, and action plans are made regarding which changes should be made, when, by whom, and how. The second phase of the school improvement process is the *implementation* phase. It is during this phase that the bulk of the change processes occur. These processes ebb and flow, overlap among individuals and sub-groups, and require constant monitoring and adjustment. The final phase of the process, *institutionalization*, has no identifiable beginning or end points. Rather, it is a consequence of properly conducted *planning* and *implementation* phases. In this final phase of the process, the desired changes be-

come firmly adopted by the critical mass of school stakeholders and the new behaviors, attitudes, and values consistently supplant their older counterparts.

Lewin's (1951, 1997) force field theory also has significant implications for the role of the supervisor in each school improvement process. Force field analysis calls for the school personnel to determine the need for a change and the direction that change should take. In order to move in the desired direction, those forces that can help drive the organization toward the desired direction or that potentially restrain the organization from moving in that direction must be identified. The school's leadership can then work to increase the relative strength of driving forces or reduce the strength of the restraining forces; Lewin recommended that reducing the restraining forces is the more productive of these strategies.

Positive and negative forces can help define the supervisory roles appropriate to a particular school improvement process. For example, a restraining force may be teachers' lack of knowledge about a specific pedagogy; in this case, the supervisor's role may turn more toward providing faculty development workshops and supervised, job-embedded practice. If the force field analysis reveals that the attitudes of a particular group of teachers are restraining forces mitigating against the desired changes, the supervisor can work closely with that group of faculty to understand their concerns and needs and provide interventions to meet them in ways that support the change process. As is explained in the sections that follow, the supervisory role varies across the three stages of the school improvement model, yet remains constant in its focus on helping the organization move toward the desired direction.

Supervision during the Planning Phase of the School Improvement Process

The planning phase of the school improvement process is a visioning phase; the primary need is for the organization's leadership to perceive if a need for significant change exists, which by no means should be assumed. If so, the next challenge is to correctly diagnose the problems that must be resolved through change, explore alternative approaches to solving those problems, and arrive at an action plan that will allow for prioritization of actions and resources. An internal analysis must be conducted to determine the organization's readiness and capacity to make the desired changes. Resources and structures must be put into place to facilitate the implementation of the change processes. All of these functions are supervisory in nature.

For example, if an elementary school does not make satisfactory progress toward state-established guidelines for *annual yearly progress* (AYP), its leaders may analyze the standardized test scores and conclude that both the math and reading curricula need substantial revision. The school's leaders may then commit to: identifying appropriate alternative curricula to supplant the current reading and math curricula, selecting from among these alternatives those curricula that appear to best meet the needs and conditions of the school, and implementing these new curricula. The selection of the most appropriate curricula and the decision to commit the school to their implementation can only be accomplished through a careful investigation of potential alternatives and of the school's willingness and capacity to implement each of these. It does no good to select a new reading program unless the school has the necessary financial resources to purchase the needed books and materials; similarly, it does no good to choose a math curriculum unless the school's faculty are capable of implementing it (with some professional development) and of accepting the approaches advocated in that new curriculum. Collectively, these activities constitute the *planning* phase of the overall school improvement process; they are clearly supervisory responsibilities.

The school's history, culture, and resources combine to determine which supervisory approaches are most appropriate during the planning phase. As Sergiovanni (1996) noted, these are the elements of the school that combine to establish the extent to which the teachers of that school are primarily dispensers of knowledge or are a learning community in which they produce such knowledge. In higher functioning schools, teachers work collaboratively to share ideas and visions for improvement (Starratt, 1994). To the extent that the teachers share purposes and values (Sergiovanni, 1990), they are more capable of targeting the school's needs for change and setting priorities for the implementation phase. In such healthy school cultures, a collaborative supervisory model is often feasible and appropriate (Daresh, 2006; Glickman, 1981). In less healthy or developed cultures, more directive approaches to supervision may be needed.

In healthy school cultures, the diagnosis of the need for change and the vision for the future may well originate among a select group of teachers, whom Rogers (2003) called the *innovators* and idealized as representing approximately 2.5% of the faculty (p. 262). In such healthy school cultures, the role of the supervisor may well be to provide opportunities and resources to these *innovators*, to allow them to explore the potential of the proposed changes, and to experiment with these changes in their classrooms. Such supervision may facilitate reflective thinking and even action research among the *innovators*. Supervision in the planning phase may well focus on the structuring and facilitation of planning sessions among the faculty and administration, the identification of available and needed resources, the ordering of priorities, and the development of action plans sufficiently detailed in terms of activities, resources, timelines, responsibilities, and evaluation mechanisms to guide the implementation phase. The more fully developed the learning community, the more the supervisor's role in these processes shifts from direct control and responsibility to facilitation and follow-through.

In less well developed school cultures, faculty may not be ready to assume such collaborative supervisory responsibilities; therefore, more traditional, top-down vision and design may become the responsibility of the formal supervisor (Anderson & Snyder, 1998, p. 351) during the planning phase. In such schools, teachers may be less experienced and less confident in working with innovations or the school may have had negative experiences with previous attempts at large-scale school improvement. In these cases, the supervisor may assume the lead in discerning the need for change, convincing the faculty of this need, examining the merit of various alternatives, and helping the faculty to choose the alternatives with the greatest potential for that particular school.

In schools not ready to assume a collaborative supervision model, it may be the supervisor who establishes initial expertise with the innovations in order to provide the necessary staff development, coaching, and direct supervision. Although this is far from the idealized model of a learning organization (Leithwood, 1999; Senge, 1990), it may be the most situationally appropriate leadership approach under certain circumstances (Blanchard, Zigarmi, & Nelson, 1993; Hersey & Blanchard, 2000). These responsibilities fall well within the *administrative, managerial, curricular, and instructional functions* components of the supervisory role, as defined by Wiles and Bondi (2000).

Supervision in the Implementation Phase

In the *implementation* phase of the school improvement process, the new curriculum would gradually be implemented within the school's classrooms. Some teachers would be early pioneers with the new curricula, whereas others would naturally resist, holding more firmly to past behaviors and perspectives. As teachers begin to experiment with the new cur-

ricula, they, with the guidance of the supervisor, would reflect on their successes and failures and begin to adapt the curricula to the specific needs and circumstances of the school, at the same time, adapting their own teaching behaviors and perspectives to align with the new curricula.

As ideas, knowledge, and successes begin to accumulate within the small cadre of *innovators*, the supervisor's role becomes that of expanding this group's activities to a greater segment of the faculty, a group which Rogers (2003) called the *early adopters* and idealized as representing approximately 13.5% of the faculty (p. 262). Hall and Hord (2006) described this group as: (a) typically well respected locally, (b) quick to adopt new ideas after reasoned consideration, and (c) solid, sensible decision makers (p. 71). This expansion process is a function of communication, building trust, providing resources and staff development, and aligning the various systems of the school to be compatible with, and supportive of, the change efforts. As these *early adopters* are generally more risk averse than the *innovators*, but more risk accepting than the majority of the school's faculty, the supervisory role with this group is only moderately concerned with motivation and human relations factors, unless the changes are particularly massive and threatening. It is essential that the formal supervisor remain highly visible in all staff development and communications; this helps to provide credibility and continuity, as messages and content become gradually more widely spread among the faculty. This fits well within the *human relations* and *generic leadership* aspects of the supervisory role, as defined by Wiles and Bondi (2000).

Because these *early adopters* are generally competent, experienced, dedicated faculty, they are often capable of conducting their own action research (Glanz, 1999; Grady, 1998; Hopkins, 1985; Marshak, 1997; Zepeda, 2003), analyzing their ongoing successes and failures, and making appropriate adjustments. *Peer coaching* (Benedetti, 1997; Costa & Garmston, 1994; Garmston, 1987; Joyce & Showers, 1981, 1995; Pajak, 1993; Zepeda, 2003) can be an effective mechanism for linking these *early adopters*, as they are relatively non-dependent on the formal supervisor for planning, understanding, monitoring, and adjusting much of their teaching, including the infusion of the innovations.

As the *early adopters* join the *innovators* in implementing the changes, the supervisor's role begins to assume more monitoring functions. However, at this point, as only 16% of the school faculty are actively attempting to implement the changes, informal visits to their classrooms and unscheduled meetings in hallways provide perfect, brief opportunities for the supervisor to remind, commend, and even coach. They also provide these faculty members with an efficient, informal conduit to express feelings, test ideas, seek resources, and pass along observations that the supervisor may share with other faculty to pollinate the process. Such techniques as *video study groups*, *thinking frameworks*, *journals*, *dialogue journals* or *think alouds* (Zepeda, 2003, pp. 187–188) may also stimulate reflection and exchanges of experiences and information.

The next group to which the innovations must be disseminated are the *early majority*, whom Rogers (2003) idealized as representing the next 34% of the faculty. Hall and Hord (2006) characterized this group as being more deliberate than their predecessors in considering and adopting the changes (pp. 71–72). Eventually the changes must reach the *late majority*, whom Rogers idealized as also representing 34% of the faculty. This group is characterized by Hall and Hord as being: (a) doubting, (b) cautious, (c) slow to adopt, and (d) only doing so with strong pressure from others (p. 72). In working with the *early* and *late majority* groups, the supervisory role must be more direct and more directive. More effort may be spent in formal staff development and formal classroom visits to assess the extent to which the innovations are being properly implemented. Recognizing the human side of the change process

as being paramount in individuals' adoption of innovations (Evans, 1996; Fullan, 1991; Hall & Hord, 2006), the supervisory role with these two larger groups of adopters must deal extensively with motivation and human relations. Teachers must be helped to experience success. Because extra effort is needed to move from comfortable, habitual practices to the innovations, these efforts must be appreciated and supported. Because successes are mixed with failures, failures must be received as an inevitable part of the growth process, rather than censured.

As these larger groups begin to actively participate in the changes, the supervisor's role in monitoring assumes greater proportions. Whereas the small groups of *innovators* and *early adopters* may well have been capable of gathering, analyzing, and utilizing their own data, as the changes expand to the general faculty, more of this role falls to the supervisor, who must serve as a formative evaluator of both the implementation processes and the ongoing results of the implemented changes. Recognizing that this is essentially a phase of exploration and experimentation, the focus should be on problem resolution more than on accountability (Sullivan & Glanz, 2005). Such monitoring fits well with both the *instructional functions* and *general leadership* supervisory roles identified by Wiles and Bondi (2000).

Although the *innovators* and *early adopters* may well be capable of, and comfortable with, collaborative or non-directed supervision models (Glickman, 1981), others in the larger groups of adopters may prefer or require greater direct assistance from the formal supervisor. Regardless of which approaches are most appropriate for a teacher or group of teachers, *coaching* (Costa & Garmston, 1986; 1994; Garmston, 1987; Joyce & Showers, 1981, 1995; Pajak, 1993) may be a supervisory role that assists during the implementation phase of the school improvement process and is consistent with Wiles and Bondi's (2000) *instructional functions* role for supervisors.

Finally, the supervisory challenge of the implementation phase becomes to extend the innovations to the *laggards*, the final 16% of the school faculty (Rogers, 2003, p. 202). Hall and Hord (2006) characterized this group as being very slow, even resistant, to adopt the new ideas. They are more conservative, likely to have less information and understanding of the innovation, and likely to have less resources to invest in making the adoption successful (p. 72). This is the group that is most dependent upon direct supervision, which Glickman (1990) termed *developmental supervision* (p. 279). Because teachers with low developmental levels have difficulty defining and responding to problems, they are likely to take less decision making responsibilities and depend more heavily on the supervisor for structure and intensive assistance (Glickman, Gordon, & Ross-Gordon, 2006). One advantage that the supervisor enjoys at this point is that the other adopter groups may well require less direct involvement by the time the innovation is addressed by these *laggards*. Again, these functions correspond well to the *instructional functions* role of the supervisor, as identified by Wiles and Bondi (2000).

Supervision in the Institutionalization Phase

The final phase of the school improvement process, the *institutionalization* phase, occurs naturally as a critical mass of the school's teachers successfully incorporate the new curricula into their classrooms on a daily basis. Affectively, the teachers come to value the new curricula over the previous curricula because they find that the new curricula better serve the learning needs of their students. In short, the *new* curricula become the school's *accepted* and *practiced* curricula. The innovations become part of the school's culture (Lindahl, 2006).

The supervisor's role is to facilitate this process, which Senge (1990, p. 13) termed a *metanoia*, or shift of mind. It is also the supervisor's role during this phase to promote what Senge termed a *learning organization*, i.e., an organization that is constantly expanding its capacity to create its future (p. 14). This implies helping the organization to reflect on and learn from the process of school improvement, while also implementing the content of that process into its daily routines and culture (see, also, Leithwood, 1999).

Because the changes implemented during the school improvement process may well require corresponding changes in other systems of the school, e.g., structure, rewards, technology, tasks, or philosophy, values, or vision (Datnow, Hubbard, & Mehar, 2002), one supervisory role during the institutionalization phase may be that of organizational development. The alignment of these various organizational systems with the new innovations is essential if those innovations are to survive and become a fundamental part of the organization and its culture. Fullan, Miles, and Taylor (1978) provided good insight into how this organizational development role can be exercised in schools. Such duties fall readily within the supervisor's *managerial* role (Wiles & Bondi, 2000).

The supervisory role in the institutionalization phase may well also involve cultural leadership. Organizational culture is such a deep, complex phenomenon that it can only be addressed through normative/re-educative approaches to change (Chin & Benne, 1969). Supervisors can reinforce the new, desired cultural elements by focusing on specific behaviors, values, and fundamental assumptions (Allen, 1985; Deal, 1993; Deal & Peterson, 1993; Harris, 2002; Schein, 1992) and by modeling them consistently (Deal & Peterson, 1993; Schein, 1992). The supervisor must continually reach out to all teachers to encourage them to share in the new culture (Leithwood, Jantzi, & Steinbeck, 1999; Maher & Buck, 1993). The supervisor can reinforce this through the selective and judicious use of stories, emphasizing heroes and heroines of the new culture whose actions exemplify the desired innovations (Deal, 1993; Deal & Peterson, 1993; Schein, 1992). The supervisor can further the institutionalization of the changes and the new culture through the creation or modification of school rituals and ceremonies to celebrate the desired school improvements (Deal, 1993; Deal & Kennedy, 1982; Deal & Peterson, 1993; Schein, 1992). All of these fall within the *general leadership* role of the supervisor (Wiles & Bondi, 2000).

SUMMARY AND CONCLUSIONS

The supervisory role is broadly defined, united by its focus on improving the educational process in ways that enhance student learning. As such, it is a crucial function throughout the school improvement process. The wide variety of actions and approaches available to supervisors provides essential flexibility in meeting the diverse, changing needs throughout the school improvement process; the proposed supervisory model can help to guide the supervisor's decisions as to which actions and approaches to use, when, and why. Although school improvement processes vary considerably in content and purpose, the basic patterns of this organizational change process remain consistent enough to support the proposal of this generic, heuristic model of supervision.

This model calls for the supervisor to be competent not only in a wide range of supervisory roles, e.g., administration, curriculum, instructional facilitation, human relations, management, and leadership (Wiles & Bondi, 1996), but to be able to exercise these roles from approaches varying from hierarchical to participative to teacher-directed. However, through its foundations in the knowledge bases on organizational change, it assists the supervisor to understand the overall school improvement process and to be able to correctly match his or

her supervisory actions to the organization's progress through the phases and to the varying needs of individuals and groups of faculty as they proceed through the change process.

Although the model has been presented in simplified terms, this by no means implies that this is a simplistic matter. For example, in addition to the school improvement process, supervisors are likely to be working intensively with inexperienced or struggling teachers on their basic teaching performance, using such *developmental supervision* models (Glickman, 1990) as Goldhammer, Anderson, and Krajewski's (1993) *clinical supervision*.

Additional complexity arises from the fact that many schools engage in overlapping, on-going school improvement processes. In such cases, supervisors may be working simultaneously with the planning phase of one process while facilitating the institutionalization (or even implementation) phase of another. Handy's (1994) work on overlapping Sigmoid curves gives excellent testimony to the complexities introduced by these multiple processes.

Despite this complexity, the model provides a framework for guiding the organization through the change process. By mastering a wide variety of supervisory models and behaviors and applying them judiciously to the school improvement process, effective supervisors can greatly enhance the probability of their school's continued progress and success.

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Considerations for Navigating the Staffing of Principal Preparation Programs

Diane Ricciardi and Frankie Keels Williams

For more than two decades, researchers and policy makers have expressed deepening concerns about the quality of preparation for school leadership at the building and district levels (Bottoms & O'Neill, 2001; Griffiths, Stout & Forsyth, 1986; Haller, Brent, & McNamara, 1997; Levine, 2005). The charges against leadership preparation programs for principals and superintendents range from indictments of the quality of the candidates accepted into the programs (Griffiths, Stout & Forsyth, 1986; Murphy, 1992) to criticisms over the rigor of the content of the programs (Donmoyer, Imber, & Scheurich, 1995; Hess & Kelly, 2005). Others criticize relevancy (Bottoms & O'Neill, 2001; Haller, Brent, & McNamara, 1997) of programs and the distaste for common instructional methods (Milstein, Cordeiro, Gresso, Kruger, Parks, Restine, & Wilson, 1993; Murphy & Hallinger, 1987).

Although some studies have addressed the qualifications and backgrounds of professors in these programs, (McCarthy & Kuh, 1997; McCarthy, Kuh, Newell, & Iacona, 1998), only a few works have focused on the allocation of personnel in staffing programs for the preparation of school leaders (Beem, Vandal, Roberson, Cisneros-Cashman, & Rideout, 2002; Borra, 2001; Schneider, 2003; Shakeshaft, 2002). A few reports have noted that many institutions under-staff their leadership programs while yielding a high volume of part-time students spread across few full time tenure-track faculty members, but also providing tuition revenues for funding other programs within schools and colleges of education (Clifford & Guthrie, 1988; Levine, 2005).

Given these presumptions, staffing of these programs is a major challenge before the profession. As universities attempt to improve leadership preparation programs, an important aspect includes faculty support. In this article, the researchers offer findings from an exploratory study on staffing of university educational leadership preparation programs in an effort to contribute to development and improvement of quality programs. The discussion begins with the preliminary findings and data analysis of survey results on principal preparation program staffing, looking at enrollment patterns in programs across 17 southeastern states. Second, an attempt was made to determine how many and what types of personnel are assigned to teach in the programs and to examine staffing trends and areas for improvement.

REVIEW OF THE LITERATURE

Since the early 1980s, university leadership preparation programs have been a major area of focus for educational reform (Bottoms & O'Neill, 2001; Davis, Darling-Hammond, La-Pointe, Leithwood, 2001; McCarthy, 1999; Meyerson, 2005;). Public demands and criticisms of school leadership programs continue to make the issue highly visible nationally. The most recent criticisms came from a report, *Educating School Leaders* by Arthur Levine (2005). Levine cited curricular disarray, low admissions and graduation standards, weak faculty,

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inadequate clinical instruction, inappropriate degrees, and poor research as current conditions existing in the leadership preparation programs.

In response to these criticisms, a variety of investigations along with foundation and agency efforts (Southern Regional Education Board (SREB), National Commission for the Advancement of Educational Leadership Preparation (NCAELP), State Action for Education Leadership Project (SAELP), and Danforth Foundation) have directed attention towards the preparation of school leaders (Chenoweth, Carr, & Ruh, 2002). Although researchers concur with Levine on some findings, they disagree on others. For example, Young, Crow, Orr, and Ogawa (2005) supported Levine's recommendations for stronger field experiences with increased collaboration and resources from school districts, but disagreed with the notion of terminating current master's and doctoral degrees.

Having completed a comprehensive national study, McCarthy and Kuhn (1997) reported that in the relatively brief history of formal graduate training in the field, educational leadership programs reflect more continuity than change over the decades. She proposed three primary areas of further study related to (a) examining the relationship between preparation and leader job performance, (b) assessing implications of staffing trends, and (c) evaluating impact of program changes, such as cohorts and mentoring, on program outcomes. To advance and update earlier research, researchers used this study to provide greater knowledge about staffing trends, its use, and its implications for educational leadership program delivery.

METHODOLOGY

Instrumentation

For this study, a survey research design was used to collect staffing information from department chairs in educational leadership programs in southeastern states. A self-reported survey was created that utilized several items descriptive of full time faculty from the 1997 University Council for Educational Administration (UCEA) survey of the professoriate (McCarthy & Kuh, 1997). However, because that study described primarily tenure-track faculty resource allocations across all types of degree and preparation programs in educational leadership, numerous items were added to discern the differentiation among types of faculty positions (adjunct, clinical, or other) and to identify support structures for varied staffing patterns. The survey underwent several revisions and was reviewed by a panel of educational leadership experts to assess content validity and clarity. Slight adjustments were made incorporating minor recommendations from the panel.

The final survey instrument consisted of two sections with 17 items. The first section dealt with inquiries about departmental staffing and included 12 items. Section two contained five items and queried respondents regarding enrollment and graduation patterns. Five of the items included open-ended questions to elicit qualitative responses about challenges and situational factors affecting their programs.

Data Collection

The survey was administered as a census instead of a random sample due to constraints on the universe of programs among the 16 states that are members of SREB (Babbie, 1990; Fink, 1995). A copy of the survey and a letter explaining the study were sent to 145 department chairs, copied to deans, through both email and paper mailings. All institutions receiving

the survey were located in southeastern states and had an approved program in educational leadership for the preparation of school principals.

Mailings were sent in the summer, and department chairs were asked to return the survey prior to the start of the fall term. To increase the response rate, a second request was sent in September 2006. Seventy-four useable surveys were returned, resulting in a 51% response rate. For the purpose of analyses, researchers used 2000 Carnegie Classification groupings to draw comparisons among respondent data. The Carnegie groupings represent institutional commonalities through the well-recognized taxonomy for classifying higher education institutions in the United States (Carnegie Foundation, 2005).

FINDINGS

The researchers sought to identify faculty staffing patterns, resources, assignments, and departmental structures that support delivery and design across leadership programs.

Organizational Structure

Considering department organizational structure, 42% of respondents reported that their departments consisted exclusively of educational leadership programs and faculty. The remaining 58% of departments reported that educational leadership was combined with other program areas such as counselor education or educational foundations. Departmental organization as reported in this study mirrors the trend toward the consolidation of educational leadership programs into departments offering other programs (McCarthy et al., 1988; McCarthy & Kuhn, 1997).

Departmental Staffing—Tenure/tenure-track Faculty

Respondents provided information about full-time, tenure-track staffing (Table 1). Overall, institutions employed an average of 4.8 full-time teaching faculty to support program delivery. An average of 2.68 faculty primarily assigned to research and 2.55 faculty primarily assigned to service were also involved with program delivery. Responses showed teaching assignments from outside of the departments as an average FTE of 1.52.

Given the aging corps of faculty and the demand for professors to be current in their working knowledge of school change and accountability, information was collected regarding faculty experience in school leadership positions within the past ten years. Overall, 50% of tenure-track faculty members primarily assigned to teaching had practitioner experience as recently as 1995, with a higher percentage at Masters' Institutions (70.7%). Doctoral Research Universities—Intensive reported that 56.7% of current faculty had recent experience since 1995, while Doctoral Research Universities—Extensive reported 40.8% had recent practitioner experience. Although these responses do not take into account recent experiences of non-teaching faculty, it does show a relatively high percentage of teaching faculty with recent experience. This finding both supports and is contrary to various prior research. This finding supports McCarthy's (1997) report that professors are increasing moving from practitioner ranks to higher education and this staffing trend most commonly represents a practitioner-scholar approach to teaching and research. The finding is contrary to a recent national study by Levine (2005) who found that only 8% of faculty had served as a principal or superintendent prior to the professoriate. This was simply not the case for the 74 institutions responding in this study.

Table 1. Average FTE Staffing of Tenure and Non-Tenure Track Educational Leadership Faculty by Type of Institution.

Type of Tenure Track Faculty	Type of Institution		
	Doctorate FTE (<i>n</i> = 29)	Masters FTE (<i>n</i> = 45)	All Institutions FTE (<i>n</i> = 74)
Primarily assigned to teaching	5.66	4.26	4.8
Primarily assigned to research	3.48	2.08	2.68
Primarily assigned to service	3.22	2.08	2.55
With recent P-12 Experience	2.67	3.01	2.88
From outside department--Assigned to teaching	1.41	1.59	1.52

Departmental Staffing—Clinical/Adjunct Faculty

Overall, institutions employed a variety of full-time and part-time personnel to teach courses, with most institutions averaging between one to three full-time clinical faculty members and from three to five adjunct faculty members each (Table 2). In addition to these non-tenure track personnel, chairpersons reported that they typically employed an average of three part-time faculty from local school districts. Generally, these individuals worked full-time as upper-level central office administrators and school principals who were hired to assist with teaching responsibilities. These data are inconsistent with data from Levine's (2005) study,

Table 2. Average FTE of Non-Tenure Track Educational Leadership Faculty.

Type of Non-Tenure Track Faculty	Type of Institution		
	Doctoral FTE (<i>n</i> = 29)	Masters FTE (<i>n</i> = 45)	All Institutions FTE (<i>n</i> = 74)
Full-time clinical faculty	1.86	2.01	1.95
Part-time adjunct faculty	3.48	4.04	3.82
Part-time instructors from school districts	2.72	3.4	3.14

who reported that most institutions surveyed nationally had more part-time than full-time faculty staffing their educational leadership programs. Interestingly, Levine (2005) reported that the top recommendation to help universities do a better job as reported by administration alumni was to employ more faculty with expertise as practitioners. This study showed that institutions in southeastern states employ on average about nine faculty members as clinical, adjunct, or school district-based employees, most of whom have relevant and recent practitioner experience as principals or superintendents.

Program Responsibilities—Clinical, Adjunct Faculty

Given that institutions used clinical, adjunct, and school district personnel to teach in preparation programs, researchers sought to identify other job roles for these faculty beyond

teaching responsibilities (Table 3). Non-tenure track faculty members were involved in varied program responsibilities. Respondents reported that most non-tenure track faculty were involved in planning course activities and program curriculum development. Noticeably, only slightly more than 50% of the institutions reported that internship supervision was a responsibility of non-tenure track faculty. Although this may be surprising, this could be a result of recognizing potential role conflicts and daily work responsibilities when part-time school district faculty are assigned to supervise interns. Thus, about 46% of institutions use only full-time tenure track faculty for internship supervision. A higher percentage of Doctoral Research I-Extensive institutions (70%) reported using non-tenure faculty for intern supervision.

Table 3. Percentages of Institutions Involving Non-Tenure Track Faculty in Program Responsibilities Beyond Teaching by Institution Type.

Areas of Involvement	Type of Institution		
	Doctoral FTE (n = 29)	Masters FTE (n = 45)	All Institutions FTE (n = 74)
Program design and modification	79%	60%	67.6%
Program curriculum development	90%	64.4%	77.8%
Planning course activities and field work	90%	74.3%	82.4%
Assessing student competency for program completion	76%	66.7%	70.3%
Program evaluation	72%	68.9%	70.3%
Internship Supervision	58.7%	51.1%	54.1%

Support for Non-tenure Track Faculty

Next, researchers sought to identify support provided for non-tenure track personnel through co-teaching assignments, faculty orientations, and standardized curricula/ syllabi (Table 4). In general, 37.8% of institutions used some form of co-teaching. Of those that used this process, 57% of these institutions paired non-tenure track faculty with tenure track faculty for co-teaching assignments. These teaching teams used either clinical, adjunct, or school district personnel along with tenure-track faculty. More doctoral institutions than masters’ institutions utilized co-teaching. Although it may be a promising form of support for new faculty and a way to link theory with practice, co-teaching may not be used as frequently because of scheduling constraints and limited staffing resources. Often respondents noted key points regarding teaching assignments, “Co-teaching varies depending on the delivery site and approach. Courses that seem to work best for us are Supervision, Team Building, and School Law.” Another respondent noted that great emphasis is placed on co-teaching, “Our program is organized into six instructional blocks of study, one block for each of the ISLLC Standards, with each block earning six credit hours.”

Nearly 88% of departments indicated that they provided some form of orientation for non-tenure track faculty although the content of orientation was not assessed. Finally, respondents indicated the presence of standardized curricula or syllabi as a form of support for faculty. Over 85% of departments indicated that they required all faculty to use standardized course syllabi, not leaving clinical, adjuncts, and others to create course content or student

performance expectations. Doctoral Research Universities-Extensive (75%) represented the lowest number of institutions requiring the use of standardized syllabi.

Table 4. Percentages of Institutions Providing Additional Support to Non-Tenure Track Faculty in by Institution Type.

Areas of Support	Type of Institution		
	Doctoral FTE (<i>n</i> = 29)	Masters FTE (<i>n</i> = 45)	All Institutions FTE (<i>n</i> = 74)
Use co-teaching assignments	41.4%	35.1%	37.8%
Faculty orientation process	90.1%	86.7%	87.8%
Standardized curricula and syllabi	81.8%	86.7%	85.1%

Enrollment, Class Size, and Graduates

Data were collected and analyzed for enrollment, graduation rates, and average class size (Table 5). All respondents reported that their principal preparation programs enrolled an

Table 5. Average Student Enrollment and Graduation Patterns in Principal Preparation Programs by Institution Type.

Average Enrollment and Graduates	Type of Institution		
	Doctoral (<i>n</i> = 29)	Masters (<i>n</i> = 45)	All Institutions (<i>n</i> = 74)
Enrollment in programs	120	106	111
Graduates per year	47	38	48
Student enrollment per course	19	19	19
	Range = 10–20	Range = 7–50	

average of 111 students, with Doctoral Research Universities—Intensive having the highest enrollment of 173 students. Doctoral-Intensive institutions reported the most graduates per year, averaging 74 students per year, nearly doubling the number of graduates at Doctoral Research-Extensive and Masters' Institutions. Overall, institutions reported that an average of 41 students graduated each year from principal preparation programs, leading researchers to conclude that students typically graduated in about two years. Enrollment and graduation numbers excluded programs leading to superintendent preparation and doctoral degrees. Related to class size, approximately 19 students were enrolled per class, with ranges reported from 7–50 students per class.

Staffing Support to Improve Programs

When queried about suggestions for staffing support to improve on how programs might benefit students, respondents commented most frequently on the need for additional full-time

faculty. Other comments included refining admission requirements, selecting adjuncts more carefully, and screening new-hire faculty for recent practitioner experience. Two other key findings centered on delivering more courses by distance education and strengthening course objectives with ISSLC standards.

DISCUSSION AND IMPLICATIONS FOR FUTURE RESEARCH

The research findings on considerations for navigating the development and improvement of principal preparation programs suggests that certain program features are essential in the preparation of effective school leaders (Chenoweth, Carr, & Ruh, 2002; Davis, Darling-Hammond, LaPointe, & Meyerson, 2005; Jackson & Kelley, 2002). A report on school leadership prepared by the Stanford Educational Leadership Institute and commissioned by The Wallace Foundation (Davis, Darling-Hammond, LaPointe, & Meyerson, 2005) highlighted effective programs as being research-based, having curricular coherence, providing experience in authentic contexts, using cohort groupings and mentors, and being structured to enable collaborative activity between the program and area schools. The present study highlights the collaborative activities between higher education and local districts that enable effective practices to be incorporated into leadership preparation programs.

Further, as the study reports data from over half of institutions in southeastern states, the study gives useful baseline data about staffing in educational leadership programs. The study does not attempt to compare staffing patterns over time or with institutions in other regions of the country. Yet, given the emphasis placed on the redesign of preparation programs in recent years, this study can provide baseline data for future trend studies that show how staffing changes as a result of redesign.

This study's findings highlight other areas for future study. Given impending retirements in the professoriate, more information is needed about recruitment of tenure-track faculty and hiring decisions regarding research-productivity and teaching expertise with linkages to prior P-12 educational leadership experience. Given that institutions are using a variety of personnel to deliver programs, further study is needed to examine recruitment, selection, and support for clinical and part-time faculty in educational leadership. Examination of quality control in staffing (Levine, 2005) may be a viable issue to institutions in this study. More research may help institutions better learn to match teaching expertise to faculty assignment. Given the responsibility for universities in preparing capable school principals who can lead school improvement, further study is needed to help institutions employ varied ways to evaluate teaching quality and reward faculty expertise in all role groups to include tenure track, adjunct, clinical, and district-based personnel.

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Reaching the Tipping Point: The Interconnectedness of a School Leadership Program

Paul Sims, Michael Sukowski, and Margaret Trybus

As Gladwell (2002), pointed out in *The Tipping Point, How Little Things Can Make a Big Difference*, sudden change in phenomena results in an “epidemic” that can lead to contagious behavior. Concordia University Chicago has reached a “tipping point” that has had a tremendous effect on the components of the Department of Leadership (DoL) master’s degree program. Program components are impacted by the growth in student enrollment, and consequently, growth in full-time and adjunct faculty. This paper explores the principle, “little changes can somehow have big effects” (Gladwell, p. 10). It explores the history of the program and its major components and offers recommendations for improvement to continue to be a viable, high quality leadership program in the midst of growth in students and faculty.

HISTORY

Concordia University Chicago began in Addison, Illinois in 1864 as a college to prepare teachers for Lutheran schools across the country. Since 1913, the school has been located in River Forest, Illinois, a suburb of Chicago, and has maintained a strong teacher education program. Concordia offers master’s degrees in Educational Leadership not only to prepare teachers for administration in Lutheran schools, but also for public and parochial schools. A cohort program for school leadership emerged in 2001 with the vision of offering courses to groups of teachers within their own schools. A conceptual framework, derived from the College of Education, was established to guide the development of the DoL program. This has become integral in preparing candidates who demonstrate professional integrity (ethics and morals), competence (knowledge of the standards of the profession and ability to impact student performance), and servant leadership (willingness to focus and coordinate a school’s mission, personnel, and resources to meet needs).

The cohort model for delivery of courses consists of groups of students who begin and end the program together. These groups of students take all the same classes at a school near their home and seldom go to the main campus at Concordia. Professors travel to and teach at the various locations of these cohorts. According to Barnette and Caffarella (1992) and the Stanford Educational Leadership Institute (2005), cohort programs provide greater opportunities for group affiliation, emotional support, motivation, group learning, and active involvement in learning activities that require the interaction of diverse opinions and participants. As a result of the cohort formation, the University saw an opportunity for a marketing and development plan that resulted in growth in the leadership student enrollment as seen in Table 1 and Figure 1.

The growth in student enrollment can also be seen as symptomatic of the trend for teachers to seek advancement on salary schedules and growth in position. Nevertheless, with the high turnover of administrative positions in public and private schools, and the need for

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effective principals, the preparation of quality administrators poses a challenge to improve and reform schools in this age of accountability (Levine, 2005).

COMPONENTS OF THE SCHOOL LEADERSHIP PROGRAM

As seen in Figure 2 the components of the program include course work, internships, and a formative and summative portfolio for reflective practice. Fulfilling these requirements result in completion of a Master of Arts degree in School Leadership and eligibility to take the Type 75 administrative certification examination.

Course Work

Ten courses are required for students to earn the Master of Arts in School Leadership. See Figure 3. Eight of the ten courses are offered for eight weeks for a total of thirty-two hours of instruction. Students take two courses per semester and complete the program in two years. The courses address the ELCC Standards and the Illinois Standards for School Leaders.

Standards Alignment

Standards influence the design of the program by identifying the competencies, skills, and dispositions needed for school leadership as addressed by various groups. The Illinois State Board of Education has developed the Illinois Standards for School Leaders. Other standards come from the following organizations: American Association of School Administrators (AASA), National Association of Elementary School Principals (NAESP), National Association of Secondary School Principals (NASSP), National Council of Professors of Educational Administration (NCPEA), the National Council for the Accreditation of Teacher Education (NCATE), the Educational Leadership Constituent Council (ELCC), and the Interstate School Leaders Licensure Consortium (ISLLC). According to Tripses (2006), there are some differences between the Illinois Standards for School Leaders and the ELCC Standards. Some of these differences center around the fact that the Illinois standards provide performance indicators while the ELCC Standards are organized around elements for each standard. Even though the Illinois standards do not address the internship, which is the major focus of ELCC Standard number seven, Concordia University Chicago does require the internship as a capstone experience.

Students are introduced to a rigorous, standards-based curriculum through each course syllabi. Course assignments are designed to specifically address individual standards. This helps students develop artifacts that are in alignment with the same standards required in their portfolio development.

Internships

Two internship courses, 120 hours each, are taken during a sixteen-week semester. EDL 6982 is an internship done at the candidate's school. EDL 6981 is an internship done at a different school. The internships are designed to give the candidates leadership experiences that are intensive, extensive, and diverse. Foster and Ward (1998) reminded us that internships in which students learn by doing have been part of school leadership programs for a long time. Internships illuminate the course work and build understanding of theory and practice (Williamson and Hudson, 2001). The secret of a successful internship, according to these authors,

includes grounding course work in problems of practice and having students interact with school leaders. In addition to this, these authors stress the importance of internship seminars where there are weekly meetings to share, process, challenge, and make sense of what is happening in the internship.

Candidates work under the auspices of an on-site mentor (a Type 75 certified administrator) who is expected to coach the intern and provide meaningful experiences in leadership. Williamson and Hudson (2001) insist that a high quality internship depends upon good on-site mentors who treat the intern as part of the administrative team, protect the intern, and provide sufficient time to meet with the intern. The authors also detail the nature of bad internships where the intern is left on his/her own, where there is no feedback or time to process what is happening, and where the intern is set up for failure because of an incompetent principal in a school with a multitude of problems.

Extensive journaling is required of all interns so they can reflect and learn from these experiences. Daresh (1988) asserted that although students develop competence and confidence in dealing with day-to-day situations of schools in the internships, there is also a critical need for students to have the opportunity to think about and reflect upon their development as school leaders. This reflection involves raising questions, challenging current practice, and exploring their own growth as leaders. When this happens, there is a connection between theory and practice.

The need for reflective practice is well documented. According to York-Barr, Sommers, Ghere, and Montie (2001), school administrators typically spend a great deal of time planning and implementing but limited time in reflection. As a result, “teachers and administrators soon become impervious to integrating all the disparate pieces” (p. xiv). If potential administrators do not receive training in reflective practice during the internship experience, they will be unlikely to develop these habits as practicing administrators. Furthermore, Pace Marshall (2006) suggested that,

by immersing the learner in the interdependence and wholeness of the world and meaningfully engaging her in the big ideas, questions, paradoxes, and ambiguities of the human experience, deep learning transforms her. It reignites her passion and insatiable curiosity and weaves a tapestry of connection and a timeless web of belonging that grounds her learning in the roots of personal meaning and purpose. (p.45)

In addition to the on-site mentor, a university instructor supervises the intern and visits the school site three times to help the reflective process, which is integral in understanding the integration of theory and practice. Communication between the intern, on-site mentor, and university instructor is a critical component for this integration to happen. The university instructor also provides regular supervision of the intern through phone calls, emails, and two class sessions. A full time staff member directs the internship program and works with interns, on-site mentors, and university instructors.

During 2006, the internship program was completed by 1,133 students as seen in Table 2 and Figure 4. Once again, this tremendous growth raises issues of accountability to produce a quality experience that is dependent on the students’ ability to integrate course work with practical school experiences. Furthermore, the credibility of all program components rests on the need to collect data and analyze the integration of all program components (course work, portfolio, internship) on an ongoing basis. Without the integration and meaningful dialogue between the student, on-site mentor, and university instructor, the continuous improvement of the experience may be jeopardized.

Portfolio

A culminating capstone experience for internship students is an assessment designed as a standards-based (ELCC) portfolio. This is completed through LiveText software, which allows the student to import artifacts (examples) reflective of their understanding of the standards. The portfolio is submitted at two different checkpoints in the students' program. The checkpoints, which utilize a rubric-based assessment, measure the degree to which students understand the integration of course theory and practical experience. By having two checkpoints, a student is given the opportunity to demonstrate growth over time. The first checkpoint occurs during the first internship, which may occur after the first completed semester. For some students, this occurs after completing only two courses, which poses a challenge in artifact collection due to the limited number of assignments and lack of understanding of theoretical underpinnings. At the first checkpoint, the portfolio is reviewed by university instructors, and returned to the interns with comments noting strengths and areas in need of improvement.

The second checkpoint, which occurs during the final internship, requires additional portfolio development including more artifacts and a second review by two faculty members to allow for inter-rater reliability. All standards must be passed for the portfolio to be accepted. A full-time portfolio coordinator works with interns and faculty members to insure understanding of the process especially in relationship to technology usage.

The portfolio development is seen as the synthesis of course assignments, practical field-based experiences, and reflection that enable students to determine their own strengths and weaknesses as an inspiring administrator.

METHODOLOGY

Research Question

The purpose of this research is to gather data that indicates the degree to which students understand the connection between course work and internship preparation. It also seeks to determine the alignment of courses to specific ELCC Standards. Three key questions emerge:

1. What can the university do to navigate the alignment among all leadership program components to better prepare students?
2. To what extent does the school leadership program support students' in integrating their course work, internships, and portfolios to become successful school leaders?
3. How can the DoL provide support for full time and adjunct professors to better understand the program components and meet the needs of students?

Participants

Two hundred sixty-three DoL fall internship master's level graduate students were asked to respond to a survey via LiveText software. Fifty-six students responded to the survey. Twenty-four students indicated it was the first and fifteen indicated it was the second checkpoint for their internship portfolio requirement. Seventeen students did not indicate their checkpoint status. Forty female and sixteen male respondents indicated their years of teaching experience. Three had 1–3 years of teaching experience, 16 had 4–6 years, six had 7–9 years, two had 10–12 years, and 12 had 13 years or more.

Data Collection Strategies

The authors developed a survey that included 24 Likert scale questions and one open-ended question. Students had access to the survey via the LiveText software to ease the dissemination of the survey and collection of results. Participation in completing the survey was voluntary and results were transmitted electronically. Data were tabulated manually for each numeric question and the open-ended responses were recorded.

Results and Analysis

The survey questions focused on the students' perceptions of the relationship between course work and preparation for the internship experience. It also asked students which courses they felt specifically addressed the ELCC Standards. The results, which are shown in Table 3, indicate that the majority of students (55%) do, in fact, feel that their course work has prepared them for the internship requirement.

Results indicate that students also differentiate the standards addressed in each course, and therefore, realize the connection between curriculum alignment and the ELCC Standards. For some courses, the overlap in addressing multiple standards allows the students several opportunities to place emphasis on meeting them. Figure 5 indicates previous department efforts to align courses to standards. As a result of this research project, evidence exists that students also have this same understanding.

DISCUSSION

This research began during the 2006–2007 school year, with input from a faculty of 15 instructors including 5 new members and 3 graduate staff members. Through monthly department meetings, it became clear a need exists to conduct research that addresses the alignment of all leadership components. A concern for program quality for each component emerged and in response to that need, a Quality Assurance Task Force composed of representatives from faculty and staff began to meet monthly to address the administration, implementation, and evaluation of the School Leadership Program. This ongoing work is inconclusive and will continue throughout the year. Themes that appear to be emerging, which will focus the continued efforts of this committee, are in alignment with the questions this research seeks to address. Therefore, this research project will be ongoing and more empirically based in the future.

RECOMMENDATIONS

1. *What can the university do to navigate the alignment among all leadership program components to better prepare students?*
 - Current course evaluations should be reviewed on a regular basis to ensure the alignment between curriculum and the ELCC standards.
 - Explain all components of the program to faculty, staff, advisors, and students highlighting the interconnectedness of the leadership components.
 - Continue to remain current regarding ongoing national research developments in graduate leadership type programs.

2. *To what extent does the school leadership program support students in integrating their course work, internships, and portfolios to become successful school leaders?*
 - The survey designed for this research should be sent on a regular basis to all internship students during Checkpoints 1 and 2, and results analyzed and reviewed by the DoL.
 - Teach students how to be reflective practitioners by formalizing instruction in the internship course based on the research of Costa & Kallick (2000) and York-Barr, J., Sommers, W., Ghore, G., & Montie, J. (2001).
 - Develop standards-based assessment for each DoL course.
3. *How can the DoL provide support for full-time and adjunct professors to better understand the program components and meet the needs of students?*
 - An annual Learning Café including all full-time and adjunct faculty should take place to provide additional opportunities to learn about the program, discuss its strengths and weaknesses, and share best practices.
 - Course coordinators should meet at an additional time during the year with all faculty members. Focus on consistency of delivery of course content, sharing of pedagogy, resource materials, and current research in relevant areas should occur.
 - The DoL should create a list of instructor competencies to insure the quality of teaching demonstrates specific skills in the areas of practical experience and knowledge of theory.
 - Foster the usage of technology as a tool for interdepartmental communication between adjunct and full time faculty members (i.e. WebCT Concordia University Chicago, which included a faculty lounge for posting of all syllabi and pertinent resources, and faculty discussions).
 - Utilize the university based email system as the official electronic communication method with students.
 - Provide training for on-site mentors.

LIMITATIONS OF THE STUDY

Due to time constraints, this study had a poor sample response that is neither indicative nor generalizable to the DoL student population. Additionally, unreliable technology made it difficult for students to access and respond to the survey, which impaired the response rate. The researchers have presented the need for the integration and alignment of master's level leadership components; therefore, continuation of these preliminary findings is essential. Further study of the interconnectivity of the components is imperative to substantiate these results and add to the research base necessary for the DoL program improvement. Additionally, data from full-time and adjunct professors would enhance the quality of this study and add another dimension to answering the research questions.

CONCLUSIONS

This research caused a considerable challenge to understand and analyze the multiple components of a leadership program that is experiencing growth and change. The focus on gathering student input to the interconnectivity of the program components has led the re-

searchers to a heightened sense of commitment to the University and the mission to serve graduate students through on-going evaluation of the program components. The need to consider not only students, but faculty, has also brought attention to the challenge of providing meaningful training for all staff in an effort to maintain and enhance program quality. Lastly, this research clearly points out the need for clearer communication among all stakeholders in the DoL to insure consistency in purpose and mission and to offer a quality leadership experience. This will require ongoing formative and summative evaluation of each program component and analysis and discussion regarding the collective value of all program requirements.

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Table 1. Fall Term Enrollments for MA in School Leadership.

Term	Number of Students
Fall 2001	68
Fall 2002	49
Fall 2003	76
Fall 2004	326
Fall 2005	721
Fall 2006	882

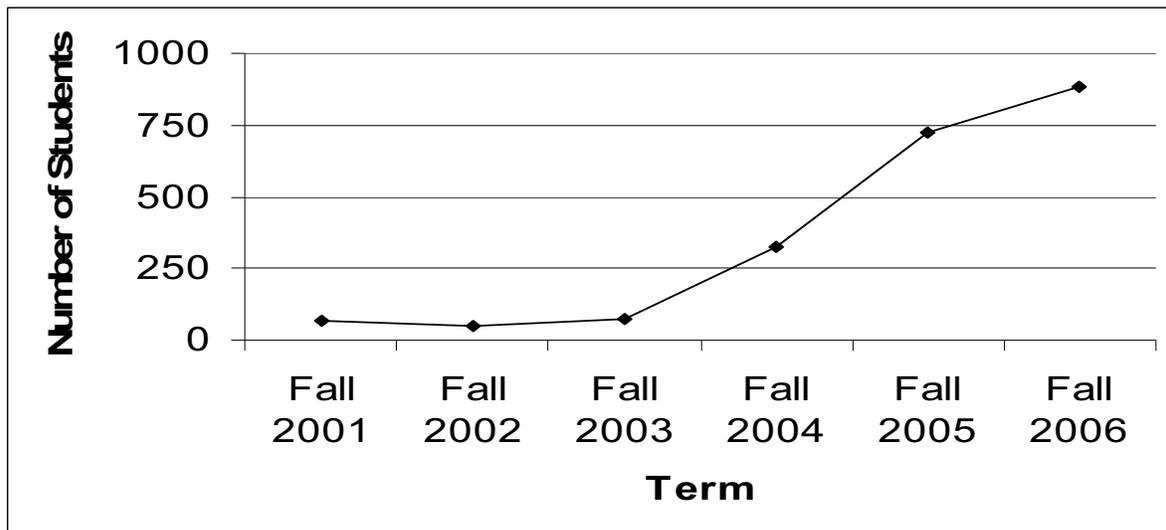
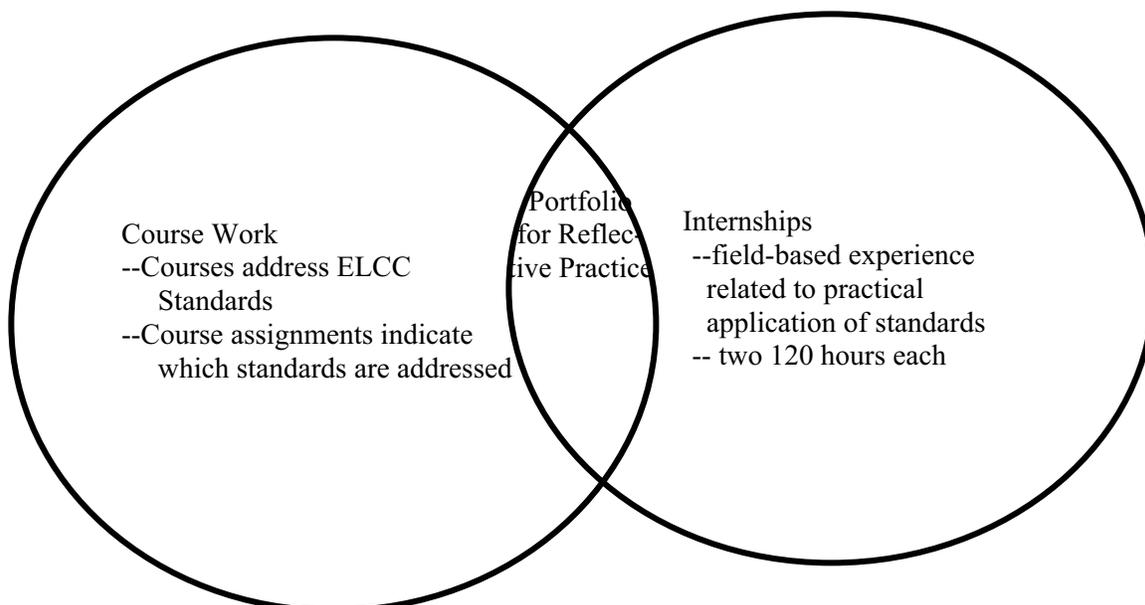
Figure 1. Fall term enrollments for MA in school leadership.*Figure 2.* Leadership program components.

Figure 3. Course work in educational leadership.

A) Instructional Leadership	12 Hours
EDL-6100 Research in Education	
EDL-6120 Supervision and Improvement of Instruction	
EDL-6130 School Evaluation and Change Process	
EDL-6240 Instructional Leadership	
B) Management of Public Schools	9 Hours
EDL-6210 School Finance and Business Management	
EDL-6220 School Organization and Human Resources	
EDL-6230 School Law	
C) School and Public Policy	6 Hours
EDL-6300 Ethics of School Leadership	
EDL-6982 Internship in School Leadership and Public Policy	
D) Capstone Experience	3 Hours
EDL-6981 Internship in School Leadership and Portfolio Defense	

Table 2. Internship Enrollments by Semester.

Term	Number of Students
Summer 2002	4
Fall 2002	26
Spring 2003	25
Summer 2003	19
Fall 2003	12
Spring 2004	41
Summer 2004	117
Fall 2004	84
Spring 2005	133
Summer 2005	323
Fall 2005	129
Spring 2006	311
Summer 2006	559
Fall 2006	263
Spring 2006	432

Figure 4. Internship enrollments by semester.

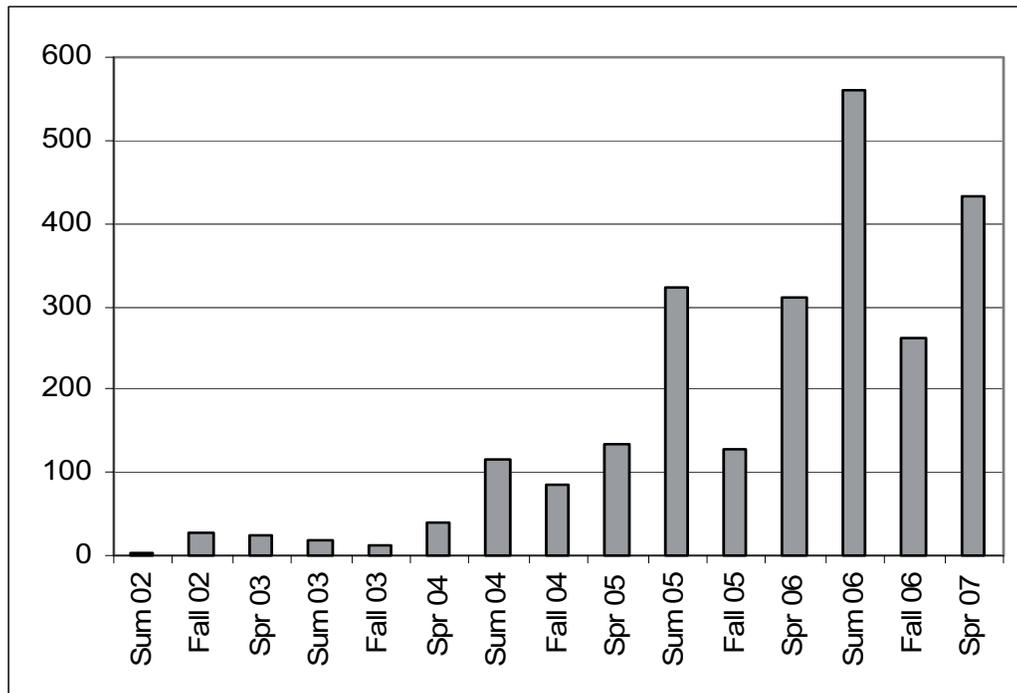


Table 3. Internship Student Survey Results.

My course work has prepared me for this internship	Number of responses
1. Strongly agree	6
2. Agree	25
3. Neutral	5
4. Disagree	3
5. Strongly disagree	1
ELCC Standard 1: Vision	Number of responses
1. Research in Education	8
2. Supervision of Instruction	28
3. School Evaluation and Change Process	23
4. Instructional Leadership	30
5. School Finance and Business Management	12
6. School Organization and Human Resources	20
7. School Law	9
8. Ethics of School Leadership	14
ELCC Standard 2: Culture	Number of responses
1. Research in Education	14
2. Supervision of Instruction	28
3. School Evaluation and Change Process	19
4. Instructional Leadership	29
5. School Finance and Business Management	10
6. School Organization and Human Resources	20

7. School Law	8
8. Ethics of School Leadership	17
ELCC Standard 3: Management	Number of responses
1. Research in Education	9
2. Supervision of Instruction	20
3. School Evaluation and Change Process	18
4. Instructional Leadership	22
5. School Finance and Business Management	26
6. School Organization and Human Resources	25
7. School Law	21
8. Ethics of School Leadership	18
ELCC Standard 4: Communities	Number of responses
1. Research in Education	13
2. Supervision of Instruction	17
3. School Evaluation and Change Process	17
4. Instructional Leadership	23
5. School Finance and Business Management	15
6. School Organization and Human Resources	19
7. School Law	16
8. Ethics of School Leadership	20
ELCC Standard 5: Ethics	Number of responses
1. Research in Education	4
2. Supervision of Instruction	17
3. School Evaluation and Change Process	15
4. Instructional Leadership	21
5. School Finance and Business Management	13
6. School Organization and Human Resources	16
7. School Law	20
8. Ethics of School Leadership	29
ELCC Standard 6: Larger Context	Number of responses
1. Research in Education	11
2. Supervision of Instruction	18
3. School Evaluation and Change Process	20
4. Instructional Leadership	20
5. School Finance and Business Management	26
6. School Organization and Human Resources	18
7. School Law	28
8. Ethics of School Leadership	19

Figure 5. Alignment of courses to ELCC Standards.

Standard subset	Course number									
	6100	6120	6130	6210	6220	6230	6240	6300	6981	6982
1.1 Develop a Vision		X	X		X		X		X	X
1.2 Articulate a Vision			X				X		X	X
1.3 Implement a Vision			X				X	X	X	X
1.4 Steward a Vision			X				X		X	X
1.5 Promote Community Involvement		X					X		X	X
2.1 Promote Positive School Culture	X	X	X		X		X		X	X
2.2 Provide Effective Instructional Program	X	X	X	X			X		X	X
2.3 Apply Best Practice to Student Learning	X				X	X	X		X	X
2.4 Design Comprehensive Professional Growth		X			X		X		X	X
3.1 Manage Organization		X	X	X	X	X		X	X	X
3.2 Manage Operations		X		X					X	X
3.3 Manage Resources		X	X					X	X	X
4.1 Collaborate with Families and Other Community Members		X	X	X	X		X		X	X
4.2 Respond to Community Interest/Needs			X		X		X		X	X
4.3 Mobilize Community Resources							X		X	X
5.1 Acts with Integrity							X	X	X	X
5.2 Acts Fairly		X	X	X	X	X	X	X	X	X
5.3 Acts Ethically							X	X	X	X
6.1 Understands Larger Context	X	X	X		X		X	X	X	X
6.2 Respond to Larger Context		X	X		X		X		X	X
6.3 Influence Larger Context				X	X	X	X	X	X	X
	6100	6120	6130	6210	6220	6230	6240	6300	6981	6982

At the Tipping Point: Principal Preparation Internships through District and University Collaborations

Jenny S. Tripses and Diane Rutledge

INTRODUCTION

Gladwell (2002) identified three rules of epidemics or what he called “the tipping point”: the *Law of the Few*, the *Stickiness Factor*, and the *Power of Context*. When Gladwell wrote about epidemics, he referred to phenomena that appear to defy logic. We present here a proposal for a new way of training future school leaders that may seem radical to some and mundane to others. Our hope is that the ideas we present here provoke new possibilities for the preparation of school leaders.

Coming from a state of many diversities (racial, ethnic, economic, political), Illinois stakeholders interested in strengthening school leadership have come together over the past several years through the Statewide Action for Educational Leadership Project (SAELP) funded through Wallace Readers Digest. We co-chaired an IL-SAELP subcommittee charged with the development of a framework for improvement of educational administration programs and subsequently served on a commission convened by the Illinois Board of Higher Education on the issue of preparation of school leaders. One author is the superintendent of a large urban district, who developed a cohort principal preparation collaborative program with a large state university. The other is the coordinator of the educational leadership program at a small private university. Based on our experiences in these roles, we compare two internship programs we know well and propose a university/district/regional offices of education collaborative model for principal preparation internships that could be employed by large and small university programs serving graduate students from diverse (urban, rural, suburban, high-poverty and advantaged) districts. From there, we look at research on the internship and collaboration in schools. Our intentions are to share what we have learned and to identify some, but certainly not all, potential considerations in the implementation of the proposed framework.

STATE HISTORY ON STRENGTHENING SCHOOL LEADERSHIP

The IL-SAELP Administrator Preparation Committee (2004-05 academic year) sought to understand existing practices in state educational administration programs, define best practices, and identify barriers that impede programs from those best practices to make recommendations to improve preparation of future school leaders. The committee was comprised of practicing principals and superintendents, educational administration professors, a representative from the state Board of Higher Education, a state school board leader, and SAELP staff. The committee drew upon current peer-reviewed research on the preparation of school leaders, reports derived from funded research projects not published in peer-reviewed

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venues (such as Levine, 2005), the state's professional leadership standards, NCATE ELCC standards, and existing collaborative models between universities and school districts in the state to formulate its recommendations.

The discourse from the convened subcommittee revealed clear concerns about school leadership development coupled with misconceptions on the part of all stakeholders about university preparation programs, accreditation processes already in place, barriers to effective school leadership, and rapidly changing realities of school leadership. All participants learned from the process. Two recommendations from the subcommittee have relevance to this proposal: (a) stronger emphasis upon the internship phase of principal preparation programs and (b) the importance of university/local school district collaborations (Tripses, 2006).

In addition to the Illinois Standards for School Leaders and ELCC Standards, the committee considered other sources of school leadership development (ISLLC standards, Southern Regional Education Board, SREB; Mid Continent Resource for Education and Learning, MCREL; National Association for Elementary School Principals, NAESP; summary of a focus group with the Illinois Principals Association; Chicago Public Schools Competencies for Principals; and Leithwood et al.) to establish an inclusive definition of competencies necessary for principals leading contemporary Illinois schools. Compiling the lists of competencies, the committee found the Illinois Standards for School Leaders to be consistent with ELCC standards and to address all competencies with the exception of three: a) principal as change agent (SREB, NAESP, IPA focus group, CPS); b) principal balancing the educational needs of students with personal, emotional, and developmental needs (MCREL, NAESP, IPA focus group); and, c) principals managing their own professional development and growth (SREB, NAESP, CPS) (Tripses, 2006).

A critical aspect of internships that prepare future school leaders to face the challenges of today's schools is exposure to tensions between technical aspects of administration that maintain the status quo against educational leadership responsibility for school improvement and change (Fry, Bottoms, & O'Neill, 2005; Hale & Moorman, 2003; Levine, 2005). Maintaining such a balance while simultaneously attending to issues of equity, social justice, democracy, and community is challenging. Ideally, the internship should provide graduate students opportunities to reflect critically upon the purposes and assumptions of education, technical as well as ethical potentials of school improvement, connections between education and the broader social context, and the realities of administrative practice (Pounder, Reitzug, & Young, 2002).

A final important leadership skill not explicitly listed in the standards is problem solving. Future school leaders charged to create schools focused on student learning for all students require expert problem-solving skills (Leithwood & Steinbach, 1995), if they are to solve the right problems.

We now know that expert educational administrators think about their professional problems in ways that are substantially different from their nonexpert colleagues. They find and define problems to spend their time on that have greater potential to be productive for their organizations. Furthermore the goals they work toward in their problem solving are more inclusive, likely reflecting a broader interpretation of their problems to begin with, and are embedded in a vision for the school or district in its community and larger social contexts. (p. 311–12)

Coursework presumably prepares graduate students with domain specific management topics such as law, finance, curriculum, community relations, etc. Applying such expertise

appropriately is a leadership skill that can be developed based upon the premise that differences in problem-solving processes explain differences in leadership practice (Leithwood & Steinbach, 1995). The intention here is to develop within students a clear capacity to apply knowledge (finance, law, supervision, instructional leadership, etc.) defined in the ELCC standards around real world problems confronted by principals.

The Commission on School Leader Preparation in Illinois Colleges and Universities convened in August 2005 in response to mounting concerns about the need to improve higher education programs preparing school leaders. The Commission was comprised of leaders from P-12 schools, colleges and universities, business organizations, professional educational organizations, the Illinois State Board of Education, and the Illinois Board of Higher Education. Financial support was provided through the Wallace Foundation, the Illinois Board of Higher Education, and the Center for the Study of Educational Policy at Illinois State University. The final report on the work of the Commission provided specific recommendations in the form of goals for state policymakers, university presidents, educational administration program leadership, and school districts to improve the preparation and development of current and future school leaders. Goals of that body relevant to this paper include strategic recruitment of potential school leaders and meaningful clinical and internship experiences through university-school partnerships, training for mentors, and increased emphasis on clinical university faculty supervising internships (IBHE, 2006).

PROPOSED INTERNSHIP

Both statewide groups provided lively discourse on ways to strengthen Illinois school leadership preparation programs. One such conversation contained the genesis of the proposal offered here. A serious constraint for university programs striving to provide quality internship experiences that meet ELCC Standard 7 (substantial, sustained, standards-based in real settings, planned and guided cooperatively by university programs and local districts) is the requirement for students to work with mentors full-time (ELCC Standards for School Leaders). This requirement is regarded as largely outside the influence of university faculty because the vast majority of students preparing to become principals teach in schools while enrolled in graduate programs to obtain their administrative credentials. When one author presented the model used in her district through the cohort program made possible through grant funding, members of the group argued that such a plan was infeasible without substantial funding. She countered that such a model required only funds to pay for substitute teachers for one week per semester for each graduate student.

We propose the following internship model based upon the Springfield LEAD model and another internship experience. The proposed model is based upon ELCC standards; provides explicit preparation to prepare future school leaders as change agents who address student needs in holistic ways and take their own professional learning seriously; provides balance between technical and leadership experiences; and, seeks to develop capacity of graduate students as expert problem solvers.

The proposed internship requires universities, local school district leaders, and regional superintendents to collaborate to provide four fulltime one-week internships for graduate students enrolled in educational leadership programs. Universities would take responsibility to embed internship experiences in existing coursework and supervise the interns. Local school districts would take responsibility to provide highly qualified and motivated mentors to work with graduate interns who may not teach in their district or eventually take administrative positions in the district. The Regional Superintendent would take responsibility to coordinate

student assignments. All three agencies would collaborate to select and train a pool of quality mentors to work with graduate students.

Each week-long internship experience would require students to engage in meaningful administrative functions developed cooperatively by the student, mentor, and university faculty member. Students would be required to produce evidence of accomplishment of learning goals related coursework for that semester. Class time in the regular graduate program would be devoted to sharing of experiences with a strong emphasis on problem solving skills. In the creation of internship experiences, university faculty would pay careful attention to equity issues and the development of graduate students as future change agents conscious of social justice.

Financial costs of this proposal would include substitute teachers for the time each graduate student participates in the full-time internship and training for mentors. Further consideration of this proposal has presented other costs. Probably the most significant are the costs of collaboration, which include time, shared accountability, and other costs related to the diversity of the types of school districts and student diversity. Finally, each of the three agencies would undoubtedly encounter issues related to practice, policy, and funding that would require structural changes to ensure success of such collaboration.

Two Principal Preparation Internships

The IL SAELP Administrator Preparation Committee considered various university internship practices, finding merit as well as areas for growth in all. Following is a comparison of two internship designs with relative strengths and considerations to improve program potential to provide future school leaders maximum opportunities to understand school leadership. Because we each had significant input into the design and implementation of one of the internship programs described here, we make no claims of objectivity.

These two programs operate in fundamentally different circumstances. Because Springfield District 186 is a relatively large district, the LEAD program can fill a cohort of prospective principals. The Bradley program accepts students from different types of districts, each with its own superintendent, board of education, and union contract. A large district has the capacity to tailor an administrative preparation program to the unique needs of its constituencies. Administrative preparation programs whose graduate students come from various districts have both the advantages and constraints of such diversity.

ELCC standard 7.1 states that the internship be substantial, meaning that candidates demonstrate the ability to accept genuine responsibility for leading, facilitating, and making decisions typical of those made by educational leaders (ELCC Standards for School Leaders). Both programs provide interns with substantial responsibilities that increase over time in amount and complexity and involve direct interaction and involvement with staff, students, parents, and community leaders. Both programs offer candidates experiences in multiple settings that allow for the demonstration of a wide range of relevant knowledge and skills. The Springfield LEAD program does not allow students experiences outside their district. The Bradley program offers only limited experiences outside the district with the 10 hour requirement to shadow a recognized social change agent principal.

The Springfield LEAD program has an advantage in that graduate students are able to spend one week at a school site with their mentors. Because students are required to complete their internship in schools other than their own, Springfield LEAD candidates have opportunities to experience a variety of leadership and building situations in the district. The Bradley program requires 50 hours during the program prior to the culminating internship with as-

signments designed to provide diverse experiences that move from observation to participation in preparation for leadership experiences in the final internship. Both programs seek to provide candidates sustained experiences in planned intern activities during the entire course of the program, including an extended period of time near the conclusion of the program to allow for candidate application of knowledge and skills on a full-time basis. The LEAD program has the advantage of working within a larger system to create sustained opportunities for graduate students.

Because both programs are NCATE accredited, the internships are ELCC standards-based. Candidates apply skills and knowledge articulated in these standards as well as state and local standards for educational leaders. At the same time, experiences are designed to accommodate candidates' individual needs. The internship experiences are conducted in real settings. Candidates' experiences include work with appropriate community organizations such as social service groups and local businesses.

Both internships are planned and guided cooperatively by the individual student, the site supervisor, and university faculty to provide inclusion of appropriate opportunities to apply skills, knowledge, and research contained in the standards. A key component of the District 186 LEAD program is active participation at the district level. The Bradley program is designed to require the candidate and mentor to work together to design internship experiences tailored to the needs of the school and the students under the guidance and supervision of university faculty. Springfield LEAD provides extensive training and support for mentors with the purpose of guiding the candidate during the intern experience, which continues into the first years of the principalship. Despite the fact that Bradley faculty work to maintain strong relationships with administrators in the area, there is no formalized training for mentors.

LEAD in Springfield Public School District #186

In 2002, the Wallace Foundation created the Leadership for Educational Achievement in Districts (LEAD) grant. LEAD is designed to establish sustainable academic improvement, strengthen a district's internal capacity, increase external support, and establish a professional development district that emphasizes strong leadership. The grant funded 12 "high-need districts who demonstrated willingness and capacity to reform its leadership practices to improve student learning." Springfield District #186 was one of the 12 school districts selected from across the country to participate. LEAD Springfield's work is done in partnership with the Illinois State Action for Educational Leadership Project.

LEAD has numerous components, each critical to improving student achievement in the district. One of the main components is a two-year master's degree cohort program developed and implemented through a partnership with Illinois State University. Applicants to the program are District 186 employees who submit to a two part application process that includes both district and university criteria (letters of reference, the Principal Insight instrument designed to identify leadership potential, transcripts, and the GRE exam). Admittance is contingent upon district and university approval. Each semester one course is taught by an Illinois State faculty member and one is taught by a District #186 administrator. Course work is collaboratively designed between the university and district. Instruction of the courses is jointly shared between university professors and cabinet-level administrators from the district. All course materials are tied to the district's needs. Each course contains a one-week full time internship for the graduate student with a district principal. During that week, substitute teachers fill the classroom to enable the graduate student to work with the principal. The internships are designed to intentionally take cohort participants outside of the building and grade or de-

partment they teach. By the end of their program, graduate students have accumulated 160 hours of professional practice that address administrative management tasks as well as supervision of instruction and school improvement efforts. During the internship, participants are assigned projects that connect back to the semester's course. Reflective journals are kept to document the experience. During the two summers of the program, participants are involved in 40 professional practice hours under the guidance of an Illinois State University instructor. By the end of the program 240 hours of professional practice are required.

Bradley University Internship Program

The Bradley program is small, with two faculty and approximately 55 students. While admittance criteria into the program are high compared to other Illinois schools (IBHE, 2006), students in large part self-select to enter the principal preparation program. The internship is considered the culminating course in the Bradley program. Students typically take two semesters to accumulate the 200 required hours and the vast majority maintain full time teaching responsibilities while they fulfill internship requirements. During the semester students are enrolled in the internship class, they attend four on-campus seminars. Bradley faculty meet with the student and mentor a minimum of two times. Mentors are required to write formative (mid-semester) and summative (at the conclusion of the experience) evaluations. School districts where students fulfill the internship requirements include a large urban district, small rural districts, rapidly growing affluent suburban districts, special education cooperatives, and alternative schools. Although the Bradley program is not organized as a cohort because of the size of the program, most students go through the program with the same group of graduate students.

Students are required to accumulate 50 clinical hours prior to taking the final internship course. The requirements for these hours are embedded in courses already in the program and include interviewing and shadowing a recognized (by university faculty) change agent principal (10 hours), attendance at multiple special education staffing meetings (10 hours), and participation in their school improvement plan building team (30 hours). The internship experiences are designed to provide students with experiences in multiple settings in ways that move from observation to participation as preparation to assume leadership roles during the culminating internship. Students accumulate 250 clinical hours in the program.

Course objectives for the internship are aligned with ELCC standards and are as follows:

1. Students collaborate with a practicing administrator acting in the role of mentor and university faculty to design two projects to be completed during the internship. The projects must demonstrate leadership, benefit the school setting, and include the development of skills new to the student. Upon completion of the internship, the student will have applied theoretical knowledge of administrative leadership developed in previous coursework to educational leadership. (ELCC 7.1, 7.2, 7.3, 7.4, 7.5)
2. Students develop outcomes for the two projects and identify the means for the measurement of goal accomplishment for each project. (ELCC 7.4, 7.5)
3. Students develop problem-solving expertise through application of issues and problems reflective of schools in a democratic society. (ELCC 7.1, 7.4, 7.5) (Tripses, 2005)

Explicit attention to goals is provided in the design of the internship experience. Goals must be relevant to the context of the school as well as ELCC standards, written to provide

service to the school site, provide an appropriate mix of demanding leadership (to a greater extent) and management experiences with less demanding observation experiences, and finally provide challenging assignments that require the development of skills that are relatively new to the student and that cause movement outside the comfort zone (Pounder, Reitzug, Young, 2002). Students are not permitted to use their typical job functions as internship-practice activities.

In addition to the two projects, students are required to complete activities relevant to each standard. Required activities for the internship are designed to cover managerial and observation activities within each standard. Students are expected to collect appropriate artifacts for each activity as well as a one page minimum reflection upon each activity. Students complete required activities for ELCC Standards 1–6. Examples of required activities include participation on the school improvement team, analysis of mentor principal participation on the school improvement team, leading a faculty meeting, conducting two teacher observations and evaluations, analysis of principal mentor's use of technology in a management function, parent and student contacts, and attendance at two board meetings in different districts (ELCC 7.3).

Students are required to attend four campus seminars during the semester they are enrolled in the internship. A university supervisor facilitates the seminars. During these seminars, students develop problem-solving expertise through application of knowledge and skills to typical ill-structured problems in schools. Students submit reflections and time logs at each seminar. At least one hour of each seminar is devoted to the development of problem-solving expertise with ill-structured problems. The first seminar provides background on expert problem solving. Students are required to meet prior to each subsequent seminar with their mentor to talk about a situation from the principal's experience related to an issue identified by the university faculty that is typically complex and ill-defined (i.e. personnel, parent concerns, diverse values). The principal and student talk about the problem and how it was resolved. Students come to the seminar prepared to talk about what they learned from their mentor. Students and faculty adhere to strict standards of confidentiality in all conversations and written reflections. The focus is on developing problem-solving expertise of the graduate student.

THEORETICAL FRAMEWORK/CONTEXT

Internship

The internship (also called clinical or field experience) phase of educational leadership preparation programs should provide the core of the experience for graduate students, providing students with opportunities to serve as apprentice administrators and solve real problems in real schools. Well-designed programs include extensive mentored internships that integrate theory and practice, progressively developing administrative competencies through a range of practical experiences (Capasso & Daresh, 2001; Hale & Moorman, 2003; Pounder, Reitzug, & Young, 2002). The internship also provides graduate students opportunities to test their personal commitment to a career in school leadership and develop insights into progress toward personal and professional goals (Capasso & Daresh, 2001).

There is no dearth of opinions about what should be included in the internship. Stated simply, Achilles (2004) described learning needs for beginning level administrators as knowing WHAT to do (the foundational knowledge base), HOW to get WHAT done (leadership skills) and finally, WHY something should or should not be done. Internships designed to provide future school leaders the preparation they need should clearly link theory to real

world problems faced by school leaders. Focused on standards, university program and course designers have a responsibility to coherently sequence and align programs under these three constructs: developing leadership knowledge, skills and dispositions that (a) promote school improvement, (b) democratic and collaborative community, and (c) social justice (Pounder, Reitzug, & Young, 2002). ELCC Standard 7 on the internship reads: “the internship provides significant opportunities for candidates to synthesize and apply the knowledge and practice and develop the skills identified in Standards 1-6 through substantial, sustained, standards-based work in real settings, planned and guided cooperatively by the institution and school district personnel for graduate credit (ELCC Standards).

Critics of traditional college and university-based educational leadership programs contend that programs have emphasized management and administrative issues to a greater extent than curricular and instructional issues (Hale & Moorman, 2003). Others contend that administrator preparation programs are resistant to change and that there are few signs of major reforms in the face of new realities for principals (Jackson and Kelley, 2002; Young, 2002). The National Policy Board for Educational Administration reported that current preparation programs are disjointed, sporadic, interest focused, provider driven, poorly aligned, with only pockets of excellence (Young, 2002).

That standards have impacted principal preparation programs is clear. While standards have advocates and critics (English, 2003), standardization of curriculum is only the beginning of actual implementation of appropriate structures and pedagogical approaches for optimal development of student knowledge, skills, and dispositions (Jackson and Kelley, 2002). A very critical element of leadership involves understanding requirements such as standards, mandates, etc. and making them work to attain goals at the school site, which may or may not closely resemble more standardized requirements of a particular mandate (Tripses, 1998). We contend that whatever leadership standards are used in a particular program, the responsibility of the professor(s) designing the internship program is to take the standards and from there move on to create meaningful experiences for graduate students that include clear evidence of student preparedness as school leaders.

Although the mentor is recognized as a critical player in the success of internship experiences (Wilmore & Bratlien, 2005), graduate students frequently have limited choices for this role. Literature on mentoring often focuses on responsibilities and roles of mentors. Mentoring is a personal learning partnership between a more experienced professional who acts as a guide, role model, coach, teacher, and/or sponsor and a less experienced professional. The mentor provides the protégé with knowledge, advice, challenge, counsel, and support in the protégé’s pursuit of achieving professional and/or personal goals (Johnson, 2002, Portner, 2002, Zachary, 2000). A mentor is the keeper of selected wisdom, valuable to the protégé (Sinetar, 1998), willing and capable of providing encouragement, insights into possible hazards, and direction (Daloz, 1999). Mentoring relationships are particularly important in the early stages of a career.

Providing positive mentor/protégé relationships in the internship is essential. Milstein and Krueger (1997) advocated multiple internships at different sites with different mentors be provided to “give participants the chance to observe different leadership styles, serve at different educational levels, and work out of their district” (p. 110).

Interagency Collaboration

Both the IL-SAELP Administrative Preparation Committee and the Illinois Board of Higher Education Commission recommended university district collaborations to strengthen

school leadership. The means for achieving the ends, however, are less obvious. “Few conceptual or empirical examinations of leadership in collaborative schools exist beyond normative views of what should be” (Crow, 1998, p. 135). Crow cautioned that closer examination of the nature of collaboration and realities of the organization of schools reveals discrepancies between expanded roles of leadership and influences inherent in collaboration against accountability, control, and coordination. Successful collaborations involving schools require understanding of political and organizational implications along with thoughtful provision of resources based upon core purposes of the collaboration (Crow, 1998).

Rethinking leadership preparation requires collaborative change from multiple stakeholders willing and capable of shifting from discourse to collaborative action with the purpose of improving leadership for schools as “reform-professionists, determined to remove deficiencies that thwart professionalism” (Kowalski, 2004, p. 98). Collaborative effort from all stakeholders requires a commitment to work together to find common ground, develop shared goals and work together to achieve goals. The ultimate purpose of collaborative efforts to restructure principal preparation programs should be focused on the provision of quality education to *all* of the nation’s children in ways that are developed around the teaching-learning process (Young, 2004; Pounder, 1998). As traditional providers of administration preparation programs, universities must take the lead, but “no single organization, group, or individual can create the kinds of changes for leadership preparation that are needed. Substantive change requires collaboration” (Young, 2004, p. 57).

In their review of research on collaboration, Mattessich and Monsey (1992) defined collaboration as a “mutually beneficial and well-defined relationship entered into by two or more organizations to achieve common goals. The relationship includes a commitment to “a definition of mutual relationships and goals; a jointly developed structure and shared responsibility; mutual authority and accountability for success” and sharing of resources and rewards” (p. 7). They identify 19 factors of collaboration grouped into six categories: environment, membership, process/structure, purpose, and resources. Effective collaborations attend to all factors as they relate to mutually desired outcomes.

Opportunities and challenges of collaboration present several dilemmas for school leaders. They include “(1) the need for change toward more collaborative schools versus the persistence of schools, (2) resource gains versus costs of collaboration, (3) professional interdependence versus professional autonomy or discretion, (4) shared influence, or leadership, versus shared accountability, and finally (5) balance of influence versus over-control or under involvement among collaborative parties” (Pounder, 1998, p. 173–74).

American public schools face increasing pressure for collaboration with outside organizations. Collaboration is presented as a means to address many of the perceived or real ills of public education (Johnson, 1998). Although this may have benefits, factors that may impede effective collaboration within schools and between other organizations must also be considered. Four structural features of school organization--the stimulus-overload work environment, teacher autonomy norm, control-orientation structures, and level of public vulnerability of schools—are factors that should be considered when planning collaborations (Johnson, 1998).

DISCUSSION

We offer this proposed internship collaborative based upon what we believe are the strengths of two principal preparation internship programs in the hope that other programs might benefit from what we have learned. When this idea first emerged from a committee

conversation, both of us realized the potential of organizing internship experiences for future school leaders in new ways. We quickly recognized that such a restructuring of current practice could provide university faculty with rich opportunities to engage in meaningful and collaborative work with practitioners and that graduate students would have opportunities for sustained work in real settings.

Since that first conversation, our commitment to the ideas proposed here has grown in ways that bring visions of new kinds of learning communities to mind. We foresee possibilities for the development of cadres of locally recognized school leaders who receive training and stipends for their role as mentors to graduate students (Risen, 2007). We envision expanded relationships between regional offices of education, local school district leaders, and university faculty. Ideally, graduate students would benefit from multiple sources of support in ways designed to connect theory with practice. And as all thoughtful and engaged mentors do, mentor principals would reap the benefits of renewed professionalism and reflection upon their own practice through guidance of future school leaders into the ways of the profession.

There are pitfalls, however, that must be considered and addressed. First, all parties to such collaborative effort would need to be clear that the purpose of the collaboration is to support future school leaders committed to and knowledgeable about means to provide optimal learning experiences for all students. Secondly, structural issues in each of the three types of organizations would need to be addressed such as rewards, incentives, communications practices, networks, and funding sources, just to name a few. Formalized partnership agreements between all parties would need to be created. Structural changes also would require consideration by state agencies, university administration, and local school boards (Risen, 2007). And finally, a clear definition of effective internship experiences would need to be collaboratively developed, implemented, and continuously revised.

We recognize both the potential and the challenges of our proposed internship model. We understand that successful implementation of the model will require leadership on multiple fronts--from the university, local school districts, and regional offices of education and state agencies. At the same time, we also recognize that the current model for internships no longer meets the challenges of preparing leaders for the complex realities of American schools. We stand ready to collaborate with others to develop new ways to preparing school leaders. We suspect and secretly hope we may in some small ways resemble Gladwell's connectors who through "social connections, energy, enthusiasm, and personality" (Gladwell, 2002, p. 22) connect others in our state and beyond to the possibilities of new ways of providing practical leadership experiences to future school leaders in ways that connect theory to practice.

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The Tipping Point: Knowledge Failure at the Vision, Mission, and Core Values Level

Sandra Watkins and Donna McCaw

INTRODUCTION

Lewin's (1951) field theory recognized that human behavior is the function of both the person and the environment. He recognized that individuals and organizations are connected through their communication, resulting in a systems approach to understanding alignment. His investigations focused on the conditions and forces which brought about resistance or non-resistance. The genesis of school improvement and action research is embedded in Lewin's field theory. Lewin's level of aspiration (1951) served as the theoretical basis for the need of districts and schools to identify and utilize core values in school and district improvement efforts. His work supported the realization that VMCv must be aligned with a systems framework for improvement to begin developing. This knowledge base served as the theoretical foundation for the importance of alignment within the effective schools framework.

Lewin's work was also the basis of Perls' Gestalt theory, whereby the whole was greater than the sum of the parts and that interrelationships must be valued within the system. Senge (1990) stated, "Systems thinking is a discipline for seeing wholes. It is a framework for seeing interrelationships rather than things, for seeing patterns of change rather than static 'snapshots'" (p. 68). Senge defined systems thinking as the "fifth discipline." It integrated four other disciplines—shared vision, personal mastery, mental models, and team learning. All these disciplines are useful when planning and implementing change within a complex organization. Systems thinking ties these disciplines together in a synergistic manner.

PURPOSE OF THE STUDY

The purpose of this study was to investigate among teachers and administrators, enrolled as graduate students in educational leadership degree courses, their knowledge of their school and district's VMCv. Therefore, this study asked the following questions: What do practicing teachers and administrators know about their school's or district's VMCv's? How well aligned are the VMCv of the school building to the district's VMCv?

LITERATURE REVIEW

Current educational leadership (Bowditch & Buono, 2005; Owens & Valensky, 2007) and organizational management research (Collins & Porras, 1994; Senge, 2000) identifies the importance of schools and districts formulating and aligning all district and school practices with the VMCv of the school or district. The literature (Hoyle, Bjork, Collier, & Glass, 2005; Owens & Valensky, 2007; Senge, 1990, 2000; Sergiovanni, 2007) clearly articulated the vital role leadership plays in this process. As a nation, we are at a crucial tipping point in terms of

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public education. Educational leaders at the school and district levels must enlist all of the stakeholders to clearly formulate shared VMCv.

Vision

Creating a compelling vision of the district/school should be one of the highest priorities of the community and school district. The vision of the district determines the destination of the district and the community. Vision clarifies purpose and gives direction for the future. Senge (2000) stated that "...shared visions emerge from personal visions. If people don't create their own vision, all they can do is 'sign up' for someone else's. The result is compliance, never commitment" (p. 211).

The National Policy Board (2002) deemed vision as so crucial to the effective preparation of educational leaders that Standard One for building and district levels was dedicated to it.

Standard 1.0: Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by facilitating the development, articulation, implementation, and stewardship of a school or district vision of learning supported by the school community. (National Policy Board, 2002, p. 2)

Senge (2000) stated that "Leadership is ultimately about creating new realities. A powerful leader inspires dreams, marshals the force, and tends the fires until the vision becomes a reality" (p. 276). Lezotte and McKee (2002) reported that the theorists Morgan and Senge argued that 80 percent of the problems in most organizations exist in the upper loop (VMCv) of the organization. Vision and strong leadership have been determined to be critical to successful instructional leadership (Bredeson, 1996; Carter, Glass, & Hord, 1993; Hallinger & Murphy, 1986; Murphy, Hallinger, Peterson, & Lotto, 1987).

To assist leaders in developing an appropriate vision, Nanus (1992) maintained that the right vision has five characteristics: a) attracts commitment and energizes people, b) creates meaning in workers' lives, c) establishes a standard of excellence, (d) bridges the present to the future, and d) transcends the status quo. As Bennis and Nanus (1985) and Deal and Peterson (1994) pointed out, the vision and mission of the school must be clear, engaging, and attainable. To be motivating, it must touch deeper values and hopes.

Murphy (1994) reported, "Visioning is a critical function of principals working to facilitate transformational change at their schools. A key difference in restructuring schools is that the principal is not the sole or primary determiner of the vision" (p. 198). Johnson (1996) found that it was rare for leaders to bring an educational vision unchanged from one place to another. More often, leaders work with colleagues and constituents to orchestrate a process through which a vision emerges. The impact of the vision, though, depended less on how it emerged than whether it was clear and made sense to constituents.

Mission

Mission defines why the school or district exists. It provides direction and addresses opportunities, clearly articulating the end results. Crucial to the accomplishment of continuous improvement is the alignment of the vision, mission, and core values to each other. Alignment, for the purposes of this study, was defined as the process of adjusting parts until they are in agreement to benefit the whole. "Mission is the motivational aspect of vision: it defines

and clarifies ‘why does the vision matter?’” (Daniel, n.d., para. 11). Harmon (1996) stated, “Today leaders, workers, and donors all want to know more than just the mission. They want ‘to understand the values that drive the organization’... Mission and values provide the framework for reviewing demographic changes that uncover new needs” (p. 262).

Core Values

“If we assume that the systems theorists are correct, any attempt to create a continuous and sustainable school improvement system must examine its core value and core beliefs as part of its effort to clarify the mission itself” (Lezotte & McKee 2002, p.121). Blanchard and O’Connor (2003) asserted that organizations focused on strategies before they had clearly articulated the vision, mission, and foundational core values of the organization. The same can be said for school and districts with the current emphasis on “fix it” strategies and little attention to future outcome. Districts and schools that have clearly articulated a VMCv and ensure that all stakeholders understand their roles, relationships, and responsibilities, should see an enhanced climate and culture.

Collins and Porras (1994) stated, “Core values are the organization’s essential and enduring tenets—a small set of timeless guiding principles that require no external justification; they have intrinsic value and important to those inside the organization” (p. 222).

METHODS

A convenience sample of 98 graduate students in an educational leadership program, located in the Midwest, was administered an open-ended untimed survey. Lezotte and McKee’s (2002) double loop model for effective schools’ research formed the foundation of the survey questions. Surveys were administered over two semesters to Master’s degree students seeking the principalship, sixth year and alternative certification students pursuing the superintendency. Data represented small rural schools and some urban districts covering two states in the midwest.

Pilot

The survey was piloted with an *N* of 16. Questions focused on assessing the participants’ knowledge of their school’s vision, mission, and core values. Results of the instrument were analyzed and discussed with the participants. Participant feedback on the instrument resulted in the clarification of the terms and survey directions. The questions were expanded to include the district vision, mission, and core values, examining for alignment and understanding. These data were not reported in the actual study.

Instrumentation

The modified instrument was then administered over two semesters to graduate students in educational leadership courses. The survey was administered within the first hour of the first class session, prior to instruction on the importance and alignment process of vision, mission, and core values. Responses to the six open-ended questions were anonymous and completed by each individual within seven graduate classes. Participants were asked not to complete more than one survey.

All of the responses were transcribed under headings aligned to each survey question. Scoring was completed by a single evaluator, completing the content analysis (Krippendorff, (2004) of the responses by hand. Student hand-written responses were individually scored as meeting or not meeting the criteria of acceptance. Responses were coded for alignment between school and district vision, mission, and core value statements. Data were also analyzed answering the question: Did respondents accurately know their building's and their district's vision, mission, and core values?

The scoring rubric was a two point checklist, Meets or Does Not Meet. It focused on the following criteria:

Did the vision statement contain words that: (a) clarified the school or district's purpose, (b) gave future direction of where that organization should be going, (c) allowed all stakeholders to identify with the statement, and (d) would energize people to be committed to it?

Did the mission statement contain words that: (a) clarified the purpose of the work, (b) scaffolded the means for accomplishing the vision, (c) clearly stated how students would benefit, and (d) informed the public of what is valuable to the organization?

Did the core values contain words that gave directions in terms of agreed upon behaviors that shape the fulfillment of the organization's stated purpose?

Did the vision statement of the school align with the district vision statement? Did the mission statement of the school align with the district mission statement? Did the stated core values for the building align to support the stated core values of the district?

Although some of the reported statements of vision, mission, and core values may not qualify as being correct according to the criteria, all responses were treated as worthy of reporting because of this study's purpose. Blank responses were scored as a Does Not Know.

RESULTS

The primary purpose of this qualitative study was to examine graduate students' knowledge of their school's and district's VMCv. A secondary purpose of this study was to ascertain if alignment was evident between school and district VMCv.

The following research questions guided the investigation:

1. What is the vision statement of your school?
2. What is the vision statement of your district?
3. What is the mission statement of your school?
4. What is the mission statement of your district?
5. What are the stated core values of your school?
6. What are the stated core values of your district?

Data were reported by survey questions. Ninety-eight responses were collected and analyzed. Thirty-two were Master's Level participants, all of which were certified full time teachers, and 66 were educational specialists/alternative superintendent candidates, all of which were full-time practicing administrators.

Question One: What is the vision statement of your school?

No responses were scored as Met for the school vision question. As a result there are no examples of statements that Met at either the Master's Level (classroom teachers) or the educational specialists/alternative superintendent certification program level.

Table 1. School Vision.

Distribution of Respondents for Question One by Types of Participants

	<i>MET</i>		<i>Did Not Meet</i>	
	<i>N</i>	Percent	<i>N</i>	Percent
Masters Degree Level participants (classroom teachers)	0	0	32	100
Educational Specialist/Alternative Certification Program Sitting K–12 school administrators	0	0	66	100

An example of a vision statement that Did Not Meet at the Master's Level (classroom teachers):

- *High expectations for all relevant/challenging curriculum. Active learning. Partnership with the community and family to develop well-rounded students. Curriculum is challenging and we have high expectations for all students. We provide a safe and supportive environment.*

An example of a vision statement that Did Not Meet for the Educational Specialist and substitute Certification Program (sitting K–12 school administrators):

- *Vision statement supporting all students toward excellence.*

Question Two: What is the vision statement of your district?

Table 2. District Vision.

Distribution of Respondents for Question Two by Types of Participants

	<i>MET</i>		<i>Did Not Meet</i>	
	<i>N</i>	Percent	<i>N</i>	Percent
Masters Degree Level participants (classroom teachers)	0	0	32	100
Educational Specialist/Alternative Certification Program Sitting K-12 school administrators	0	0	66	100

No responses were scored as Met for the school vision question at either the Master's or the Educational Specialists' levels. There are, therefore, no examples of statements that Met.

An example of a vision statement that Did Not Meet for the Masters Level (classroom teachers):

- *Excellence Every Day*

An example of a vision statement that Did Not Meet for the Educational Specialist and Alternative Certification Program (sitting K–12 school administrators):

- *Education promotes citizenship. Active living in a positive academically challenging environment. Develop the intellectual, social/emotional, and physical potential in each child*

These data indicated that participants did not have enough knowledge of their schools' or districts' vision statement to assess alignment.

Question Three: What is the mission statement of your school?

Table 3. School Mission.

Distribution of Respondents for Question Three by Types of Participants

	<i>MET</i>		<i>Did Not Meet</i>	
	<i>N</i>	Percent	<i>N</i>	Percent
Masters Degree Level participants (classroom teachers)	0	0	32	100
Educational Specialist/Alternative Certification Program Sitting K-12 school administrators	9	14	57	86

No responses were scored as Met for the school level mission statement at the Master's Level (classroom teachers) that satisfied the criteria for a Met.

An example of a school level mission statement that Met for the Educational Specialist and Alternative Certification students (sitting K-12 school administrators):

- *Students will learn to think critically, solve problems, and develop the skills that are necessary to become responsible citizens and life long learners.*

An example of a school level mission statements that Did Not Meet for the Master's Level (classroom teachers):

- *To teach reading, writing, and math in a safe and nurturing environment.*

An example of a school level mission statements that Did Not Meet for the Educational Specialist and Alternative Certification Program (sitting K-12 school administrators):

- *Education for employment.*

These data indicated that participants did not have enough knowledge of their schools' or districts' vision statement to assess alignment.

Question Four: What is the mission statement of your district?

Table 4. District Mission.

Distribution of Respondents for Question Four by Types of Participants

	<i>MET</i>		<i>Did Not Meet</i>	
	<i>N</i>	Percent	<i>N</i>	Percent
Masters Degree Level participants (classroom teachers)	0	0	32	100
Educational Specialist/Alternative Certification Program Sitting K-12 school administrators	10	15	56	85

No responses were scored as Met for the district mission statement at the Master's Level (classroom teachers) that satisfied the criteria for a Met.

An example of a district mission statement that Met for the Educational Specialist and Alternative Certification students (sitting K-12 school administrators):

- *The mission of Sample School District is cooperation with family and community to provide a nurturing environment, where students grow and thrive, value life long learning, and are prepared to succeed in an ever-changing world.*

An example of a district mission statement that Did Not Meet for the Master's Level (classroom teachers):

- *All students can learn.*

An example of a district mission statement that Did Not Meet for the Educational Specialist and Alternative Certification Program (sitting K–12 school administrators):

- *The mission of Sample Public Schools, the cornerstone of academic excellence and the unifying force of our diverse community, is to ensure that each student reaches his or her full potential and is a well-balanced citizen through educational approach characterized by: continuous redefining teaching and learning; optimizing technology to transform the system; providing safe and nurturing environment; engaging and enabling families; effecting community partnerships; embracing and honoring all aspects of diversity guaranteeing professional staff who are committed to students.*

Although these data indicated that participants met the criteria for their district mission statement, none were aligned with their district’s vision statement.

Question Five: What is/are the written core value(s) for your school?

Table 5. School Core Values.

Distribution of Respondents for Question Five by Types of Participants

	<i>MET</i>		<i>Did Not Meet</i>	
	<i>N</i>	Percent	<i>N</i>	Percent
Masters Degree Level participants (classroom teachers)	1	3	31	97
Educational Specialist/Alternative Certification Program Sitting K-12 school administrators	5	8	61	92

An example of a school level core value statement that Met for the Master's Level (classroom teachers):

- *Continuous improvement, customer satisfaction, data driven decision-making, empowerment with responsibility, collaboration*

An example of a school level core values statement that Met for the Educational Specialist and Alternative Certification students (sitting K-12 school administrators):

- *Continuous improvement, customer satisfaction, data driven decision-making, empowerment with responsibility, collaboration*

An example of a school level core value statement that Did Not Meet for the Master's Level (classroom teachers):

- *Whatever it takes.*

An example of a school level core value statement that Did Not Meet for the Educational Specialist and Alternative Certification Program (sitting K-12 school administrators)

- *Safety, kids first, work together with communities*

Question Six: What is/are the written core value(s) adopted by the Board of Education for your district?

Table 6. District Core Values.

Distribution of Respondents for Question Six by Types of Participants

	<i>MET</i>		<i>Did Not Meet</i>	
	<i>N</i>	Percent	<i>N</i>	Percent
Masters Degree Level participants (classroom teachers)	3	9	29	91
Educational Specialist/Alternative Certification Program Sitting K-12 school administrators	6	9	60	91

An example of a district level core value statement that Met for the Master's Level (classroom teachers):

- *Continuous improvement, customer satisfaction, data driven decision-making, empowerment with responsibility, collaboration*

An example of a district level core values statement that Met for the Educational Specialist and Alternative Certification students (sitting K-12 school administrators):

- *Continuous improvement, customer satisfaction, data driven decision-making, empowerment with responsibility, collaboration*

An example of a district level core value statement that Did Not Meet for the Master's Level (classroom teachers):

- *Academics, arts, athletics, excellence in education*

An example of a district level core value statement that Did Not Meet for the Educational Specialist and Alternative Certification Program (sitting K–12 school administrators)

- *Management by fact, literacy, parental involvement, booklet on instructional beliefs*

The alignment of all three, VMCv working together was not evident in this study. The districts' of the participants have not clearly communicated their understandings of the power of vision, mission, and core values. Participant responses indicated a gap between the typically posted 8.5 × 11 black and white typed paper on their classroom walls and their day-to-day practices in the school or district. At the conclusion of each survey experience, classroom discussions revealed in an informal assessment process that the participants did not understand the power or importance of VMCv. In some cases, participants knew that the district had written VMCv statements but were unable to articulate them. It was commonly reported that it was an exercise in futility and that their importance or purpose had never been shared with them. As one participant stated, "It was something that your district created, checked it off your list, and moved onto the next thing. I didn't know you were supposed to use it."

CONCLUSIONS

Educators at all levels acknowledge the importance of having a compelling vision and a clearly articulated mission statement, supported by core values that dictate how personnel are going to act and make decisions. Limited generalizability can be made since the results were derived from an exploratory survey instrument. The addition of follow-up focus groups and interviews would triangulate these data. Additionally, the study needs to be expanded beyond a two-state region, encompassing the element of randomization.

Additional research questions need to investigate the relationship between knowledge of the VMCv's of the school or district and their levels of actual implementation. These data do support the need for additional research in the areas of VMCv as they relate to school and district improvement, professional development, the inclusion of the board of education, and the assessment of the curriculum in Educational Leadership Departments on Standard One.

A tipping point for educational leadership programs is the realization that there is a gap between teaching about VMCv and the failure to actually implement VMCv. This results in inadequate and uneven performance across the system. The sense of urgency for quick fixes overrides the establishment and implementation of VMCv.

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Will Teacher Leadership be the “Tipping Point” for Principal Preparation Programs?

Ted Zigler and James G. Allen

INTRODUCTION

The principals of the 21st century face increasingly complex and sometimes overwhelming roles and responsibilities. They are expected to be “masters of many trades” in an era where the position is much more demanding and stressful than in previous years. Many educators would say that today’s principal position cannot be addressed successfully by one single person because of the demands on their time, the many different roles needed, the accountability demands, the school and community leadership roles, school safety, and the responsibilities of inclusion of all students. We suggest, in fact, that the principalship is at a “tipping point,” as the position has become too complex and too all-consuming for one person. If the principalship is truly at such a juncture, then the theory of “Tipping Points” would suggest “that we reframe the way we think about the world” (Gladwell, 2002, p. 257). In order to better reflect the movement toward shared leadership in the field, principal preparation programs should be preparing teachers for leadership roles right alongside principal candidates.

Principal preparation programs must model the future. Teachers and principal candidates being developed together would be a model for the working world of the schools. Quite possibly, teachers and administrators who are trained together would look at school leadership as a collaborative process, much like the comfortable manner they became used to while in preparation programs together. The programs should begin to look like what we would envision school leadership to be in the near future. School leadership should be teachers and principals working together and sharing the leadership roles and duties. The preparation programs need to start including teachers, to develop teacher leadership, alongside the development of principals. They should be working side-by-side, in their preparation and in the school.

We suggest that there is a strong need to look at educational leadership preparation programs differently. Although the few colleges and universities that have already responded with the deliberate development of teacher leadership programs are rare, most continue to operate exclusively as producers of principals. It is clear that the roles and responsibilities of the principal must be redefined from one of sole job responsibility to one that includes a team of leaders leading the school, with the principal standing side-by-side with teacher leaders. Truly, it must become shared and distributed leadership, making the position more appealing, and seemingly, more doable. If the role of the principal is truly at a “tipping point,” then principal preparation programs are at a “tipping point” as well, and must respond and reframe their programs to be inclusive of training teachers to serve in school leadership capacities. Gladwell (2002) stated that “little changes can somehow have big effects” (p.10). We will argue, in this paper, that training teachers and principals side-by-side to work in schools side-by-side is the small change that can have a profound effect.

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This article will include an exploration of the need for developing teacher leadership, some background to support the topic, and an examination of teacher leader initiatives at state, university, and school district levels and of one education degree/principal licensure program that trains teachers for leadership right along side principal candidates. Finally, implications for principal preparation programs for the future will be discussed.

SCHOOL LEADERSHIP AT THE TIPPING POINT

The roles and responsibilities of the school principal have become too complex for one person, who needs solid leadership skills and not just management skills (Murphy, 2006; Peebles, 2000; Young and Kochan, 2004). Responsibilities have been added to the job description of principals for years. For example, in recent years one can add safety, community engagement, accountability through testing, data driven decision-making, and providing for the education of special needs students, whose numbers have risen sharply. Some suggest that the days of the “principal as the lone instructional leader” are over. We no longer believe that one administrator can serve as the instructional leader for an entire school without the substantial participation of other educators” (Lambert, 2002, p. 37). It is not because school leaders do not want to help everyone, and do everything in the right way, but the numbers and the needs have become more than one person can address, and still do the job adequately.

Turnover can also create problems. Sustainability of the building leadership becomes a key issue if the positive changes taking place in schools are to keep moving forward. Often, the best principals advance to central office or are moved to another challenging building to help the district. The result is that the positive changes taking place in the buildings of these high-quality principals come to a halt. Having a team of leaders moving the school forward means that the reforms can continue and maybe even pick up pace under new leadership because the base of school leaders (teachers) are still in place. Katzenmeyer & Moller (2001) posited that “a critical mass of teacher leaders engaged in a professional learning community can maintain momentum in a school’s improvement efforts even during changes in formal, administrative leadership” (p. 7).

Historically, educational leadership preparation programs have focused on licensure for building level (principal) and district level leadership (superintendent and related central office roles). Many states require a master’s degree at some point in a teacher’s career to remain licensed. Many teachers pursuing masters’ degrees in educational leadership, however, have no intent on becoming principals or superintendents. Muth and Brown-Ferrigno (2004) completed a very informative study, which “found estimates of about 50% of students nationwide not going into school administration on completing their certificates or licenses, the ‘lost-opportunity cost’ to the preparation system is considerable” (p. 297). Having so many candidates obtain the degree/license and yet not move into the principalship is a drain on resources and energy. Both Lasley (2004) and Murphy (1992) stated that the problem is quality and quantity. Both indicate there are too many credentialed candidates, yet not enough top-quality candidates to carry out the reforms needed to improve schools. Why are good candidates moving away from the leadership position of principal? Peebles (2000) stated that:

. . .many teachers no longer aspire to become principals. From their classrooms, they are daunted by the responsibilities thrust upon principals who are required to work longer hours and weeks and whose increased responsibilities and diminution of authority are often rewarded with minimum financial compensation (Cooley & Shen,

1999; Educational Research Service, 2000; Malone & Caddell, 2000, McAdams, 1998). (p. 191)

Some teachers look at school leadership thinking they may "one day" be interested, or after their coaching career, or when their children are older. Thus, many degree holders are years away from a position. Some candidates decide they do not want to be principals due to the time and responsibilities involved. Some districts have teacher pay scales that are very close to that of beginning administrators, which has slowed the movement into the administrative positions. The question for some then becomes "why get paid the same as I did as a teacher, yet work all summer and most nights?"

Yet, these teachers *want* to lead and help with school improvements. They desire career movement without leaving the classroom. Many teachers have the desire to serve as team leaders, mentors, committee chairs, department heads, or curriculum coaches without the overwhelming responsibilities associated with the job of principal. In this capacity, teachers have tremendous opportunities to impact the greater school community.

WHERE IS TEACHER LEADERSHIP IN THE CURRENT LITERATURE?

In business, flat organizations with multiple sources of leadership are currently the model for those that can change and adapt the quickest to meet the market needs. Schools need to examine such models and utilize the best parts for building and district leadership. Whether in business or schools, the best organizations have many sources of leadership (Childs-Bowen, Moller, & Scrivner, 2000, p. 28; Marks & Printy, 2003). School reform must include teachers in leadership positions for school improvements to be permanent when a reform-minded principal moves away from that school. Teacher leadership and shared leadership is very much an integral part of the "sustainability" of changes and improvements (Donaldson, 2001; Fullan, 2005; Lambert, 2003). The move is toward having a team of leaders to direct a school, with the role of the principal serving to facilitate school leadership.

Spillane (2006) stated that distributed leadership "focuses attention on leadership practice, not just on leadership roles and functions and those who take responsibility for them. Leadership practice that takes shape in the interaction of leaders, followers, and their situation is central" (p. 14). This opportunity to redefine the roles and responsibilities of the principalship must also look at the roles and functions and not who must take responsibility. "No longer can we look at leadership as a phenomenon exclusively associated with specific roles, positions, or behavioral traits. Leadership is a complex social phenomenon manifested in many ways, and in many contexts" (Scribner, Sawyer, Watson, & Myers, 2006, p. 96).

York-Barr and Duke (2004) found in their study of teacher leadership that there was not a common definition of teacher leadership. This lack of definition of teacher leadership may actually aid in the re-definition of the role of the principal in today's schools. The chaos and push for reorganizing the principal's position may be an opportunity for a definition of teacher leadership, one that places the teacher leader alongside the principal, with many important roles and responsibilities. This may be a great opportunity for university programs to make a positive change, helping school leaders and teachers to redefine leadership in the schools. Preparation programs, which work to develop both teachers and principal-candidates together, set the tone for how it can be done in the field.

Both Murphy's (2005) and Katzenmeyer & Moller's (2001) examination of teacher leadership indicated a lack of training for teachers moving into teacher leadership roles. Although educational leadership programs continue to prepare and license principals, teacher education

programs do not prepare or develop teachers for leadership positions in the schools. The void becomes obvious when one starts to look at new ways to include more people in school building leadership, developing teams around the principal position. The principal must develop the leadership within the teams, building teacher leaders one-by-one, as well as lead the teams and the building.

According to Katzenmeyer and Moller (2001), "If teachers and principals need similar leadership skills, why are university graduate programs organized to keep the two groups separate? We believe that potential teacher and administrator leaders can learn best together" (p. 16). Though much has been written about teacher leadership and the need to redefine the principalship, we would have liked to focus on examining initiatives and programs that combined teacher leadership and principal preparation. What we found was very little true partnering of teacher education, educational leadership, district and state leadership. Thus, we will look at examples of state endorsement initiatives, teacher leadership programs run solely by teacher education departments, and a possible hybrid that could be developed into a model for teacher leadership preparation, run in combination with a principal preparation program.

TEACHER LEADER STATE ENDORSEMENTS

Some states have already responded to the need for teacher leadership training with the addition of teacher leader endorsements. Teachers in Louisiana, for example, can add a teacher leader endorsement to their licenses through the Louisiana Department of Education's "Leadership Excellence through Administrator Development" (La LEAD) initiative or through university-based Teacher Leader Endorsement programs. Louisiana's Teacher Leader Endorsement is part of a new program to develop leaders on three levels: teacher leaders, entry-level principals, and superintendents. "This endorsement reflects the theory of shared and distributed leadership and is designed to assist teachers to improve effectiveness in raising student achievement and leading faculty teams" (Harchar, Campbell, & Smith, 2006, p. 114). La LEAD is a year long program consisting of: Online and face-to-face learning experiences; Research-based strategies that address topics such as school management, using data to lead change, school and community relations, leading with technology, building and leading effective school teams; site-based learning experiences; and site-based mentors who support candidates throughout the program (Louisiana Educational Leaders Network, 2007). Upon successful completion of the La LEAD program, candidates earn Teacher Leader Endorsement certification.

Other states have also made commitments to establishing teacher leader endorsements. In Illinois, for example, the State Board, in consultation with the State Teacher Certification Board, will establish and implement a teacher leader endorsement beginning on July 1, 2007. The endorsement will be available to: (1) teachers who are certified through the National Board for Professional Teaching Standards and complete a specially designed strand of teacher leadership courses; (2) teachers who have completed a master's degree program in teacher leadership; and (3) proven teacher leaders with a master's degree who complete a specially designed strand of teacher leadership courses (Illinois School Code Act, 2006, Section 5/21-7.5).

TEACHER LEADER MASTER'S DEGREE PROGRAMS

Aside from state level endorsements, some colleges and universities across the country have developed teacher leader degree programs. The University of Illinois at Springfield, for

example, offers an online master of arts in Teacher Leadership program for teachers “who wish to assume leadership roles within and beyond the classroom but who are not interested in obtaining an administrative certificate. Courses include studies in teaching, leadership, research, technology use, and a master’s closure project” (University of Illinois Springfield, 2007, M.A. in Teacher Leadership section). Penn State offers a master of education degree in curriculum and instruction/teacher leadership for teachers wanting to maximize their leadership potential and prepare to take on new roles such as lead teacher, mentor teacher, or department head (Penn State Online, 2007). Wright State University’s Teacher Leader Program, offered all online or at off campus locations, leads to a M.Ed. degree in educational leadership and is designed for teachers who plan to remain in the classroom. Upon completion of the M.Ed., students can take additional course work to obtain an administrative license (Wright State University, 2007). Harvard’s Graduate School of Education school leadership master’s degree program is structured so that all students take a year-long proseminar in school leadership while completing course work in either the principal licensure strand, school development strand, or teacher leadership strand. The teacher leadership strand is structured for teachers wanting to take on new leadership roles without leaving teaching. Participants in this strand have the opportunity to:

- develop a deeper understanding of teaching and learning;
- enhance their understanding of school culture;
- assess the barriers to school change and develop strategies to overcome them;
- learn to utilize networks and coalitions;
- analyze new models of leadership and collegiality;
- learn to promote collaboration with parents and school administrators; and,
- reconceptualize the role that teachers, working together, might play in reforming schools (Harvard Graduate School of Education, 2007, Teacher Leadership section).

TEACHER LEADER DISTRICT LEVEL PROGRAMMING

Although a sparse number of states are moving in the direction of adding teacher leader endorsements and few universities are offering master’s programs in teacher leadership, some school districts have developed their own in-house teacher leadership training programs. In Texas, the Austin Independent School District offers a Teacher Leadership Development Program for teachers wanting to take on additional school leadership roles. Applicants must be employed by the district, have at least three years of successful teaching experience, and be able to participate in the eight full-day sessions over the course of one year. Graduates of the program have the potential to:

- Assume a more comprehensive teacher’s role, which includes becoming more knowledgeable about professional and research issues.
- Serve as instructional resource persons in the school and be available for peer coaching.
- Serve as mentors to beginning teachers. Assist them with course planning, classroom organization, delivery of instruction, and personal issues such as stress associated with entering the profession.

- As department or team leaders, recommend communication links, coordinate curriculum planning, and suggest staff development guidelines based on research findings.
- Provide the knowledge base for issues discussed in school improvement meetings.
- As members of local evaluation teams, investigate local school curriculum practices using standards and recent evaluation techniques.
- Assist with local dissemination of information about trends in curriculum research.
- Identify solutions for local problems that can lead to better schools.
- Organize action research groups and share results with other teachers and administrators (Austin Independent School District, 2007, Teacher Leadership section).

The philosophy of the program is that “teachers can be leaders in change, that school-based changes should be encouraged and rewarded, and that cohorts of teacher leaders must be formed who can lead their peers through school reform. One of the most effective ways of impacting the largest number of students is by influencing teachers” (Austin Independent School District, 2007, Teacher Leadership section).

ADAPTING A CURRENT EDUCATIONAL LEADERSHIP PROGRAM

Although the teacher leader programs highlighted to this point are deliberately structured to support teacher leader development, most programs have separate programs for principal candidates. The University of Cincinnati is looking at developing a master’s in teacher leadership, combining aspects of both programs, teacher education and educational leadership, to create a degree for those teachers who want to stay in the classroom, yet be leaders in their buildings or districts. These programs are just in their infancy and still are more talk and imagination than anything one will find in the research or publications.

A detailed examination of a program in southwest Ohio that has come to develop both teacher leaders and principals provides several interesting points to consider in making the move to developing school leaders together in the same program. Antioch University McGregor’s educational leadership program, like many principal preparation programs, was originally developed to lead to principal licensure. Completed in cohorts over a five-quarter time frame, the program requires two phases. Phase one of the program, the M.Ed. requirements, include the first of two internship experiences and courses totaling 45 quarter hours spanning three quarters. Course work during phase one of the program includes:

- Foundations of Education
- Leadership in Diverse and Democratic Schools
- Whole Child Development
- Technology and Education
- Learning and Motivation Theory
- Conflict Resolution & Consensus Building
- Supervision in a Collaborative School Community
- Facilitating Staff Development
- Research for School Improvement
- Curriculum
- School Law
- School and Community Relations
- Internship I

In phase two of the program, candidates take the additional 23 quarterhour credits and carry out work in a second internship experience. Course work during phase two of the program includes:

Early/Middle or Middle/High School Organizational Structures
Visionary School Restructuring
Instructional Leadership in Early/Middle or Middle/High Schools
Early/Middle or Middle/High School Principalship
Legal & Ethical Issues in Educational Leadership
School Finance

INTERNSHIP II FOR EARLY/MIDDLE SCHOOLS OR MIDDLE/HIGH SCHOOLS

The intersection of phase one and two of the program has been a major transition point in their NCATE assessment system. Data at this (and other points) are collected, aggregated, disaggregated, and summarized to inform staff, faculty, candidates, and external constituents on the overall effectiveness of the program. Originally developed as a combined M.Ed. and licensure program, faculty members at Antioch discovered that many of the candidates were only interested in completing the M.Ed. component of the program. "Opting out" of phase two, the principal licensure component of the program, became a regular path for teachers wanting to stay in their current roles as teachers but wanting to extend their leadership influence as mentors, department chairs, curriculum coaches, or committee leaders. Candidates in phase one of Antioch's program, including both teacher leaders and aspiring principals together, has unintentionally developed dynamic teams of educators focused on changing the face of school leadership.

Acknowledging the multiple opportunities and benefits of both groups learning side by side in phase one of the program has given faculty members an opportunity to study how best to harness this potential model and adapt the program to best meet the needs of both groups. After examining this program, a number of questions and issues arose in considering how best to meet the needs of both teacher leaders and principal candidates:

- If teacher leaders are opting out of phase two of the program to return to their schools to serve as teacher leaders, are there core components in phase two that they are missing in order to become effective teacher leaders?
- Are there unique courses that teacher leader candidates should take that are different from principal candidates?
- Teacher leaders opting out of phase two have complained that an M.Ed. in educational leadership no longer satisfies requirements for HQT ("Highly Qualified" Teacher). Could one phase of the program include both teacher leader and principal candidates together with another phase leading into separate groups (one to M.Ed. in educational leadership/principal licensure and the other to M.Ed. in curriculum and instruction/teacher leader requirements)?
- What content best serves teacher leaders and aspiring principals together? What content is best for the groups separately?

Faculty members are paying close attention to state teacher leader endorsement and university based M.Ed. in teacher leadership program requirements for guidance. Some of the feedback will be from graduates who have participated in the program for many years. This

feedback, in conjunction with best practices from the field, will ultimately shape the future of the program.

IMPLICATIONS FOR PRINCIPAL PREPARATION PROGRAMS

It appears that, in general, the job of school leader changes first with the practitioners in the field adjusting on the fly. A few years later, licensure within the state department then tries to catch up, changing standards and changing licensure requirements or licensure areas. Bringing up the rear, later yet, are the university and college preparation programs, pushed into change by the state or by controversial, but headline-grabbing, reports like the Levine report, *Educating School Leaders* (2005). Here is a chance for preparation programs to be at the front of this wave of teacher leadership, aiding school improvement and school leadership. This is not only an opportunity for leadership programs around the country to lead schools into this form of shared leadership, it is necessary for sustained school improvement. Programs of educational leadership need to lead the state and school districts in this direction. When teachers and school leaders are trained together, side-by-side, they are more likely to view school leadership as collaborative and their positions not as adversaries.

CONCLUSION

We need to reframe the manner in which we prepare school leaders, for both principals and teacher leaders, which changes the whole viewpoint of those in the field—little by little. School leadership positions must be redefined. Teachers must be in those new definitions. Educational leadership programs need to take the lead to be the “little change that has a big effect” (Gladwell, 2002, p. 10).

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NAVIGATING THE MORAL AND ETHICAL CHALLENGES

What Public School Principals Know about Educator Sexual Misconduct: Re-charting Leadership Preparation to Address Legal, Ethical, and Professional Responsibilities

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INTRODUCTION

This descriptive study explores the topic of sexual misconduct in schools as framed by these two research questions: (1) what knowledge and understanding do public school principals have of the nature of sexual misconduct against students by school personnel, and (2) what implications do the study's findings have for educational leadership preparation? A review of the literature confirms that educator sexual misconduct is an underdeveloped area of research and that sexual misconduct in schools is largely misunderstood and seriously underreported. Additional scholarly as well as practical attention is clearly needed to determine the prevalence of educator sexual misconduct in schools. Hence, this topic constitutes a "tipping point" in educational leadership with significance and value to educational administration professors and practitioners, particularly regarding legal, ethical, and professional responsibilities. Recommendations for preventative actions by school leaders are included along with policy and curriculum adaptations for leadership preparation programs. In addition to exploring what public school principals understand about educator sexual misconduct, we briefly address one Florida school district's current anti-misconduct policy and prevention training.

SOCIAL AND SCHOOL SIGNIFICANCE

Sexual misconduct against underage persons is not new, but the reporting of incidences has dominated national and international news over the past few years, suggesting an increasing menace to children in schools (Alexander & Alexander, 2001). The public trust in the nation's schools is longstanding, as is the expectation that educators are ethical and trustworthy, protecting the best interests of the students in their care (Bithel, 1991; Fossey, 1991; Hardy, 2002). The escalation of educator sexual misconduct involving students is a growing concern within the education profession. The urgency to respond effectively to what may be a growing crisis has prompted the development of policies at the district, state, and federal levels (Office for Civil Rights, 2001; Parks, 2003).

Educator sexual misconduct, defined as any behavior of a sexual nature that may constitute professional misconduct (Shakeshaft, 2004; Sutton, 2006), needs much more scholarly attention. The No Child Left Behind Act (NCLB) of 2001 (U.S. Department of Education, 2004) amended the Elementary and Secondary Education Act of 1965, precipitating the call for a national study of sexual misconduct in schools. Shakeshaft's 2004 study reported that sexual misconduct is underreported probably owing to the inadequacy of research studies,

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absence of consistent data on its prevalence, differing definitions and interpretations of sexual misconduct, as well as the failure of schools, districts, and victims to report such misconduct (McGrath, 1994; Shakeshaft, 2004; Wishnietsky, 1991). Even when cases are reported, school district leaders are reluctant to make information accessible to researchers in an effort to minimize additional distress for victims, legal liability, or negative publicity (Shakeshaft & Cohen, 1995; Shoop, 2000). Educator sexual misconduct ranges in potency from sexual comments to coerced sex (Shakeshaft, 2004; see also Shakeshaft & Cohan, 1995). Almost 10% of the students surveyed by Shakeshaft (2004) had encountered some form of sexual misconduct in their school careers.

In a landmark study that the American Association of University Women (AAUW) (1993) commissioned, more than 1,600 students from 79 schools in grades 8 through 11 were surveyed about the prevalence of sexual misconduct in school. In this study, 10% of the male respondents and 25% of the female respondents reported sexual misconduct by a school faculty or staff member. Of those students who revealed having been a victim of educator sexual misconduct, only 7% had reported the incident to someone at the school, and only 23% had reported it to a parent, suggesting such violations are underreported (Goorian, 1999; Shakeshaft & Cohan, 1995). Other studies (Hendrie, 1998; Shakeshaft, 2004; Sutton, 2004) revealed equally alarming findings:

- Nearly 43% of all educator sex offenders are women.
- Educators who performed roles requiring them to have contact with students after school were more likely to develop inappropriate relationships with students.

Clearly, the growing concern around widespread incidences of sexual misconduct has called upon leaders within school buildings and especially district offices to develop ethical preventative strategies in addition to effective guidelines and policies for responding to incidents. Some researchers (Sutton, 2006, Hurley, 2004) believe that sex between teachers and students has been sensationalized and that it may not be as prevalent as the media attention implies. However, because the frequency of sexual misconduct in schools is difficult to estimate due to underreporting, additional research is needed to determine the actual level of prevalence (Shakeshaft & Cohen, 1995). Thus, the salient factors surrounding the pervasiveness of sexual misconduct revealed in such studies include (a) that the occurrence of sexual misconduct is underreported (US DOE, 2004a), (b) that the occurrence and/or the rate of reporting is rising perhaps largely due to media attention, and (c) that the number of female perpetrators who engage in sexual misconduct against male students is greater than anticipated. The traditional view that male teachers are typically the most frequent abusers of female students continues to be challenged by the increasing number of well-publicized incidents of sexual misconduct by female teachers (Goorian & Brown, 2002).

BACKGROUND ISSUES AND CONCEPTUAL FRAMEWORK

Official sources identify sexual misconduct against students by school personnel as a major problem confronting school principals today (Shakeshaft, 2004). Although school leaders face increased responsibility for recognizing and preventing sexual misconduct among faculty, staff, and students, understanding of what constitutes sexual misconduct and its prevalence in schools is limited. Carol Shakeshaft (2004), an authority on sexual misconduct in schools, defined *educator sexual misconduct* as any behavior of a sexual nature that may constitute professional misconduct.

One of the reasons that educator sexual misconduct is underreported is the differing and ambiguous definitions that surround sexual misbehavior by adults working in schools. Under-

standing the relevant terminology is essential for clarifying the meaning of educator sexual misconduct. Researchers and practitioners use *sexual abuse*, *sexual harassment*, *sexual exploitation*, and *sexual misconduct* interchangeably partly because some definitions include others and legal meanings differ from state to state (Shakeshaft, 2004; Shakeshaft & Cohen, 1995). The operational definition we use here is *educator sexual misconduct*, which encompasses a larger set of unacceptable and unprofessional behaviors, including any behavior of a sexual nature that may constitute professional misconduct:

- Any conduct that would amount to sexual harassment under Title IX of the U.S. Education Amendments of 1972 (20 U.S.C., Sect. 1681, 34 C.F.R. part 106).
- Any conduct that would amount to sexual abuse of a minor person under state criminal codes (Cairns, 2006, p. 16).
- Any sexual relationship by an educator with a student (regardless of the student's age), with a former student under 18, or with a former student (regardless of age) who suffers from a disability that would prevent consent in a relationship. All students enrolled in the school and in any organization in which the educator holds a position of trust and responsibility are included (Cairns, 2006, p. 16).
- Any activity directed toward establishing a sexual relationship, such as sending intimate letters, engaging in sexual dialogue in person, making suggestive comments, or dating a student (Cairns, 2006, p. 16).

Despite the apparent lack of clarity regarding what constitutes educator sexual misconduct in most districts, principals are nevertheless responsible for providing ongoing training for school faculty and staff that promotes educator sexual misconduct prevention and careful investigation into student and parent complaints. School administrators are expected to be proactive rather than reactive in their efforts to prevent educator sexual misconduct by establishing clear expectations and providing constant, adequate supervision. Clearly, the quality of a principal's assessment of the school environment and appropriate screening of personnel can mean the difference between a safe, caring, and orderly learning environment and a school climate fraught with angst and apprehension. However, research on promising awareness, screening, and prevention strategies that school districts and their schools employ is scant.

MULTI-SITE CASE STUDY OF PRINCIPALS' UNDERSTANDING

Insights afforded by Shakeshaft's (2004) study of educator sexual misconduct guided this field-based study of four elementary school principals, three middle school principals, and three high school principals, all situated within a large school district in central Florida. Within this framework, we examined what administrators know about educator sexual misconduct and their district policy, what they see as their legal responsibility, and what they are expected to do should such an incidence occur at their site. In addition, we describe state legislation that affects district policy. The principals interviewed in 2005 all indicated that it was their responsibility to create a safe and caring learning environment for everyone on their campus. They saw it as their job to be able to identify inappropriate behavior, to recognize that student and staff perceptions of sexual misconduct can differ, and to follow their school district's misconduct policy.

To better comprehend the school principal's knowledge and understanding of educator sexual misconduct, it was necessary to gain in-depth perspectives from stakeholders by conducting person-to-person interviews—a research strategy that Patton (2002) advocates. The

principals interviewed responded to semi-structured questions regarding their knowledge and understanding of educator sexual misconduct and the sexual misconduct policies of the school and the school district. Interviews were audiorecorded and transcribed, and the investigators searched for recurring themes as well as noteworthy ideas and phrases (Miles & Huberman, 1994) that emerged from the information.

Demographics of Respondents

Both male and female respondents were represented at each school level. All were White with the exception of one female middle school principal who was African-American. Three schools (two elementary and one high school) housed low socioeconomic (SES) students, five schools (one elementary school, two middle schools, and two high schools) were middle class, and two schools (one elementary and one middle school located in newly developing areas) were affluent. In the lowest SES school, almost 85% of the student population qualified for free or reduced lunch, whereas only about 6% of the students qualified for free or reduced lunch in the affluent schools. Student populations ranged from approximately 600 to 1,000 for elementary; 1,400 to 1,800 for middle; and from 1,200 to 2,000 for high schools. The principals had been teachers anywhere from 8 to 26 years; most had been assistant principals for less time, ranging from 3 to 10 years. Administrators had varying levels of experience in their current roles as principals—some individuals for as short as 1.5 years and some for as long as 22 years.

Table 1 provides an overview of the thematic results of the principal interviews, which are described in some detail in this chapter.

Terminology

Data from the study confirm Shakeshaft's (2004) contention that ambiguity surrounds the very definition of educator sexual misconduct. The principal interviewees, when presented with a list of relevant descriptors (i.e., sexual abuse, sexual harassment, sexual exploitation, and sexual misconduct) preferred the term *misconduct* because they viewed it as more encompassing. A typical comment to this effect was, "I think of misconduct as being the more professional, global response. In our student handbook, harassment also defines an offense by a student. So, I see harassment as less. Misconduct is a broader concept."

Principal Understanding of Sexual Misconduct

Respondents were asked what they think school principals should know and understand about educator sexual misconduct. Nine of the 10 school leaders responded that principals must know the difference between acceptable and unacceptable behavior. As one administrator explained, principals "should have this engrained in them intrinsically. It doesn't have to come out of a book. Treat others as you would like to be treated."

Table 1. Thematic Results of the Principal Interviews (Authors, 2007).

Themes	Subtheme 1	Subtheme 2	Subtheme 3	Subtheme 4
<i>Terminology</i>	preferred term <i>sexual misconduct</i> because it is encompassing			
<i>Understanding of sexual misconduct</i>	individual can interpret the same incident differently	contextual factors and cultural norms complicate investigation	acceptable or unacceptable behavior labeled “common sense”	should recognize signs of educator sexual misconduct
<i>Knowledge of the district’s anti-misconduct policy</i>	information seemed readily available to all school stakeholders	no role in the development of school district sexual misconduct policies	responsible for enforcing misconduct policies	
<i>Responses and actions taken</i>	should be handled at the district level	urgency necessary to deal with incidences	professional responsibility to investigate reports	duty to protect the accused against false accusations
<i>Leadership preparation programs</i>	had not prepared them to address educator sexual misconduct	more on practical implications of sexual harassment and personnel issues	specific training on role of school leader in handling incidences	skills in better screening and identifying potential perpetrators
<i>District training</i>	state-mandated Code of Ethics program could be more helpful	leadership orientation and mentor/protégé program helpful	discuss with faculty and staff at pre-planning	all faculty and staff receive a manual
<i>School-based training</i>	policies not routinely shared with parents; elementary parents receive copy of handbook	policies not discussed with elementary-aged children	elementary school leaders rely on guidance counselors and outside agencies	policies discussed with middle and secondary students

Seven of the school leaders felt an administrator should be able to discern the signs of misconduct. An elementary principal commented, “I keep going back to common sense, but you can’t have all these years of training and not apply it. We are trusted to know this, to be able to recognize sexual misconduct, and I think awareness is the key.” One principal described an emotionally taxing situation at his school—this involved a former male teacher who had exhibited ongoing, inappropriate behavior toward a young boy and who was eventually terminated but for unrelated reasons, as “not enough evidence could be collected to prove anything.”

The third pattern in the data was that school leaders recognize that individuals may perceive the same situation involving sexual misconduct differently. For example, one middle school principal shared,

If a student feels a comment a teacher made was sexual in nature, they'd go home and tell their parents. Their parents would come in and maybe file a grievance. But yet, on the teacher's side, there is nothing to it, and after interviewing other kids in class, they didn't take it that way either, and so it was a student's misperception of sexual misconduct.

Thus, principals understood that contextual factors, cultural norms, and individual interpretations compound the issues involved in sexual misconduct and that these complicate an investigation.

Regarding what is acceptable or unacceptable behavior when it comes to sexual misconduct, the administrators labeled this knowledge as largely "common sense." They posited that school administrators should be able to recognize the signs of educator sexual misconduct.

Knowledge of the District's Anti-Misconduct Policy

The policy these leaders follow emanates from their school district, putting all administrators on the same page with respect to understanding the expected procedures and protocols, and the chain of command regarding professional standards, area director, school security, and so forth. The district's misconduct policy could be found in the student handbook, faculty handbook, principal's handbook, crisis management binders, and online. Importantly, the information seemed readily available to all school stakeholders. The principals unanimously highlighted two important claims about their participation in policy development around sexual misconduct: Principals have no role in the development of school district sexual misconduct policies, although it is the responsibility of these leaders to enforce misconduct policies.

When discussing their role as enforcer, the majority of principals echoed one of the administrator's comments: "I've informed people of the policy, and, when it's broken, I need to deal with it. I need to enforce it immediately." Further, all principals claimed that they follow their school district's misconduct policy, which is located in the student handbook, faculty, and principal handbook, crisis management binders, the district policy handbook, and online at the school's website.

Responses and Actions to be Taken

The principals were asked what leaders should do if an incidence of educator sexual misconduct occurs at their school, as well as what they see as the principal's professional responsibility in this area of misconduct. Because of its potentially pervasive impact, nine principals stated that sexual misconduct was something that should be handled at the district level, rather than at the building. One principal remarked that sexual misconduct was more than a simple school-based issue, adding that, "It's not like somebody coming in tardy to work." The administrators claimed that if an allegation were made against a school employee, they would immediately call the school district's professional standards office. They expected this office to investigate allegations of faculty or staff sexual misconduct. Administrators may be advised to remove such individuals from their classroom or post, to formally reprimand these employees, to recommend revocation of their teaching license, or to charge them with a criminal offense. The school leaders also stated that, after discussing the situation with their professional standards office, they would contact their area director, school security and/or local law en-

forcement, the school's guidance counselor, school social services, and anyone else who could provide support.

In addition to contacting outside offices and agencies for help, another issue that surfaced was the urgency necessary to deal with such an incidence. As one secondary administrator pointed out, "It's horrible, you need to be working on testing skills and getting kids ready for graduation or whatever they need to do, but instead you're spending all of your time dealing with the misconduct." Another leader commented: "Everything I was engaged in would stop. I'd notify professional standards immediately, assuming I've talked to the student and to his or her parents about the situation. Then I would speak to the accused teacher directly and get a written statement about what happened." An elementary principal concurred, "You'd have to deal exclusively with the one problem. It would be placed on the top burner."

The analysis also revealed that the principals believe that they have a legal, ethical, and professional responsibility to investigate reports of educator sexual misconduct. Although most of the administrators reported that they would call their professional standards offices immediately upon being made aware of an accusation of sexual misconduct at their school, they indicated a need to pursue the matter that had transpired. In the words of one high school principal,

I would need to become really clear on what the accusations are, that what is perceived is actually what happened. I'd have to make sure that I didn't leave any stones unturned, and that if there were any witnesses that I question them—I wouldn't rely on just one person.

Another theme that became evident in the data was the principals' duty to protect the accused against false accusations. A false accusation can be extremely damaging even to a veteran educator; in this vein, several respondents believed that it was their responsibility to not only protect the victim but also an alleged perpetrator. After interviewing 192 New York State superintendents and 41 superintendents throughout the United States, Shakeshaft and Cohan (1995) concluded that 7.5% of the accusations of sexual misconduct reported were unfounded. The principals interviewed mostly stated that teachers and staff need to become much more aware of educator sexual misconduct so that they do not put themselves in vulnerable positions.

Lack of Preparation in Leadership Programs

The overwhelming response received from the principals was that their graduate school programs had not adequately prepared them to address educator sexual misconduct. The majority observed that even their school law courses, a natural fit for this topic, did not deal with sexual harassment or misconduct.

Administrators were asked what might be included in university-based preparation programs to help aspiring leaders with incidences of educator sexual misconduct. Their responses emphasized the need for attention on the practical implications of sexual harassment and on personnel issues, such as hiring and firing, what can and cannot be said by administrators, and seminar courses on special topics (e.g., school liability). Their responses also suggested opportunities for administrator candidates to experience real-life applications: "It's important to provide people looking for administrative positions with some practical knowledge and experiences so that they don't walk into it blank."

District Training on Educator Sexual Misconduct

All participants referred to the state-sponsored program, Professionalism through Integrity: The Code of Ethics and the Principles of Professional Conduct of the Education Profession in Florida, a training offered by the county. The program, as provided through the district, was updated and revamped for the 2005–2006 school year, requiring that all administrators, faculty, and staff complete a 3-hour training on sexual harassment and sexual abuse. Without exception, all school employees received this inservice in advance of the school year. Two school leaders were not pleased with the school district's Code of Ethics training, citing major concerns:

This is the thing, if there are sexual deviants in the professional ranks, videos or training would probably not deter them. And for the vast majority of teachers that are so called normal, they think the ethics training is a waste of time. It's something we're required to do, and we'll do it—but it doesn't really change things.

Based on our investigations, other districts in Florida are in a similar situation concerning the training offered to school employees to combat educator sexual misconduct. The Professionalism through Integrity program is the training provided to administrators and staff more generally. No formal training is made available for parents or their children; they are expected to become educated solely through the policies outlined in parent–student handbooks.

The school district under study sponsors two orientation programs directed at aspiring school leaders. One of these, a mentor/protégé program, offers intensive assistance to instructional employees recognized as having potential for leadership positions. Mentors acknowledged from the ranks of administrators are trained to work closely with their protégés. The program provides a diagnostic battery designed to identify areas of strength and developmental needs and also includes training for individuals and groups along with released time for shadowing. The program also offers assessment of personal and leadership skills, specific feedback and professional development plans, one-on-one assistance, and support and encouragement.

In addition to a mentor–protégé program, the district sponsors new leader orientation that pairs aspiring leaders and peer mentors. This one-year program supports administrators as they undertake a new leadership position in the school district. It is designed for general leadership skills, not formal training for specific roles. The principals interviewed reported that both the district's new leadership orientation program and the new principal orientation programs provided them with ample training to handle educator sexual misconduct in their schools. However, two principals were not pleased with these orientation programs, claiming that “nothing substantial was covered.”

School-based Sexual Misconduct Training

Principals were asked whether sexual misconduct training was in place for administrators, parents, students, or staff at their school or district. They reported that beginning in kindergarten and before students return to school, the school district sets forth topics for school administrators to discuss with their faculty and staff. Each faculty member is supplied with a teacher's manual that contains the district's misconduct policy. As for other school personnel (e.g., secretaries, custodians, food service workers) each receives his or her own staff manual.

The school leaders studied are expected to disseminate the district's anti-misconduct policy. Dissemination of the district's anti-misconduct policy differs across school levels and

even within individual schools. However, three areas of differentiation in training and communication were found:

1. Misconduct policies were not routinely shared with parents.
2. Misconduct policies were not discussed with elementary-aged children.
3. Misconduct policies were discussed with middle and high school students.

In middle and high schools, teachers do discuss the student handbook with the children. Conversely, the elementary school leaders explained that they do not go over the handbook with students “as part of [their] rules and procedures” because it is against their policy to do so and because they rely on “constantly modeling good behavior.” Elementary school leaders see it as the responsibility of their trained guidance counselors and outside agencies to address educator sexual misconduct against children. Elementary principals believe that discussing sexual misconduct in classrooms is age-appropriate for children and that such matters should be referred to in-house guidance counselors or outside agencies as needed.

Parental training is an element that seems to be missing at all of the school levels. Participants stated in one way or another, “We really don’t have training for the parents.” Although the handbook is not discussed with students at the elementary level, they are given the student handbook to take home to their parents. There is no other training for parents at the elementary level, and, at the secondary levels, the manual is not sent home to parents.

Concerning training for children, the principals suggested that children should be taught how to avoid being victimized and that this instruction should be repeated yearly, beginning as early as kindergarten. As the interviews concluded, some of the principals wanted to discuss a well-publicized Florida misconduct case highlighting the power of the media to sensationalize particular episodes of educator sexual misconduct.

IMPLICATIONS FOR LEADERSHIP PRACTICE

Principal Recommendations

Analysis of the interview data from the principals revealed several overarching recommendations for prevention, response, and education on educator sexual misconduct. Responding to potential incidences of educator sexual misconduct at their schools, principals believe that principals should be able to recognize signs of misconduct and exhibit sensitivity when an educator is accused of wrongdoing, realizing that individuals’ perceptions of an incident may differ. They also indicated that they should immediately contact the district’s professional standards office—the investigative branch of human relations. They emphasized the urgency necessary to deal with such occurrences, claiming they would stop what they were doing in order to deal exclusively with the alleged misconduct. Administrators assumed a professional responsibility to investigate, indicating that it was their job to research an accusation in an effort to assist district investigators. Moreover, they believed that it is the principal’s duty to protect the accused from false accusations and to raise the awareness of educators so that they do not put themselves in defenseless situations. The principals stated that all administrators should follow their district’s misconduct policy, adding that such policies should be disseminated through parent–student handbooks. The feedback we received from the school leaders emphasized the importance of two “tipping points” with regard to the principal’s role in effectively dealing with educator sexual misconduct: knowing how to navigate policy and knowing how to navigate moral and ethical challenges.

Regarding recommendations for administrator training, the principal interviewees recommended that (a) children be taught skills that could prevent them from placing themselves

in a situation where they could be a potential victim and (b) that misconduct information sessions be repeated yearly, beginning during preplanning.

In addition to more thorough, reliable, and rigorous screening methods, administrators must not only develop new and innovative methods to monitor student–teacher relationships but also provide more inservice training for school personnel in the area of professional practices and ethics. Efforts to educate students themselves about appropriate and inappropriate adult behaviors at school, in addition to learning how to report these behaviors, are producing positive results. Questions arise about who should receive such training (i.e., how young?) and how to respond to parental concerns or objections to such training.

IMPLICATIONS FOR LEADERSHIP PREPARATION

When the school leaders were queried about their preparedness to handle sexual misconduct in schools, 80% reported that training in sexual misconduct was inadequate, focusing too much on law and legal cases and not enough on appropriate responses to such misconduct. The administrators argued for awareness building and attention on the complexities that arise during such incidences, particularly practical knowledge in handling sexually related personnel issues.

These preliminary results call for further research, but initial steps to strengthen leader preparation programs can include (a) reviewing state and district policies, (b) interviewing principals who have been involved with sexual misconduct cases, (c) building skills for accessing relevant educational and criminal databases in the screening and investigation process, and (d) designing specific training in conducting investigations that protect both the victim and the accused. The principal interviewees provided glimpses into navigating the future through new forms of practice, a third tipping point that must be plotted by those who educate future leaders of schools and districts.

IMPLICATIONS FOR POLICY AND LAW

Additional legislation for both prevention of and response to educator sexual misconduct and crimes against children may be indicated by this and other studies. Increased attention to sexual misconduct in schools has resulted in passing new laws and enforcing existing laws more rigorously. This action has also created greater freedom to question or monitor behaviors and to probe the backgrounds of those who work or hope to work in schools. All states require criminal background checks in some form as a part of the screening process for certifying or hiring teacher candidates; however, some states have begun to allow, even encourage, more scrutiny of school employees beyond the hiring phase: “The recent rise in high-profile incidents of teacher misconduct involving students has given cause for school officials to develop a more formative and proactive approach to monitoring and shaping appropriate teacher-student relations ...” (Sutton, 2004, p. 8). School board policies on sexual harassment and teacher–student relations are thorough and detailed, which, ideally speaking, should be sufficient to guide professional educators in their responsibility in developing and protecting children, however, some educators can be expected to violate their fiduciary responsibility to educate children.

In response to increased prevalence and/or national attention, state departments of education and school districts have strengthened their laws, policies, and procedures (Parks, 2003; Walsh, 1999). Jessica’s Law in Florida, for example, requires that all visitors to schools wear a badge and be fingerprinted. Many states are also requiring that local school officials inform the professional practice board if an educator leaves a teaching position due to suspicions of educator sexual misconduct, even if not formally charged (Hendrie, 2003). Official databases

of teachers who have left their jobs voluntarily or who have been removed due to sexual misconduct should serve to strengthen the initial screening process. The national register for sex offenders may have the same effect.

The school district featured in our study updated its Code of Ethics training in 2005, possibly in response to the onslaught of media attention about sexual predators. The Jessica Lunsford Act, passed by the 2005 Florida Legislature following Jessica Lunsford's murder in Florida, focuses primarily on increasing measures used to monitor sexual offenders or predators. The crime was allegedly committed by an individual who had previously worked as a subcontracted mason at Jessica's school. Part of the Act specifically relates to individuals with access to school district campuses when students are present. The responsibility remains with school district personnel to ensure that campuses are accessed only by properly screened and approved individuals.

On March 8, 2006, the House of Representatives approved a broad public safety bill that would allow school leaders in all states to check the backgrounds of prospective educators and other school employees or volunteers against the national criminal database maintained by the FBI (Women's Policy, Inc., 2006). Many school leaders use crime databases in their home states, but administrators in 21 states do not have access to the federal crime database because their state does not participate in a special compact that allows for sharing of criminal records across states (Women's Policy, Inc., 2006). California, for example, has not joined the National Crime Prevention and Privacy Compact due to privacy rights concerns. As of July 26, 2005, the Children's Safety and Violent Crime Reduction Act of 2005 awaits action in the Senate. If passed, it will then be signed into law by the President (Women's Policy, Inc., 2006). The bill may serve as another tool to help administrators responsible for hiring at their schools. Educators who are child predators are known to move across state lines (US DOE, 2004a). School administrators who are not restricted to using only their state crime databases have access to invaluable information about prospective employees, a resource that would be of particular service to new schools and to those experiencing high personnel turnover. These and other related legislative developments suggest that although momentum has occurred within the political and policy context, this "tipping point" needs additional attention if educator sexual misconduct is to be detected and subsequently prevented.

Finally, many currently practicing principals probably believe that they hold the moral and legal responsibility for raising school employee awareness as well as for preventing educator sexual misconduct where possible and bringing resolution in such incidences. Greater recognition of the prevalence of educator sexual misconduct in schools and of the need to counter such harm against children suggests that this effort should be a district- and community-wide commitment involving multiple stakeholder groups. Clearly, substantive dialogue is needed among practitioners, researchers, professors, policymakers, parents, community activists, organizational leaders, and others to help raise awareness about and prevention of educator sexual misconduct against students.

AUTHORS' NOTES

¹The complete set of data that the case study alludes to and summarizes is available in Sylvia Sonja Cairns' unpublished dissertation (see references).

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How to Bring Our Educational Administration Programs Out of the 20th Century: A Moral Imperative Reflections on the Levine and Murphy Recommendations

*“You can’t be what you can’t see”
-Marian Wright Edelman (Founder and
President, Children’s Defense Fund)*

Effie N. Christie

The time has come for a cultural evolution. There is a moral imperative to develop and study leadership theory that includes the work experiences and voices of women.

INTRODUCTION

Rhode (2003) said it best in the following quote, “Although women have made tremendous progress over the last several decades, they remain underrepresented at the top and overrepresented at the bottom in both the public and private sectors” (p. 6).

In order to understand why fewer women than men hold the position of school superintendent on a national level, one must first investigate the conceptual framework of present-day leadership theory. Aside from the research that has been conducted largely based on military and corporate samples, few samples have included women. When women are included in the samples “Females are viewed as ‘other’ or rendered invisible in this male-defined perspective” (Shakeshaft, 1987, p.152). This factor has led several theorists to conclude that these methodological practices “have resulted in impoverished theories” (Shakeshaft, 1987, p. 149). Shakeshaft (1987) assertively outlined the “overt or covert” androcentric language and methods prevalent in organizational and leadership theory resulting in an exclusion of women’s approaches to administrative tasks (p. 96). Although women are only one of the minority groups disenfranchised from the discussion of the meaning of leadership, scientific thought continues to claim the standard based on white male studies in this area of scholarship (Shakeshaft, 1987). In the current educational administration programs, male-based theory and research dominate the typical syllabus with little or no mention of the female experience (Grogan, 1996; Shakeshaft, 1987; Tallerico, 2000).

This is not an essay that pits male against female nor is it a suggestion that the current theories should be disregarded or discarded. Rather, it is a wake-up call to recognize the inequities and biases women face in the field of educational administration, as well as the social construct that undergirds our educational administration programs creating a “macho” scholarship that is imbalanced, adversely affecting the career aspirations of the majority female graduate student population in our colleges and universities. While Jerome Murphy (2006), and Arthur Levine (2006) called for strategic changes in how our colleges and universities prepare students for the challenges of an administrative career, neither one addressed the more critical issue of the absence of women in the superintendent ranks. This paper will discuss the

gender stereotypes that “. . .influence beliefs, behaviors, and self-concepts at both conscious and unconscious levels” (Rhode, 2003, pp. 7–8), as well as invite discussions within and amongst the graduate educational administration programs that likewise have not addressed the causes for the underrepresentation of women in the superintendency. “Perceptions of leadership ability are inescapably affected by these stereotypes, which work against women’s advancements in several respects” (Rhode, p. 8). Since the 1990s, two bodies of scholarship have explored gender differences in opportunities and gender differences in how leadership is exercised by women, including the differences in styles, effectiveness and priorities (Rhode, 2003). Yet, in spite of the lack of consensus amongst researchers and theorists as to what exactly constitutes an effective leader, women leadership theories and research continue to be neglected in the discussion.

THEORIES AND THEORISTS

“Whether or not the process is intentional or subliminal, the end result is the same in the majority of the work examined: Women are not included” (Shakeshaft, 1987, p. 152). Shakeshaft (1987), in her text *Women in Educational Administration*, thoroughly described the male orientation and development of the five most frequently mentioned theories cited in educational administration leadership as follows: Fred Fiedler’s theory of leadership effectiveness, Abraham Maslow’s theory of human motivation, Jacob Getzel’s and Egon Guba’s social systems model, John Hemphill and Alvin Coon’s leader behavior description questionnaire, and Andrew Halpin’s organizational climate description questionnaire. Add to this list, Kouzer and Posner’s five essential practices that profile a transformational leadership style. Leading theorists in the field, including Yukl (1989), viewed transformational leadership as a model that can transform followers to adopt new values (Bennis & Nanus, 1985; Sergiovanni, 1991). Because these theories rely on research that is primarily male-based, excluding females and their experiences, there is a conceptual weakness found in the researchers’ “narrowness of perspective” (Shakeshaft, 1987, p. 152).

Shakeshaft (1987) also noted that “the literature upon which most authors based their work was never reviewed or discussed in light of gender issues. Consequently, many researchers based their investigations of both males and females on theory formulated only on males,” (p.162). While Yukl acknowledged the confused state of affairs inherent in the literature related to leadership theory, his text *Leadership in organizations* (1998) cited numerous outdated theories and discussed “taxonomies of effective leader behavior” while admitting that there is no “single taxonomy that is the right one” (p. 495). The most blatant example of gender bias was Yukl’s discussion of “heroic versus shared leadership.” Yukl stated, “The importance of a systems perspective is supported by research on power struggles and political processes in organizations” (p. 504). He cited studies by Mintzberg (1983) and Pfeffer (1981), periods in American history that had minimal participation by women in any political arena. He discussed shared leadership with more studies that were dated from 1984 through 1989. He also admitted, however, that “. . .new research methods may be needed to describe and analyze the complex nature of leadership processes in social systems” (Yukl, 1998, p. 505). Yukl (1998) briefly discussed gender differences in his text in a chapter appropriately called, *Gender Differences in Leadership* (pp. 506–507). He stated that if there are differences between men and women in “skills, traits and behaviors relevant for leadership effectiveness” then these could be the influence of biologically based differences caused in early childhood or that “differential stereotypes about men and women result in different role expectations about how they should act, and the role expectations influence actual behavior by the leaders

and perception of that behavior by others” (p. 506). He called for more studies on “sex-based differences” which at present he said are inconclusive and stated that any future studies “should report the magnitude of any differences” (p. 507). “More and better research is needed on this interesting and relevant topic. Future studies on sex-based differences should control for effects of likely contaminating variables, report the magnitude of any differences, and measure processes that provide insight into the reasons for any differences” (Yukl, 1998, p. 507). One can conclude from Yukl’s statements that the “difference” to be reported is whatever is different from the norm, the male norm of leadership. While greater attention has been paid recently to leadership concepts that encourage a more democratic leadership process, there has been no departure from the military or the single “heroic” prototypes, ensuring that “the paternal relationships between members of the organization prevails, despite efforts to incorporate a more gender-neutral conception of leadership” (Grogan, 1996, pp. 169–172).

Another issue regarding today’s studies and coursework on leadership arises from the dates of many of these studies, most of which pre-date the visibility of women in administrative positions: House (1971), Vroom and Jago (1988), Vroom and Yelton (1973), Stogdill (1948), Yukl (1989), and Bass (1985) are all studies of leadership conducted by men on the male prototype. The current discourse in leadership programs make reference and rely heavily on these foundation theorists of over thirty years ago. “Even when subsequent research has tried to account for the effect of gender, the findings and interpretations were tainted by the androcentrism of the primary research” (Shakeshaft, 1987, p. 162). Grogan (1996) devoted a chapter to the subject of leadership in her book, *Voices of Women Aspiring to the Superintendency*. Grogan offered the following explanation by Bass (1981) who was not convinced of any significant contribution to leadership that could be made by women in his update of Stodgill’s 1974 *Handbook of Leadership: Theory and Research*, in the following statement: “...lack of as much experience in team sports as men have had, limits the ability of women to participate effectively in management teams (Bass, 1981, p. 492, as cited in Grogan, 1996, p. 170). Bass’s argument contended that women are “handicapped by their lower status, their emotional outbursts and their inability to match the stereotype of the effective manager, which is one of competence, toughness, and lack of warmth” (Bass, 1981, p. 45, as cited in Grogan, 1996, p. 170). Why then, should women graduate students devote any time to studying Bass?

Until recently few studies have looked at leadership behaviors or the perceptions of leadership other than the stereotypical, traditional male style. Women aspiring to the superintendency do not act like their male counterparts and may not meet the expectations of those who are responsible for the recruitment, identification, and hiring of the administrator (Dana & Bourisaw, 2006; Grogan, 1996). It is true that women in school administration often “operate in silence or stifle activist discourse about and among women” (Skrla, Scott & Benestante, 2001, p. 123), which is explained as a “...by-product of the male-dominated culture of educational administration in which women learn that they are out of place and should keep quiet” (West & Zimmerman, 1991 as cited in Skrla, et al., 2001, p. 123). Grogan raised the question that is the theme of this paper in her statement related to leadership characteristics, “...it is particularly important to consider how leadership has been customarily thought of up until now, at least in the literature and in some administration preparation programs” (1996, p. 166).

THE ROLE OF WOMEN IN THE FIELD OF EDUCATIONAL LEADERSHIP

Certainly in this era of gender equality and career opportunities open to both sexes, the numbers of females in comparison to males still leaves open many questions. Why is it that

the teaching profession is dominated by females, yet so few who may aspire to the superintendency finally reach the administrative pinnacle of the profession, the superintendency? In a national study conducted by the American Association of School Administrators (Glass, 2000), out of 13,728 superintendents nationally, only 1,984 were women; although, 72 percent of all K–12 educators in this country were women. Is it possible that fewer women than men aspire to be a superintendent in this day and age or are there other reasons and hidden biases that restrict and de-motivate the female aspirant? Is it possible that the domination of male professors, who were the former superintendents, now in the graduate educational leadership programs charged with the preparation of future superintendents, model and promulgate the male prototype of leadership? Is it possible that educational leadership departments, through male domination in the lecture halls, in theory and practice as well as reliance on the classic leadership texts, are creating yet another barrier for aspiring female administrators (Glass, 2000, June)? These are rhetorical questions that require further inquiry and research.

Glass (2000), in the study of women superintendents as part of the AASA study, discussed cracking the “glass ceiling,” a term often used to describe the female superintendent’s success in reaching the mountaintop peak. One may assume, considering the research into the subject of leadership and gender, that besides the “glass ceiling” there may be a more treacherous mountaintop that challenges today’s women enrolled in graduate programs, namely, the androcentric dominated university academia teaching the male-centered educational leadership coursework. “Coursework in higher education is still based primarily on the traditional male model of leadership, which has stressed managerial efficiency over instruction and community engagement” (Grogan, 2005, p. 46). Additionally, the sparse visibility of successful female administrators who have lived the superintendent’s life, actively teaching and leading educational leadership departments, could be another hidden barrier to more females entering the fray of this career path. Brunner (1998) targeted the lack of role models for women also cited in the literature, which could be part of the reason women do not enter the superintendency.

A review of the twenty-fourth edition of the *Educational Administration Directory* of the National Council of Professors of Educational Administration for the years 2005–2006 (Creighton, et al., Eds.) further validated the assumption that departments of educational administration were headed by a male majority in a two to one ratio. The following titles were counted for approximately 394 colleges and universities in the United States: coordinator, head, chair and interim. There were 181 males as opposed to 98 females listed in the directory. It would be insightful to survey all faculty, including adjuncts, teaching educational leadership theory coursework by gender and administrative experience.

In order to eliminate prevailing stereotypes, more women superintendent role models should be engaged in mentoring women graduate students and teaching coursework in the nation’s graduate schools of education as part of each university’s reconstruct of its programs. According to Blake-Beard in her article, the inextricable link between mentoring and leadership, “Mentoring is a critical tool in the career development of women” (2005, p. 101). Of even greater importance is the moral urgency for all professors of educational leadership, male and female, to dispel the myths of the prevailing biased scholarship. Wilson (2006) in her book, *Closing the Leadership Gap*, wrote, “Do women lead differently? Yes, we do, whether from learned responses or lack of testosterone, and it is a hot underground topic for women at the top” (p. 3). She continued, “And so we find ourselves wedged into stereotypes, often acting against female values, trying to fit the male definition of leadership. It has come at a cost, but it has allowed us to slowly infiltrate the locker rooms of business and politics an inch at a time” (p. 3).

Even more troubling is the difference in the views between female and male superintendents as to whether or not discriminatory practices and barriers exist for women in the superintendency. In a study conducted by the American Association of School Administrators, “The majority of men in the 2000 sample believe that most of the barriers listed are not factors limiting administrative opportunities for women; however, the women themselves reported all to be either important or somewhat important factors” (Glass, Bjork, Brunner, 2000, p. 89). The report concluded that increasing the numbers of women in the superintendency will be more difficult because “...if male superintendents do not believe that women face discrimination and/or barriers that limit their administrative opportunities, they are less likely to understand the need for them to mentor and encourage women” (Glass, et al., 2000, p. 89).

REFLECTIONS ON LEVINE AND MURPHY

Dr. Arthur Levine (2006) recently issued a scathing report on the university-based educational leadership and school administration programs pointing to numerous inadequacies; however, the report did not focus on gender issues in any aspect. The absence of the gender discussion in Levine’s report parallels Bass’s negligence to include the topic of gender in his update of Stogdill’s 1974 *Handbook of Leadership and Research* (Grogan, 1996, p.170). Jerome T. Murphy (2006) recommended a re-design of the Ed.D. program in his article, *Elephants or Dinosaurs?* There is, however, no discussion of a more current definition of leadership based on the contributions of women to the field in his analysis of educational leadership programs. “For many policy experts, the persistent shortage of women at the highest levels of a field otherwise dominated by women—as teachers, principals, and central-office administrators—is one of the most troubling leadership issues in public education” (Keller, 1999).

Murphy (2006) described his ALL program, Administrative Leaders for Learning, with a mission to “develop a corps of exceptional leaders for tomorrow’s schools with a special focus on serving youths in underserved school systems. ALL would seek to educate leaders who can mobilize others and bring out their best, not lone-wolf saviors who provide top-down answers” (p. 531). Murphy appeared to believe that moving chess pieces about on the board can create the type of leaders we want and need, again making no mention of the gender issue that should be addressed in a dialogue focused on the improvement of educational leadership programs. “In evaluating the development of educational leadership and management as a field, there is an over-reliance placed on prescription and opinion, on the one hand, and the underdevelopment of theory, especially empirically supported theory on the other” (Dimmock & Walker, 2005, p. 13).

The selection process for Murphy’s leadership types would include the potential candidate’s vision of a career as a top administrative leader, a vision few women have in the present-day framework of university administrative programs (Dana & Bourisaw, 2006; Grogan, 1996). Chase (1995) verified this observation by stating that “Researchers demonstrate that gender and racial stratification in schools is maintained by differential access to opportunities for advancement, subtle and blatant forms of sex and racial or ethnic discrimination, and white men’s control over gatekeeping positions” (p. 36). Murphy’s ALL program maintains the status quo with a few tweaks. In his article, he discussed the “bad old days” with “networks of good ol’ boys who were exclusively white males promoting and protecting their own” (p. 534) as if this were no longer true. Contrary to what Murphy may or may not believe, the so called “good ol’boys” is still the present day (Rhode, 2003). Murphy’s proposed “solution” to improve the preparation of the top administrative leaders in education through a revamping of department of educational leadership programs did not address the fact that only

13.1% of the superintendents are women, nor did the recommendations mention gender as an issue to be investigated or discussed as part of a university leadership program.

WOMEN SUPERINTENDENTS AT-RISK

It is no secret that women have not had an easy road either to the superintendency or out of it (Dana and Bourisaw, 2006; Tallerico and Burstyn, 1996). While there has been an increase in the number of women enrolling in educational administration university programs, "...the number of female superintendents has remained fairly stagnant over the years, at about 13% "(Bourisaw, 2005; Glass, 2000). Although there is evidence to suggest that school boards are becoming more open to the hiring of female and minority candidates (Tallerico, 2000), gender remains a hidden criterion for school boards during the hiring process, even though it is a subject rarely discussed openly by school boards (Dana & Bourisaw, 2006). According to the 2000 AASA study, the composition of school boards is still male majority (Glass, 2000, June). As a result, "women superintendents perceive some restrictive forces working against them being hired by boards" (Glass, 2000). The female superintendents surveyed in the study reported that "school board members do not see them as strong managers and seventy-six percent felt school boards did not see them as capable of handling district finances. Sixty-one percent felt that a glass ceiling existed in school management which lessened the chances of being selected" (Glass, 2000).

According to a 2002 survey published by the National School Boards Association, 15.8 percent of school superintendents nationally were female, an increase of 11.2 percent from 1992 to 2002 (Coumbe, 2005). Although females have begun to crack the "glass ceiling," many are discouraged from preparing for the superintendency because "...school boards will not hire them" (Glass, 2000). In fact, Bastas-Christie (1997) documented discrimination in every aspect of the hiring process from the paper screening on the part of the gatekeepers, a.k.a. search committees, to the boards and/or community groups that ultimately interviewed and hired the superintendent. In an *Education Week* article, Gerwetz (2006) reported on the resignation of three prominent African American female superintendents that sparked a debate over the tenuous and uncertain status of a female at the helm of any district. "Current and former such leaders said in interviews that grappling with negative assumptions and having constantly to prove they were capable, made the already difficult job of superintendent that much tougher" (Gewertz, 2006). It would appear, based on these observations, that the entire field is littered with obstacles that have to be negotiated even after appointment.

CULTURE AND THE WINDS OF CHANGE

Educational leadership programs support the institutional paradigm of culture and change embedded in the ISLLC (Interstate School Leaders Licensure Consortium) Standards (1996). Standard Six states: "A school administrator is an educational leader who promotes the success of all students by understanding, responding to, and influencing the larger political, social, academic, legal and cultural context." Although academic graduate programs support and promulgate this standard dealing with schools, they appear to reject promoting the success of all graduate students, female as well as male, by not responding to the political, social, legal, or cultural issues inherent in the sociological paradox of the sparse numbers of female superintendents. "It has assumed the male experience can be generalized to explain all human behavior" (Iselt, Brown & Irby, 2001, p. 56). Further, "the current theories taught in administrative preparation programs are negatively impacting the field because they: (a) do not reflect

currently advocated leadership practice; (b) do not address the concerns, needs, or realities of women; (c) perpetuate the barriers that women encounter; and (d) do not prepare women or men to create and work effectively in inclusive systems” (Brown & Irby, 1995, pp. 42-43, as cited in Iselt, et al, 2001, p. 56). A change in culture requires that a society evaluate its norms and values. This evaluation requires the flexibility to recognize and modify the larger society and the smaller unit, the organization. “When the two levels of culture—societal and organizational—are brought together, the resultant fusion is complex and difficult to comprehend. Organizations exist within, and are integral parts of, societies; hence, people who live in a society and work in an organization bring their cultural values with them into the organization” (Dimmock and Walker, 2005, p. 8). It is difficult, then, if not impossible, to separate the organization’s culture from the larger society, which becomes part of the complexity of improving a woman’s ability to ascend to the superintendency. Rhode (2003) stated, “Gender inequalities in leadership opportunities are pervasive; perceptions of inequality are not” (p. 6).

There is a cultural view of a woman’s place in society, which continues to stagnate and suffocate women’s aspirations to the superintendency. Congruent with this reality is the illusion of equity in the organizations that prepare and educate graduate students because they lack the organizational courage to change the culture within that organization. The schools of higher education that speak to nurturing and educating future change agents for tomorrow’s schools are themselves embedded in their own existence and the rigidity of scholarship that reinforces the status quo.

Societal culture is a further element complicating the concept of leadership, one that has gone largely unrecognized until recently. However, from the present sketchy knowledge base, it is becoming clear that the meaning of leadership varies across different societal cultures. It is not just the meaning of the concept that differs cross-culturally. Differences extend in the ways in which its exercise is manifested in different values, thoughts, acts and behaviours across societies and their organizations. (Dimmock & Walker, 2005, p. 12)

Dimmock and Walker spoke of leadership in a global context; however, this discussion is easily related to gender because both are pivoted on the mores, norms, and anxieties of society. The acculturation of women into the larger society has not occurred because women have always had a perceived place in American society. Women have fought for their inclusion through the suffrage movement, the courts, and the feminist movement. This being the case, the sociological perspective of how women should behave in a society’s organizational framework can greatly influence the community’s reaction to leadership when a woman wants to be the leader.

THE MORAL IMPERATIVE

Taking into account the slight increase in female attainment of the position of superintendent in the past five years, one cannot help but consider the comparison between the rank and file in the teacher ranks and the superintendent’s position (Glass, 2000). Based on this information alone, one wonders and is perplexed as to why women have advanced only slightly in the administrative ranks. Mandel (2003) cited women’s “scarcity in the pipeline” and attributed it in part to “...a profound and understandable mistrust of traditional institutions, those structures built by and for powerful men in a culture of second-class citizenship for women” (p. 69). Some assume that women do not aspire to the superintendency either because they

prefer the more traditional role of wife, mother, teacher or they are not “socialized” to deal with a typically male role (Rhode, 2003). Contrary to popular thought, this is not the case. In fact, “Women do aspire to the superintendency. Not only that but, they are successful in the position and they enjoy the work” (Grogan, 2005).

The next question is whether or not women are adequately prepared and attain the scholarship levels of their male counterparts to take on the superintendency. In a *New York Times* article, Lewin (2006, p. 1) cited Department of Education statistics that showed men were less likely to complete their bachelor’s degrees “...and among those who do, fewer complete their degree in four or five years. Men also get worse grades than women” (p. 1). Lewin also cited two national studies where college men “reported that they studied less and socialized more than their female classmates” (p. 1). Overall, women are also walking off with most of the honors degrees. The Pell Institute for the Study of Opportunity in Higher Education in Washington reported that “The boys are where they were thirty years ago, but the girls are just on a tear, doing much, much better,” (Lewin, 2006, p.16). In this same article Mead, the author of a report for Education Sector, a Washington Policy Center, suggested that the recent concern for boys not doing as well as girls in school “might reflect some people’s nervousness about women’s achievement” (Lewin, 2006, p. 16). According to the report, male students relied on their gender and a strong handshake to land the job with more money after college rather than grades or honors received at graduation. Yet, the talent pool of women available and capable of succeeding in top level educational positions has been overlooked or rejected for a variety of reasons, one of which could very well be the absence of a validation of the woman’s “place” in leadership studies.

Although there are few surprises in the *New York Times* article or the statistics reported for the disproportionate numbers of females v. males attaining superintendents’ positions, little has happened to reform programs or coursework that will eradicate or at least equalize opportunities for women in securing these positions. When the term “leadership” is used, is the vision a male or female prototype? The truth is, like it or not, the vision is male although the politically correct “she/he” is used to cover all bases. Beyond the leadership terminology, there is the issue of preparation of the female student for the expectancy of the leadership role. Dana and Bourisaw (2006) supported the urgent need to better prepare female students for this leadership role with more specialized coursework and/or modules that will enable them to study and understand the predictable situations in which they will find themselves. Dana and Bourisaw stated “...one striking, but not surprising, observation is that preparatory programs need to improve doctoral candidates’ development as practitioners. In particular, administrators need to acquire skills in identifying and analyzing the cultures where they will be working” (p. 29). These researchers asserted that “...strong leadership may not be enough—at least in part because women’s leadership style typically differs from that of men” (p. 29). Further, there is sufficient evidence in their research to support what was suspected in Bastas-Christie’s (1997) study of the perceptions of board of education members towards female superintendents, that there is gender bias from women board members as well as men because they are not always supportive of “other women in getting and keeping a superintendency” (Dana & Bourisaw, 2006, p. 29).

Gilligan (1993) pointed out the difference between men and women in a study conducted by Norma Haan and Constance Holstein in 1976 on the issue of moral judgments of adolescents and their parents over a three year period. They concluded that “the moral judgments of women differ from those of men in the greater extent to which women’s judgments are tied to feelings of empathy and compassion and are concerned with the resolution of real as opposed to hypothetical dilemmas” (p. 69). Gilligan stated, “However, as long as the categories by

which development is assessed are derived from research on men, divergence from the masculine standard can be seen only as a failure of development” (pp. 69-70).

Educational leadership graduate programs find themselves in a dilemma, one of a well established biased discourse, a field of study that has excluded the female sense of self through a misguided study of androcentric leadership theories and judgments. This concern should not be viewed by the establishment as arrogance or a departure from the foundations of theory espoused by the syllabi of the educational leadership departments, but rather, as an opportunity to include women’s voices in the dialogue for the greater good of all students, male as well as female.

CONCLUSION

Graduate schools of education need to take a long, hard look at the leadership theories that are espoused, as well as the coursework being taught and who is teaching it. No longer can graduate educational administration programs promulgate the male dominance of their departments when it is clear that to continue the status quo will keep women students at a disadvantage in competition with men for the position of superintendent. Dimmock and Walker (2005) were critical of current educational leadership theory because it is grounded on Anglo-American societal mores and norms. They believed that societal culture aspects should be incorporated “. . .in redefining and refining the field” (p. 13). This author agrees that in addition to recognizing that the concept of leadership is based on a society’s culture, it is also conceptualized by gender, which inevitably becomes part of the desired culture. These aspects should be considered in the further development of the literature relating to leadership and organizational theory.

While the gender paradox in the nation’s colleges and universities persists, graduate schools of education can empower and enable more women to become successful in the superintendency. This can be done by (a) understanding the ramifications and impact of society’s cultural biases towards female leadership; (b) hiring more retired and current female superintendents to teach and lead in educational leadership programs at the college and university levels; (c) constructing new courses to address the sociological factors that are known to undermine females in leadership positions; (d) advocating and supporting women superintendents through workshops and information sessions to sensitize boards and communities, including search firms, to the internal and external biases held in communities towards women in leadership positions; (e) developing research studies on leadership and organizational practice that include women leaders; (f) providing opportunities for both men and women superintendent aspirants to discourse on the issues of gender bias and societal perceptions. It is only through these assertive and pro-active efforts on the part of the higher education communities that the gender paradox can finally be recognized, discussed, and incorporated into the design of educational leadership programs. Today, women make up the majority of graduate students in educational administration programs. The time has come for a cultural evolution.

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Reclaiming the Concepts of Calling, Profession, and Professional Obligations: A Mindful Pedagogy for Teaching the Ethics of School Administration to Future and Practicing School Leaders

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INTRODUCTION

As the educational leadership profession examines the essential knowledge, skills, and dispositions necessary to become a successful school leader, the field of ethics has become primary to the conversation. Questions as to what should be taught—ethics, ethical decision-making and/or social justice—who should teach the subject matter—philosophers or applied ethicists—and how it should be taught—as a spiraling thread throughout the coursework, as a stand-alone course, or as an applied concept to a particular facet of educational leadership—result in worthwhile queries to consider. Within the *2006 Interim Report of the Joint Research Taskforce on Educational Leadership Preparation* the teaching of ethics to future and current school administrators is seen as a vital area for education, inquiry, and research within five of the ten taskforce study domain areas. Spurred on by the 2005 Levine Report, professional organizations within educational administration have come together to chart an agenda for research and teaching within the field of educational leadership. Meanwhile, practitioners within the field are at the tipping point as they try to navigate within the murky waters of high-stakes testing, collective bargaining, and fish-bowl accountability while simultaneously acting in the “best interest of the child” (Stekovich, 2006). As philosophy, pedagogy and methodology are debated, future and current administrators need to engage in this critical learning and conversation immediately in order to lead in today’s educational institutions.

It is incumbent upon educational leadership programs to identify effective methods for educating students ensuring that school administration becomes a truly ethical and moral endeavor. In response to this need, a course was developed using ethics as an applied concept to a particular facet of educational leadership, human resource management, to build ethical awareness, reasoning, motivation, and implementation skills (Rest, Narvaez, Bebeau, & Thomas, 1999). By applying the content of ethical decision-making to the context of human resource management in schools, with a focus on the concepts of calling, profession, and professional obligations, this paper describes a model to mindfully teach ethics to future and practicing school administrators.

REVIEW OF THE LITERATURE

Best Practice

The literature on best practice in educational administration is intended to guide practitioners in creating ethical educational institutions. The literature on creating a shared vision (Barth, 1990; Fullan, 2001; Senge, 2005;), reframing (Bolman & Deal, 2003), trust-building (Ackerman & Maslin-Ostowski, 2002; Kochanek, 2005), collaboration (Gardner, 1990; Reeves, 2006; Schmoker, 2006), evidence-based decision-making (Marzano, Waters, and

McNulty, 2005; Strike, 2007; Zmuda, Kuklis, & Kline, 2004) and fostering professional learning communities (Johnson, 2005; Senge, 1990; Sergiovanni, 1994) all have at their base the concept of a leader who behaves with integrity and ethics. A cursory review of these foundational ingredients within the educational leadership literature, (Begley, 2004; Bolman & Dea, 2003; Ciulla, 2003; Fullan, 2003; Noddings, 1999; Sergiovanni, 1992; Starratt, 2004; Strike, Haller, & Soltis, 2005), speaks to the idea of moral leadership and leading from the heart and with passion. The idea of the leader “knowing and doing what is right” is implicit in this literature. The concept of integrity and the integration of knowledge and passion as a framework for moral leadership is discussed. The ideas of value-maximizing, deontology, ethic of care, and ethic of critique are explained, and cases are presented to introduce students to the concepts of immediate rewards and punishments versus the concepts of due process and respect for persons.

This literature and subsequent discussions presume that the reader, the student, or practicing administrator already has well-developed ethical schema to process difficult ethical dilemmas that occur repeatedly throughout the school day. However, this presumption may be dubious. The daily news and journals are replete with tales concerning school districts where the brightest administrators have failed miserably due to a display of unethical behavior. Additionally, in this ever-litigious world, the student of school administration and practicing administrator may rely on the concept of legal moralism to defend their decisions rather than ethical principals. Nowhere is this more evident than in the realm of human resources and federally mandated reform, where legislation, contracts, and unions rule (Strike, 2007). The mission of public education is to provide an education that will result in an educated, productive, and democratic citizenry (Winship, 1896). Yet, the mission of resource management and federally mandated reform in schools is to avoid conflict, grievances, and lawsuits (Reeves, 2004). The two missions are contradictory in nature and application bringing practitioners to the tipping point in their work. If it is to be relevant in the real-world of school administration, educational leadership preparation coursework must bridge best practice theory with the facts on the ground (Murphy, 2005).

ISLLC Standards and NCATE accreditation

The Interstate School Leaders Licensure Consortium (ISLLC) Standards together with the National Council of the Accreditation of Teacher Education (NCATE) are the building blocks for course creation within the field of educational administration. Standard 5 states: A school administrator is an educational leader who promotes the success of all students by acting with integrity, fairness, and in an ethical manner (ISLLC, 1997; NCATE, 2002). As programs of study align their courses and subsequent syllabi with the six ISLLC standards to achieve NCATE approval, often times, ethics is infused in the coursework rather than taught in a stand-alone course in order to keep course number requirements at a cost feasible amount (Levine, 2005).

However, this infusion approach may not be enough. A course such as *Human Resources in School Organizations* is brimming concerning task and compliance issues. The same can be said for courses in organizational theory, school finance, school law, and special education. The task/compliance orientation for teaching these courses is necessary to build the knowledge and skill base required to do the job. But this is not enough. Future school administrators need to have a basic knowledge of ethics and the ethical codes that currently govern the profession so they can formulate their own ethical dispositions to solve ethical dilemmas that occur within schools (Edmonson and Fisher, 2002). It cannot be assumed that students and

practicing administrators have this knowledge or that they are conscious of why they do what they do. The Socratic objective states: “The unexamined life is not worth living.” Unless future school administrators examine the assumptions and rules that pertain to leading school communities, they will be ruled by other’s rules. As Tom Donaldson (1993) advised: “A course on ethics is not like a polio vaccine. We can’t inoculate students against doing wrong and the temptation to do wrong. . . . However, at least we can offer them diagnostic skills and the tools for ethical critical thinking” (p. 25).

Professional Codes

The ISLLC standards and the codes of ethics within educational administration all state the importance of ethical decision-making and integrity. However, these professional codes, in and of themselves, often pose conflicting ethical priorities for the practicing educational leader. To honor one part of the code, such as “making the well-being of students the basis for all decision making” can be in direct conflict with “enforce and obey all local, state and national rules and laws in performance of duties” (AASA, 2005). Additionally, the discrepancies between espoused beliefs and actual practice need to be examined, discussed, and practiced by future and current administrators as they appraise situations in their own school buildings and organizations. Educational leadership preparation classes must provide ample time to simulate and problem-solve such ethical dilemmas. As Aristototle cautioned: “Excellence is an art won by training and habituation. We do not act rightly because we have virtue or excellence, but we rather have those because we have acted rightly. We are what we repeatedly do. Excellence, then is not an act but a habit” (1998, p. 154). If a major goal of educational preparation programs is to ensure that administrators “act with integrity and fairness” in the educational workplace, then it may be necessary for such programs to have a stand-alone ethics course or an applied content to ethics course to provide the time necessary to create ethical habituation (ISLLC, 1997). To examine this assumption concerning the need for such coursework the following research was conducted.

RESEARCH STUDY

Research Question

The purpose of this study was to obtain baseline data from future educational administrators on how they rank four primary ethical values. If leadership is to be seen as a form of moral agency (Starrat, 2004), then understanding how future leaders assign value to specific virtues may provide insight into their ethical decision-making process. The research question that guided this inquiry was: given the values of being good, being smart, being successful, or being happy, which value would be the value of choice (#1 ranked value) that future educational leaders would want for their own child(ren) or students. “Being good” was defined as meaning someone who does the right thing and behaves in a fashion that is perceived as being ethically or morally correct. “Being smart” was defined as meaning someone who possesses great intellect. “Being successful” was defined as meaning someone who was materialistically comfortable. “Being happy” was defined as meaning someone who felt pleased with his/her life.

Participants

Data were gathered from eighty-eight students enrolled in a graduate level education leadership program. Students ranged in age from twenty-two to fifty-nine with a mean age of thirty-three years and eight months. Twenty-four of the students sampled were male and sixty-four were female.

In addition to age and gender, students were asked to self-identify themselves as having a grandparent or parent of first generation status in the United States. Thirteen of the eighty-eight students reported having a first generation grandparent and twelve reported having a first generation parent.

Data Collection Strategies

This study took place within a university where all masters' students in educational leadership working towards their General Administrative certificate are required to take the course entitled: *School Administration*. This course can be taken anytime within the student's course of study, but it is recommended that the student take this class as either an introductory or a culminating experience within the masters in educational leadership program.

For four semesters, between the years of 2003 and 2005 when the author taught the course, the students were asked on the first night of class, the following question: Please complete the following two sentences: "When my child(ren)/students grow-up I want them to be.... smart, happy, successful or good... and you can only choose one attribute. As an adult, my parents wanted me to be.... smart, happy, successful or good.... again choosing only one attribute." As stated previously, "good" was defined as meaning someone who does the right thing and behaves in a fashion that is perceived as being ethically or morally correct.

Data Analysis

Table 1 lists the frequency data for the responses to the question of what the graduate students want their child(ren) to be. Table 2 lists the frequency data for the responses to the question of what the graduate students felt their parent(s) wanted them to be. (Please see addendum for these two tables.)

Table 1. Frequency of Response for What They Want Their Child(ren) to Be.

	Happy	Successful	Good	Smart	Total
All	47	22	14	5	88
Male	11	6	6	1	24
Female	36	16	8	4	64
Grandparent first generation	6	4	3	0	13
Parent first generation	5	4	2	1	12

Crosstabulation was then performed on the data from the sample using SPSS version 12.0. These crosstabulations use a chi-square statistic that tests the null hypothesis that two variables are not related. If they are related, there will be a difference between the observed frequencies and the frequencies expected by chance yielding a large chi-square value (Shannon and Davenport, 2000).

First, male students were compared to female students. No significant differences were found for the gender groups in how they responded to either question.

Differences were then examined between those students who reported having grandparents of first generation status and the rest of the sample. No difference was detected from how these students responded to the question of what they want their child(ren) to be, but

Table 2. Frequency of Response for What Their Parent(s) Wanted Them to Be.

	Happy	Successful	Good	Smart	Total
All	43	34	9	2	88
Male	7	11	5	1	24
Female	36	23	4	1	64
Grandparent first generation	4	5	2	2	13
Parent first generation	6	5	1	0	12

there was a difference in what they reported their parent(s) wanted them to be. When responses of the students with a first generation grandparent were compared to the rest of the group, a chi-square value of 12.957 was found with a significance level of 0.005. The group with a first generation grandparent had a higher than expected frequency of “smart” and fewer than expected “happy” responses.

The responses of students in the sample who identified themselves as having a first generation parent were also compared to the rest of the sample. No significant differences in response were found for this group.

Finally, a comparison was made between what the students felt their parent(s) wanted them to be and what they want their child(ren) to be. A significant difference was found. A chi-square value of 28.280 with a significance level of 0.001 was calculated. For those who said their parents wanted them to be “happy,” more than expected also wanted their children to be “happy” (with a residual of 6.0). The number expected to want their children to be “good” dropped to 2 from the expected 6.8 (a residual of -4.8) for this same group. For those who said their parents wanted them to be “good,” more than expected want their children to be “good” (residual of 4.6) and fewer than expected desired their children to be “happy” (residual of -2.8).

DISCUSSION

The overwhelming choice that students indicated as the preferred attribute was happiness—not the attribute of goodness. The irony is that these graduate students have chosen a career to do good for others within a university steeped in the Jesuit tradition to serve others. However, making everyone happy is antithetical to what the role of an educational administrator truly is (Ciulla, 2003). In Strike’s (2007) book, *Ethical Leadership in Schools: Creating Community in an Environment of Accountability* this issue of happiness is brought into clear focus:

Ethics concerns the question, How shall we live well together. When we emphasize this as the central question, we are led to interpret the questions, What is good? and What is right? as questions about the nature of good communities. Good communi-

ties have worthy aims and a fair basis of cooperation. The role of the educational leader is to create good communities. (p. 19)

This paper is not arguing that there is anything inherently wrong with being happy. No one wants their children or students to be miserable. But happiness as the number one attribute for one's children/students and subsequently educational and social communities is not a worthy communal aim. Happiness because one does the right thing is a fine by-product. But happiness as a goal in and of itself can often result in a self-centered paradigm that is antithetical to school leadership. "The desire to be happy, like the desire for pleasure is instinctual; it does not need to be taught. But being good, making choices that go against one's own self-interest, standing up for and doing what is right, respecting oneself enough to do what is right, regardless of the circumstances of the day, this must be taught" (Helbraun, 2002).

This teaching must be a communal enterprise that allows for reasoned choice and action (Dewey, 1960). The privatization of moral discourse in our society has created a deep sense of moral loneliness and moral illiteracy. The absence of a common language prevents people from reading about and talking about the moral issues they face (Bolman and Deal, 1995). Therefore, the need to have a stand-alone ethics course or an applied content to ethics course in order to provide the time necessary for reasoned choice and action becomes evident.

What better place to practice, reason and communicate these lessons than in the safety of the graduate classroom. Educational preparation programs cannot assume that students come with fully functioning moral compasses. There is a need to create comfortable spaces in our classrooms to facilitate the development of moral awareness and reasoning for future and practicing educational leaders, especially since they will be faced with multiple conflicting interests.

THE RESPONSE

A Mindful Curriculum and Pedagogy

The data and subsequent argument provided the justification and the resources for the university where this research took place to create an applied content ethics course. Human resource management was the context used for the teaching of applied ethics. Issues of supervision, mentoring, discipline, and dismissal are fraught with competing ethical values—most notably the rights of children receiving the best education versus the rights of faculty and staff to due process. Therefore, this applied ethics course was designed to be taken after learning the specific functions, rules, and legislation governing school human resources. The goal is to move from "data-driven decision making" to "evidence-driven decision making" (Strike, 2007). In particular, the ethically oriented decision-making frameworks require educators to extend their "knowledge and critically interrogate all of the values that arise from their comprehensive inquiry into the purpose and nature of the situation" (Horn, 2004, p. 115).

The course rests on the belief that when an educational leader practices professional ethical behavior that is aligned with his/her own personal ethical belief system, that this leader will act with integrity and truly fulfill his/her vocation. This vocation being the call to lead schools with "moral purpose writ large—principled behavior connected to something greater than ourselves that relates to human and social development" (Fullan, 2002, p. 14).

To begin to address these ethical dilemmas and the multiple influences vying for attention, the educational leader must become aware of what is morally/ethically at stake in the

situation and must possess reasoning and other reflective skills leading to judgments about what ought to be done, given what is morally/ethically at stake in the situation (Ozar, 2001). The course begins to build this awareness and these reasoning skills by asking the student to examine the nature of the educational leadership profession through person-to-person narrative and case-to-case analysis.

Using professional obligations as a framework for dialogue, students begin to discern how the profession of educational leadership states its central values within the various school organizational mission statements and ethical codes of conduct. Students then explore the extent to which these mission statements and ethical codes of conduct align with their personal calling to serve as educational leaders.

Course Outline

The course outline and critical questions for inquiry and discussion below provides the reader with a roadmap to what this course entailed.

- I. What is the nature of a profession? What makes educational leadership a profession?
- II. Who are our clients?
- III. What is the ideal relationship between a member of our profession and its client(s)?
- IV. As a profession, what are the obligations that we have as a professional? In particular, what are our obligations to each of our client groups?
- V. What sacrifices are required of members of the profession? How do the obligations of this profession take priority over other morally relevant considerations affecting its members (Ozar, 1994).
- VI. In light of this discussions (Items 1 – 5), what are the central values of our profession?
- VII. How are our profession's central values stated, as articulated in various school organizational mission statements and ethical codes of conduct, within the education profession? To what extent do these mission statements and ethical codes of conduct align with our personal calling to serve as educational leaders? In particular what are our profession's central values as they pertain to the following questions:
 - a. How do we best care for children/teachers?
 - b. What are the major institutional situations that we face today?
 - c. How do we create a culture of sustained changed fostering the intrinsic interests of teachers and leaders to do good work? (Fullan, 2003)
- VIII. Practice with our profession's ethical codes of conduct and various ethical approaches.
 - a. Learning the four step decision model.
 - i. Identifying the alternatives.
 - ii. Determining what is morally/ethically at stake by reason of our social roles (professional obligations) through person-to-person narratives and case-to-case analysis.
 - iii. Determining what is morally/ethically at stake beyond our social roles through person-to-person narratives and case-to-case analysis.
 - iv. Determining what ought to be done, all things considered
 - b. Understanding and using the concept of the greatest good for the greatest number of individuals – value maximizing/consequentialism.
 - c. Understanding and using the concept of what might be good for the profession as a whole – deontology/ due process based theories.
 - d. Understanding and using the concept of what might be respectful of people and relationships – ethic of care.
 - e. Understanding and using the concept of what voices might not normally be heard within a given situation – the ethic of critique (Shapiro and Stefkovich, 2005).
- IX. Continued analysis and dialogue with our profession's ethical codes of conduct and various ethical approaches in an attempt to solve real-world ethical dilemmas concerning human resource management in schools.

Student Assignments

The course assignments detailed below provide the reader with a sampling of the performance assessments used to evaluate student learning. The reader will note that each assignment has been aligned with corresponding NCATE standards.

Class Participation. The student was expected to participate in oral discussions based on weekly readings, cases and course pack materials. These conversations continued on-line through the use of an electronic BLACKBOARD chat room. It was expected that the student adhere to chat room ethical conduct that was created in class. (*All Course Objectives- highlighting NCATE 1.3, 7.1, 7.2, 7.3, 7.5, 9.1*)

Code of Professional Ethics Part 1. The student was required to construct and articulate, through a written document, his/her professional code of ethics pertaining to educational leadership. The student could or could not choose to reference existing codes within the profession. The student was then asked to rank and justify these rankings listed within their code. (*NCATE 1.2, 1.5, 1.7, 6.2, 7.2, 7.3, 11.5*)

Case Analysis (3 in total). Each student was provided a course pack containing ethical dilemmas involving human resource management and leadership issues in schools. The student was then expected to formulate a carefully reasoned judgment, based on ISLLC and professional codes of ethics, about how the issue should be resolved specifically using the assigned ethical framework for that case. The three frameworks that were individually assigned to each case analysis paper were: value maximizing ethics, rule-based ethics, and the ethic of care. (*NCATE 1.2, 1.3, 1.5, 4.1, 4.3, 4.5, 6.2, 7.2, 7.3, 11.5*)

Revised Code of Professional Ethics Part 2. Once the student had studied multiple codes of ethics and school missions, as well as, applied three ethical frameworks, he/she was asked to reflect upon his/her initial code of professional ethics that he/she wrote at the beginning of the term. The student was asked to keep and/or reconstruct all or part of his/her code. He/she was asked to rank order again the values listed within his/her professional code. The student was to then explain why he/she had kept or revised all or a part of his/her code and its rankings in light of what he/she had learned within the course. The student was to be mindful that his/her code articulated and integrated his/her personal values of the ideal leader he/she wanted to be with attention to his/her calling to be an educational leader. The student was asked to attach the first professional code assignment to this paper as an appendix in order for the instructor to understand the changes made. (*NCATE 1.2, 1.5, 1.7, 6.2, 7.2, 7.3, 11.5*)

Final Paper: Case analysis and resolution: Using your revised code of professional ethics. As the capstone assignment for this course, the student was to pick a case from the course pack that had not been discussed in class. The student needed to formulate a carefully reasoned judgment about how the issue should be resolved based on one or more of the ethical theories studied and specifically on the basis of his/her aforementioned revised code of professional ethics. The student was advised to ensure that his/her judgment and resolution demonstrated ethical professional integrity – the ability to think and act in an integrated manner that honors one’s personal and professional ethical values (Buechner, 1993). (*NCATE 1.2, 1.3, 1.5, 4.1, 4.3, 4.5, 6.2, 7.2, 7.3, 11.5*)

OUTCOMES

On-line chat room

Creating a code of ethical conduct for the electronic chat room proved to be a very illuminating and worthwhile venture. It allowed the students to begin exploring each other's assumptions concerning appropriate behavior and subject matter. Cultural differences were exhumed and explored while the relevancy of the course content was made evident to all involved.

Case study analysis

By requiring a specific ethical lens as a decision-making framework for each case analysis, students became aware of and articulate with the foundational claims and critical questions endemic within each of the ethical disciplines. By "trying on" multiple ethical lenses, students also became aware and mindful of each other's viewpoints. Students began to question their own assumptions and, in the questioning, became facile in articulating their own beliefs and decision-making processes.

Student personal codes

The first iteration of the students' personal codes were very superficial. Most of the codes read as carbon copies of the standard professional codes within the disciplines. Rankings had the interests of the child first. However, on the second iteration of the code, real thought became evident. Concepts of balance between the student's personal and professional self became evident. The concept of due process and care became much more evident. And while, for the majority of students, the interests of the child still came first and foremost, an articulation of how these interests could be preserved—and at what cost—were now developed.

Student reflection

The capstone assignment, to use their aforementioned revised professional codes to solve an actual case, provided a glimmer into the critical inquiry and reflection in which the students were now engaged. In contrast to the other case analyses, the students now had the opportunity to seek evidence and ask questions from multiple ethical lenses. Their papers described in detail the conflicting values inherent within a given ethical dilemma. The arguments within the final papers demonstrated a greater appreciation for the obligations inherent in being a school administrator. Regardless of age, the students' reflections acknowledged the school administrator's position as both "a first among equals as well as an elder who must be rooted in moral authority" (Starrat, 2004; Strike, 2007).

Unlike the attribute of happiness and making everyone happy, within these papers students now articulated the need for goodness as the attribute that fosters integrity as one attempts to be a positive educational leader with the potential to create meaningful learning communities.

CALL FOR FURTHER RESEARCH

Due to the questionable validity of self-reporting within a classroom setting, post testing on these students in relation to their ethical decision-making strategies was not gathered.

Rather, change was noted qualitatively within the aforementioned student performance assessments (Ozar, 2001). Although this paper has argued that there is a need for purposefully teaching ethics within educational leadership preparation programs, further research is needed to understand if these experiences translate into preferred professional ethical practice in schools (Ozar, 2001). The teaching of educational leadership is at a tipping point. If our profession is going to tip in a positive fashion, the need to answer the following questions is paramount:

1. If our profession agrees that the teaching of ethics is vital to the education of future educational leaders, what would be considered necessary and sufficient within this curriculum and pedagogy?
2. How can the transfer of this learning from the university to the field be measured?
3. If ethics is specifically taught to future administrators, and they display this ethical knowledge, skills, and dispositions in the graduate school classroom, what are the supports and/or impediments within the educational system that encourage or discourage these students to act ethically within educational institutions?

Professors of educational administration have an obligation to arm students with the knowledge, skills, and dispositions to be moral agents for change (Starrat, 2004). It cannot be assumed that students arrive fully-formed with an ethical compass to make the hard decisions necessary to lead schools in an ever-complex and diverse world. Comfortable spaces need to be created to engage in critical ethical inquiry. The curriculum must be relevant to the real-world of schools. Ultimately, the profession needs to demonstrate that this ethical critical inquiry makes a positive difference for the next generation of educational leaders.

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Sailing through the Murky Waters of Leadership Ethics: Use of Problem-Based Learning in an Educational Leadership Graduate Course

Eileen S. Johnson

Much has been made in recent years of the apparent gap between what is taught in schools of education and what school leaders need in order to perform their jobs effectively. Indeed, university-based educational leadership programs have been criticized as offering outdated and irrelevant courses that fail to adequately prepare educators to provide effective leadership in the schools (Levine, 2005). However, relevance is not a function of course content alone but, rather, of the ability of the instructor to convey the content in a manner that reflects the local and global implications from both historical and contemporary perspectives as well as the capacity of the student to find personal and professional meaning through active engagement with the content (Johnson, 2006). This article presents problem-based learning as a potentially efficacious instructional method for teaching courses that are seemingly abstract, esoteric, archaic, or irrelevant due to its power to engage students and instructors in a process that is practice-oriented, reflective, collaborative, and ultimately transformative. The historical development of andragogical (Knowles, 1978) rationale for the use of problem-based learning will first be described. Next, problem-based learning as a process will be outlined and characteristics of effective problems will be described. Finally, a case study will be presented through which the processes and outcomes of problem-based learning in a graduate course on the ethics and philosophy of educational leadership are examined.

HISTORICAL DEVELOPMENT OF PROBLEM-BASED LEARNING

Problem-based learning was first developed by Howard Barrows as an alternative method of instruction for medical students at McMaster University in 1969 (Camp, 1996; Donner & Bickley, 1993). During that time, there was growing dissatisfaction with the traditional curriculum in medical schools, in which content was broken down into discrete components. Instruction in most medical schools at the time relied heavily upon lecture and formal presentation of course content, and assessment of student learning focused largely on memorization and application of basic science concepts to clinical cases. By their third year in medical school, however, many students seemed to lack retention of the basic concepts mastered during the first two years, and even more students seemed to have difficulty integrating and applying knowledge from different specializations. Furthermore, many students entering clinical experiences seemed to have difficulty thinking critically when confronted with the complexity of real-world medical cases yet resisted further learning (Camp, 1996; Ortiz, 2004).

Barrows saw these difficulties as the result of an inherent flaw in the traditional approach to medical education in which students began clinical experiences only after mastery of the basic science concepts taught in the first two years of medical school. Instead, Barrows thought that “inverting” the curriculum by exposing students to clinical settings in the early stages of medical school would enhance subsequent learning by making the relevance and interrelationship of knowledge more visible (Ortiz, 2004). As students confronted real-world problems and grappled with the complexity of clinical cases, basic science concepts became

more meaningful and relevant, students became more autonomous and self-motivated in their learning, and the integration of basic and clinical knowledge became more apparent (Barrows & Tamblyn, 1976). Barrows also sought to conduct medical education in a way that more closely resembled the daily reality of the clinical setting. Collaborative learning, student-generated learning goals, use of prior knowledge and experience, and refinement and restructuring of knowledge became important components of this new approach to medical education. From its inception at McMaster University in Canada, problem-based learning was adopted and developed further at several other medical schools. Throughout the 1970s and 1980s, there was a slow but gradual increase in the use of PBL in medical schools across the globe, and it forms the basis, to a greater or lesser extent, of medical education curricula in most U.S. medical schools today (Camp, 1996).

THEORETICAL RATIONALE FOR THE USE OF PROBLEM-BASED LEARNING

Problem-based learning has spread from nearly exclusive use in colleges of medicine in the 1970s and 1980s to schools of health sciences, architecture, business, law, engineering, forestry, political science, social work, education, and other professional fields (Camp, 1996) and has even been adopted as the model for undergraduate education at many universities (Duch, Groh, & Allen, 2001; Savin-Baden, 2000). The steady increase of PBL and its gradual spread across disciplines and fields over the past four decades can hardly be considered a passing fad, and one need not look further than contemporary learning theory for an explanation. Although PBL varies somewhat according to the nature of the field and the particular goals of a given program, a focus on real-world problems and a learner-centered approach are fundamental characteristics. In addition, Boud (1985) identified eight characteristics common to PBL:

- Acknowledgment of learners' base of knowledge and experience;
- Emphasis on student responsibility for learning;
- Crossing boundaries between disciplines;
- Integration of theory and practice;
- Focus on the process of knowledge acquisition rather than products;
- Emphasis on facilitation of learning by the instructor;
- Use of student self- and peer-assessment of learning; and,
- Development of interpersonal and communication skills.

The characteristics common to PBL embody the main tenets of both adult learning theory and constructivist learning theory. According to Malcolm Knowles (1978), adults are autonomous and self-directed and need to be actively involved in setting learning goals and in directing the learning process. In addition, adults have accumulated life experiences and prior knowledge that, when elicited and related to new information, can foster learning. Furthermore, adults are goal- and relevancy-oriented, and need to sense progress toward specific goals as well as the applicability of such goals to personal or professional responsibilities. Adults also tend to be practical in their approach to learning and tend to focus on *how* knowledge will be useful rather than on acquisition of knowledge as an end in and of itself. Finally, adult learners need to feel that the knowledge, experiences, and skills they bring to the class are recognized and appreciated by both peers and the instructor, and that they can contribute actively and effectively to the learning environment. Problem-based learning, through its emphasis on real-world problems, use of prior knowledge and experience, integration of theory

and practice, and focus on process rather than product, clearly meets Knowles' principles for effective adult education. But it is not simply a matter of meeting these principles.

Jack Mezirow, another noted adult learning theorist, asserted that adults learn through several processes including (1) elaboration of an existing point of view through which further evidence is sought to support the initial understanding; (2) establishment of new points of view based on encounters with previously unknown information; and (3) transformation, which is achieved when cognitive dissonance, caused by encountering conflicting information and divergent points of view, raises awareness of prior misconceptions and results in a qualitative change in understanding (1997). Mezirow saw transformative learning experiences as the most important goal for adult education and viewed reflexive and collaborative discourse as an essential requirement. Problem-based learning, with its focus on ill-structured problems or dilemmas and through its emphasis on collaborative learning and continuous refinement and restructuring of knowledge, has the capacity to create transformative learning experiences.

Problem-based learning is also consistent with constructivist views of human learning, which assumes that knowledge is not absolute but, rather, is constructed by the learner based on prior knowledge and experience. Furthermore, knowledge is constructed by individual learners but also evolves from interactions with the environment and the social negotiation and evaluation of the viability of individual understandings (Ernst, 1995; Von Glasersfeld, 1996). Through problem-based learning, students often confront conflicting viewpoints based on differing bases of knowledge and experience that must be negotiated and reconciled in order to resolve the problem. Additional cognitive dissonance is created when new knowledge is sought that conflicts with what was already "known." This process results in a deeper understanding of the problem as well as an appreciation for the complexity and, often, relativity of knowledge. Savin-Baden and Major (2004) also identify theoretical bases for problem-based learning from the epistemological perspectives of naturalism, metaphysics, rationalism, phenomenology, social justice, existentialism, and post-modernism. Thus, problem-based learning has a solid foundation in many theories of learning. But how does problem-based learning work in practice?

PBL: PROCESS AND PROBLEMS

Problem-based learning is a cyclical process through which course content, concepts, and skills are mastered in a contextually-bound format that simulates real-world use and applications. The process begins as learners are exposed to an ill-structured problem that is based on a complex, real world issue or situation. A key element of the problem is that not all information needed to "solve" the issue is immediately apparent; students, therefore, must work collaboratively to locate and use appropriate resources and to draw upon the prior knowledge and experience possessed by members of the group. Although there are a variety of models of problem-based learning available (Duch, Groh, & Allen, 2001; Savin-Baden & Major, 2004), problem-based learning follows a fairly standard process. Once a problem is identified that can serve as a foundation for developing the knowledge, skills, and dispositions relevant to a specific course, students are asked to carefully consider the complex, ill-structured problem that has been presented, and:

- Step 1: Define the problem in terms of the main issues that seem to be present as well as who is involved and/or affected by the issue.

- Step 2: Discuss what is already known that is useful in working toward a solution to the problem.
- Step 3: Identify what information is unknown that must be sought in order to work toward a solution to the problem.
- Step 4: Review and revise the problem in light of any new information that was found and continue to revisit steps 2 and 3 until all members of the group are satisfied with the proposed solution.
- Step 5: Defend the proposed solution through demonstration of facts, information, logic, and reasoning.

Potential PBL problems in educational leadership abound and can be found in such sources as newspaper articles, professional trade magazines, video clips, legislation, published case studies, research articles, policy reports, and self-constructed cases based on personal observations or stories from the field. However, Duch, Groh, & Allen (2001) identified characteristics that make problems effective for PBL instruction. Problems must be interesting and engaging for the students, and should motivate students to learn more about the issues embedded within the problem by representing the subject matter with a real-world context. Particularly at higher levels of education, effective problems require students to integrate facts, information gained from a variety of sources, and their own logic and judgment in working toward a solution. In other words, there are no quick fixes to the problem and students are confronted with the messy complexity that often faces educational leaders in day-to-day practice. Another characteristic of effective PBL problems is that the complex nature of the underlying issues requires students to work collaboratively and draw upon their collective knowledge and experiences rather than take a simple “divide and conquer” approach— an approach that rarely works in the daily practice of educational leadership. Finally, effective problems are complex and flexible to allow for continued revision and refinement of the problem as students gain greater understanding of the course content and see the connection with previous coursework.

ETHICS AND PHILOSOPHY OF EDUCATIONAL LEADERSHIP: A CASE STUDY OF PBL INSTRUCTION

Participants

This case study involves a doctoral course on philosophical and ethical issues in leadership. The program offered dual cognates in K–12 leadership and higher education administration and followed a cohort model in which entering students progressed through the entire required course sequence as a cohesive unit. This case study involved five first-year cohorts taking the course between winter terms of 2004 and 2006 with a total of 45 students. At the time of data collection, 17 participants were working as teachers in K–12 settings, 16 participants were working as administrators in K–12 settings, and 12 participants were working in higher education settings in a variety of capacities. Overall, the educational and professional backgrounds and goals of the participants varied widely.

Method

The stated goal of the course was to investigate classical and contemporary philosophical theories and ethical issues and their influence on educational beliefs and practices. A hybrid model (University of Delaware, 2005) of problem-based learning was utilized in which PBL

formed one component of instruction along with other instructional methods such as lecture, small- and large-group discussion, and small group learning activities. In each cohort, students were asked to identify potential topics related to the philosophical and ethical dimensions of education and educational leadership. From this discussion, the instructor generated five to seven ill-structured, complex problems that would serve as the basis for the PBL experience for the entire semester. Problems were generated from a variety of sources including newspaper articles, video clips, published case studies, student stories from the field, legislative issues, and policy reports. Groups were self-selected based on a common interest in the particular problem. Common problem topics included the following: dealing with an “ineffective” teacher; deciding whether to implement system-wide curricular change based on eligibility for federal funding; use of standardized test results as a requirement for high school graduation and the implications for students already admitted to college; accreditation standards; zero tolerance policies and their unintended consequences; student confidentiality and site-based decision making versus research made public; and balancing parental vs. school concerns in the development and implementation of IEPs.

Results

Data for the case study were collected from instructor observations of student interaction and discussion during PBL sessions and recorded in journals after each class session between winter terms of 2004 and 2006, student perceptions of the PBL experience reported through end-of-course surveys and follow-up interviews with select participants (N = 10), and a review of the final project documentation of student-generated processes and resolutions to ethical dilemmas presented by each PBL group (N = 15). Analysis of the instructor observations and student final project documentation revealed common themes across semesters and cohorts including:

- Initial resistance by some students that was generally resolved by mid-semester
- Fear / difficulty tolerating the ambiguity of the problem and expected outcome
- Tendency to “solve” the problem too quickly, focusing on surface issues only
- Failure to follow the steps and consider more subtle or seemingly irrelevant aspects of the problem
- Excitement and enthusiasm for grappling with a “real” problem encountered by leaders in the field
- Improved student engagement in the course
- Deeper understanding and application of philosophical concepts and ethical principles
- Demonstration of independent learning and ownership of the learning process
- Connection of knowledge and skills gained in previous courses (including the use of resources and notes) to the content of the course

On the end-of-course survey, 84% of students responded positively regarding their experience with the problem-based learning component of the course. Seventy-eight percent of students strongly suggested continuing with PBL as a component of the course, 14% were neutral about PBL as a learning experience, and 8% suggested eliminating the PBL component of the course entirely. Interviews were conducted with two students per cohort during the semester following their participation in the course, resulting in a total of ten interviews. Participants were selected on the basis of availability for interview and interest in participation.

The most salient findings of the interviews indicated that students wanted/needed more direction and stronger facilitation of the PBL process by the instructor. Students reported experiencing deep rather than surface learning, and generally positive collaboration and cooperation among group members with no mention of having group members who did not fully participate. None of the interview participants reported feeling overwhelmed with the project in spite of the fact that many reported spending a significant amount of time outside of class on the PBL projects. The most common means of group collaboration included meeting before class, after class, on weekends, and using technology for asynchronous meeting, and interview participants generally indicated that their group enjoyed the time spent the PBL process.

Overall, common themes that emerged from the interviews were that PBL was an effective means of teaching the content of ethics and philosophy, a subject initially dreaded by many students as potentially dry, dull, and irrelevant in today's practice setting. Furthermore, students felt that the problems used in class thrust them into grappling with ethical and philosophical issues that were of interest and were grounded in a real-world context. The complex and real-world nature of the problems enabled students to appreciate the application of both classic and contemporary ethics to every day leadership.

Students also came to realize that what may seem to be a simple situation calling for a clear response often turns out to be more complex with no clear right or wrong response. In fact, one student upon entering class one evening good-naturedly teased that he resented me and the course. When asked why, he indicated his thinking had so completely changed as a result of the course that he was no longer able to make leadership decisions without thinking about the ethical implications and the philosophical or ethical basis for his decision! One drawback that was noted, however, was that students felt that there was a tendency to become immersed in the details of the problem, thus straying from the main purpose of the assignment.

DISCUSSION

Students involved in this case study appreciated the problem-based learning component of the course and found particularly important the fact that each group had the opportunity to work with a real-world problem that was meaningful and relevant. Students also preferred the active learning and deep engagement required by problem-based learning but also needed information from assigned readings and mini-lectures to make sense of the problem and the concepts that could be invoked in their proposed solution.

A common difficulty in implementing problem-based learning is finding an appropriate balance between the students' desire for structure and clarity and their need for independence and self-directed learning. Instructors using problem-based learning, therefore, may find it particularly challenging to facilitate the process without stepping in too quickly on one hand, or leaving students with too much frustration on the other hand. However, the complexity of the problems, the lack of structure, and ambiguity of the process itself need not be deterrents. In fact, one can consider that these factors are encountered on a daily basis by educational leaders and, therefore, form an important part of the instructional process in educational leadership.

CONCLUSION

According to Palmer & Major (2004), professional preparation programs are, in many ways, a perfect practice field for prospective practitioners. According to these researchers,

problem-based learning is especially appropriate for leadership preparation because the nature of the task itself involves a degree of leadership development. Furthermore, PBL requires many of the same skill sets as effective leadership including interpersonal communication, collaboration, and dealing with complex and ambiguous problem situations. The use of problem-based learning addresses many of the criticisms faced by university-based leadership preparation programs on both theoretical and practical levels (Bridges & Hallinger, 1996). Problem-based learning is founded on constructivist and adult learning principles and serves as a foundation for deep learning that integrates previous knowledge and skills with new concepts. In addition, problem-based learning cuts across traditional disciplinary boundaries and integrates theory and practice in the solution of problems situated within a real-world context.

On a practical level, problem-based learning addresses the issue of curricular relevance and the research-practice gap because the problems themselves are grounded in the reality of the daily situations encountered by leaders in the field. Course content becomes meaningful as students begin to reflect on the theoretical issues underlying the problem and contrast these with the practical and logistical realities of educational leadership. Overall, theoretical and empirical support exists for the conclusion that problem-based learning is an effective means of engaging students in deep learning. The application of knowledge, skills, and dispositions to real-world problems can help aspiring and practicing educational leaders transform their collective experiences into new learning that is personally and professionally relevant and meaningful.

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Principals' Leadership Behaviors Affecting School Climate

Shirley Johnson, Steve Busch, and Stacey Edmonson

Effective leadership has traditionally been defined by the principal's ability to develop strong relationships within the climate of the school (Fullan, 2004; Sergiovanni, 2001). Similarly, the model of transformational leadership has been proposed as more effective in motivating and supporting reform efforts because of its focus on motivation and relationship building compared to the transactional approach of simply managing people (Lunenburg & Ornstein, 2004). Yet, when we conducted a case study of three urban elementary school principals who were attempting to significantly improve the test scores of their predominantly minority and economically disadvantaged student populations, the teachers in these schools did not identify the need for principal faculty relationships as the most important leadership behavior needed to improve the learning climate. For the most part, the principals in the study were unaware of how the teachers perceived the effectiveness of their leadership behaviors and how those behaviors were impacting the climate of the school.

Recent research addressing the principal's effect on student achievement has focused on the influence the principal has on school climate. In fact, the traditional notion that the principal's leadership behavior has a direct influence on learning has been questioned. Principals most effectively impact student learning indirectly through the way they interact with the climate of the school (Witziers, Bosker, & Kruger, 2003; Hallinger & Heck, 1998). Leithwood (1992) referred to principals as "change agents" and suggested that they impact student achievement in the school through the transformation of the school culture into an environment that is hospitable to learning. It is through intentional interaction with the climate of the school that the principal is most able to improve learning (Busch, Johnson, & Robles-Pina, 2007).

In order for educational leaders to effectively impact the culture and climate of schools in ways that promote student achievement, they must first develop an awareness of their leadership behavior patterns and then clearly determine how those behaviors impact the members of the school organization. Kouzes and Pozner (1993) stated that principals often respond to the many problems in schools unaware of the personal behavioral patterns that comprise situations. They may also unintentionally exhibit behaviors that negatively impact already sensitive situations or create unnecessary concerns for faculty and staff that may contribute to suspicion and mistrust. In most instances, these decisions or actions are done without awareness of the behavior patterns underlying the decisions and the principals often wonder why the resulting outcomes of their decisions were not as they intended. To most effectively impact the learning climate of the school, principals must become aware of the differences between what they do (theory in use) and what they say (espoused theory) (Argyris & Schon, 1974). When the principal's espoused theory is not aligned with his or her usual behavioral practices, the impact of his/her leadership is not as effective. It is only when principals engage in reflection and investigate their personal behaviors that they can become aware that what they say and think is aligned with what they do (Day, 1999).

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The person-centered view of people contends that we do not respond directly to behavioral forces exerted on us but rather behave in terms of the meanings of perceptions that exist for us in the moment that we act. People behave according to how they see themselves, the situations and people they confront, and the purposes they seek to fulfill (Combs, Miser, & Whitaker, 1999). Leaders act on their beliefs, especially beliefs about themselves, the faculty, staff, and administrators with whom they work, and the mission that they seek to reach. Hall and George (1999) stated that the manner in which teachers perceive and interpret the actions of the school principal leads to the development of the culture of the school. The principal's overall approach to leadership is related to the successful implementation of innovations by teachers. Offering educational leaders effective ways of discovering and managing their behaviors and enhancing the behavior of those whom they will lead allows them the opportunity to effectively maintain a school culture that is hospitable to learning.

METHOD OF INQUIRY

The purpose of this case study was to gather information from three large urban elementary schools regarding the leadership behaviors of the respective principals and the results of their climate survey. Specifically, this inquiry examined the faculties' perceptions of the impact of their principals' leadership behaviors on the school climate. Three principals, who had achieved academic success with a predominately economically disadvantaged student population within a two to three year period, were selected.

Instrumentation

The Leadership Profile. To determine leadership behavior, each principal in this study was given The Leadership Profile (Johnson, 2003). Within the Leadership Profile (LP), leaders answered questions on 11 distinct components, including esteem, acceptance, structure, authority, freedom, change, empathy, thought, activity, advantage, and challenge. The Leadership Profile is dependant upon the principal's answers to several sets of questions that ask for perceptions of others and perceptions of self. The results of both sets of perceptions provide indications of our unique actions and reactions to the world around us. More importantly, these perceptions become the basis for how and why we behave. The LP measures these two different perspectives of the principal's behaviors and offers a more incisive and complete assessment of behavior with its natural strengths and limitations. Principals are provided with scores for each component ranging from 1 to 99 that describe the direction of behavioral preference: (a) low, 1–39; (b) balanced, 40–59; and, (c) high, 60–99. These scores are neither positive nor negative; they are simply reports of the principal's behavioral preferences.

Three relational levels of LP behavior scores. Each of the 11 components provides considerable information toward building self-awareness through three relational levels: usual, needs, and stress. These relational scores measure how the individual is perceived by others (usual), how others are likely to affect the individual (needs), and how the individual reacts when needs are not met (stress). The usual behavior exemplifies the principal's socialized behavior when they are comfortable and free from stress. The needs behavior emerges when the principal's needs are not met and are descriptive of his/her underlying motivations.

As Birkman (2002) found, "Components information enables individuals to see clearly the significant and influential qualities associated with usual and needs scores. These insights assist in avoiding the pitfalls of the third aspect, stress" (p. 20). The relational scores (usual,

needs, and stress) address the ways we interact in our relationships, how we excel with our particular strengths, and why we become frustrated and often ineffective when in stress.

Behavioral clusters of the leadership profile. In addition to providing feedback regarding the results of the LP components, the principal is provided a wealth of information that can become overwhelming without helping the principal understand the impact of his/her behavior. Clustering the components as to leadership impact, the components paint vivid descriptions of the principal's behavioral tendencies in reference to leadership concepts. For feedback and training purposes, the following clusters are used to build understanding: (a) relationship building; (b) organizational control; (c) decision-making; and (d) goal achievement (Johnson, 2003).

Campus Climate Survey. To further examine the relationship of principals' behaviors, with teachers' perceptions and results of the campus climate survey, the district and principals agreed to release the results of the Search Institute's *Assessing a Great Place to Learn* (Search Institute, 2004). The survey generates perceptions of faculty regarding their school's environment and includes nine factors that measure the learning climate on each campus. Those nine factors are: (a) collegiality, (b) instructional collaboration, (c) staff development, (d) parental involvement, (e) resource adequacy, (f) participatory decision-making, (h) safety, (i) fairness and consistency of rules and practices, and (j) students' commitment to learning. The faculty of each school was asked to score 95 questions on a scale from strongly agree to strongly disagree. Once the surveys were tallied, a mean score was generated that represented the average cumulative scores aggregated across all the items used to measure each factor or staff outcome. Mean scores range from a minimum of 10 to 50. These cumulative scores represent the strength of agreement with the items measuring a particular factor. The Search Institute standardized these scores for ease of comparing relative strengths within the campus (Search Institute, 2004). As a result, the faculty is presented with mean scores for all nine factors represented by gender and race/ethnicity.

Data Collection

Data collection involved conducting extensive interviews with the three principals, their administrative teams, and the teachers on those campuses. These multi-level interviews with various members of each campus increased the richness of the data and allowed for triangulation of the qualitative data by offering multiple perspectives regarding the principals' leadership behaviors. Thirty-minute interviews were conducted throughout an entire school day on each campus. All interviews were tape recorded in order to ensure the accuracy of transcriptions for future analysis. Each researcher also took extensive field notes to record non-verbal cues such as body language of the participants as they were interviewed. Within these interviews, teachers and other staff members were asked what behaviors and activities the principal demonstrated that positively and negatively affected the climate and student performance in the school. In like fashion, the principals were asked the same set of questions regarding their own behaviors and activities and the manner in which they perceived them to improve or impede climate and student performance.

When possible, all teachers on a campus were interviewed in teams or grade level configurations. In some instances, a few teachers were unavailable for interview, but a majority of teachers, including a representative sample across grade levels and subject areas, were included. The participants were allowed to answer the questions and elaborate in whatever way they wanted, which increased the authenticity and the accuracy of the responses.

Reliability and Validity

To increase the depth of understanding regarding each campus climate, all interviews were conducted in the naturalistic setting of the school building. Responses were based on low inference indicators as identified by the Leadership Profile, which supported an emic perspective to the study and minimized external threats to validity. The potential for research bias was minimized through reflexivity, in which the researchers engaged in “critical self-reflection about potential biases and predispositions” (Milinki, 1999, p. 160). Triangulation of the data was achieved in several ways. First, qualitative data were used to support the findings of the Leadership Profile results for each principal. Additionally, each of the researchers coded and recoded the data sets in order to help strengthen the validity of the themes that emerged.

Data Analysis

All interviews were recorded, transcribed verbatim, and coded according to the LP components and the Search Institute climate factors that reoccurred within and among the interviews from all three schools. The interview transcripts regarding each principal were coded individually and summarized across all three data sets by two researchers. After coding the transcripts, the data were then analyzed to determine which factors of the climate survey were coded to the responses of the teacher focus groups. The following question generated responses from the teachers: what behavior(s) does your principal demonstrate that affects the climate of your school? Principals were asked the following questions in their individual interviews: (a) what behaviors do you exhibit that affect the climate of your school? (b) what do you do that improves the climate of your school the most?

Common themes and critical patterns that focused on any of the 11 components of the Leadership Profile or the 9 factors of the Search Institute Survey were identified, coded, and then analyzed. By using these codes, the links between principal leadership behaviors and faculty perceptions of these behaviors could be effectively recognized and analyzed.

Qualrus, qualitative analysis software, was used to report the factors from the teacher interviews and also summarize the pairing frequencies from the researchers' codings from the highest occurring frequencies to the lowest occurring frequencies. Results were generated from 177 teachers located on three separate elementary campuses with similar demographics.

FINDINGS

We found that simply identifying the principals' usual behaviors did not necessarily assist in enabling principals to understand how they could proactively prevent problems or enhance the climate in their schools. By using the LP to identify the underlying motivations, we were able for the first time to clearly describe to principals exactly what behaviors and accompanying underlying motivations, both positively and negatively, impacted the results of the climate survey in their schools.

It is important to assist practicing and aspiring principals in understanding the impact of their behavior on the campus climate. Replicating those behaviors that are effective can be difficult if the prospective administrators lack awareness as to the underlying motivations of the behavior and how such motivation can affect the climate. Seeking a way to provide information to each principal regarding those underlying motivations, and further, helping each to understand what personal behaviors are peculiar to them is paramount in preparation and

training programs. This case study addresses whether the principals' behaviors and underlying motivations were linked to the factors of a climate survey. The results of this study provide enough validation to conduct a larger study to include a greater number of participating schools and more quantitative features in the research design.

Specifically, there are a number of findings from this study that prompt further investigation.

1. *Teachers believe that principals' behaviors impact collegiality more often than any other climate survey factor.* When the teachers were asked about what principals did that affected the climate of the school, the following results were generated and are listed in Table 1. Evident immediately is the frequency with which teachers' responses identified the climate factor, collegiality, as most often impacted (155) by principals' behaviors. The second largest frequency matched fairness and consistency (82). Both of these behaviors were identified as important to maintaining the climate by the teachers.

Table 1. Frequency of Climate Factors Coded to Teacher Responses.

Frequency	Climate Survey Factor
155	Collegiality
82	Fairness and Consistency
50	Students' Commitment to Learning
33	Instructional Collaboration
30	Participatory Decision-Making
24	Parental Involvement
20	Resource Adequacy
17	Staff Development

2. *Relationship building and instructional collaboration is extremely important to the culture and climate of the school and is evident in the results.* It is clear that the faculties' ability to relate to one another and create a collegial interaction to support a learning climate is affected by the behaviors, esteem, and acceptance, from the LP cluster of Relationship Building. It is important for principals to understand those relationships.

The LP behavioral cluster of Relationship Building is composed of the components of esteem and acceptance: (a) esteem describes principal's preference for working one-on-one with various people and may range from being very direct at the low end of the continuum to presenting careful and cautious responses at the high end; and, (b) acceptance describes how an individual prefers to interact with groups of people and may appear at the low end of the continuum as preferring to work in small groups or in one-on-one settings, in contrast to preferring to include as many people in the group as possible at the high end. The climate factor collegiality measures staff perceptions as to how they relate to each other in improving instruction and how they support continued learning. Instructional collaboration measures how staff perceives the degree of collaboration around instructional planning and delivery and how well such collaboration is supported by the system.

Fullan (2004) illuminated the importance of building relationships in organizations; therefore, it was not surprising that the responses for the climate factors of collegiality and instructional collaboration matched the Relationship Building components, esteem and accep-

tance (Table 2). However, the actual number of paired responses totaled only six from both principals and teachers. This number intrigued us because teachers and principals were asked what behaviors the principal demonstrated that affected the climate of the school (both climate and behavior were defined for the teachers). As noted in Table 1, there were 155 responses coded for collegiality, but only four responses actually paired with a relationship building component from the LP (Table 2). The remaining collegiality remarks were general in nature and usually did not include instructional planning and/or delivery to improve student achievement. From the interviews, teachers offered remarks that described the principal's high esteem behavior, such as ". . .she always has a positive attitude...she comes in with a smile or a comment that when you're stressed it will calm you down." The pairings from high acceptance, even though only two, clearly noted the efforts of teacher groups to improve instruction, ". . .we [teachers and principal] share things with parents that they can do at home to help their kids. . .other things we do, is usually we have some data to go over with the parents. . .parents will actually sit with us and they go over. . ."

We expected more pairing frequencies from Relationship Building, but we acknowledge that much of the literature discussing relationships does not always include improving the instruction in the school.

Table 2. Frequencies of LP Components Pairing with Climate Survey Factors.

LP Components	Climate Survey Factor	Pairing Frequency
Relationship Building		
Esteem—High	Collegiality	2
Acceptance—High	Instructional Collaboration	2
Acceptance—High	Collegiality	2
Organizational Control		
Structure—High	Fairness/ Consistency of Rules/Practices	7
Structure—High	Parent Involvement	2
Structure—High	Student Commitment to Learning	2
Structure—Low	Fairness/Consistency of Rules/Practices	2
Authority—High	Fairness/Consistency of Rules/Practices	4
Authority—Low	Fairness/Consistency of Rules/Practices	3
Decision Making		
Empathy—Low	Parental Involvement	3
Empathy—High	Collegiality	3
Goal Achievement		
Challenge—High	Collegiality	3
Challenge—High	Participatory Decision Making	2
Challenge—High	Fairness/Consistency of Rules/Practices	2
Advantage—Low	Collegiality	6
Advantage—Low	Student commitment to Learning	2

3. *The components in the LP behavioral cluster Organizational Control (structure and authority) demonstrated a stronger impact on the climate than the components in*

Relationship Building. Both high and low scores on the continuum appeared in the pairings for both components. It is important to note that in the paired frequencies for both components, the climate factor of fairness and consistency of rules and practices paired with both components in four of the six pairings. The teachers' responses regarding the components of structure and authority seem to suggest that the principal's preference for these two components affected their working environment. It is evident that this is an area to include in future research and to emphasize in preparation programs.

Structure describes how the principal manages systems and procedures within the campus and authority describes the manner in which the principal gives and receives authority. High structure personalities are more likely to persistently provide well designed systems and procedures that are regularly monitored, whereas low structure personalities are more spontaneous and open to new ideas and ways of doing things.

High structure behavior, the more persistent behavior, paired with three separate climate factors. The pairing with fairness and consistency of rules and practice produced seven matches that included teachers' remarks referring to either teacher accountability ("...we know exactly what we are to do") or student discipline ("the kids know the rules and how the system works—no doubt in their mind"). In regard to the parental involvement factor, the teachers' remarks noted well-defined procedures associated with providing highly structured instructional and disciplinary assistance to parents. Comments that paired high structure with student commitment to learning described principals as "...holding to the vision and not wavering" and "[providing] well-defined tutorial programs during the day and after school."

Almost contradictory were the remarks pairing low structure behavior and the climate factor, fairness/consistency of rules/practices. Teachers remarked, "I like the way she schedules everything [teacher meetings] in the morning. There is not a lot of after school meetings so you have time to plan and get ready for the next day...the day actually ends at 3:30 but you can opt to stay and do additional things or you can leave and attend to your personal life." These remarks were generated about a principal who exhibits very high structure in her usual behavior; however, she does not need high structure personally, so her sensitivity to teachers' personal issues creates what may appear as a contradiction.

Authority, the second Organizational Control component, describes how the principals use and manage authority. Interestingly, all three principals express authority very differently in their usual, need, and stress behavior. The coded remarks clearly reflect that difference and also illustrate the impact of the principals' preference for use of authority and the resulting impact on the climate and the teachers' instructional performance.

A review of the high authority remarks that paired with the factor fairness and consistency of rules and practices directly relate to the equity of discipline dispensation. Each of the four remarks described the principal as "backing up" the teacher. In regard to low authority and fairness and consistency of rules and practices, the teachers' remarks referenced either the ambiguity of a decision or the flexibility allowed for certain decisions. In the teachers' view, the principal exhibiting high authority behavior in reference to discipline provided support and improved student behavior. However, the low authority behavior generated teacher concern due to the flexibility and clarity of the decision. Regardless, it is clear that authority does impact the factor relating to fairness and consistency of rules and practices.

3. *Teachers are affected by the behavioral preferences principals are likely to use when making decisions.* In this study, teachers' responses described the affect of principals'

empathic behavior from both high and low scores from the empathy continuum. Whether the principal was more task oriented or considerate of individual's feelings, teachers clearly noted both.

An interesting result of the pairing analysis was the number of responses pairing the LP component empathy with climate factors parental involvement and collegiality. Empathy is one of three components that comprise the behavioral cluster Decision-Making. These three components (empathy, thought, and activity) describe those personality behaviors that influence how the principal is most likely to make decisions. Empathy is an extremely important part of Decision-Making in that it describes how a principal will most likely be perceived by the teachers as more (a) task oriented, methodical and business-like (low empathy), or (b) open, persuasive, and considerate (high empathy). The principals perceived as low empathy were very objective and detached while holding the immediate benefits of a plan or project in mind. High empathy principals pursued new ideas, were imaginative while visualizing project completion, but yet were concerned about how faculty, parents, and students felt regarding a particular project.

The principals in the study all exhibited low empathy scores in their usual behavior. In every case, the low empathy behavior descriptions matched principals' task oriented efforts to involve parents in the education of their students. In one school, this work was matched to a score of 32 out of 50 on the parent involvement factor from the climate survey. This suggests that low empathy behaviors can make the principal appear as more interested in just getting parents involved rather than appearing to care about their involvement.

The remaining high empathy remarks were paired with collegiality and were primarily from one school where the principal exhibited high empathy need behaviors. The teachers' responses noted the principal's genuine concern for not only their well being, but also for their feelings regarding certain projects.

Empathy is a critical component in the principal's decision-making process. Personal awareness is vital if the principal is to understand the reaction of teachers to their behavior in creating and implementing tasks. The principal's lack of understanding can create perceptions that foster inaccurate assessments of the principal's intentions and consequently, mistrust. The components of thought, the reflective versus reactive nature of the thought process, and activity, the degree to which an individual engages in energetic activity, were not paired with any climate factor in this particular study.

4. *The components for the behavioral cluster Goal Achievement indicate clearly how a principal will lead a school toward success.* The behaviors of a high challenge principal are evident to the teachers but usually elusive to the principal until an opportunity is provided to understand the impact of those behaviors. Often the influence of a high challenge principal will have impact on other components in the LP and implications for the climate of the school.

Two components comprise the behavior cluster of Goal Achievement: (a) advantage and (b) challenge. These particular scores reveal considerable information regarding the principal's behavior as he/she moves the school toward goals. Low advantage scores refer to behaviors that create a culture of cooperation and well-intentioned relations while high advantage scores describe a principal that is competitively strategizing to find ways to create the most powerful, achieving school. Among the three principals, all exhibited low scores for both usual and need behavior for advantage.

In every paired remark for low advantage and collegiality (6), teachers spoke about the principals' efforts to bring the faculty together to build team and focus on goal achievement. The two remarks that paired low advantage with student commitment to learning came from the same school and highlighted the principal's incredible support of students: "...in the morning she does the car riders and says 'Hello' to each one every day. Everything she says is about how do we get these students to goal."

The component of challenge gives us an indication of how the principal motivates the faculty, students, and parents to support achievement. High challenge scores describe a principal creating demanding goals that foster a climate of determination and hard work. Low challenge scores describe a principal advocating a level of achievement that is realistic and demanding, simultaneously creating buy-in from the faculty. All three principals in our study had very high challenge scores.

All three pairings for high challenge and collegiality were generated from the same school regarding their principal's focused demands for improved student learning. Examples of these coded remarks include "She says to us all of the time, 'There are just no excuses for us not to make this work. We all have to work together to get this done.'" The remarks for the pairings associated with high challenge and participatory decision-making highlight the importance of creating a powerful team, hiring the right people, and including everyone in the decision making process. One principal was quoted as saying, "We must recruit and hire the best people we can hire. You have to help me find the right people." Both remarks for high challenge and fairness and consistency of rules and practices were focused on ensuring student success through responsible actions and holding one another accountable. "She says over and over again, we are accountable to each other not just to me. We have to take responsibility for student progress and be consistent in our work."

The results appearing for the Goal Achievement components were as we expected. Early in the inquiry of these three schools, the challenge behavior of these principals emerged quickly. From this study, it is evident that high challenge behavior impacts three different factors from the climate survey (collegiality, participatory decision making, fairness/consistency of rules/practices), but without the contrast of low challenge or even balanced challenge behavior, it would be difficult to understand the impact. The same is true of the impact of low advantage. Since all three principals also have low advantage, it would be difficult to predict what the results will show when a larger sample produces both sets of behavior. At present, it is evident that low advantage definitely pairs with collegiality and student commitment to learning; however, without further study in a larger sample, it would be difficult to draw final conclusions.

SUMMARY

Finally, underlying motivations and personal behaviors are critical to bring to the awareness of both practicing and aspiring administrators. Research has investigated the impact of behavior and leadership traits for many years; however, it has not adequately described the underlying motivational behaviors that influence the usual and/or needs behavior (Zaccaro, 2007). Principals are not usually aware of the underlying motivations that drive their behaviors; through careful assessment and training, they can develop a greater awareness, which will assist them in improving school climates. The results of this study provide the incentive to seek funding to study a larger sample. If the results are as we expect, then the early findings may assist in developing effective training programs for aspiring administrators that will de-

velop proactive strategies for effective leadership based on their particular behavioral makeup.

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