ABSTRACT

Title of Dissertation: A CRITICAL EVALUATION OF A SCHOOL

SYSTEM'S EFFORT TO DEVELOP AND

IMPLEMENT A "GROW YOUR OWN" PRINCIPAL

PREPARATION PROGRAM

Heath Morrison, Doctor of Philosophy, 2005

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This study is a formative evaluation of one school system's efforts to develop and implement a "grow your own" principal preparation program to address principal candidate quality and quantity. When over half of the school districts across the country have reported a shortage of qualified principal candidates and it is estimated that 40% of the nation's principals will retire in the near future, more school systems can be expected to attempt to implement such programs as a solution to this problem.

Six research questions were created for this study, and quantitative and qualitative methods were used to collect and analyze data. The research design was based on Daniel Stufflebeam's conceptual model for program evaluation, CIPP. Data were gathered to address the four components of this model—context, input, process, and product. A survey instrument wase- mailed to the 111 program participants from the school system's Aspiring Leaders Program and design team members. The final

sample yielded 95 responses—a return rate of 86%. Descriptive and inferential statistics were used. Data were collected and analyzed through personal interviews with system leaders, and focus group interviews were conducted with the design team and program participants.

The data provided insight into the various aspects of the school system's creation of a leadership program. Important elements and resources required in design and implementation included the ISLLC Standards. An emphasis was placed on making the program "hands-on" and practical in nature. The resource investment, both human and fiscal, was considerable. Based on survey results, the program was well received by participants across all cohorts and leadership skill areas. Program participants who have advanced to the principalship reported the training was excellent in assisting their preparation. These findings and conclusions are reported in Chapters IV and V.

This study was a formative evaluation of one school system's effort to prepare principals and therefore has limited generalizability. The results do raise significant issues with implications for policy and procedures. It is expected that this research will assist the designated school system's efforts to improve its principal preparation program, and provide insight for other school systems considering developing such programs.

A CRITICAL EVALUATION OF A SCHOOL SYSTEM'S EFFORT

TO DEVELOP AND IMPLEMENT A "GROW YOUR OWN"

PRINCIPAL PREPARATION PROGRAM

by

Heath Morrison

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DEDICATION

To Dr. James Dudley, whose generosity and mentorship have been immeasurable…

To my wonderful children, Samantha and Zachary, who are my continual inspiration …

And to my wife, Jennifer Morrison, whose faith, support, and love helped make this dream a reality.

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CHAPTER I

INTRODUCTION TO THE STUDY

Importance of the Principal

Good schools have good principals. This theme resonates throughout literature

about effective schools. In a study on high-achieving schools, the authors concluded

that the schools they visited "succeeded to a large degree because of the alert,

consistent, resourceful, and sustaining energy of the principals, and that leaders such

as these are essential ingredients of successful schools" (Educational Research

Service, 2000, p.10).

The evolution of the principalship has mirrored the increased expectations on

public schools. Since the 1950s, the principal's role has grown to include "financial

manager, skillful negotiator, manager of human resources, source of legal knowledge,

and human relations expert" (Hessel & Holloway, 2002, p.12). With the publication

of *A Nation at Risk* (National Commission on Excellence in Education [NCEE],

1983), the public demanded an increased policy focus on improving schools and

student achievement through systemic educational reform. While certainly not a study

on the principalship, *A Nation at Risk* drew attention to the need to have effective

leaders for school principals (NCEE, 1983).

Research on effective schools consistently stresses how absolutely vital the

principal is to a school's ongoing success. Many studies (Barker, 1997; Edmond,

1979; Goodlad, 1955; J. Murphy, 2001) have claimed for decades that good principals

are the most important key to school reform. At least one study suggests, "The

principal holds the most crucial leadership position in a school district" (Dosdall,

2001, p.26). In a report entitled, "Exploring the Principal's Contribution to School Effectiveness: 1980-1995," Hallinger and Heck (1998) claim principals have a huge effect on school effectiveness and student achievement. They state, "Principals influence school performance by shaping school goals, direction, structure, and organizational and social networks" (p.6).

The National Association of Elementary School Principals (NAESP) has documented more than twenty nationwide statistical studies (ERS, 2000, p. 25) demonstrating the dramatic effect of the principal on school and student performance. The overwhelming conclusion of these reports was that active instructional leadership by principals is the best indication of higher student achievement (Council of Chief State School Officials [CCSO], 1996; Edmonds, 1979, 1982; Lashway, 2003).

At the secondary level, much of the research recognizes how difficult it is for one individual to provide instructional leadership to the entire school community (Lezotte, 1991; Sergiovanni, 1996). Increasingly, it is expected that principals broaden the concept of instructional leadership to create a team or community of leaders with teachers and staff.

More than anything else, excellent principals create a collective sense of responsibility for school improvement by not only promoting the belief that students can learn, but also by creating initiatives to ensure that all students do learn. As Richard Riley, former Secretary of the U.S. Department of Education (1984), stated, "The principalship is a position that is absolutely critical to educational change and improvement. A good principal can create a climate that can foster excellence in teaching and learning while an ineffective one can quickly thwart the progress of the most dedicated performers" (ERS, 2000, p.15).

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Issues of Quantity and Quality With the Principalship

Principal Quantity Issues

     Concern about a looming principal shortage has been well documented in recent professional literature (Barker, 1997; Donaldson, 2001; Jordan, 1994). The U.S. Department of Labor estimates that 40% of the United States' 93,200 principals are nearing retirement and that the nation's need for additional school leaders will "increase 10-15% through 2005 to accommodate the growing student population" (Tracy & Weaver, 2000, p.2). The same report indicates that over half of the nation's school districts are facing immediate principal shortages.

     In 1997, the National Association of Elementary School Principals (NAESP) and the National Association of Secondary School Principals (NASSP) asked Educational Research Service (ERS) to survey superintendents nationwide about the possibility of a looming principal shortage. This survey, published in 1998, showed that in half of the United States' school districts, superintendents cited a shortage of qualified candidates for principalship vacancies. The study cited a huge wave of principal retirement shortages in all regions and at all three levels—elementary, middle, and high—as the major cause for the shortage, which is expected to worsen over the current decade (Lovely, 2004, p.1).

     According to the same report, fewer principals were planning to remain in the position until retirement. NASSP reported a 50% turnover rate in principalships nationally during the 1990s and predicts another 60% turnover by 2010 (Whitaker, 2001, p.3). "The attrition rate stood at 48% for the decade from 1988 to 1998 and could reach as high as 60% for the next decade. We are already seeing a pattern of principals opting to retire at the earliest possible date" (Ferrandino, 2001, p.2).

Principal Quality Issues

Not only are the nation's applicants for principal positions decreasing, there is growing concern that the quality of applicants is also declining (Bell, 2001; ERS, 1998; ERS, 2000; IEL, 2000). The Institute for Educational Leadership (2000) suggests that aspiring principals' backgrounds and experiences are grounded in the traditional managerial role of the principal rather than as an instructional leader who is accountable for student learning. Many superintendents and personnel experts have commented on the candidates' lack of experience for principal positions, as well as "a lack of knowledge and skills in the areas of instruction and assessment" (Whitaker, 2001, p.6). In a survey conducted in 2000, 98% of California superintendents reported shortages of qualified principals (Orozco, 2001, p.2). Charles Stein, a Director of Human Resources in New Jersey, stated, "A few years ago, a principal vacancy meant over 100 good candidates. Now we might have twenty with half of them recycled, meaning they have previously been rejected by other districts" (as cited in Brockett, 1999, p.2).

Because of the crucial role principals play in educational reform, there is a growing concern that schools led by underqualified or inexperienced principals will not be able to implement the many national and state improvement programs currently mandated for public schools. "No school that I know reaches its potential without a principal who knows how to provoke the best in others, who has a deep teaching sense of the mood and culture of that particular community at each particular moment in time, and who has the courage, integrity, and skill to act" (Anderson, 1995, p.422).

In a survey of school superintendents, there was a common concern that applicants for principalships are simply not as experienced in teaching and/or in administration as in previous years (Kerrins, 2001, p.3). Half of the 400 superintendents interviewed reported a shortage of qualified candidates to fill their

principal vacancies. The survey found "large concerns with principal candidates showing a lack of competency in the areas of planning, organizing, and evaluating staff development consistent with curriculum and instructional needs" (Kerrins, 2001, p.4). Gene Bottoms and Kathy O'Neill (2001) of the Southern Regional Education Board wrote:

> Personnel shortages in education never last long. We can be sure that school boards will find someone to fill every principal vacancy. The real "emergency" we face is the prospect that unless we identify and train school leaders who have a deep knowledge about how to improve the instructional functions of a school, we will do little to resolve spotty leadership, low advancing schools, and under-served students.
> (Bottoms & O'Neill, 2001, p. 7)

School systems cannot be satisfied to simply "fill principal slots." They must look to institutions and programs designed to prepare future principals to ensure an adequate supply of quality candidates.

<div align="center">Principal Preparation Concerns</div>

Concerns Related to Traditional Programs

As school systems prepare to face a shortage of qualified applicants for their administrative positions, the traditional method of preparing principals has come under increased scrutiny. Educators and policy makers have articulated growing concerns over university programs that stress leadership theory, but generally offer limited opportunities to apply knowledge and theory into practice (Anderson, 1991; Lauder, 2000; Smith & Piele, 1997). Common criticisms range from classes being taught by professors who have not entered a school in years to candidates studying "theory and policy in classes that were poorly related to one another from a curriculum that was

fractured and rarely included reflective, hands-on experience that administrators themselves assert is a fundamental component of principal programs" (National Association of State Boards of Education (NASBE), 1999, p.10).

Concerns for Quality Intern Experiences

School systems may have been comfortable with the idea that the role of assistant principal would adequately provide the practical experiences university-based principal preparation programs lacked. However, there is increasing evidence to suggest that the role of assistant principal fails to provide the training and background needed for the instructional leadership experience of today's principals. Hartzell, Williams and Nelson (1995) stated, "The nature of the assistant principalship and the skills required to be successful as an assistant principal are oriented much more toward management than toward leadership, a condition that does not promote the development of visionary leadership in its occupants" (Hartzell, et al. as cited in Batenhorst, 2002, p.1). School systems requiring a large number of qualified candidates to become instructional leaders may be coming to the conclusion that "traditional preparation programs, teaching experience, coursework, practicum, and even service as a vice principal are not successful in adequately preparing aspiring administrators for the principalship" (Cotton, 2003, p. 15).

Statement of the Problem

In an effort to recruit candidates and prepare them for the challenges of the principalship, many school districts around the country are creating leadership programs specifically for aspiring principals. Rather than relying solely on colleges and universities to provide future principals, school systems are coming to the realization they will have to supplement such programs with training of their own. These principal programs provide an opportunity to not only better prepare individuals

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for the principalship, but also entice a larger number of candidates to the recruitment pool. Even though 47% of the nation's teachers have master's degrees, a number in administration, many choose not to consider principalships (Groff, 2001, p.6). The challenge is to entice those who are qualified to explore leadership positions, especially principalships. One way to entice them is through high-quality leadership preparation programs.

Many school districts have responded to concerns about principal candidate quantity and quality by developing leadership within their own organizations and instituting "grow your own" principal preparation programs. Gerald Tirozzi (2001), Executive Director of the NASSP, in a recent edition of *Phi Delta Kappan* stated, "Unlike the common practice of corporations and the military where there are systematic and continuing initiatives to grow and develop a management cadre that can take on greater and greater responsibilities and succeed at each step along the way, education makes no such careful investment of resources in its future leaders" (p. 4). Tirozzi asks the question: "Can school systems design individualized programs where the content and implementation reflect the needs of both the system and program participants?" (p.4).

In its work, "The Principal, Keystone of a High-Achieving School," Educational Research Service (2000) cites systems such as Jefferson County Public Schools District (Kentucky), Huron Valley School District (Michigan), and Fort Wayne School (Indiana) as examples of "locally designed 'grow your own' principal candidate programs" (p.50). "Grow your own" programs are often characterized as "hands-on and experiential" and provide a school system with a great way to gather information about future principal candidates (ERS, 2000, p.53).

"Grow your own" principal preparation programs are not designed to supplant existing university programs. Instead, they are a means for a school system to provide

additional training and support for aspiring principals. In many instances, school systems have elected to work with institutions of higher education in the formulation and implementation of programs to "close the gap." In some cases, they have decided to combine with other school districts to pool resources (Douegh, 1992, p.13). In the state in which this study was conducted, twelve of the seventeen counties that have programs are working in collaboration with one or more institutions of higher learning and a number of the smaller districts have combined resources to develop a unified program (State Survey, 2004, p. 1).

While there appears to be a growing number of "grow your own" principal preparation programs across the country, current research about them is limited. Few studies have been done to examine if they have avoided some of the noted concerns of university-based programs, or if they are an effective means of addressing the growing concerns of a shortage of qualified candidates for future principalships.

One School System's Efforts To Create A "Grow Your Own"

Principal Preparation Program

In 1999, the superintendent of the school system being studied convened a committee of various stakeholders including central office personnel, principals, vice principals, and teachers to address leadership preparation issues, including the critical shortage of qualified principal applicants.   A large turnover in the system's principals (13of 31 in the previous four years) combined with a limited pool of applicants was a growing source of concern for the district and superintendent.

After a lengthy process, the Aspiring Principal Preparation Program was created, and 99 potential leaders enrolled over a three-year period, many of whom have completed the first three program phases. The stated goal and main objective of this school district's principal preparation program is to produce a cadre of potential

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principals who are better prepared for the challenges of the position than the current supply of principal candidates. Having gone through the program, participants should be better prepared to face the issues and challenges of a principalship in a time when schools and school systems are being challenged as never before to educate every child to the fullest extent of his/her ability, regardless of ethnicity, race, social economic status, and/or innate abilities. While the target audience for the program is current vice principals, administrative assistants, and teachers in educational administrative courses, it is open to anyone with interest in the principalship.

Program Design

Program Elements

Based on a review of current research about principal preparation programs and available standards, it was decided that the Interstate School Leaders Licensure Consortium (ISLLC) standards should serve as a foundation upon which to build the program. The program structure was to utilize current best practices and research on leadership and the principalship while applying a practical, "hands-on" approach to help program participants decide if the principalship was a realistic and personally desirable goal.

The Aspiring Principal Program in the school system studied had five phases in its initial design:

1. A five-day summer institute required for individuals who wanted to participate in the larger program. The institute objective aligned with the ISSLC standards and had a focus on vision, accountability, instructional leadership, political decision-making, and legal issues in education.

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2. Seminars throughout the year where participants had to attend six out of the nine seminars to complete phase two of the program. The seminars were self-selected. A participant could choose to attend more than six. Participants enrolled for credit in a university associated with the program were required to attend all sessions.

3. Projects to benefit the school system that were self-selected by participants, but had prior approval. A list of suggested projects was developed.

4. A mock interview accompanied with a professional portfolio to provide all participants the opportunity for a diagnostic interview experience.

5. An internship program designed to benefit current vice principals as well as aspiring principals.

Key central office administrators were used as keynote speakers. University professors from around the state as well as staff from the State Department of Education were utilized as consultants. Current principals were invited to collaborate and discuss issues of the program through presentations and question-and-answer sessions. The program was designed in collaboration with local colleges, allowing for participants to receive college credits toward a master's in educational administration and/or a certificate in advanced studies.

Research Problem

The research focus of this study is the development of a critical evaluation of one school system's efforts to develop and implement a "grow your own" program that will provide a continuing supply of highly qualified candidates to fill anticipated needs. The study serves two purposes:

1. To determine the extent to which this system's efforts to design and implement a program that supplements university preparation have succeeded in meeting program goals (product), efficient use of system resources (input), and appropriate selection of program activities (process). The context in which this program was developed was also examined.

2. To determine what can be learned from these efforts that might be beneficial to this system as it attempts to improve the program, and what can be learned that might prove useful to other systems coping with the need to address principal shortages.

Research Design

The research design for this study is a formative evaluation of the aspiring leadership program in one school system in a mid-Atlantic state. The study is formative rather than summative as the data analysis results will be used to guide decision-making relative to improving the program. The research for this study begins with an extensive literature review of the most current information related to principal preparation programs, the changing role of the principal, and program evaluation tools used in a model created by Daniel Stufflebeam.

Both quantitative and qualitative methods were used for this study. For this effort, a comprehensive survey instrument was e-mailed to each of the 99 participants from the first three cohort groups of the Aspiring Leadership Program as well as the 12 members of the original design team. Focus group interviews with members of the design team who provided suggestions for creation of the program and often acted as facilitators were conducted. Also, focus group interviews were conducted with

program participants as well as with individuals who have attained principalships in the designated county.

Additional research was conducted in the school district. Research efforts included site visitations, comprehensive interviews with program administrators, participants, and presenters. Program documents and internal evaluation efforts will also be examined. Program resources, local as well as state and national, will be assessed as to source, purpose, and utilization.

Research Questions

Six research questions were framed in terms of the evaluation format being employed. The questions were stated so as to examine initial efforts to conceptualize the program as well as on-going efforts to make program adjustments based on participant and program designer feedback. In this sense, the evaluation is formative in nature and is designed to further inform the program design committee of areas where further changes may be warranted. The six questions are as follows:

1. What forces impacting the principalship combined to influence school authorities in the creation of their principal preparation program?

2. Which program elements were created specifically to address those forces impacting the principals?

3. What resources (financial, facilities, human) were made available in the design and implementation of the principal preparation program?

4. What were the essential sources that led to the elements and structure of the designated program, and to what extent did they reflect current research about effective principal preparation programs and standards of licensure? What was the process for implementing the program and recruiting participants?

5.   What perceptions did participants have about the effectiveness of the

        program and did these perceptions match the goals and expectations of

        the program design committee? Did program participation increase or

        decrease participants' interest in advancing to a leadership role?

6.   To what extent did participants who have attained leadership positions

        report that the program has helped prepare them for the responsibilities

        of their positions? What areas of the program did participants see as

        needing improvement?

Conceptual Framework

The conceptual framework for this study derives, in part, from scholarly works

examining the importance of the evolving role of the principal and the history of

principal preparation programs. It also derives from an examination of the limited, but

growing, research on "grow your own" principal preparation programs.

As the examination of one such program is the focus of this study, it is

necessary to choose an appropriate conceptual framework on which to base this study.

Due to the fact that the program selected for study is still in a state of development, the

researcher elected to utilize Daniel Stufflebeam's Content, Input, Process, and Product

Model (CIPP) both to assess current program effects and to guide decision-making for

future steps. According to Stufflebeam (2002), change is ongoing, and programs and

processes employed to cope with change must constantly adapt to keep pace with on-

going developments (p.14).

Stufflebeam describes the CIPP Evaluation Model as "a comprehensive

framework for guiding evaluation of programs, projects, personnel, products,

institutions, and systems" (Stufflebeam, 2002, p.5). While the CIPP Evaluation Model

was originally created to provide information in a systematic, proactive way for

decision-making, it is appealing because it has been proven to be beneficial in assisting educators after the fact to account for their decisions and actions (Stufflebeam, 1971a, p.1). Use of the CIPP Model allowed the researcher to determine the degree to which the designated county's Aspiring Leaders Program meets its originally stated objectives as well as in ascertaining its overall effectiveness, sustainability, and perhaps, transportability.

The research design employed both quantitative and qualitative methodologies. The research design is based on Daniel Stufflebeam's conceptual model for program evaluation. Stufflebeam advocates a comprehensive evaluation model that examines four dimensions of program development and implementation:

1. Context – The context component of the CIPP model deals with the issues and forces of change which prompted the school system to consider the need for an aspiring principal leadership program.

2. Input – The focus on input variables examines the central idea and ideals that guided developers as well as the accounting of the resources expended by the school system to create and implement the program.

3. Process – The process component of the CIPP model seeks to answer questions related to programs and processes as well as the various efforts related to program revision over the first three years.

4. Product – An examination of the product segment of the CIPP model, will allow the researcher to assess the impact of the program on participant knowledge and skills related to the principalship as viewed both by members of the program design team and the program participants.

Definitions

The following terms are defined for the purpose of the study:

1.   <u>Principal</u>: The chief operating officer of a school charged with instructional and managerial responsibilities.

2.   <u>"Grow Your Own" Principal Preparation Programs:</u> Programs established and operated by local school systems to supplement and enhance the preparation provided by colleges and universities. While these programs may be instituted in partnership with a local university, they are conducted by the school district.

3.   <u>Stufflebeam CIPP Evaluation Model:</u> An evaluation model that focuses on the core ideas of content, input, process, and product. Stufflebeam defines his model as being either formative (guiding program improvement), or substantive (evaluating program effectiveness), or both.

Limitations

1.   The study is limited to one school system's efforts to develop and implement a leadership development program for principal candidates. It is designed to meet the needs of a single school system and may not be suitable for generalization to school systems whose needs vary from the ones for which the program was designed.

2.   The number of individuals who have moved through all phases of the program and been appointed to the principalship is quite small, and the length of time they have served as principals is also limited. Therefore, it is somewhat early to pronounce these efforts as successful or unsuccessful based on performance evaluations.

3.   It should also be noted that the researcher was part of the initial design team and has been involved with the program in its implementation

phases. Therefore, there is a concern for the potential of "researcher

bias." Utilizing multiple data sources and methods of collection should

help to limit such bias.

Delimitations

1.   The evaluation design is purposefully delimited to be of a formative

nature as opposed to a summative one. This design is based on the

need to accumulate data that will permit redesign and implementation

changes as the program evolves into a more established format.

2.   No effort was made to screen program candidates. The design team felt

this initial effort should provide participant self-selection. Self-

selection has provided for a much wider range of talent than would

have occurred had specific criteria for program admission been applied.

Assumptions

For the purpose of this dissertation, the researcher has noted the following

assumptions: Program design team members will desire an accurate assessment of the

conceptual plan and of its implementation and will respond readily about its perceived

strengths and weaknesses. Program participants will be candid about their reactions to

the program. At the same time, many of the participants may desire to seek

administrative positions in the school system being studied and may have some

reluctance to identify negative aspects of the program. Care will be taken to guard the

confidentiality of all data so as to protect interviewees and survey respondents in an

effort to reduce this threat.

Significance

The significance of this study is to further the research on a local school system's attempt to create its own principal preparation program to supplement university programs. At this time, there is limited research about these types of programs, so this study should provide insight into the challenges of creating and implementing a program as well as potentially adding to the available research about them.

This study seeks to identify how a school system planned, developed, and implemented a principal preparation program. Using the CIPP model to evaluate this school system's efforts to create a "grow your own" principal preparation program has provided feedback, suggestions, and recommendations to the school system for program improvement.

Because of the critical role principals play in the success of a school, a potential national principal shortage is a concern to all school systems. Since creating principal preparation programs appears to be a solution to this potential crisis that many school districts are employing, examining one school system's experiences with such an endeavor may provide useful information to other programs. While this school system's program has not been identified as a model "grow your own" principal preparation program, documenting issues of its design, implementation, and initial effectiveness could assist other school systems in the design and implementation of their own programs.

Organization of Study

This study of one school system's efforts to design and implement a principal preparation program consists of five chapters. Chapter I presents an overview, which addresses the importance of this study as well as the conceptual framework for the program and the design for a formative evaluation of it.

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Chapter II reviews the changing role of the principal in an era of high stakes accountability and the causes and potential effects of the growing principal shortage, and examines concerns and issues surrounding current principal preparation programs and efforts to improve them.

Chapter III restates the problem being studied in light of what the literature review revealed about principal preparation programs and examines Stufflebeam's CIPP model. It focuses on the population to be studied while providing support for limiting the study to one school system. It contains a clear identification of the sources of information utilized (questionnaires, surveys, interviews, etc.) as well as a detailed section on data collection and analysis procedures.

Chapter IV presents the findings of the study. Included is a restatement of the problem and research questions along with a summary of the data collection. A focused presentation of findings organized around the research question and sub-questions is provided.

Chapter V discusses conclusions reached from the findings in Chapter IV. Implications for changes in current practices or policy are suggested, along with recommendations for additional research in the area of principal preparation programs.

CHAPTER II

REVIEW OF THE LITERATURE

At a time when school systems across the country are experiencing potential administrative applicant quality and quantity issues, a number have chosen to become directly involved in the identification and preparation of their future principals. The purpose of this study is to examine how one school system chose to deal with this issue by creating a "grow your own" principal preparation program. This study is a formative evaluation that utilizes Stufflebeam's CIPP model in an effort to assess the program in its initial stages of development and seek information to guide program improvement.

This review of research is designed to investigate the literature related to administrative preparation programs with special focus on those that reflect "grow your own" principal preparation programs by school systems. The growing concerns with the traditional university model of principal preparation will be explored and several recent aspiring principal programs that have received national recognition will be highlighted. Indicators of reform, such as the ISLLC standards, will be addressed in relation to their use in current principal preparation programs.

The Evolving Role of the Principalship

A common theme from the literature review was not only how much the role of the principal has evolved over time, but how it has changed as society has changed (Glanz, 1998; Hessel & Holloway, 2002). The principalship has "been influenced and shaped by a variety of historical forces. The history of school leadership is clearly a

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history of the interaction of broad social and intellectual moments within American society" (Hessel & Holloway, 2002, p.11).

The early roots of the principal emerged in the late 1800s as principal teachers were created to attend to school improvement functions as attendance and school cleanliness (Glanz, 1998). This role changed toward the late 1800s as a "teacher of teachers," assessing educators in the art of teaching and attending to other management issues (Glanz, 1998). Glanz notes another shift in the principal at the turn of the last century during the "Era of Economy and Efficiency" as the position was patterned after "the administrator of business and industrial management view of school organization" (Glanz, 1998, p.41). As society became increasingly bureaucratized, so did the role of principal, taking on an increased level of administrative responsibilities.

One of the greatest periods of change in the principalship came in the era from the 1950s to the end of the 1970s. As the United States entered into a Cold War with the Soviet Union, traveled into space, engaged in a very controversial war in Vietnam, and faced turbulent times at home regarding race relations, the principalship continued to change. In her work, "Integration of the ISLLC Leadership Standards into Rhode Island Principal Preparation Programs," Lisa Harpin (2003) documents researcher Phillip Hallinger's views of the changing role of the principal:

> During the 1950s, the principal was viewed as an administrator who managed the school. With the urbanization of the schools in the 1960s, the principal's role changed to that of bureaucrat forced to carry out the policies instituted by government agencies. When federal efforts focused on curriculum during the 1960s and early 1970s, the principal became known as a "change agent' and responsibilities increased (p.36).

With the publication of *A Nation at Risk* in 1983, the role of the principal changed again as reaction to this publication spurred renewed interest in public education from Congress, state legislatures, and local school boards. Principals were now responsible "for creating the conditions that would support increased student achievement" (Harpin, 2003, p.36). Hessel and Holloway (2002) define this period of the 1980s as "The Age of Reform," where the focus of the principalship was to provide instructional leadership. However, while policy makers cited the need for principals to embrace this new focus on instructional leadership, the position still required principals to be a "financial manager, skillful negotiator, manager of human resources, source of legal knowledge, and human relations expert" (p.12).

The 1990s to the present have been labeled as "The Standards Movement" or "The Age of Accountability." External stakeholders such as parents, business leaders, politicians, and community members began to impact school reform. The ISLLC Standards, adopted in 1986, are examples of administrative standards created to define and improve the skills of school leaders. Principals were now asked to lead schools that were judged by the results students achieved. Ron Thomas (2004), in his work, "Personalizing Schools in the Age of Accountability," noted several implications of these shifts for educational leaders:

1.   Schools are no longer judged by the processes educators engage in but
       by the results the students achieve.

2.   Schools are no longer recognized for universal access to education but
       for universal proficiency in learning (p.1).

As the public expects more from schools and higher accountability for results, the principal has become more important than ever. Several studies have reported that principal quality is the best indicator of high student achievement (Lashway, 2003;

Richardson, 1989). In a report entitled, "Effective Schools Research: A Guide to School Improvement," effective schools at all levels had principals who:

- were assertive in their instructional role,

- were goal- and task-oriented,

- were well-organized and demonstrated skill in delegating responsibility to others,

- conveyed high expectations for students and staff,

- had policies that were well-defined and well-communicated,

- made frequent classroom visits,

- were highly visible and accessible to students and staff,

- provided strong support to the teaching staff, and

- were adept at parent and community relations. (ERS, 2000, p.6)

Forces of Change Impacting The Principalship

Principals lead schools and schools do not exist in a static environment. Over the past several decades, a number of forces have risen to change the face of public education and these forces have had a dramatic effect on the principal's role. These forces have not only created a need for a greater number of principals, but also a pool of qualified candidates who can meet the needs of a rapidly changing school population. The number of school-aged children has swelled dramatically, increasing beyond the ability of school systems to build new schools and keep class sizes down. It is estimated that 6,000 new schools must be built by 2006 to handle a 10% increase in K-12 students from 1998 (U.S. Dept. of Education, 2001, p.99). This increased enrollment has been accompanied by a growing percentage of ethnic and linguistic student diversity, presenting schools with new challenges. Not only will Hispanics and Asians account for 61% of the nation's population growth by 2025, but also a

significant portion of these students will enter schools speaking a language other than English (Tirozzi, 2001, p.4). The number of students with special needs has also risen, as has the level of support they require to be educated. Parents and community members have pushed for new laws and policies to protect the interests of these students to ensure they are being treated equitably in the nation's schools.

Principals have had to lead schools at a time of fluctuating budgets, growing school violence, changes in government policy and law, and a continued focus on standards and accountability. Paul Houston, Executive Director of the American Association of School Administrators, states, "There are no solutions envisioned by a dissatisfied public, but there are demands placed on school leaders to fix society's ills. The context then becomes a public who insists on quick, neat, simple solutions for problems that extend far beyond the scope of any one person, even the principal" (Houston, cited in Yerkes, 1998, p.12).

Until recently, the standards movement was focused on students and teachers. The need for similar standards for educational leaders is a consistent finding of research on school leadership (Lauder, 2000; J. Murphy, 2001). Principals and school leaders today must operate in what educational research often calls the "standards movement," which will continue to be true with the nation's "No Child Left Behind" (NCLB) Act of 2001 (NAESP, 2004, p.1). The restructuring and accountability of schools calls for educational leaders to not only demonstrate results but to show progress and success for all students in the educational process. Keedy and Grandy (1999) stated, "If there were ever a time for innovative, aggressive leadership in our schools, the time is now" (p. 2).

As the forces impacting the principalship have continued to grow, states have begun to adopt new standards for certification and licensure requiring aspiring leaders to go well beyond the traditional administrative degree programs in educational

administration. The Interstate School Leaders Licensure Consortium (ISLLC) Standards were created to develop a framework for redefining school leadership and instructional improvement (see Appendix B). While the Standards were not written specifically for principals, their reference to "school administrator" implies principals or similar educational leaders. The Standards reflect research conducted by a multitude of professional organizations and have been endorsed by such organizations as the National Policy Board for Educational Administration (NPBEA), the National Council for the Accreditation of Teacher Education (NCATE), the Chief Council of State School Officers (CCSSO), National Association of Elementary School Principals (NAESP), and National Association of Secondary School Principals (NASSP) (CCSSO, 1996).

During this time period, "principals already accustomed to being the instructional leaders of the schools now have a whole new set of federally mandated responsibilities and requirements telling them just what 'instructional leadership' means" (NCLB, 2004, p.3). Principals now have to be able to make data-driven decisions to improve instruction and face possible corrective action if schools fail to meet mandated accountability measures.

As schools have entered into a new century, principals are impacted by the No Child Left Behind Act of 2001 (NCLB). NCLB reflects President Bush's stated plan to ensure all children are educated to their full potential by 2014. Key provisions of NCLB include:

- setting higher educational standards;
- annual testing of children to measure progress toward achieving the higher standards;
- analysis of the test data annually to ensure that students are progressing; and

- rewards (and penalties) aimed at schools where students make (or do not make) "adequate yearly progress" (AYP). (ERS, 2003, p.1)

While all of these forces raise the level of expectation for future school leaders, they do not help school systems with the issue of finding an adequate supply of quality candidates for present and future principalships. Instead, all of these forces have combined to affect both the quantity and quality of the principal applicant pool, yet offer limited advice and support as to how this might be accomplished.

Changes in the Principalship—Implications for Preparation

A constant theme in professional literature reflects the crucial and evolving role of the principal in educational reform (Byron, 1999; Cohan, 1998; Downs, 1999; Lashway, 2003). As the role of the principal has changed significantly in recent years, then it is logical to assume principal preparation programs must also change to keep pace.

As public schools have been asked to take on more and more responsibility, the expectations on principals to meet these additional demands have increased. "Expectations for the principalship have steadily expanded since the reforms of the early 1980s, always adding to, and never subtracting from, the job description" (Copland, 2001, p.4). Many of the authors in the literature question if the job has grown too large for one individual, and if the sheer magnitude of the responsibilities has caused people to leave the position and new applicants to shy away. The days when principals were judged only by such factors as the condition of their buildings, satisfaction of teachers with student discipline, and staying within their budgets are gone. Administrative programs must help future principals lead and change schools, not merely maintain them.

While there appears to be wide-ranging agreement on how complex the principal's job has become, the literature indicates that effective leaders are the ones who can constantly multi-task while giving highest priority to instructional leadership (Trail, 2000, p.2). Because public schools operate in an environment of new standards and accountability, many authors echo the following suggestion, "If school systems want to concentrate on improving student performance, there must be a focus on the principal and the role of instructional leadership" (Croghan, 1984, p.24). This shift from a managerial to an instructional leader is one principal preparation programs must address. According to Hoyle, English, and Steffy, "This involves establishing and communicating a school vision, determining priorities by considering students and staff needs, evaluating school climate, and assessing student achievement data" (Hoyle, et. al, as cited by Harpin, 2003, p.2).

An important theme from the literature review raises the question of whether the evolution of the principal as the instructional leader has, in fact, contributed greatly to the current principal shortage. This question is particularly compelling as "more and more school districts judge a principal's effectiveness as an instructional leader based on the school results on high-stakes tests" (Anderson, 1995, p.22). While there are many factors cited in the literature, such as inadequate remuneration and time fragmentation, to help explain the current principal shortage, job-related stress relating to high stakes accountability is also a growing concern (Ferrandino, 2001, p.7). "The literature is quite clear that principals are under constant stress that manifests itself emotionally, cognitively, and physically. School reform efforts have had a direct impact on the stress felt by principals....accountability pressures and the overall changed nature of the role of the principal have compounded the problem of finding individuals to fill principalships" (Whitaker, 2001, p.4). It is clear that if principal preparation programs are to address an adequate supply of future principals, they must

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provide participants with the skills and knowledge to handle new accountability measures.

In an article entitled "The Lose-Lose Leadership Hunt," Gordon A. Donaldson, a professor of education at the University of Maine, expresses concern over how school districts are linking principals' contracts and professional reputations to "high stakes testing and outcomes-based promotion." He writes,

> These are hostile conditions for leadership at the school level. The
> prevailing view asserts that learning and teaching can be "turned
> around" by the "executive officer" of the school—that schools can
> operate the way a trim ship or a high-performing business purportedly
> does. If policy makers at all levels of government wish to attract our
> very best teachers into school leadership, they will need to recognize
> how this view of schooling neither supports effective teaching and
> learning nor promises to reward leaders for taking on the leadership of
> a school. (Donaldson, 2001a, p.42)

In his article, "The Myth of the Superprincipal," Michael Copland (2001) states,

> Two decades into the current age of school reform, one can argue that
> we have reached the point where aggregate expectations for the
> principalship are so exorbitant that they exceed the limits of what might
> reasonably be expected from one person. (p.4)

He argues that it is the overwhelming expectations that currently deter those who previously aspired to principalships.

For aspiring leaders to be ready to meet the ever-changing demands of the principalship, there must be consistent standards in principal preparation programs. The National Association of State Boards of Education Study Group (1999) stated,

"Systemic reform of the principalship begins with ensuring that all principals have the knowledge, skills, and experience they need in order to create an environment that helps teachers teach and students learn" (p.9).

<p style="text-align:center">Concerns With Traditional Principal Preparation Programs</p>

As school districts around the country report the quality and quantity of principal candidates are declining, "a broad consensus has emerged in educational policy circles that raising the quality of school leadership is essential" (Keller, 2000, p.2). Multiple studies indicate it is imperative that an adequate supply of principals be available and these principals be well prepared to meet the needs of schools and challenges posed by high-stakes testing and other forces impacting the principalship (Fenwick, 2001; Hargraves & Fuller, 1998; Quinn, 2002; Tirozzi, 2001).

While the demand for quality principal candidates has grown, the supply has not kept pace. Ann Lauder (2000), Coordinator of Leadership Assessment and Development at the Center for Excellence in Leadership at the Education Service Center, wrote,

> Districts are finding it progressively difficult to persuade teacher-
> leaders to consider or prepare for the principalship. Many teacher-
> leaders have one or more advanced degrees and are reluctant to pursue
> yet another traditional degree. Disappointment in traditional and
> theory-based preparation programs, coupled with the public demand for
> increased expectations on the principalship, has produced a world of
> new and redesigned principal preparation programs. (p.25)

Until recently, school districts across the country have been content to allow colleges and universities to train future principals. The traditional preparational approach followed for individuals aspiring to become principals has remained very

consistent and relatively simple. First, an educator would enroll in a graduate program after a successful teaching career. The aspiring administrator would then receive a master's degree and "complete the requirements for an entry-level administration certificate" (Daresh, 1990, p.1). While the university was expected to provide the theoretical background for the potential principal, the practical experience was usually gained by attaining a vice principalship.

While this relationship was long regarded as "a near perfect marriage, wherein theory and practice have been united in the creation of ideal preservice preparation" (Daresh, 1990, p.2), this perception has changed dramatically. The "traditional approach" often left schools complaining of ineffective administrators who were not prepared to address their responsibilities and beginning administrators expressing a lack of confidence "that they are ready to step out of the classroom and into the main office for the first time" (Daresh, 1990, p.3).

Much of the current research on principal preparation programs addresses university-based courses and curriculum and cites serious concerns over their effectiveness. "Preparation programs in educational administration have been locked into modes of thinking and structures of practice that have been overtaken by changes in the environment" (Lumsden, 1992, p.2). In a comprehensive study of principal preparation programs, Joseph Murray (1996) asserts that "Changes need to be made in the content and pedagogy of preparation programs" (p.15).

With the changes in school principals' responsibilities accompanying various educational reform efforts, policy makers have recommended that schools and districts truly examine the type of training aspiring leaders are receiving in preparation for principal positions. According to Karyn DeAngelis (1997) of the National Center for Educational Statistics, "Not only must school systems examine what types of programs (internships, practicums, and courses of study) are available, they must ask

the fundamental question of what information is provided in these programs" (DeAngelis, 1997, p.10; Quinn, 2002).

There is increasing evidence to suggest that most college and university programs for the preparation of educational administrators have limited effectiveness. Dating back to the 1960s, Hemphill (1962) indicated that years of formal preparation were weakly correlated with ratings of effectiveness (p.11). Gross and Harriott (1965) showed "that a number of graduate courses were actually negatively related to leadership skills" (p.13). In 1996, the National Association of Secondary School Principals (NASSP) issued a report suggesting that preparatory programs had been overtaken by environmental changes and "were resolved into modes of thinking and structures of practice" that fail to keep up with forces impacting the principalship (Keil & Czernak, 2003, p.1). James Lyons, Chairman of the Educational Administrative Department of the University of North Carolina, wrote, "The novice principal seldom understands the full scope of the issues, expectations, and scope of responsibility that accompany the position" (Lyons, 1992, p.4). The National Commission on Excellence in Education Administration released a report in 1988 calling for immediate reform of principal preparation programs. This report "was the impetus for national and state boards of education and legislatures to recognize the critical need for educational reform of principal preparation programs" (Mercado, 2002, p.14). Joseph Murphy, Chairperson of the Department of Educational Leadership at Vanderbilt University, determined a number of problems associated with current principal preparation programs:

- Non-competitive entrance requirements and little effort to weed out poor candidates;
- An ill-defined knowledge base with few standards;
- Minimal academic rigor;

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- A fragmented curriculum;

- Lack of connection to the world of practice;

- Uninspired instructional methods;

- Poorly regarded faculty;

- Lack of diversity in students and faculty;

- Reliance on an academic rather than professional model. (Murphy, as cited in NASBE, 1999, p.10)

Annie C. Lewis, an independent education researcher and writer, has voiced many concerns about the "dismal state" of administrator preparation programs at the university level. She states, "The classes were very theoretical, very textbook-based, and it was very easy to sleep through them" (Lewis, as cited by Keller, 2000, p.2).

Interestingly, many of the calls for change to the existing principal preparation programs have come from university professors in the field of administrative education. G. Cawelti (1982), in his article, "Training for Effective School Administrators," indicates, "Critics of the current university-based programs assert that the traditional pedagogy focuses on school administration, financial preparations, labor negotiations, school law, and facilities planning" (p.14). He states, "Improved university preparation programs and more effective human resource development for practicing administrators are more important than ever. We must now think through what the curriculum for school administrators should be and what pedagogy will best assist administrators to better cope if not lead" (p.14). Increasingly, there is a demand for university classes to "address the skills needed to lead successful schools such as the use of data to improve instruction and the use of effective teaching and learning situations, or to make decisions about aligning courses, classroom assignments, and students' work to standards" (Bottoms & O'Neill, 2001, p.23).

As the landscape has changed for the principalship, there has been a call for new designs and recommendations for principal preparation programs. One of the most common charges leveled against such programs is, "They are unbalanced; students are saturated with educational theory when enrolled in graduate studies, but receive scant experience in the types of professional challenges they are likely to encounter in the real world" (Lumsden, 1992, p.2).

Realizing that aspiring principals may be obtaining degrees with a great deal of theoretical background but little practical experience, a number of school districts are taking a more proactive role in the preparation of their future leaders.

Trends In Effective Principal Preparation Programs

While the call for reform on university-based principal preparation programs seems to be a constant theme in the literature, so is the call for school districts to supplement higher education preparation with programs of their own. A report sponsored by the National Association of State Boards of Education (1999) suggested, "Demands for fundamental improvements in principal preparation and support are linked directly to pressures for educational reform" (p.11). In an era of unprecedented accountability, school districts are beginning to realize that they must share in the responsibilities of identifying and preparing future leaders, or they may well be left with an insufficient quantity of quality principal candidates.

One of the most recent solutions to the principal shortage is "for school districts to grow their own principals" (Keil & Czernick, 2003, p.2). While there is an extremely limited amount of research about "grow your own" principal preparation programs, what is available reflects many common themes and ideas. Fink and Resnick (2001) discuss local principal preparation programs that "create a culture of learning that focuses on accountability for student achievement" (Keil & Czernick,

2003, p.2). Leslie Fenwick (2001), a professor of educational policy at Clark Atlantic University, suggests school systems "seek university-district collaboration in 'grow your own' programs that encourage diversification of leadership at district and school levels" (p.4). School systems are being called upon to take a proactive approach to grow their own principals. Donaldson (2001) stated, "Leaders cannot fully develop the capacity to lead anywhere but in the action of the school. University courses, leadership academies, and professional conferences can be helpful, but we can only learn the interpersonal and intrapersonal lessons of leadership by leading in a highly supportive and reflective environment" (p.3).

In his article, "Leadership 101," John Newsom (2001) reflects that "'grow your own' programs typically have three major features: classroom work, where aspiring principals learn from experts in the field; a full-time internship, where they work alongside veteran school administrators; and a network, where program graduates can share information with colleagues and get feedback from mentors" (p. 14). He suggests that candidates who go through all three phases successfully are very likely to find administrative positions quickly.

While there are great differences in how school systems approach their "grow your own" models, the current research identifies several key components of successful principal preparation programs:

1.   Field-based exposure with mentors

2.   Substantial internship experiences

3.   Cohort groups and study groups

4.   Focus on leading, not management

5.   Participant requirements to create a professional portfolio. (Bottoms & O'Neill, 2001; Marshak, 2003; Murphy, 2001)

Daresh's (1997) work (cited in Mercado, 2002, p.4) recommends a number of practices, addressing both content and delivery, that lead to successful educational leadership preparation programs. The content recommendations are:

1. Pre-service programs with an emphasis on the development of reflective skills.

2. Preparation programs that help principals acquire skills as moral and ethical leaders.

3. Principles of adult learning that guide the development of preparation programs.

4. Curricula that are coherent, integrative, and sequenced in a logical fashion.

5. Great emphasis placed on teaching and learning processes in schools.

The delivery recommendations are:

1. Opportunities for more clinical learning must be made available to aspiring principals.

2. Experienced administrators should serve as mentors to future leaders.

3. Aspiring principals proceed toward their goals in cohorts.

4. Authentic assessment techniques must be used to track student progress.

5. Pre-service preparation is viewed as only part of a bigger picture of professional development. (p.4)

Trying to keep up with the ever-changing role of the principal, many school systems have initiated or dramatically redesigned their principal preparation programs to appeal to and attract those educators who may be the next generation of school leaders. Ann Lauder (2000), in her article entitled "The New Look for Principal Preparation Programs," writes, "The major changes include emphasis on the

effectiveness and efficiency of the preparation program, advocacy for application of adult learning methodology, focus on the participants' skills and the results produced, and support for curricular choice based on distinguishing individual needs" (p.24).

Effective principal preparation programs must bridge the gap between what is taught in university-based programs and what skills and knowledge principals need to become true instructional leaders of the schools. A great deal of current research asserts that there is too little emphasis placed on curriculum, teaching and learning, and student achievement in college-based programs (Bottoms & O'Neill, 2001, p.23). By creating their own programs to supplement what potential administrators may have received in university-based programs, school districts can personalize their efforts to meet their particular needs. Samuel Sava (1990) of the NAESP states,

> While there are many similarities in America's public schools, it is also
> true that these schools are different from one another as are the
> communities they serve. What is considered effective leadership in one
> school may be less effective in another. Universities must face this
> dilemma of how to provide principal preparation experiences that will
> directly relate to any, let alone all, of the communities in which
> aspiring principals may work. (p. 25)

Creating their own distinct programs allows school districts to personalize their programs in ways that colleges and universities cannot. Ultimately, the most effective principal preparation programs will be those that "find ways in which universities and school districts work collaboratively and as partners" (Daresh, 1992, p.15). This focus on content and collaboration between school systems and universities is one of the most common components discussed in Williamson and Hudson's work (2004), "The Good, the Bad, the Ugly: Internships in Principal Preparation." They assert quality programs for principal preparation include:

- a sense of purpose and vision developed collaboratively with students, local school personnel, and practicing school leaders,

- a knowledge base that incorporates the knowledge and skills required for contemporary school leadership,

- a recognition that the primary function of schools is to improve the quality of teaching and student learning,

- a more thoughtful and purposeful inclusion of clinical activities including school-based internships (p.3).

Another common theme emerging about principal preparation programs is the need for participants to engage in reflective practice in cohort groups. Stein (1998) advocates situation learning in classrooms where adult learners engage in simulated group activities, group discussions, and critical reflection where they can verbalize knowledge gained and engage in problem-solving approaches with experts in the field (Browne-Ferrigno, 2001, p.21).

Increasingly, there is a call for principal preparation programs to initiate internships. In her article, "Preparing School Leaders: Case Study Summary and Implications," Tricia Browne-Ferrigno (2001) asserts that aspiring school leaders need to conceptualize the principalship through interaction and socialization with current principals. She states, "Research shows that socialization through clinical practicums and internships increases role clarification and technical expertise, changes role conceptions about the principalship, and develops leadership skills and professional behaviors" (p.29).

Standards For Principals

As school systems have developed their own preparation programs, it is to be expected that the content and pedagogy should be a clear point of focus. With the

concept of school leadership evolving from a mere managerial focus to a greater instructional focus, the definition of the qualities that principals should demonstrate has also evolved. Policy makers have begun to agree "to ensure excellence among all principals, states need to provide a clear picture of an effective principal, continue in a set of standards, and require principals to be evaluated regularly according to the knowledge, skills, and dispositions defined in the standards" (NASBE, 1999, p.13). Richard Schmick (1989), a researcher at Vanderbilt University, argues that principal preparation programs must be built on a solid knowledge base and teach aspiring leaders to "think strategically about situations involving instructional leadership and school improvement" (p.18). Clearly, the absence of uniform licensure standards and a common foundation of knowledge and skills negatively impact the preparation of principals (Thomson, 1993, p.22).

In response to a void in universal standards for school leaders, a set of skills, knowledge, and performance levels of qualified educational leaders was developed by the Interstate School Leaders Licensure Consortium (ISLLC). To date, these standards have been adopted as official licensing standards in 34 states (Berman, 2002, p.4). The ISLLC Standards are now being integrated into principal preparation programs at colleges and universities around the country.

These standards "set out to develop a powerful framework for redefining school leadership and to connect that framework to strategies for improving educational leadership throughout the nation" (Hessel & Holloway, 2002, p.5). The ISLLC Standards may well set the foundation for a definition of what school systems desire in a well-qualified principal. The ISLLC standards call for competency in facilitating vision, cultural and instructional programs, management of organization, collaboration with and engagement of the community, ethics and integrity, and understanding the public.

In their work, "A Framework for School Leaders: Linking the ISLLC Standards to Practice," Hessel and Holloway (2002) note that a number of school districts and states are framing their preparation programs on the ISLLC standards. "Considerable energy is being devoted to linking ISLLC to the reform of formal training programs for school administrators. These efforts run the gamut from individual universities, to cooperative cross-county/university activities, to whole-state initiatives" (p.8).

Throughout the ISLLC standards literature is a recurring theme of their basis and grounding in research. Developed by ISLLC members, the standards are based on:

- A thorough analysis of what is known about effective educational leadership at the school and district levels.

- A comprehensive examination of the best thinking about the types of leadership that will be required for future schools.

- Synthesis of the thoughtful work on administrator standards developed by national organizations, professional associations, and reform commissions.

- In-depth discussions of leadership and administrative standards by leaders within the twenty-four states involved in ISLLC. (CCSSO, 2001, p.2)

While the general concern is that principal preparation programs should differ to meet the needs of an individual school district, this is an age of accountability in education. Utilizing the ISLLC standards as a knowledge base for such programs may provide quality control for principal preparation programs. The empirical knowledge base from which the standards are derived relies on the research linking educational leadership and productive schools. In fact, the decision of the ISLLC members to

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focus on standards resulted from "a realization that a thorough review of current literature revealed a major void in the area of educational administration; a set of common standards was conspicuously absent" (Hessel & Holloway, 2002, p.4).

The standards' focus on student learning is consistent with the current research on the changing role of the principal. As changes in society have affected public education, there has been a continual evolution of the principalship. The state in which this study took place adopted the ISLLC Standards for licensure assessment and wrote in a report on the principalship:

> The ISLLC Standards reflect the centrality of student learning;
> acknowledge the changing role of the school leader; recognize the
> collaborative nature of school leadership; are ambitious, improving the
> quality of the profession; inform performance-based systems of
> principal assessment and evaluation; are integrated and coherent; and
> are predicated on access, opportunity, and empowerment for all staff.
> (State Task Force, 2000, p. 13)

However, simply using the ISLLC standards does not ensure that a school district has created a satisfactory principal preparation program. While there has been a tremendous growth in such programs in the state in which this study was conducted over the past few years, there have been limited time and effort devoted to evaluation and effectiveness. In her work, "Integration of ISLLC Standards into Rhode Island Principal Preparation Programs," Lisa Harpin (2003) notes several researchers who are not in full support of the ISLLC Standards. Achilles and Price (2001) question "whether or not those prepared in using the standards will actually know and be prepared to do anything of substance to impact student outcomes" (p.11). Even in principal preparation programs that have been recognized as models of effectiveness,

the direct use of the ISLLC Standards has not always been obvious or tied to direct student outcomes.

Leadership Training Programs

While the advent of "grow your own" principal preparation programs has been recent, several aspiring leader programs have been cited in the research. Few studies truly reflect "grow your own" principal preparation programs, meaning a school system developing and implementing a program over which it has total control. These models all demonstrate collaboration between school systems and universities and have engaged in some form of evaluation. One such study was authored by Tricia Browne-Ferrignio (2001), entitled "Preparing School Leaders: Case Study Summary and Implications." While the study was not intended to serve as an evaluation of a particular program of principal preparation, this exploratory study did seek to "understand the nature of changes and the processes through which they occurred, and to link participants' professional growth to their readiness to assume school leadership positions" (p.1). This case study spanned one calendar year and focused on the experiences of 18 educational practitioners participating in a leadership preparation program collaboratively sponsored by an urban university in a western state and several local school systems. Data were collected through several instruments in real time as the participants were actively engaged in the program and triangulated through three different methods. Data collection included pre- and post-surveys, open-ended questionnaires, and a series of semi-structured interviews.

The program was sequenced around four learning domains: educational leadership, school environment, supervision of curriculum and instruction, and school improvement. Each domain was then connected to concurrent field experiences.

Browne-Ferrigno (2001) reported her findings in this case study through the identification of four themes: (1) career aspirations, (2) leadership experience, (3) role conceptualization and socialization, and (4) learning in a cohort. Some of the more prominent findings of this study were "that experiential learning must be the core element of principal preparation to ensure needed skill development and socialization into the community practice" (p.3). She also noted that career counseling is needed for aspiring principals, especially women, to ease the transition into administrative positions (p.38).

Another study utilized formative evaluation data to guide program design. Authors Bradshaw, Perreault, McDowelle, and Bell (1997) wrote "Evaluating the Results of Innovative Practices in Educational Leadership Programs" detailing aspects of a principal preparation program implemented by East Carolina University and local school systems. This program was implemented because of changes the North Carolina Legislature mandated in principal preparation programs. Based on the evaluative data gathered collaboratively with program participants and instructors, several innovative components of the program were highlighted. First, this program included an extended internship for program participants. Designated as "Principal Fellows," participants "quickly assumed responsibilities in substantive areas (such as student discipline and teacher evaluation) while others were assigned 'token' responsibilities (such as directing a small project to support school volunteers) and struggled to be viewed as significant contributors to the leadership effort in their schools" (p.4). Despite differences in assignments, most Principal Fellows viewed the experience as satisfactory in surveys and interviews.

The study also highlighted the use of "the Springfield Simulation," a program sponsored by the National Association of Secondary School Principals (NASSP) emphasizing skill development in six areas: problem analysis, judgment,

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organizational ability, decisiveness, leadership, and sensitivity. Principal Fellows

focused on two of these skills and were put though simulation activities aligned with

North Carolina leadership performance domains.

The Leadership Portfolio was also seen as a program strength and was framed

around the ten North Carolina leadership domains. The authors proposed the use of

the portfolio, stating, "The development of a culminating portfolio allowed Fellows to

integrate common assignments and field experiences, and it established a process for

continuing professional development" (Bradshaw et al., 1997, p.3).

Several areas of improvement were noted by the authors. First, there was a

recognition of the need to align the program more closely to the ISLLC standards.

The authors stated, "We have a responsibility to prepare students in a way that will

facilitate their success on the examinations at the same time as we try to take what is

best from the state standards and the NASSP simulations that have been so helpful to

our students" (Bradshaw et al., 1997, p.14). Finally, there was a concern on keeping

the program's focus on problem-based learning instead of deviating toward more

theoretical-based situations. Trying to keep the practical and the theoretical balance of

the program was extremely important to everyone involved.

This program has received national attention because of its positive results.

Since 1995, its first year, the Principal Fellows Program has graduated 442

administrators, placing principals and assistant principals in about 20% of the state's

schools (Newson, 2001, p.32).

Another study that utilized formative evaluation tools was Ludmille Pueblitz

Mercado's "The Secondary Principalship Academy: A Critical Ethnography of the

Houston Independent School District and the University of Houston's Innovative

Principal Preparation Program." Mercado (2002) stated that "documenting the states

of planning, development, implementation, and program effectiveness of the

Secondary Principalship Academy, as well as identifying the perceptions of the participants, was the intent of this study" (p.8). Mercado conducted his critical ethnographic research utilizing interviews, field notes, and program observations.

The Secondary Principalship Academy was founded to recruit 20 aspiring administrators who would engage in a 24-month study developing leadership skills through four types of experiences: problem-based learning, action research projects, field experiences through a secondary campus-lead internship, and topic seminars taught by school system personnel. Participants were to develop a portfolio to highlight their accomplishments.

Findings of this study concluded that an internship year was the program's cornerstone. This occurred during the second year of program participation, and individuals were removed from the schools to assume a full-time paid internship position with a mentor principal from the school district. Program participants were placed in cohort groups to support each other and learn from their experiences.

An unexpected finding of this program was the "inflexible attitudes of district principals and district superintendents toward the participation in this program" (Mercado, 2002, p.8). While these interactions with mentors were not hostile, career administrators seem to be locked into traditional views of these administrative duties over instructional leadership.

While these programs were not truly "grow your own" preparation programs as defined in this study because they all employed more university planning and implementation than direct school system development, they serve as models of principal preparation programs that have been nationally recognized and evaluated. These research models did not state the evaluative tool used to determine each preparation program's effectiveness; however, for the purpose of this study, it was necessary to select and describe the evaluation tool used.

Relationship of Literature Review to This Study

The review of literature establishes that as the role of the principalship has evolved in recent years, methods of principal preparation have come into question. As the principalship has grown from a predominantly managerial role to one of instructional leader in an era of increased accountability, many researchers have criticized traditional university-based training models as insufficient or obsolete. Studies suggest that many programs rely too much on theory and do not provide the practical experiences needed to ensure a quality pool of future principals.

As the need for quality principals continues to grow as more current administrators reach retirement age, it is logical that school systems take an active role in principal preparation by creating "grow your own" programs. The literature research suggests that such programs must be framed around a set of standards, such as ISLLC, that clearly articulate the knowledge, skills, and indicators successful school leaders must possess. Other common characteristics of quality principal preparation programs include partnerships with universities, hands-on activities that deal with practical educational issues, and incorporation of some form of internship.

The central purpose of this study was to examine the effects of one school system's efforts to create and implement a "grow your own" principal preparation program. This research effort attempts to answer six questions—two questions deal with program control, one with program inputs (resources), one with process, and two with product. The six questions are as follows:

1. What forces impacting the principalship combined to influence school authorities in the creation of their principal preparation program?

2. Which program elements were created specifically to address those forces impacting the principals?

3.   What resources (financial, facilities, human) were made available in the design and implementation of the principal preparation program?

4.   What were the essential sources that led to the elements and structure of the designated program, and to what extent did they reflect current research about effective principal preparation programs and standards of licensure? What was the process for implementing the program and recruiting participants?

5.   What perceptions did participants have about the effectiveness of the program and did these perceptions match the goals and expectations of the program design committee? Did program participation increase or decrease participants' interest in advancing to a leadership role?

6.   To what extent did participants who have attained leadership positions report that the program has helped prepare them for the responsibilities of their positions? What areas of the program did participants see as needing improvement?

After reviewing several models of evaluation, the CIPP model, designed by Daniel Stufflebeam, was selected to provide the structure for this formative evaluation study. The research questions were aligned with Stufflebeam's core components of content, input, process, and product, which will be outlined in Chapter III.

CHAPTER III

RESEARCH METHODOLOGY

Restatement of Purpose

The purpose of this study was to examine one school system's efforts to design and implement a "grow your own" principal preparation program to address issues deriving from a shortage of qualified principal candidates. This chapter presents the procedures used in collection and analysis of data and information essential to answer the research questions raised in Chapter I.

The methodology for this study, which includes both quantitative and qualitative procedures, is presented. A description of the population, the instrumentation, the variables, and statistical analysis is discussed. This chapter begins with a review of the literature on program evaluation. An overview of the Stufflebeam CIPP Model, along with an explanation of its use in this study, is addressed.

Program Evaluation

Although there is a growing body of literature citing changes and modifications to leadership development programs (Kelley & Peterson, 2000; Milstein & Kruger, 1997), "research about the effectiveness of program designs is limited" (Murphy, 1993, as cited by Browne-Ferrigno, 2001, p.25). While a number of school systems have created "grow your own" principal preparation programs over the past several years, decisions on how to evaluate these programs have often been left unanswered. Of the 17 school systems with principal preparation programs in the

state in which this study was conducted, only two documented any type of formal program evaluation methods or designs (State Survey, 2004, p.2).

Nonetheless, there is a good deal of information about program evaluation during the last quarter century. Michael Scriven (as cited by Fitzpatrick, 2004) was the first to distinguish between formative and summative evaluations, which serve as the foundations of most evaluation models. As defined in *Program Education: Alternative Approaches and Practical Guidelines*, the primary purpose of formative evaluation is to "provide information for program improvement…" and provide "information to judge the merit or worth of a part of the program" (p.16). As such, formative evaluation tends to look at aspects of the program implementation as well as tentative outcome data. Summative evaluations "are concerned with providing information to some decisions or assist in making judgments about program adoption, continuation, or expansion" (Fitzpatrick, 2004, p.17). Summative evaluations, while somewhat concerned with operations data, are primarily outcome focused.

Much of the literature on program evaluation describes a number of models and concerns about the subject. In his work entitled, *Hard-won Lessons on Program Evaluation*, Michael Scriven (1992) suggests five main approaches or views in program evaluations "in order of their period of dominance in evaluation" (p.3).

These major perspectives include:

1. The "decision support view" based on the work of individuals such as Ralph Tyler and Daniel Stufflebeam that purported the idea of program evaluation as part of rational program management.

2. The "relativistic" approach where the client's viewpoints were used as a framework without commitment by the evaluator on their value.

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3.   The "rich description" approach where evaluation is done as an ethnographic or journalistic enterprise and the evaluators report without making evaluative statements or judgments.

4.   The "social process" school notable for its rejection of the importance of evaluations to support decisions about programs, and the substitution of understanding social programs as a basis for evaluating them.

5.   The "constructivist" approach which rejects evaluation as a search for quality, merit, worth, etc. in favor of the idea that it is negotiation. (p.2)

In his work entitled, *Assumptions Underlying Evaluation Models*, Ernest House presents a history and outline of a number of major evaluation models. House notes, "The major elements in understanding the models are their ethics, their epistemology, and their political ramifications" (House, as cited in Madaus et al., 1978, p.47). Several of the models cited by House include:

1.   Systems Analysis, whose major proponent, A.M. Rivlin, examined quantified variables and cost benefit analysis to determine if expected efforts are achieved efficiently. The major audiences for this model are economists and managers.

2.   Behavioral Objectives, whose major proponents, Ralph Tyler and W.J. Popham, examined the objectives of a program with quantified outcome variables. Behaviors are measured by norm-referenced or criterion-referenced tests. Managers and psychologists are the major audiences of this model.

3.   Decision-making, with Stufflebeam arguing that evaluation is structured by the decisions that are made. The evaluations supply information based on the decisions using questionnaires and interview

surveys. Administrators are the major audience targeted by this model. CIPP falls into this category.

4. Goal-free, with Scriven serving as the major proponent. He argues the need to reduce bias in evaluation by searching for all possible outcomes. Consumers are the major audience for this model. (Madaus, 1978)

While there are many types of evaluation models from which to choose, looking for a model that is informative to decision-makers led the researcher of this study to select the CIPP model created by Daniel Stufflebeam.

The CIPP Evaluation Model

As the focus of the study was to examine one school system's experience of designing and implementing a principal preparation program, choosing an effective evaluation model was critical. This study used Stufflebeam's model to examine the content, input, process, and product components of one school system's experience in leadership development.

Realizing that educational administrators perform many evaluative tasks, it is reasonable to assume they should be guided by a sound, clear conceptualization of evaluation. Daniel Stufflebeam's CIPP model is one such conceptual framework.

The CIPP model is a comprehensive approach to evaluation. Originally introduced over 35 years ago, Stufflebeam's model stresses the need for process as well as product evaluation. The definition of evaluation, which is basic to the understanding of the CIPP model, is "the process of delineating, obtaining, and providing useful information for judging decision alternatives" (Stufflebeam, 1971, p.4). Using this definition, Stufflebeam (1971) asserts that evaluation is conceived of

as a systematic, continuing three-step process of delineating questions, obtaining relevant information, and providing information to decision makers (p.15).

A basic tenet of the CIPP model is that evaluation should serve as a tool for decision making. According to the CIPP model, "There are four kinds of decisions—planning, structuring, implementing, and recycling—which respectively are served by context, input, process, and product evaluations" (Stufflebeam, 1971, p.5). In general, these four parts of evaluation respectively ask the following: What needs to be done? (context) How should it be done? (input) Is it being done? (process) Did it succeed? (product) (Stufflebeam, 2002, p.2).

The question of "Did it succeed?" is particularly important to the CIPP Evaluation Model. Stufflebeam asserts that this part of the checklist examines "Were the beneficiaries rewarded? Were their needs met? Were the gains for the beneficiaries sustained? Did the processes that produced these gains prove transportable and adaptable for effective use in other settings?" (Stufflebeam, 2002, p.1).

What made the CIPP model appealing for this study was that it provided a focused evaluation tool to review an organizer's decisions, assess a program's history, and disseminate the effective services provided to targeted individuals. Using the CIPP model, a final synthesis report can be expected to "pull together evaluation findings to inform the full range of audiences about what was attempted, done, and accomplished, what lessons were learned, and, the bottom line, assessment of the program" (Stufflebeam, 2002, p.9).

Since it was first introduced in 1966, the CIPP model has undergone several revisions. Currently in its fifth installment, the model now includes a ten-component checklist to "break out product evaluation into four subparts in order to help assist and

assess a program's long-term viability" (Stufflebeam, 2002, p.2). The ten-component

checklist for the fifth installment of the CIPP model is as follows:

1. Contractual agreements

2. Context evaluation

3. Input evaluation

4. Process evaluation

5. Impact evaluation

6. Effectiveness evaluation

7. Transportability evaluation

8. Sustainability evaluation

9. Meta-evaluation

10. The final synthesis report. (Stufflebeam, 2002, p.1)

Utilizing the CIPP model allowed the evaluator to not only determine the merit

and significance of the program under consideration, but also allowed for careful

reflection of lessons learned. The components of the CIPP model provided the

framework for this study. The history of the program being studied and key decisions

about its implementation and resources used were addressed using the checklist under

context, input, and process. Stufflebeam (2002) suggests, "The CIPP model's main

theme is that evaluation's most important purpose is not to prove, but to improve"

(p.2). The overall structure of the CIPP model and its expressed goal of aiding in

program improvement are what made it an ideal tool to be used in this study.

While most of what is written about the CIPP model is positive in the literature

review, Stufflebeam's work does have some detractors. Scriven (1992) suggests that

"the CIPP model was a little overgeneralized in that it claimed all program evaluation

was orientated to decision support" (p.3). He argues the CIPP's expressed purpose

regarding evaluation, to improve rather than prove, is adequate for formative

evaluation, but narrows and fragments the overall concept of evaluation. He further contends that the CIPP model "seems about the most complicated and confusing way of analyzing the practical procedures of evaluation…and it's certainly the most complicated one I've ever seen" (Scriven, 1971, p.36). Not only does he suggest that for the CIPP model to be effective for school personnel, an intensive amount of in-service training is needed, but also he concludes that the benefit will not be commensurate with the cost of such training (Scriven, 1971, p.36).

While William B. Michael (1971) in his article, "Educational Evaluation and Decision Making," views the CIPP model much more favorably than Scriven, he too raises issues with some parts of the model. He notes there must be a concentrated and focused effort throughout the stages of context, input, process, and product evaluation to identify "explicit and implicit inferences regarding possible cause and effect relationships" (p.27). He also suggests that greater development of methodology for setting value systems is needed. Finally, he raises a concern that external validity issues may be more likely than internal validity issues, explaining, "Threats to external validity may be due most often to a lack of randomization or to the lack of the evaluator to assume a position of power and influence which he might assume in evaluation studies involving decisions about a multimillion dollar educational enterprise" (p.29). Michael concludes his paper by stating the CIPP model is likely the most comprehensive conceptualization of evaluation currently available.

While the CIPP model does have some detractors, others have found it an extremely useful model to evaluate a program or product. Les Goodwin used Stufflebeam's CIPP model for his work entitled, *A Proposed Model for Educational Accountability*. Goodwin (1975) stated that the CIPP model not only provided a framework for "conceptualizing the decision-making which is required in an accountability program," but also "focused attention on the associated information

required for making those decisions" (p.51). Goodwin praised the CIPP model for establishing how content, input, process, and product worked together systematically and demonstrated a relationship to the decision-making process in educational accountability. The author also noted "utilization of this model also permitted focusing on only those factors which were necessary for the comprehension of the total accountability system, thus limiting the study to its most significant aspects" (Goodwin, 1975, p.51). Using the CIPP model, Goodwin developed a model for educational accountability for school officials that provided direction and focus as they engaged in examining their ongoing accountability programs.

The choice of an appropriate evaluation model was essential to this study. The CIPP model is logically organized and provided for an opportunity to examine the history of the program as well as assess its overall effectiveness. Finally, Stufflebeam's position that CIPP's goal is to improve rather than prove a particular point of view provided an opportunity to assist the system in this study in building a better program.

Application of CIPP Model to Study Research Questions

The six research questions for this study were framed around the four components of the CIPP model of evaluation. The first two questions reflected context; question three reflects input; question four reflects process; questions five and six reflect product.

This study emphasizes both qualitative and quantitative methods. In their work, *Education Research: An Introduction*, Gall, Gall, and Borg (2003) suggest that the research design should be driven by the existing knowledge in the field of study and the research questions. Because this study was a formative evaluation of one school system's efforts to design and implement an aspiring principal program, the use

of quantitative and qualitative methods was appealing. Fitzpatrick, Sanders, and Worthen (2004) stress the value of both methods in evaluative work stating, "Too often we fail to encompass methodological flexibility, unthinkingly adopting a single-minded perspective that can answer only questions stemming from that perspective's discipline" (p.64). The use of the CIPP model allowed for a wide range of methods to collect data in examining this school system's principal preparation program.

Table 1 summarizes the components of the CIPP model and anticipated methodologies associated with the research questions. Details regarding design, methodology, and procedures are provided throughout the remainder of the chapter.

Location of the Study

The study was conducted in a school system within a mid-Atlantic state. The school system ranks in the middle of the state's school districts in terms of population size, but has recently been identified as one of the fastest growing in the state. It has both suburban and rural characteristics as the population has grown increasingly transient. The majority of new growth is centered in a development zone located in the northeastern section of the county. There are currently 31 schools in the system, with a new science and technology high school opening in the fall of 2005. The school system has a student population of approximately 25,000 with a racial breakdown of approximately 55% Caucasian, 38% African-American, 3% Hispanic, 3% Asian, and 1% other.

Table 1

Research Questions and Alignment with the Ten CIPP Components Checklist

Research Questions	10-Component Checklist of CIPP
1. What forces impacting the principalship combined to influence school authorities in the creation of their principal preparation program? (context)	Context Evaluation
2. Which program elements were created specifically to address those forces impacting the principals? (context)	Context Evaluation
3. What resources (financial, facilities, human) were made available in the design and implementation of the principal preparation program? (input)	Contractual Agreements Input Evaluation
4. What were the essential sources that led to the elements and structure of the designated program, and to what extent did they reflect current research about effective principal preparation programs and standards of licensure? What was the process for implementing the program and recruiting participants? (process)	Process Evaluation
5. What perceptions did participants have about the effectiveness of the program and did these perceptions match the goals and expectations of the program design committee? Did program participation increase or decrease participants' interest in advancing to a leadership role? (product)	Impact Evaluation Effectiveness Evaluation Transportability Evaluation
6. To what extent did participants who have attained leadership positions report that the program has helped prepare them for the responsibilities of their positions? What areas of the program did participants see as needing improvement? (product)	Effectiveness Evaluation Sustainability Evaluation Meta-evaluation

The subjects studied and surveyed were participants from the first three cohorts of the program. After the third year of the program, 99 participants were available for the study, which included teachers, instructional leaders, guidance counselors, and vice principals. Table 2 provides some descriptive information on the program participants.

Table 2

Aspiring Principal Program Participants

	Position				Race			
	Vice Principal	Team Leader	Guidance Counselor	Teacher	White	Black	Hispanic	Other
Cohort 1	16	4	0	27	32	13	2	0
Cohort 2	3	1	1	20	17	8	0	0
Cohort 3	0	1	0	26	19	7	0	1
Total	19	6	1	73	68	28	5	1

Members of the original design team were also surveyed for this study. These twelve individuals included central office staff, principals, vice principals, and teachers.

Research Methods

A great deal of data was gathered for this study using both qualitative and quantitative methods. Data was gathered to address the four components of the CIPP Model as defined by six research questions.

According to Gall, Gall, and Borg (2003), qualitative research can be used to discover themes, patterns, and relationships in sample populations. One of the guiding principles of qualitative research centers on purposeful selection of informants, participants, and documents (Creswell, 1994). Most of the research questions in this study can best be answered through in-depth interviews and a thorough review of documents. The researcher selected candidates to be interviewed based on their knowledge and experience with the program. Personal interviews were conducted with key Central Office personnel, such as the superintendent, associate superintendent, assistant superintendent of instruction, assistant superintendent for human resources, and staff development coordinator. Focus group interviews were

conducted with members of the program design team, program participants, and program participants who have attained principalships.

Quantitative methods for this study were primarily centered on the use of a survey of program participants. Surveys tend to measure attitudes and behaviors and "constitute one of the most important data collection tools available in evaluation" (Fitzpatrick, Sanders, & Worthen, 2004, p.341). Survey results allowed for addressing how effective program participants thought the principal preparation program was as well as determining areas of strength and need for improvement.

For the purposes of this study, the researcher selected an instrument around the proposed research questions. The questionnaire addressed the perceptions of program participants about initial reactions to its effectiveness. The survey was administered to the 99 participants of the first three cohorts of the school system's Aspiring Leaders Program. It was also administered to the twelve original members of the Design Committee. While a fourth cohort had begun the leadership training at the time the survey was administered, they were not included in the study as they had not completed the entire program.

Data Collection Techniques

The research questions for this study were framed around the CIPP model and required both qualitative and quantitative data.

Question 1 of this study asked: What forces impacting the principalship combined to influence school authorities in the creation of their principal preparation program? Context evaluation proceeded by examining the change forces, system needs, and system concerns that led to a program being developed. Primary data sources for this question were the 12 program design committee members, who have been with the program since its inception, and key central office figures, such as the

superintendent, the associate superintendent, and the former director of professional development. Much of the qualitative data for this study were obtained through a focus group interview process. Sets of interview questions were developed that focused on the "role sets" to be interviewed. Interview protocols for all groups were developed for this study (see Appendix C). Permission was obtained from the approved university and school district before conducting interviews. Most of the questions and the order in which they were asked were determined in advance of the interview, although extended questioning based on the respondents' answers was pursued. Face-to-face interview responses were audio-taped with the participants' permission. When these individuals were referenced in this study, they were classified by job or role and are not identified by name. As is the case in most qualitative research, the researcher traveled to the site or location to observe all individuals being interviewed and recorded their behavior in their natural setting.

A thorough review of selected documents appropriate for the study was conducted to accompany the interview process. Gall, Gall, and Borg (2003) emphasize that the context in which the document was produced must be considered in order to obtain a full meaning of the document itself. Documents that were released for this study, particularly Question 1, included *The Aspiring Principal Leadership Design Folder*, containing committee meeting notes and agendas. Internal memos detailing the purposes for formation of a program were also reviewed. After determining the relevance of these documents, they were coded and categorized to assess information and assist in analysis and interpretation. Table 3, on page 64, provides a complete overview of data sources, methods of collection, nature of data, and data analysis procedures for each question.

Question 2, which also focused on context evaluation, asked which program elements were created specifically to address those forces impacting the principals. It

explored program elements created specifically to address forces of change impacting the principalship. As with Question 1, the main source of data was program design committee members and key central office staff. The primary method of data collection was face-to-face interviews with the purpose of exploring issues and topics in detail and seeking to understand the respondents' opinions and beliefs.

Question 3 asked what resources (financial, facilities, human) were made available in the design and implementation of the principal preparation program. It examined personnel time and effort, expenditure of system funds, out-of-system personnel, financial support, facilities, and equipment needed in the design and implementation of the program. System financial records, documents, contracts, and program records were the main source of data to answer Question 3. Interviews and document reviews were used to verify and clarify information obtained from these sources.

Question 4 asked what were the essential sources that led to the elements and structure of the designated program, and to what extent they reflected current research about effective principal preparation programs and standards of licensure. What was the process for implementing the program and recruiting participants? It utilized process evaluation and examined program components, delivery, adjustments, and participant selection. Program design members and system principals, along with system records and the initial plan of the program, were the main data sources. Documents were reviewed with a particular focus on the integration of the ISLLC Standards into the principal preparation program. Interviews with program participants provided information about how participants were recruited into the program.

Question 5 examined product from the CIPP model and involved "impact evaluation," "effectiveness evaluation," and "transportability evaluation." It asked:

What perceptions did participants have about the effectiveness of the program and did these perceptions match the goals and expectations of the program design committee? Did program participation increase or decrease participants' interest in advancing to a leadership role? This question sought to understand perceptions of program participants both before and after completing the program. Perceptions of the program design committee were also examined. For this question, non-experimental quantitative research methodology was employed. While the instrument for this study was framed around the specific research questions, it was adapted from a survey titled *The Audit of Principal Effectiveness* developed by Jerry Valentine and Michael L. Bowman in 1986 (Appendix A). The survey was designed to describe teachers' perceptions of principals' effectiveness. Valentine and Bowman created this instrument "to provide insight about the ability of the principal to work with personnel inside and outside the school setting to establish processes and relationships that effectively promote growth and change of the organization" (Valentine & Bowman, 1986, p.1).

Items for this survey were generated from an extensive literature review and research on the role of the principal. This instrument was chosen after the researcher examined a number of instruments. The instrument is closely aligned to significant aspects of the principal preparation program being studied. It also reflected many aspects that are similar to the ISLLC standards, which was used in the formation of the program being studied. It has been used in a number of studies about the principalship, including Henry S. Williams's study in 2001 entitled "Teachers' Perceptions of Principal Effectiveness in Selected Secondary Schools in Tennessee." The instrument as modified for this study has 80 questions. The survey instrument was scored using a Likert type scale ranging from 0 to 4 as the measure of effectiveness. Responses from 4 signified program expectations "to a great extent," a

3 signified "to some extent," 2 signified "to a limited extent," and a 1 signified "not at all." Responses of "Don't know" were coded as a 0.

The Audit of Principal Effectiveness is framed around three domains of principal skills. The Domain of Organizational Development, which addresses organizational direction, linkage, and procedures, is addressed by survey items #1 – 27. The Domain of Organizational Environment, which covers teacher relations, student relations, interacting processes, and affective processes, is addressed by survey items #28 – 64. The Domain of Educational Program, which entails instructional improvement, curriculum improvement, and overall effectiveness, is covered by items #65 – 80.

The survey developed for this study requested demographic information, current job status, as well as career aspirations. This survey was e-mailed to the 99 program participants from the first three cohorts and members of the design team. To protect the anonymity of the respondents, questionnaires were e-mailed along with a tracking code. A log was kept of the individuals to whom the questionnaires were e-mailed and addresses and mailing dates were noted. A follow-up letter and questionnaire were sent to potential respondents when a reply was not received within the allotted two weeks.

Question 6 centered around the product component of the CIPP and addressed "effectiveness evaluation," "sustainability evaluation," and "meta-evaluation." It asked: To what extent did participants who have attained leadership positions report that the program has helped prepare them for the responsibilities of their positions? What areas of the program did participants see as needing improvement? This question explored how participants who have attained leadership positions perceive the effectiveness of the program. Interviews for this question were conducted in focus groups. One group included the five program participants who have become

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principals. Another focus group included eight participants who have attained leadership positions such as vice principals, instructional specialists, and department heads.

According to Morgan (1998), "Focus groups can be used to complement other research methods, particularly for triangulation and for validity checking" (Morgan, as noted in Harpin, 2003, p.71). In addition to these focus groups, interviews with key Central Office staff helped to determine in what ways these individuals perceived that the program assisted newly appointed leaders.

<center>Data Analysis</center>

Because both quantitative and qualitative methods were used for this study, the data were analyzed using procedures for each method. A great deal of the qualitative data for this study was collected through interviews. Greenhalgh (1997) notes it is not enough to complete interview transcripts and final notes. He states, "It is simply not good enough to flick through the text looking for interesting quotes which support a particular theory. The researcher must find a systematic way of analyzing his or her data and, in particular, must seek examples of cases which appear to contradict or challenge the theories derived from the majority" (p.5). Interviews were transcribed and respondents were able to review the transcripts, making corrections or additions as necessary. This process added internal validity to the study by allowing participants to verify their own words and ensure their thoughts were captured accurately.

These interviews were categorized through context analysis "drawing up a list of coded categories and 'cutting and pasting' each segment of transcribed data into one of these categories" (Greenhalgh, 1997, p.5). From the interviews and records reviewed, the researcher was able to recognize elements referenced frequently. Significant patterns and clusters emerged from which to draw conclusions.

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The survey instrument was analyzed through quantitative procedures. The data were analyzed using the mean and standard deviation. Descriptive statistics, including the t-test for independent samples, were utilized. The Chi-square test for independence and the analysis of variance were used to identify areas where significant differences existed between how program participants and designers viewed the program. Table 3 summarizes these activities.

Limitations

The researcher was the primary instrument in the collection of data and analysis for this study. As was previously noted, the researcher has been involved in this system's principal preparation program since its inception, so researcher bias is a concern. While the researcher attempted to limit the amount of bias in the study by using multiple methods of collecting data, the potential for biased judgment was addressed as a limitation of the study.

Gall, Gall, and Borg (2003) noted that in qualitative research, the researcher becomes personally involved with the participants who are being asked to provide honest answers to the questions being studied. Some respondents in this study may not have been completely candid about articulating concerns in the program. Using a survey instrument where the respondents' identities were protected should have helped to limit this possibility.

Finally, this study is restrictive in nature. The findings represent only the system in which the study was conducted and may not be generalizable to other systems attempting to implement "grow your own" principal preparation programs. Nonetheless, it should have informational value as to design, implementation, and outcome possibilities.

Table 3

Data Analysis Chart

Research Question	Data Source	Method of Collection	Nature of Data	Data Analysis Procedure(s)
1. Program Content: • change forces • system needs • system concerns and opportunities • other	Program Committee Central Office staff	Personal Interviews Records	Qualitative ▪ Opinions ▪ Beliefs	Qualitative: ▪ Organize into clusters ▪ Look for patterns ▪ Draw conclusions
2. Program Elements dealing directly with forces of change	Program Committee Central Office staff	Personal Interviews Focus Group Interviews Records	Qualitative ▪ Opinions ▪ Beliefs	Qualitative: ▪ Organize into clusters ▪ Look for patterns ▪ Draw conclusions
3. Program Input: • Personnel time and effort • System funds • Out-of-system personnel and financial support • Facilities/equipment • Other	Program Records System Financial Records Program Committee	Interviews Focus Group Interviews Records	Qualitative ▪ Questions ▪ Descriptive	Qualitative: ▪ Organize into clusters ▪ Look for patterns ▪ Draw conclusions
4. Process • Program components • Program delivery • Program adjustments • Program participant selection • Other	Program Committee Committee Meeting Records Principals	Focus Group Interviews Records Survey	Qualitative ▪ Opinions ▪ Beliefs Quantitative ▪ Descriptive/Inferential ▪ Likert-type scale	Qualitative: ▪ Organize into clusters ▪ Look for patterns ▪ Draw conclusions Quantitative: ▪ Descriptive statistics ▪ Means ▪ t-test for independent samples
5. Perceptions of Program Participants: • Prior to program • After completion • Perceptions of Program Design Committee	Program Participants Program Design Committee	Survey	Quantitative ▪ Descriptive/Inferential ▪ Likert-type scale	Quantitative: ▪ Descriptive statistics ▪ Means ▪ t-test for independent samples
6. Leadership: • Perceptions of participants who have attained leadership positions	Select Program Participants Central Office staff	Focus Group Interview Survey	Qualitative ▪ Opinions ▪ Beliefs	Qualitative: ▪ Organize into clusters ▪ Look for patterns ▪ Draw conclusions ▪

Validity of Data

There are two known research threats to data validity. These two threats are described as internal and external validity of data. Internal validity addresses issues and questions relative to data accuracy. External validity addresses issues and questions relative to the authenticity of the data.

Data authenticity or legitimacy occurs in circumstances where the data sources have questionable origins and there is reason to be concerned about whether or not someone has purposefully manipulated the data. This concern does not arise in a study of this magnitude in that no one stands to gain or lose by altering the data. Data accuracy, or internal consistency, is a larger problem in a study of this nature, especially with respect to the qualitative data and, to a lesser extent, with the quantitative.

The Audit of Principal Effectiveness (Valentine & Bowman, 1986, p. 1) instrument selected for this study was developed with the singular purpose of assessing three aspects of principal effectiveness, each of which is supported by the literature on principal effectiveness (Valentine & Bowman, 1986, p. 1). In addition, the instrument was designed and validated with reference to its consistency and overall accuracy. In addition, this researcher has further analyzed the current data utilizing intercorrelational statistics for the purpose of determining the extent to which the instrument reflects a similar degree of consistency and accuracy in terms of the three dimensions of principal effectiveness that it was designed to assess (Valentine & Bowman, 1986, p. 1).

The issue of internal consistency as it related to the qualitative data was a concern with respect to both the personal and focus group interviews. A concern for the researcher's role in both the design and implementation of the program had to be addressed. Also of concern was the fact that those individuals who were the subjects

of the interview process also had a stake in the program's success. The question arose as to whether or not bias may be operative in their responses and/or the interviewees' interpretations. In order to obtain the fullest degree of accuracy of interviewee responses, the researcher analyzed the interview data in accordance with standard procedures for qualitative data analysis. This consisted of first analyzing the data for consistency within and among respondents, noting any statements that were at the extreme, and conducting follow-up interviews to clarify possible misinterpretations on the part of the interviewer. In addition, the summary of each interviewee's responses was submitted to that individual for any corrections, additions, deletions, or modifications that might have been warranted. These precautions helped to minimize researcher bias.

Once each interviewee had the opportunity to reflect on his/her responses as interpreted by the researcher, those responses were analyzed according to the procedures discussed above in the "Data Analysis" portion of this chapter.

<div align="center">Focus Group Interviews</div>

Several researchers (Krieger, 1988; Merton, Friske & Kendall, 1990; Melinda Lewis, 2000) comment on the focus group interview, citing both its benefits and limitations. Each attests to focus group interviewing as an appropriate tool for assessing programs and/or project development at the various stages of development—beginning, during, and at the end.

These same researchers identify the benefits of its use as including its low costs, its widespread view, and possible consensus building characteristics. They also agree that the focus group interview has certain limitations. Merton, Friske, and Kendall (1990) caution that researchers have a tendency to misuse the data by failing to acknowledge its questionable reliability and validity (p. xxi). Krieger (1988) also

sees this as a concern. Melinda Lewis (2000), in an overview of focus group interview research, also comments on this concern and indicates that focus group researchers need to use focus group data in conjunction with other researcher data. She further advises that the focus group interview be based on data such that the focus group questions should emanate from what is already known.

Lewis cites several early advocates of focus group research (Krieger, 1988; Rice, 1931) who expressed concern relative to focus group questioner bias. Both indicate that the questions need to be more directed and that a recorder, human or machine, be employed to guard against researcher bias.

A USACD Center for Development Information and Evaluation (1996) offers a number of steps for conducting focus group interviews that emerge from the analysis of focus group research. These steps include the following:

1. Select the team. The team should be kept small, 5-10 participants, and include a facilitator, recorder, and selected participants.

2. Decide on timing and location. The timing should be such as to assure the support of other research data, and the location should ensure convenience and privacy to the participants.

3. Prepare a discussion guide that covers the topics and issues to be addressed.

4. Conduct the interview. The facilitator should be someone who has knowledge of the program or project and is able to establish rapport by outlining the purpose and format so as to put participants at ease.

5. Phrase questions carefully. Questions need to be open-ended and non-directive. Avoid "why' type questions in favor of "what" and "how" type. The questioner needs to know how to "narrow" such questions if

the discussion becomes too broad. Use probing techniques. Questions should be limited to no more than 10.

6. Record the discussion. A recorder needs to be employed in order to free the facilitator to concentrate on the interview activities. Recorders may be of an audio or audio/video nature.

7. Analyze the results. After each session, the team needs to analyze the results. The analysis should include:

   a. Words -- weigh the meaning of key terms participants used (different terms may fit in the same category)

   b. Framework – consider the context in which a comment was made.

   c. Internal agreement – determine if shifts in opinions were the results of group pressure or based on new information.

   d. Response precision – give greater weight to responses based on personal experience as opposed to those based on vague, impersonal impressions.

   e. Develop the big picture – pinpoint and focus on major ideas. Allow time to step back and reflect on major findings.

   f. Develop the report. Consider the objectives of the program and the information needed for decision-making. The report should include (1) a brief oral report highlighting key findings, (2) descriptive reports that document key findings, and (3) analytical reports that provide trends, patterns, or findings along with selected comments.

The proposed focus group interviews for this research effort incorporated the above steps as well as efforts to prepare the facilitator for his role. To further ensure

that researcher bias was not a problem in this study, another individual was selected to be the facilitator of the focus group interviews. Not only was this individual a professor emeritus of a major university in the state where the study was conducted, but he also served as a consultant for this principal preparation program. This individual not only facilitated the focus group interviews, but also assisted in the analysis of data gathered from them.

Summary

Using qualitative and quantitative methods was necessary in conducting this study. This study attempted to answer why a school system chose to respond to forces of change on the principalship by creating a "grow your own" principal preparation program. The Stufflebeam CIPP model provided a framework to examine the context, input, process, and product of the program this school system ultimately designed and implemented. While the data collected and analyzed only addressed the research questions proposed in this study for the school system in question, this work may have important findings that can assist other school systems trying to design and implement "grow your own" programs. The findings from this study are presented in Chapter IV.

CHAPTER IV

FINDINGS

Introduction

As the country faces a well-documented shortage of qualified teachers, educational leaders are also struggling with another critical shortage—a lack of qualified school leaders to fill principal positions. School systems across the country are reporting principal vacancies and many are finding a lack of qualified candidates. A survey conducted by Educational Research Services (ERS) in 1998 revealed half of the school districts in the country cited a shortage of qualified candidates for principal vacancies. This situation is expected to get worse as the U.S. Department of Labor estimates that 40% of the nation's principals will retire over the next several years (Tracy & Weaver, 2000, p.2).

As the need for principal candidates has continued to grow, so, too, have the expectations of the position. A consistent theme in the professional literature reflects the evolving role of the principal (Baker, 1997; Cohan, 1998; Downs, 1999; Lashway, 2003). This evolution of the position, along with a concern over having a sufficient supply of quality candidates, has resulted in growing concerns over traditional principal preparation. Concerns with university preparation (Anderson, 1991; Lauder, 2000) have led school systems to provide additional training programs to "grow" future principals.

This study is the development of a critical evaluation of one school system's efforts to develop and implement a "grow your own" program to address issues of quality and quantity of principal candidates. The study served two purposes:

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1.   To determine the extent to which this system's effortsto design and
      implement a program that supplements university preparation have
      succeeded in meeting program goals (product), efficient use of system
      resources (input), and appropriate selection of program activities
      (process). The context in which this program was developed was also
      examined.

2.   To determine what can be learned from these efforts that might be
      beneficial to this system as it attempts to improve the program, and
      what can be learned that might prove useful to other systems coping
      with the need to address principal shortages.

Chapter IV presents the results of data analysis aimed at answering the
following research questions:

1.   What forces impacting the principalship combined to influence school
      authorities in the creation of their principal preparation program?

2.   Which program elements were created specifically to address those
      forces impacting the principals?

3.   What resources (financial, facilities, human) were made available in the
      design and implementation of the principal preparation program?

4.   What were the essential sources that led to the elements and structure
      of the designated program, and to what extent did they reflect current
      research about effective principal preparation programs and standards
      of licensure? What was the process for implementing the program and
      recruiting participants?

5.   What perceptions did participants have about the effectiveness of the
      program and did these perceptions match the goals and expectations of

the program design committee? Did program participation increase or decrease participants' interest in advancing to a leadership role?

6.   To what extent did participants who have attained leadership positions report that the program has helped prepare them for the responsibilities of their positions? What areas of the program did participants see as needing improvement?

The research design for this study employed both qualitative and quantitative methodologies and was based on Daniel Stufflebeam's conceptual model for professional evaluation known as CIPP. Data were gathered to address the four components of the CIPP model as defined by the six research questions. The findings from this collection of data will be presented under the components of context, input, process, and product. The first two research questions dealt with context, the third question dealt with input, question four dealt with process, while questions five and six dealt with product.

The main source for the collection of quantitative data was a survey distributed to the 99 participants of the past three cohorts of the county's Aspiring Leadership Program who had completed the program as well as the 12 original members of the design team. Cohort group four was not included in the study, as it had only completed Phase I. Through the assistance of Washington Policy Studies, an educational research firm located in Washington, D.C., the survey was distributed electronically to the 99 program participants and the 12 design team members. A descriptive cover letter, letter of consent, and some initial information about the survey were e-mailed to all participants preceding the e-mailing of the actual survey.

The survey was e-mailed to all participants and members of the design team at the start of September 2004. A copy of the survey is included in Appendix A. The researcher's goal for response was 70%.

By the third week of September 2004, the response rate had reached 52%, and the decision was made to send a second request letter to the non-respondents that stated the need for their responses; a second copy of the survey was attached to the e-mail. A copy of the second request letter is included in Appendix D.

Of the 99 surveys e-mailed to program participants, 85 subjects returned responses. Of the 12 surveys e-mailed to design team members, 10 subjects responded. A total of 95 usable responses were received and analyzed for a final total response rate of 86%.

The majority of qualitative data for this study was collected from interviews with key school system leaders, focus group interviews, and a review of records. These data were analyzed and sorted by topics, clusters, and patterns in an effort to answer the research questions.

Question 1: What forces impacting the principalship combined to influence school authorities in the creation of their principal preparation program?

The following forces impacting the principalship were referenced frequently in focus group interviews, a record review, and individual interviews with key school system leaders, including the superintendent, associate superintendent, assistant superintendent of instruction, assistant superintendent of human resources, and director of staff development. An analysis of the data revealed the following six major forces that led to the formation of an Aspiring Leaders Program in the system being studied:

- A reorganization of the school system with a renewed emphasis on the principalship.
- A critical shortage of qualified principal candidates to meet anticipated needs.

- Concerns over the changing role of the principal, especially in the area of accountability.

- Concerns over traditional university preparation of principals.

- New licensure requirements for principals.

- Addressing minority achievement and a lack of minority candidates for the principalship.

Reorganization of the School System with an

Emphasis on the Principalship

The current superintendent of the school system being studied was appointed in May 1996. The new superintendent faced a number of issues confronting the school system, including declining test scores on national and state assessments, a widening gap in the achievement of minority students, severe issues of staff morale, and a significant deficit or deficiency in the system's operating budget. As the new superintendent began to assess the needs of the school system, he drew on his experiences as a principal over a twenty-year period. One of the first things that the superintendent did was to reorganize the Central Office, putting together an executive staff composed almost entirely of individuals who had been former principals. "That was such an important decision to surround myself with top-notch individuals who had demonstrated a standard of excellence in the principalship. As we looked at how to move the system forward, we reflected on our experiences as principals—we all have a tremendous faith in the [ability of the] principal to make a difference for students and instruction."

Table 4 shows the heavy emphasis the superintendent placed on having individuals who were former principals on his executive team. Three of these

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executive staff members came directly into their positions from the principalship without prior Central Office experience.

Table 4

Reorganization of School System Executive Staff

Position	Principal Experience	Experience Level
Superintendent	Yes	High School
Associate Superintendent	Yes	High School
Assistant Superintendent of Instruction	Yes	Middle and High School
Assistant Superintendent of Human Resources	Yes	Elementary School
Assistant Superintendent of Facilities	No	Vice Principal – High School
Assistant in Administration	Yes	Middle School
Assistant in Administration	Yes	High School

Having been principals, the individuals interviewed for this study acknowledged that their experiences in that position led them to conclude that refocusing on the principalship was key to school system improvement. A key school system leader stated,

> As we talked early on about the school system and what needed to be addressed, we kept coming back to the idea that having an outstanding principal at every school was critically important. We felt like we should invest in the principal position. If we could get good people and keep good people, we would really see positive results. We felt that the position had been devalued over the past several years and that needed to change.

It did not take long for the superintendent and his staff to demonstrate their renewed interest in the principalship. Current principals began to be invited to meet with the superintendent and his staff to set school and school system goals.

Principals were able to articulate needs and concerns for the superintendent and executive staff to consider. Issues raised by the principals were given immediate consideration. The school system budget was reallocated to provide every elementary principal with a vice principal since these schools were operating without one. Instructional leadership teams, consisting of an instructional specialist, a reading resource teacher, and a resource teacher for the gifted and talented were added to every elementary and middle school to support the principal and to assist in his/her role as instructional leader in his/her school improvement efforts. Each high school principal was given a resource teacher and a full time athletic director to allow them to spend more time on issues in the classroom. One member of the design team, who was a principal, stated, "We were being given an opportunity to provide input and obtain resources we had been requesting for a long time. A lot of superintendents talk about how important principals are—this superintendent was showing it."

Key staff interviewed for this study stated that the renewed interest in the principalship could be seen in one other area—salary. As the superintendent made it part of the goal to attract and retain the best available principals, there was agreement that salaries needed to increase. In 1997, the school system ranked 17th out of 24 districts in principal salary. In 2004, this same system ranked 4th.

The superintendent's position on principal salary reflected how valuable he felt the position was to school system improvement. "If you want quality, you have to be prepared to pay for it, but I knew that was not enough. As I looked at where we were with our current principals and where we needed to be, I was very concerned." He and the executive staff acknowledged that some current principals in the system would

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need to be replaced and that finding quality candidates to fill those vacancies would be of critical importance.

A Critical Shortage of Qualified Principal Candidates

to Meet Anticipated Needs

As the superintendent and his executive staff began to refocus on the principalship, they noted that a significant turnover of principals had started to occur within the system. Table 5 shows the number of principals leaving their positions in the school system over a ten-year period. The total, 18, represented 58% of the system's principals.

Table 5

Number of Principals Leaving the Position, 1990-2000

Level	1990-1995	1996-2000
Elementary (19)*	3	5
Middle (7)*	1	3
High (5)*	1	5
Total	5	13

* Indicates the total number of principals within the system at that level.

A review of system records indicated several reasons for principals leaving their positions, including retirement and going to other school systems. Some principals were demoted or reassigned by the superintendent after a review of their performances and after appropriate personnel steps had been followed. Said one system leader, "I think if you look over our current group of principals, you will find the majority of them have been appointed during this superintendent's time in charge of the school system." Table 6 reflects the accuracy of this statement.

Table 6

Current Principal Tenure

Level	1-5 Years	6-10 Years	10+ Years
Elementary (19)*	10	5	4
Middle (7)*	5	0	2
High (5)*	2	1	3
Total	17	6	9

* Indicates the total number of principals within the system at that level.

Of the school system's 31 principals, 22 (71%) have been appointed under the current superintendent. Only nine (29%) have more than ten years of experience in the principalship.

Knowing that a number of principals within the school system would soon need to be replaced, the issue for the superintendent and his executive staff was to ascertain if a sufficient supply of qualified candidates was available for replacement. All members of the superintendent's executive staff interviewed for this study indicated that lack of quality candidates was the main reason for implementing a "grow your own" principal preparation program. The superintendent, referencing the sentiment of many on the executive staff, stated,

> If you want top-notch leadership, you have to invest in it; you have to
> create it. Simply put, we were not getting really top administrators
> from other places. Rarely today do you get good people from the
> outside. We are now, to a limited extent, but prior to the program that
> was not the case. So as we looked inside the school system, we were
> concerned [that] we did not have enough candidates prepared to
> become excellent principals.

Another system leader echoed these sentiments. He stated, "I remember the last high school principal opening we had a few years ago. We just could not fill it. We had no internal candidates, and despite advertising in all the traditional places, we

could not get a quality candidate from outside the school system. I was really worried about starting school and not being able to fill this incredibly important position." System records indicate the severity of the issue prior to the program. Table 7 contrasts the number of individuals applying for vice principalships and principalships before and after the program. Table 7 also shows how many of these applicants demonstrated the qualifications to be placed in the pool of acceptable candidates. As Table 7 indicates, during the four years that the program has been in place, the number of applicants and the number deemed "qualified" has nearly doubled.

Table 7

Number of Candidates Applying for Administrative Positions Before and After the Principal Preparation Program

	1999		2004	
	Number Applied	Qualified for Position	Number Applied	Qualified for Position
Vice Principal Candidates	13	8	24	18
Principal Candidates	8	5	12	9

The change reflects applicants qualified for positions regardless of the number of vacancies. By 2004, the number of qualified candidates for vice principalships went from eight in 1999 to 18 in 2004, representing a 56% increase. The number of qualified principals candidates rose from five in 1999 to 9 in 2004, representing a 44% increase. Of the 18 qualified candidates for vice principalships in 2004, the assistant superintendent of human resources confirmed that 66% had participated in the Aspiring Leadership Program. He also confirmed that two of the candidates for principalships had completed the program.

Concerns Over the Changing Role of the Principal

In An Era of Accountability

When the superintendent convened a committee of school stakeholders in 1999 to address issues of leadership within the school system, the shortage of principal candidates and the evolution of that position were primary topics of discussion. "I remember at our first meeting, and really at all subsequent meetings leading up to the formation of the program, we talked about changes in the job of the principal, especially with the tremendous accountability placed on the position," stated a school system leader.

As the superintendent of schools began his reorganization of the system, he was able to solicit additional funds from the local county commissioners in exchange for agreeing to benchmarks. The vast majority of these benchmarks were academically focused on state tests and national tests. The superintendent stated, "Agreeing to these benchmarks was vital to our improvement efforts, but we knew the pressure it would place on the schools. That's why we needed excellent principals who were prepared to get results."

In focus group interviews, the design team members recalled how quickly the position of the principalship was changing due to increased accountability. The state in which the study took place was changing its entire assessment measures to new tests aligned with a new curriculum. The local Board of Education was implementing "end of course assessments" as well as other measures that included performing financial audits of school fiscal decisions. President Bush had just been elected and federal standards were looming, eventually becoming the "No Child Left Behind" legislation.

Rather than view this movement negatively, system leaders saw the increased accountability as a way to attract a particular type of individual to the principalship.

As the superintendent used accountability to obtain an increase in the

budget that gave us additional resources to show what we could do with

them knowing that with better results we could obtain even more

resources. We knew we would be putting more on the principals, so we

needed to prepare them for that. The program has allowed us to better

prepare future school leaders for the tremendous accountability they

now face because the bottom line is harsh but true—if they don't

perform, then they'll have to understand that they are not going to be in

their positions for long.

The superintendent and other school leaders both articulated that the Aspiring

Principal Program was an excellent vehicle to address the new responsibilities being

placed on principals at all levels.

Concerns Over Traditional University Preparation of Principals

All key school system leaders interviewed for this study concurred that part of

the impetus for creating a program dealing with leadership preparation was due to

concerns over traditional university preparation. One leader stated, "I think the

university sees their work as to provide the theory, but I wish the university would

also see the problems that principals face today. While research and theory are

certainly important, I think sometimes, unfortunately, that is what the university

stresses, and the practical gets lost. We had an opportunity to address this by creating

our own program." Other leaders expressed concerns that current university

preparation fails to address the role of instructional leader that principals now must be

ready to assume.

I think there is a lot of value in university programs, but few colleges

and universities really stress how an aspiring principal gets ready to

become the instructional leader of the school. You get systems theory,

organizational skills, and things of that nature, but not a lot of

instruction on how to use data to drive decisions or how to model

instructional strategies to your staff.

Several members of the design team indicated that their own issues with

university programs contributed to creating a "grow your own" program in the county.

A principal on the design team stated, "I felt a tremendous disconnect between what I

was taught during my university preparation and what I had to deal with as a principal.

You get a great deal of theory, but very little practical application and real life issues

principals face. I think that's a problem." The superintendent echoed some of these

concerns, but also pointed out,

I feel very strongly that there needs to be a blend between what is

happening in the university and what school systems are doing to

prepare future leaders. As our program came about, I have never seen

it as replacing higher education training; I think it's a way to

supplement it. Our future principals need and desire the best colleges

and school systems can provide to prepare them for the job they face.

A "grow your own" program was seen as an excellent way to blend what aspiring

leaders were learning at the university level and providing the experience they needed

to be future principals.

Addressing New Licensure Requirements for Principals

Another force contributing to the development of a principal preparation

program was new licensure requirements to become a principal. The Director of

Professional Development stated, "As we began to discuss the creation of a program, I

think we all felt that a real benefit to our future leaders would be to design a program

that would allow aspiring principals to pass the new licensure exam." Aspiring principals in this state had previously been required to participate in an assessment center that focused on designated principal skills. The new licensure exam was framed around the ISLLC Standards and was seen as a more rigorous process.

Key school system leaders indicated that there had been little system support for helping aspiring leaders with the old process and there was almost nothing in place to assist principal candidates with the new program. A system leader remarked,

> When you are already concerned about not having qualified candidates
> for your administrative openings, you don't want to compound the
> problem by having the candidates that you select not able to pass the
> licensure test. A preparation program seemed to be a natural response
> to help our aspiring leaders.

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Addressing Minority Achievement and a Lack of

Minority Candidates for the Principalship

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Early in his tenure as the leader of the school system, the superintendent made minority achievement and eliminating the achievement gap between student groups one of his highest priorities. A system focus quickly became addressing minority achievement and diversifying the work force, particularly among the county's administrative positions.

> Not only did we have a lack of all candidates, but we really had an
> issue with no minority candidates. My highest priority was increasing
> the number of African American candidates. I wanted to make sure we
> were giving them all of the opportunities in the world to really develop
> their skills because I wanted them involved in the principalship.

Another system leader was aware of this issue and expressed concern over how to address it. "As we did an assessment of our principals and vice principals, we were not satisfied with the diversity, but how to address this was a real issue."

Table 8

Minority Principals

	1996	2004
Elementary	4	5
Middle	2	3
High	1	1
Total	7	9

Table 8 shows that in 1996, there were seven minority principals in the school system, accounting for 22% of all principals. In 2004, there are nine minority principals, accounting for 28% of all the principals in the county. According to the associate superintendent, "Under this superintendent, this is a school system that prides itself on not just talking about minority achievement, but also seeing a principal preparation program as a way to increase the number of minority candidates in our school system. Are we happy where we are now? Absolutely not, but I think it's worth noting that we had three principal vacancies this year and all three were filled by minority candidates." Two of these three new principals were involved in the principal preparation program.

Question 2: Which program elements were created specifically to address those forces impacting the principals?

The following program elements were referenced frequently in focus groups from a review of documents and from interviews with key school system leaders, including the superintendent, associate superintendent, assistant superintendent of instruction, assistant superintendent of human resources, and director of staff

development. An analysis of the data revealed the following four program elements created specifically to address the forces cited in Research Question 1:

- Making the program unique to the county being studied

- Making the program hands-on and practical

- Framing the program around the ISLLC Standards and identified system themes of leadership

- Making the program free of charge, inclusive, available for college credit, and convenient in terms of place and schedule

Make the Program Unique to the School System

The prospect of a significant deficiency in the number of quality candidates, especially minority candidates, for principalships was one of the main reasons the school system decided to implement a preparation program. The superintendent stated,

I knew that even by increasing salaries, we were not going to be able to attract enough quality candidates for leadership positions. With the critical shortage of leadership around the country, I was convinced we needed a top leadership program right here in the county. I wanted a program that was unique to this county. A "homegrown" program would not only encourage more people to pursue principalships here, but once they attained those positions, they would be better prepared for success.

Key school system leaders, such as the superintendent, were used as keynote presenters, usually followed by state and national experts. Table 9 shows the various school stakeholders (other than principals) who contributed local flavor to the program.

Table 9

Variety of Local School Stakeholders Who Have Presented During the Leadership Program, 2001

	Summer Program	Monthly Seminars
Superintendent Executive Staff	7	5
Central Office	4	8
Board of Education	2	1
Teachers' Association	5	6
Teacher Leaders	1	0
Local Politicians	3	2
Total	22	22

The superintendent offered,

My participation was necessary to provide the vision for the school

system. If you believe that the Central Office exists for the schools,

then it needed to be part of this training program. I also asked the

committee to make sure our political leaders, such as the board

chairperson and the president of the county commissioners, were

included. They are an important part of our school system and I

thought it would be good for participants to see these key people, to

know we are a team and that we don't just go to them when we need a

handout.

Another leader said,

I think the most successful part of the program was bringing together

our local leaders to address future leaders about education. Through

the summer programs and seminars, these people got to hear county

commissioners talk about the local community; Central Office staff talk

about system expectations; principals talk about instruction and issues

they face in their schools in this county. How do you beat that type of experience?

An agenda from a meeting of the Leadership Development Committee dated May 2001 listed, "Infuse local items into program." The design team revealed that every activity and session was infused with items and issues unique to the county. For example, when an activity asked for participants to discuss observations and evaluation of staff, the school system forms for these duties were covered and utilized in simulations.

Current principals identified topics for sessions and worked to design sessions that reflected system concerns. For example, a monthly seminar on budgeting and finance utilized the county financial manual, financial programs, and was conducted by a principal who had received a perfect financial audit.

As efforts continued to make the program reflect the direct needs and issues of the topic being studied, the direct participation of current principals was vital to the effort. A system leader stated,

> Because of the participation of our principals and other school
> stakeholders, I feel we have offered something unique in preparation of
> future leaders. This program let us 'grow our own' by allowing us to
> look within the system. These candidates now have more familiarity
> with the system and allow us to provide a growth opportunity to help
> people in the profession. More than anything, they should be more
> ready to be successful principals here.

Table 10

Participation of Principals in the Program, 2001

School Level	Summer Program	Monthly Seminars	Diagnostic Interview
Elementary (19)*	11	9	10
Middle (7)*	6	7	6
High (5)*	5	5	5
Total	22	23	21

* Indicates the total number of principals within the county at that level.

During the first cohort of the program, every middle and high school principal participated in an activity, and all but two of the elementary principals assisted at some point. The superintendent remarked, "It just seemed natural that as we began to refocus our efforts on principals it would be the principals who would lead the way with this training."

Making the Program Hands-On and Practical

Just as there was a concentrated effort to make the program distinctive and unique to the school system, there was an equally intensive effort "to make the program hands-on and extremely practical" according to the design team. One individual commented, "Nobody wanted this training to be lecture or one-way from us to them. If it was going to be valuable, it had to afford the participants the opportunity to 'get their hands dirty' and be active." Several of the members of the design team indicated that efforts to focus on the more practical aspects of the principalship were in direct contradiction to the more theoretical focus of their university preparation. Design team members indicated that topics were aligned to what principals were actually doing in their schools. A design team member commented, "The strength of this program was its practicality; the in-basket activities, the presentations by principals. It's what aspiring principals needed to hear in addition to the theory of the university courses."

As the program was being formulated, the design team was careful to monitor the proposed activities for a balance of practical with theoretical and presentations with active learning. The design team planned many activities such as simulations, mock interviews, and written responses to school-based scenarios to make sure participants got to actively make decisions using the information they were receiving. Participants received data for a fictitious school that they would use as they went through the summer program and monthly seminars. Ultimately, they would be able to complete a portfolio from what they had experienced in the program. According to a system leader,

> The theory is wonderful, but a program like this allows you to prepare
> people for what they will face every day. Application and process are
> whole different pieces of work. We had to help aspiring leaders figure
> this job out; how do you move from the theory of the classroom into
> the practice of getting results? How do you figure that out? How do
> you make it happen? How do you provide the tools? This program
> allows us to begin to answer these questions.

Framing the Program Around the ISLLC Standards and Identified System Themes of
Leadership

As members of the design team began to suggest a principal preparation program to address many of the issues being considered about leadership in the county, one of the fundamental questions became what should serve as the foundation or focus of the training. "I just remember we were looking at so many things— surveys from aspiring leaders, research articles, national standards on leadership— wow! At the same time, we were trying to remember what the superintendent wanted us to do; it was not an easy undertaking," said one member of the design team. Another member of the design team commented, "From our dialogues with the

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superintendent, Central Office, and principals, there were certain themes that kept coming up such as vision, accountable leadership, instructional leadership, and community involvement. There was a real system expectation to include these in the program, but we all felt that an effective program needed to be based on some sort of national standards. It felt like we were stuck in neutral for a long time."

The director of professional development recalled that it was when the committee aligned the recurring themes on leadership with the ISLLC Standards that things began to move forward. She stated, "We really respected the ISLLC Standards and because they were the basis for the new licensure test, we knew we needed to use them. At one meeting, we did a match with the ISLLC Standards and saw them as mutually compatible. It really was another example of our efforts to make this program a blend of national, state, and local standards."

Table 11 presents an agenda item for a meeting of the Leadership Development Committee for January 2000, showing a proposed match of the suggestion system leadership themes and the ISLLC Standards:

Table 11

Match of System Themes and the ISLLC Standards

System Themes	ISLLC Standards
Vision	Standard 1
Accountability	Standard 3, Standard 5
Instruction	Standard 2
Community Relations	Standard 4, Standard 6
Using Resources Wisely	Standard 4

Members of the design team indicated the match between the ISLLC Standards and identified system themes provided a foundation around which to build the program.

The first phase of the leadership program was a five-day training session. These summer sessions were scheduled and devoted to each of the major system

themes. Activities were incorporated that came directly from selected ISLLC training modules. For example, a review of system records highlights the second day of the summer institute with a focus on the system theme of "instructional leadership." The assistant superintendent of instruction and a professor from a local institution of higher education were the featured speakers, presenting information regarding various ways to differentiate learning in the classroom. A reflective activity, taken directly from the ISLLC training manual, was given to participants.

Key school system leaders seemed to concur that basing the program around the system's core themes of leadership and the ISLLC Standards provided a program that would help aspiring principals to be better prepared for the tremendous demands of the position, particularly in accountability, while also better preparing them for the licensure exam. In the focus group interviews with participants of the program who have attained principalships, the consensus was these elements of the program were essential to its success. One principal, who was a former program participant, stated,

> There is no doubt that the program helped me be more prepared for
> both the licensure test and my new position. During the exam, and all
> throughout my first year, I found myself remembering things we had
> been taught in the program and that I am now able to use.

Making the Program Free of Charge, Inclusive, and Available for College Credit

Because one of the main reasons for creating an Aspiring Leaders Program was to attract a great number of individuals, particularly minority candidates, into administration, one of the key elements decided early by the design team and system leaders was to make the program free of charge for all participants. Other leadership programs reviewed by the design committee had included some charges to participants to defray operating expenses to the system. One consultant to the design team not

only promoted charging a fee to keep costs down, but also argued it was a way to separate those individuals who might be truly willing to commit to intensive leadership training. Some of the research on effective principal preparation promoted being selective in program participants to ensure only the highest quality candidate is being considered.

Design team members responded that the idea of charging for this training and being selective was discussed, but it was ultimately decided to make the program free of charge and inclusive to anyone who expressed interest in leadership. One member of the design team stated,

Because we had so few people wanting to pursue leadership, particularly the principalship, we really felt that by making the program available to everyone and with no fees, we might attract some candidates who had not considered being a principal previously. Even if a person decided that after going through the program they were not interested in pursuing a principalship, they would probably have a new appreciation for the position.

The superintendent confirmed that making the program free and inclusive was a large part of his system improvement plans. "I felt it was crucial to not limit access to this program. Yes, it came with a high price tag, but it was an investment for the system. Also, by being inclusive rather than exclusive, I really thought we had an opportunity to increase the number of minority candidates in administration."

Actively recruiting minority participants into the program became a system expectation for principals. One member of the design team, who was a principal, commented, "We were asked to tell all staff members about the program, but to particularly look to engage minority candidates. It was an easy sell because it was free and looked to be a quality professional development opportunity."

To further encourage participation in the program, individuals could obtain college-level credit for the program. School system leaders designed a partnership with a local university so that the program would not only afford participants credits toward their Administration and Supervision (A&S) certification, but also give them an opportunity to become involved in advanced graduate study. This partnership resulted in a new program called CASE. The Certificate of Advanced Study in Education in Instructional Leadership was a 30-credit program for experienced educators who have completed a master's degree. It was offered through a local college and equivalent to the Education Specialist (EdSp) certification that meets the minimum requirement/standard for a superintendent's endorsement. In the system being studied, the CASE program was initially designed to be a precursor for a future doctorate program (Ph.D.) in Instructional Leadership. The first cohort enrolled in this program were on track to graduate in May 2003. Those who completed CASE paid $390 per course without the possibility of tuition reimbursement. In addition, the county paid an additional $6000 for each course. This agreement applied to cohort II, which is scheduled for completion in May 2005.

Program participants confirmed that being able to obtain college credit was a powerful inducement to their participation in the program. "I probably would have done it anyway, but the opportunity to become involved in a program that would lead to getting my doctorate made all of the difference in the world," stated one individual.

Question 3: What resources (financial, facilities, human) were made available in the design and implementation of the principal preparation program?

The following resources were referenced frequently in focus group interviews with the design team, a review of system records, and interviews with key school system leaders, including the superintendent, associate superintendent, assistant superintendent of instruction, assistant superintendent of human resources, and

director of staff development. Resources made available for the design and

implementation of the principal preparation program fell into two primary

categories—human and financial.

Human Resources

In interviews with key school system leaders and members of the design team,

there seemed to be a great degree of consensus that the human resources made

available to this program were the key to its design and implementation. When the

director of staff development was given the task of putting together a committee to

focus on leadership, primarily at the principal level, a diverse group of system leaders

were brought together. Table 12 shows the make-up of the initial design team.

Table 12

Composition of Leadership Advisory Committee

	White Male	White Female	Black Male	Black Female	Other Ethnic Group Male	Other Ethnic Group Female	Total
Central Office	2	3	1	0	1	0	7
Principal	2	1	1	1	0	0	5
Vice Principal	0	3	0	3	0	0	6
Teacher Leader	0	1	0	0	0	0	1
Teacher	1	1	0	1	0	0	3
Other	1	2	0	0	0	0	3
Total	6	11	2	5	1	0	25

System records indicated that the committee has been chaired by two award-

winning principals in the system. Vice principals and teachers who were selected for

the committee were considered to be excellent staff members who had expressed

interest in becoming principals. Four members of the design team had been trained as assessors for the principal preparation program previously offered by the state in which the study was conducted.

The first meeting of this committee was held in May 1999. The committee met once a month, except in July and August, from that point until implementation of the program in June 2001. Including several supplemental meetings and work sessions, every member of the design team committed over 60 hours to the program's creation. One member of the design team stated, "When you looked around the table and saw some of the busiest people in the school system, including the associate superintendent and principals, you just had a feeling we were getting the opportunity to contribute to something really important."

There were a number of other human resources utilized in the design of the system's Aspiring Leaders Program. A consultant on leadership development was brought in from the U.S. Department of Education. An agenda from a meeting of the Leadership Development Advisory Committee identified this individual as having "a quantity of differentiated experiences in education with particular expertise in leadership development. Her purpose in joining the group [was] to serve in an advisory capacity to the design team in its development of a local leader preparation program."

Additionally, several individuals from the State Department of Education's leadership division were included as mentors to the project's development. Finally, two consultants from Broward County, Florida, were made available to members of the design group for three days in November of 2000. These consultants had developed a principal preparation program in their school system and were contracted to work with the design team to finalize preparations for the program.

As the program was implemented, a tremendous amount of human resources were needed. Each day of the summer program required no less than three key school system leaders and the contributions of no less than three to four system principals. Several program participants commented about the human resources made available. One program participant indicated, "I got so much out of hearing from local system leaders and the principals. I heard first-hand testimonials about leadership and the principalship that I would not be able to get anywhere else. It also made an impression on me that the associate superintendent was there every day."

Members of the Central Office, principals, local politicians, and educational experts from across the state in which the system is located were involved in program implementation. Said one school system leader, "Of course we had to hire the consultants, but the contributions from system leaders within the county and our principals, while free, were invaluable. That's a great combination to make a 'grow your own' principal preparation program work."

Financial Resources

While a great deal of the resources for the program were free of direct costs from system leaders and principals, designing and implementing a program of this magnitude required a lot of financial support. To assist in program design and implementation, the director of professional development applied for, and received, a grant from the State Board of Education made available from a federal grant on leadership development. This grant was for $5,000 a year and was available for a three-year period. Table 13 shows the proposed spending allocations of the grant each year.

Table 13

Grant Application

Area of Expense	Amount Allocated
Salaries and Wages	$500
Contracted Services	$3000
Supplies and Materials	$1500
Equipment	0
Other	0
Total	$5000

After receiving the grant (Appendix E), the superintendent of schools utilized the system's operating budget to fund other resources to support the program. He stated, "Early in my tenure as superintendent, I was able to get the county commissioners to allow us to keep our fund balance. With this money, I wanted to invest in long-term issues that would benefit the school system. I considered providing the money for a local principal preparation program as an outstanding investment in our school system."

System records indicated that a great deal of money was spent on program design. While some records had not been kept from early in program development, estimates are that over $25,000 was spent to create the program, not including salary of system staff such as the director of professional development and design team members. This money was spent on hiring consultants, visits to various leadership programs in and out of state, supplies, and other materials.

Once program implementation began, the greatest outlay of funds was for the summer institute. Table 14 shows a breakdown of monies spent for the first cohort in 2001.

Table 14

Financial Breakdown for Summer Institute

Consultants	$8912
Room and Food	$9273
Materials and Books	$2053
Total	$20,238

Consultants for the program included college professors in educational administration, representatives from organizations like National Association of Secondary School Principals (NASSP), and leadership organizations running programs such as "Who Moved My Cheese?" Each participant was provided with a binder full of research articles on the principalship and leadership. Books were also provided, including *Organizational Vision*, *The 7 Habits of Highly Effective People*, and copies of *Leadership Magazine*.

While the monthly seminars were held at the local Board of Education, the summer program was held at a first-class facility in the county. Breakfast and lunch were provided to participants each day. One member of the design team remarked, "The superintendent wanted individuals in the program to feel special and treated like professionals. Having the training outside of a system-owned facility sent a very strong message."

Many program participants agreed with this assessment. "Having the program at this location, the food each day—everything was just first class. I was blown away by the binder and books. All of these things not only got me excited about being a principal, it got me excited about being a principal in [this] county."

Finally, another large expense assumed under the program was funding participants who were going through the CASE program. Not only did the school system pay $6000 per course for program participants, it absorbed the costs for facility use as the classes were taught at a local high school. While records were not made

available for this expense, the director of professional development estimated that the total cost to the school system was in excess of $60,000 for facilities, tuition, and program materials.

Question 4: What were the essential sources that led to the elements and structure of the designated program, and to what extent did they reflect current research about effective principal preparation programs and standards of licensure? What was the process for implementing the program and recruiting participants?

The following elements and processes were referenced frequently in focus group interviews, record reviews, and individual interviews with key school system leaders including the superintendent, associate superintendent, assistant superintendent of instruction, assistant superintendent of human resources, and director of staff development. An analysis of the data revealed several significant sources that led to the designed principal preparation program. The analysis also revealed a great deal about the process of formulating the program and recruiting participants into this training.

Program Sources and the Process of Designing the Program

When asked what was the most important source that led to the creation of a program to train principals in the system, the following items were referenced frequently:

- ISLLC Standards
- Experiences of system personnel (Central Office and school-based administrators)
- Models from other school systems
- A State Department of Education report called "Clearing the Plate"
- State Assessment Center previously used to certify principals

- Consultant from the U.S. Department of Education

- Current research about principal preparation

The ISLLC Standards were by far the most frequently referenced program source in the development of the program. When asked if any other standards in leadership were considered for this program, key school system leaders and members of the design team indicated that others had been reviewed, but no one could recall any that were significant. A review of system records reveals the ISLLC Standards were incorporated into the original grant to attain funding for this program. In a summary of notes from January 4, 2001, the consultant from the U.S. Department of Education stated, "I want to work with you to develop a program that links your principal preparation program to the ISLLC Standards. This will not only give your program credibility, but also help participants be prepared for the licensure test."

Several members of the design committee recalled that the ISLLC Standards consistently showed up in research articles on the principalship and as the basis for program formation in other schools systems. Stated one member of the design team,

> As we read articles on the principalship from ERIC searches and
> listened to the two-day presentation from the folks from Broward
> County, Florida, we kept coming across the ISLLC Standards.
> Gradually, after reviewing the ISLLC Standards again, things began to
> fall into place—the relationship among the various documents, articles,
> and research studies began to come together. We began to see that
> among all the information sources, the ISLLC Standards were truly the
> guiding light to the program.

After settling on the ISLLC Standards as the foundation for the program, design team members matched program elements that had come from several key system leaders, current principals, and aspiring principals. As was introduced in

Question 2, design team members drew on the experiences of system administrators to create a program truly unique to the school system being studied. A document that reflects that blending of the ISLLC Standards and system ideas of leadership can be found in Appendix F.

Having the opportunity to visit and review several existing models of principal preparation was also key to the design team's efforts. Several local programs have been developed in the state in which the study is being conducted so many members of the design team were able to visit these training programs for principals and talk directly to individuals responsible for their creation. One member of the design team stated, "Before those visits, I had never even heard of a 'home grown' principal training program. After those visits, we got an opportunity to work with the consultants from Florida, and I really got a sense and direction for what we needed to do."

The work sessions with the Florida group were frequently cited as a key to implementation. The consultants shared the history of their program development, its structure, materials used for training, and reviewed some initial data from their first several cohorts. Two members of the design team visited this program and were able to provide insight into how the training could be replicated in the school system being studied.

As the program began to take shape early in 2001, the most influential source for its completion was using materials and activities from the now-defunct State Principal Assessment Center that many members of the design team were familiar with as assessors or participants. This assessment center had been a requirement for aspiring leaders to obtain their Administrator II certification needed to become a principal in the state being studied. It had been a two-day intensive assessment requiring participants to display the essential skills needed to be an effective principal.

Several weeks after completion, participants would receive a written diagnostic report articulating particular areas of strength or areas to improve. Many of the design team felt strongly that aspects of the assessment center would work well in the program they were developing. One member stated, "We all felt like the old assessment center had been really effective so we borrowed very liberally from it. The in-basket activities, the interviews with written diagnostics, and a lot of the skills we would focus on came from that program."

Finalizing the Process and Initiating the Program

"Looking back on it now, the process of creating this program was really remarkable and something I have been proud to have been a part of," stated one design team member. Over two years elapsed from the time the committee was first formed until program implementation. Several members of the design team expressed frustration over the slow pace of the process. Members indicated that the decision to use the ISLLC Standards and the visit from the Florida consultants really got the process moving. A small sub-committee met over a two-week period to draft a plan for the initial program. Early in March 2001, the committee met to review the proposed plan. After implementing some changes, the committee voted to endorse the Aspiring Leadership Program. The plan was sent to the superintendent and his executive staff for review. At the same time, the program was shared with system principals for feedback. One school system leader commented,

> At this point, I got very excited about what was being proposed.
> Watching the reaction of the executive staff and the principals, I knew
> we had something viable. Not only were there very few suggestions
> about the proposed plan, but individuals indicated a sense of validation
> as they saw many of their recommendations incorporated into the

program. We had worked hard to keep executive staff and principals involved throughout the process, and I think that's why they were so eager to participate. They felt a sense of ownership in the program.

After endorsements from the superintendent, executive staff, and principals, the Aspiring Leadership Program was adopted by the system. Key components of the program included:

- Phase I: A five-day summer institute. This was required for individuals who wanted to participate in the larger program. The institute objective aligned with the ISLLC Standards and incorporated system themes of vision, accountability, instruction, community involvement, and resource use.

- Phase II: Seminars throughout the year. Participants attended seminars to complete Phase II of the program. Topics included: oral communication, written communication, due process for teachers and support staff, budget and finance, effective delegating, facilities, special education issues, developing professional portfolios, interviewing skills, current trends, High School Assessment, multi-tasking, and technology use.

- Phase III: Project to benefit the school system. Participants self-selected a project from a suggested list and gained prior approval before beginning.

- Phase IV: Mock interview. Participants had an opportunity for a diagnostic interview with written feedback.

- Phase V: Internship experience. Participants had an opportunity to gain administrative experience through an on-site internship. The purposes of the internship were to promote professional growth, improve

participants' resumes, and create a bank of human resources where principals could visit other settings, vice principals could move up into principalships, and aspiring vice principals could move into vice principal temporary placements.

Recruiting Participants

With the program set in place, the task became to promote the training to interested participants. As was indicated in Question 2, it had been decided that participation in the program would be open to any certificated staff interested in pursuing leadership training. The associate superintendent of schools was charged with encouraging principals to be active in recruiting individuals to participate in the program, with a particular emphasis on seeking minority candidates. When the program began in June 2001, 47 participants had enrolled.

The last item in the demographic section of the survey instrument used in this study asked the respondents "What motivated you to pursue the county leadership program?" Table 15 presents the options and the number of respondents for each one.

Table 15

Reasons That Motivated Respondents to Pursue the County Leadership Program

Number	Reason
29	Encouragement from a mentor
25	Enhance job opportunities as a principal
4	Required for building or district level position other than a principal
58	Broaden knowledge base
16	Broaden range of influence
45	Opportunity to use leadership skills
3	Prestige and status
9	Greater professional freedom
20	Ability to perform required tasks and functions of principal
20	Increased responsibility
29	Effect change on a greater scale
8	Other (please specify)

The most common responses to this question were "broaden knowledge base" (58), "opportunity to use leadership skills" (45), "encouragement from a mentor" (29), and "effect change on a greater scale" (29). Reasons that received the least number of responses included "prestige and status" (3) and "required for building or district level position other than a principal" (4).

These responses reflect the message that was sent throughout the county about participating in the Aspiring Leadership Program. It was advertised as a way for program participants to increase their knowledge base in leadership and to use that knowledge in a "hands-on," practical way. Program participants were told before, during, and after the training that this program was not required to advance in leadership nor would it afford anyone greater status or rank in obtaining future leadership positions.

Question 5: What perceptions did participants have about the effectiveness of the program and did these perceptions match the goals and expectations of the program design committee? Did program participation increase or decrease participants' interest in advancing to a leadership role?

In Chapter III, the researcher described efforts to modify an existing survey to collect the perceptions of the program participants and the design team members. An extensive search for a survey that would be suitable for this research project produced only a few possible surveys. The one selected, the Audit of Principals' Effectiveness, was developed by Jerry Valentine and Michael L. Bowman in 1986. The survey was designed to describe teachers' perceptions of principals' effectiveness. The researcher modified the survey after an extensive review of literature on the role of the principal. The Valentine-Bowman survey reflected many of the aspects of the ISLLC standards that had been used as the foundation for the creation of the "Grow Your Own Principal" program. The researcher retained the Audit of Principals' Effectiveness as a

three-domain survey of principals' skills. Domain one, consisting of 27 items, addressed organizational direction linkage and procedures. The second domain, Organizational Environment, covers teacher relations, student relations, interacting processes, and affective processes. This domain had 37 items. The third domain, Educational Programs, which entails Instructional Improvement, Curriculum Improvement, and Overall Effectiveness, was covered by 16 items. The revised instrument included the same number of items as the original, of which three items were changed and several others had one or more words changed to assure consistency throughout the instrument. A fourth section of the survey sought to collect demographic information and current job status as well as aspirations on the part of the participants and the design team.

In order to establish the validity of the instrument before its use, the revised instrument was administered to several principals and people who were aspiring to be principals in jurisdictions other than the one where the study was conducted to determine if they felt that it asked the kinds of questions that were relevant to the proposed study of principal leadership. This was done to establish the content and construct validity of the instrument. The people who reviewed the survey suggested several changes. The researcher made these changes and submitted the final version to computer specialists in the school system, since the survey was to be conducted using the school system's computer e-mail capability.

The researcher had no information on the reliability of the instrument. It was decided to wait until the data had been collected prior to computing Cronbach alphas on each of the domains. These data are presented in the section on quantitative analysis.

In September 2004 the survey was e-mailed to the 99 program participants from the first three cohorts and members of the design team. The actual survey was

preceded by a descriptive cover letter and consent form. The cover letter contained background information about the survey. A log was kept of the individuals to whom the survey was e-mailed and addresses and mailing dates were noted. A follow-up letter and survey were sent to potential respondents when a reply was not received within two weeks. By the 3rd week in September, the response rate was 52%. The follow-up letter, along with a copy of the survey, was sent to non-respondents stating the need for their responses. Eighty-five participants returned responses. Ten of the 12 design team members returned responses. A total of 95 usable responses was received and analyzed, for a final response rate of 86%.

When the researcher received the data, the first set of statistics computed were Cronbach alphas. The Cronbach alpha is a measure of inter-item reliability, used when no pretest-posttest reliability is available. Because the researcher wanted to establish the reliability of the instrument, Cronbach alphas were computed for each of the three domains. For domain 1, Organizational Development, the Cronbach alpha was .87. For the second domain, Organizational Environment, the Cronbach alpha was .95. The third domain, Instructional Improvement, the Cronbach alpha was .95. All of these Cronbach alphas are classified as strong and all were statistically significant at the .001 level, thus confirming instrument reliability.

Next the researcher computed correlation coefficients on the three domains. These are displayed in Table 16. Interpreting these tables, the researcher used an established set of criteria to make judgments about the significance of the correlations. First, a level of .05 was used to identify those correlations that were statistically significant. Second, the correlations were judged in the following manner. If the correlation was between 0.0 and 0.30 . it was considered weak; if it was between 0.31 and 0.70, it was considered modest; if it was above 0.71, it was judged to be strong (Gliner & Morgan, 2000). The correlations presented in Table 16 indicate that they

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are all in the modest range and all are statistically significant at the .001 level, since all of the correlations were in the .51 to .65 range. The correlations accounted for approximately 25% to 40% of the variance among the three domains. This indicated that there was a modest relationship among the domains while also indicating that each was assessing something unique to its domain.

Table 16

Correlation Coefficients for Domains One, Two, and Three

	Domain 1	Domain 2	Domain 3
Domain 1	1.00	.65	.51
	(73)	(63)	(68)
		P=.001***	P=.001***
Domain 2		1.00	.59
		(72)	(67)
			P=.001***
Domain 3			1.00
			(73)

P = < .05*; <.01**; <.001***

The survey asked for background data on the participants' gender, age, and race. Table 17 presents the data on gender, age, and race.

Table 17

Number and Percentage of Respondents by Gender, Age, and Race

	Number	Percentage
Gender		
Male	24	29
Female	59	71
Age		
< 35	23	28
36-45	28	34
46-55	27	32
56 >	5	6
Race		
African American	19	23
Asian	1	1
Caucasian	63	75
Native American	1	1

The first statistical analysis was done on domains one, two and three. The researcher compared the responses of cohorts 1, 2, and 3 on each of the three domains. As displayed in Table 18, the results of this statistical analysis show that there was no statistically significant difference among cohorts one, two, and three on domains one, two, and three.

Table 18

One-Way Analysis of Variance of Differences among Cohorts One, Two, and Three on Domains One, Two, and Three

Domain One

	df	Sum of Squares	Mean Square	F	Sig.
Between Groups	2	10.85	5.42		
				.08	.92
Within Groups	69	4,636.47	67.20		

Domain Two

	df	Sum of Squares	Mean Square	F	Sig.
Between Groups	2	439.36	219.68		
				1.06	.35
Within Groups	68	14,091.96	207.23		

Domain Three

	df	Sum of Squares	Mean Square	F	Sig.
Between Groups	2	89.90	44.95		
				.81	.45
Within Groups	74	4,068.62	55.22		

$P = < .05^*; <.01^{**}; <.001^{***}$

In each of the domains, the last item was a summary question reflecting the entire domain. In domain one, this was question 27. For domain two, it was question 64, and for domain three, it was question 80. The results of this analysis are presented in Table 19. The results indicate that there was no statistically significant difference among the three cohorts on the respective summary questions.

Table 19

One-Way Analysis of Variance of Differences among Cohorts One, Two, and Three

on Summary Questions for Domains One, Two, and Three

Domain One - Item 27

	df	Sum of Squares	Mean Square	F	Sig.
Between Groups	2	1.53	.76		
				2.29	.11
Within Groups	81	27.04	.33		

Domain Two - Item 64

	df	Sum of Squares	Mean Square	F	Sig.
Between Groups	2	.59	.29		
				.73	.49
Within Groups	81	32.97	.41		

Domain Three - Item 80

	df	Sum of Squares	Mean Square	F	Sig.
Between Groups	2	.94	.47		
				1.02	.37
Within Groups	81	37.47	.46		

$P = < .05^*; <.01^{**}; <.001^{***}$

Next, the researcher compared the responses of the total cohort, one, two, and three, to the design team on the same domains. The results of this analysis are presented in Table 20. They show that there was no statistically significant difference in the means for domains one and two. For domain three, there was a statistically significant difference favoring the design team, whose mean was 62.00. For the combined cohort groups, it was 57.68.

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Table 20

Independent t-Test of the Total Cohorts' Responses versus the Design Team's

Responses to Domains One, Two, and Three

Domain One

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
Total Cohort	72	96.15	8.09			
				.13	79	.95
Design Team	9	95.77	7.40			

Domain Two

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
Total Cohort	71	129.58	14.81			
				.40	76	.69
Design Team	7	127.29	15.31			

Domain Three

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
Total Cohort	77	57.69	7.41			
				3.23	23	.01**
Design Team	10	62.00	3.27			

P = < .05*; <.01**; <.001***

The researcher also compared the means of the summary questions at the end
of each of the domains, questions27, 64, and 80, comparing the total cohort versus the
design team's responses. For items 27 and 64, there was no statistically significant
difference, but for summary item 80 there was a statistically significant difference in
which the design team again had higher means than did the total cohorts. The design
team mean was 3.90; for the cohort, it was 3.42. Table 21 displays these results.

Table 21

Independent t-Test of the Total Cohorts' Responses versus the Design Team's

Responses to Summary Questions

Domain One - Item 27

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
Total Cohort	84	3.57	.59			
				1.19	92	.24
Design Team	10	3.80	.42			

Domain Two - Item 64

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
Total Cohort	84	3.37	.64			
				.32	92	.75
Design Team	10	3.30	.68			

Domain Three - Item 80

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
Total Cohort	84	3.42	.68			
				3.88	21	.001***
Design Team	10	3.90	.32			

P = < .05*; <.01**; <.001***

The researcher next performed a statistical analysis of the three domains,

comparing males' and females' responses for domains one, two, and three. There was

no statistically significant difference in the means for domains one and two. For

domain three, there was a statistically significant difference. The male respondents

had a higher mean score of 60.32 compared to the females' mean score of 56.42 (see

Table 22).

Table 22

Independent t-Test Comparing Males' and Females' Responses for Domains One,

Two, and Three

Domain One

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
Male	19	98.79	8.02			
				1.70	69	.09
Female	52	95.04	8.28			

Domain Two

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
Male	20	130.10	13.88			
				.39	67	.70
Female	49	128.57	14.97			

Domain Three

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
Male	22	60.32	4.34			
				2.14	75	.01**
Female	55	56.42	8.07			

P = < .05*; <.01**; <.001***

The researcher next used the variable of age to do an analysis of variance of

domains one, two, and three. The results of the analysis are presented in Table 23.

The data show that there were no statistically significant differences based on age

among the three domains.

Table 23

One-Way Analysis of Variance of Differences Based on Age for Domains One, Two, and Three

Domain One

	df	Sum of Squares	Mean Square	F	Sig.
Between Groups	3	174.93	58.31		
				.84	.48
Within Groups	67	4,673.94	69.76		

Domain Two

	df	Sum of Squares	Mean Square	F	Sig.
Between Groups	3	1,571.88	523.96		
				2.65	.06
Within Groups	65	12,869.11	197.99		

Domain Three

	df	Sum of Squares	Mean Square	F	Sig.
Between Groups	3	149.76	49.92		
				.91	.44
Within Groups	73	3,997.41	54.76		

P = < .05*; <.01**; <.001***

The researcher then compared the means of the three domains based on race. Because there was only one Asian participant and one Native American participant, those two participants were dropped from the statistical analysis. The analysis compared the responses of African-Americans and Caucasians for domains one, two and three. The results of the statistical analysis indicate there were no statistically significant differences in any of the three domains based on race. These results are shown in Table 24.

Table 24

Independent t-Test Comparing African Americans and Caucasians for Domains One,

Two, and Three

Domain One

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
African-American	14	95.36	5.67			
				.35	68	.73
Caucasian	56	96.23	8.97			

Domain Two

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
African-American	13	134.15	13.17			
				1.37	66	.17
Caucasian	55	127.6	14.92			

Domain Three

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
African-American	17	59.41	4.64			
				1.25	74	.22
Caucasian	59	56.88	7.96			

$P = < .05^*; <.01^{**}; <.001^{***}$

The next statistical analysis, Table 25, compared different levels of

education—elementary versus middle and high school. For domains one through

three, there were no statistically significant differences across the domains.

Table 25

Independent t-Test Comparing Elementary versus Middle and High School

Respondents on Domains One, Two, and Three

Domain One

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
Elementary	28	94.21	9.05			
				1.50	68	.14
Middle and High	42	97.26	7.78			

Domain Two

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
Elementary	26	125.08	16.92			
				1.76	65	.08
Middle and High	41	131.43	12.62			

Domain Three

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
Elementary	28	56.75	7.39			
				1.15	73	.26
Middle and High	47	58.60	6.33			

$P = < .05^*; <.01^{**}; <.001^{***}$

The next analysis was based on whether the respondent was applying for a principalship. For domains one and two, there were no statistically significant differences. For domain three there was a statistically significant difference in which those who were applying for a principalship had a higher mean than those who were not. The mean was 60.23 for applicants and 56.52 for non-applicants. The data are presented in Table 26.

Table 26

Independent t-Test Comparing Applicants and Non-Applicants for Principalships in

Domains One, Two, and Three

Domain One

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
Applicants	42	95.24	9.33			
				1.10	66	.28
Non-Applicants	26	97.54	6.54			

Domain Two

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
Applicants	43	129.93	14.38			
				.52	65	.60
Non-Applicants	24	127.96	15.63			

Domain Three

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
Applicants	48	60.23	8.31			
				2.11	72	.01
Non-Applicants	26	56.52	4.49			

P = < .05*; <.01**; <.001***

The next statistical analysis was based on participants applying for a leadership position within the system other than the principalship. For domains one and two, there was no statistically significant difference between those applying and those not applying. For domain three, there was a statistically significant difference favoring those persons who were applying for positions within the school system. The mean for applicants was 59.74. For non-applicants it was 55.74. These results appear in Table 27.

Table 27

Independent t-Test Comparing Applicants and Non-Applicants for Other Leadership Positions in Domains One, Two, and Three

Domain One

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
Applicants	32	95.41	7.87			
				.61	68	.55
Non-Applicants	38	96.63	8.85			

Domain Two

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
Applicants	29	125.72	15.18			
				1.75	66	.09
Non-Applicants	39	131.90	13.84			

Domain Three

	No. of Cases	Mean	S.D.	t-Value	D.F.	2-Tail Sig.
Applicants	34	59.28	8.75			
				2.15	75	.01
Non-Applicants	43	55.74	5.65			

P = < .05*; <.01**; <.001***

The next item sought information on how participation in the program had affected the respondent's thoughts about applying for future leadership positions. There were three response categories. "More likely to apply" elicited 58 responses; "less likely to apply" drew 4 responses; "unchanged" brought 21 responses. The researcher did an analysis of variance across the three domains based on the three categories of choice for respondents. There were no statistically significant differences across domains one and two based on future thought about applying for

leadership positions. For domain three, there was a statistically significant difference, but after applying the Scheffé test, it was judged to be not significant. Table 28 displays these results.

Table 28

One-Way Analysis of Variance of Differences Based on Respondents' Thoughts About Applying for Future Leadership Positions in Domains One, Two, and Three

Domain One					
	df	Sum of Squares	Mean Square	F	Sig.
Between Groups	3	401.11	200.56		
				3.04	.06
Within Groups	68	4,478.18	65.86		
Domain Two					
	df	Sum of Squares	Mean Square	F	Sig.
Between Groups	2	918.70	459.35		
				2.24	.11
Within Groups	66	13,537.94	205.12		
Domain Three					
	df	Sum of Squares	Mean Square	F	Sig.
Between Groups	2	410.74	205.37		
				4.12	.02
Within Groups	74	3,690.97	49.88		

P = < .05*; <.01**; <.001***

Summary of Quantitative Data from the Survey Instrument

A summary of the survey data reveals a high level of response from program participants (86%) and design team members (83%). Overall, all respondents rated

the program as highly effective in enhancing the leadership skills measured in the domains tested. A summary of the quantitative findings is as follows:

Finding #1: The instrument had a high degree of reliability across the three domains tested and across the three cohorts. They were all statistically significant at the .001 level.

Finding #2: In each of the domains, a summary question reflecting the entire domain was inserted. An analysis of variance conducted on these summary questions revealed no statistically significant difference among the three cohorts.

Finding #3: A one-way analysis of variance compared the responses of all three cohorts to the design team and revealed no statistically significant difference for Domains 1 and 2. There was a statistically significant difference with Domain 3 favoring the design team.

Finding #4: An independent t-test of all three cohorts compared to the design team further confirmed no statistically significant difference in Domains 1 and 2, but a statistically significant difference at the .01 level for Domain 3.

Finding #5: An independent t-test of the total cohorts' responses versus the design team's responses to the three summary questions revealed identical results. There was no statistically significant difference in Domains 1 and 2. There was a statistically significant difference with Domain 3 at the .001 level.

Finding #6: An independent t-test comparing male and female responses revealed no differences in Domains 1 and 2. There were statistically significant differences at the .01 level of Domain 3 favoring male respondents.

Finding #7: A one-way analysis of variance for age differences among respondents revealed no statistically significant difference across the three domains.

Finding #8: An independent t-test comparing African American and Caucasian respondents revealed no statistically significant difference across the three domains.

Finding #9: An independent t-test comparing elementary and secondary school respondents across the three domains revealed no statistically significant differences.

Finding #10: An independent t-test comparing applicants and non-applicants for principalships revealed no statistically significant differences for Domains 1 and 2. It did reveal differences at the .01 level favoring applicants for principalships for Domain #3.

Finding #11: An independent t-test examining applicants and non-applicants for other leadership positions across the three domains revealed no statistically significant differences for Domains 1 and 2. It did reveal differences favoring applicants for Domain 3; however, after applying the Scheffé test, it was judged to be not statistically significant.

Finding #12: A one-way analysis of variance of differences based on respondents' thoughts about applying for future leadership positions in the three domains tested revealed no statistically significant differences.

Question 6: To what extent did participants who have attained leadership positions report that the program has helped prepare them for the responsibilities of their positions? What areas of the program did participants see as needing improvement?

Data for this question were collected from focus group interviews with program participants who have advanced in leadership and program participants who have become principals. Some data was collected from interviews with key system

leaders and the survey of program participants. An analysis of the data revealed the following areas of the program as benefiting participants:

- A clearer understanding of the principalship, especially in the area of accountability
- A greater sense of local preparation and desire for becoming a principal in the designated school system
- The establishment of a strong network of colleagues to provide support in their new position.

The analysis of data revealed the following areas of need in the program:

- A greater emphasis on time management, communication, and data analysis
- The need for a stronger partnership with the college involved with the program and support for advanced graduate level work
- Completing all phases of the designated program, including the project and internship components.
- Separate training for aspiring principals and for other leadership positions

A review of system records indicates that a number of participants in the system's Aspiring Leaders Program have advanced to various leadership positions over the first three years of the program. Table 29 shows the number of program participants who have advanced to leadership positions.

Table 29

Program Participants Who Have Advanced in Leadership Positions

	Instructional Specialist	Admin. Assistant	Vice Principal	Principal	Central Office Admin.
Cohort 1					
Teacher	7	1	11	1	0
Guidance Counselor	0	0	0	0	0
Instructional Leader	2	0	0	0	2
Vice Principal	0	0	0	8	1
Cohort 2					
Teacher	2	2	4	0	0
Guidance Counselor	0	0	0	0	0
Instructional Leader	0	0	0	0	0
Vice Principal	0	0	0	0	0
Cohort 3					
Teacher	4	2	7	0	1
Guidance Counselor	0	0	0	0	0
Instructional Leader	0	0	0	0	0
Vice Principal	0	0	0	0	0
TOTAL	15	5	22	9	4

Out of 99 program participants over the first three years of the program, a total of 55 have advanced in leadership (56% of total). Nine program participants have become principals while 22 have advanced to the vice principal level. Fifteen program participants have become instructional specialists, five are administrative assistants, and four others have gone onto Central Office leadership positions. Table 30 shows the gender and race of those individuals who have advanced in leadership.

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Table 30

Gender and Race of Program Participants Who Have Advanced in Leadership

	White Male	White Female	Black Male	Black Female	Other Male	Other Female
Instructional Specialist	3	10	0	2	0	0
Administrative Assistant	3	0	1	1	0	0
Vice Principal	8	12	0	2	0	0
Principal	1	4	1	3	0	0
Central Office Administrator	0	4	0	0	0	0
TOTAL	15	30	2	8	0	0

Because the system placed a high priority on including minority participants in the program, it should be noted that ten of the 55 individuals (18%) who advanced in leadership were minorities. Four of the nine individuals who have become principals, 44%, were minorities.

Program Benefits—A Clear Understanding of the Principalship, Especially in the Area of Accountability

A focus group interview with program participants who now have become principals revealed a common theme of what one participant called "a demystifying of the principalship" as a result of participation in the program. These individuals indicated that as current vice-principals, they had a good understanding of the responsibilities of the principalship, but their job requirements were not providing the background and experiences needed to feel prepared to advance. One program participant stated,

> I was at a school that was getting good results. The principal was
>
> leading the staff and obtaining good test results and perfect audits with
>
> the budget, but I had no idea how he was doing it. As a vice principal,

I was relegated to doing IEPs and buses. Going through the program put me through some experiences that made me think I could do the principal's job. It provided the foundation and road map I had been missing.

These individuals cited the "hands-on" activities and practical topics of the program as the key to feeling confident in their new positions. "I remember my first day on the job my secretary brought me requisitions and the "green bar" sheet. I think she thought this would intimidate me. Before the program it might have because I had no idea how to handle the budget process. But we had done a monthly seminar that explained these issues, so I felt prepared to be able to do my job," stated one participant.

Every program participant interviewed in a focus group of individuals who had advanced in leadership discussed the issue of accountability as it relates to the principalship. They were all agreed that the program had a purposeful bias toward accountable leadership and cited that as a strength in the training. One participant said, "You hear all of the expectations placed on the principal and it really makes you question if you want the position. The program not only gave us training on how to meet those expectations, but also gave us access to current principals who are getting results. The notes I got from these people [current principals] meant more than any class I have taken."

Consistent areas cited by those interviewed in the focus group as assisting them in meeting the accountability requirements of their new positions included the focus on creating school improvement plans, hiring and terminating staff, finances, and understanding the requirements of the "No Child Left Behind" legislation.

<u>A Greater Sense of Local Preparedness and Desire for Becoming a Principal in the Designated School System</u>

As articulated by several system leaders and members of the design team, a major goal of this program was to prepare aspiring leaders to be successful principals in the local school system. Every program participant who had advanced in leadership indicated that not only had the emphasis on the local school system prepared them for success in their new position, but it had also fostered a strong drive to seek leadership positions in the designated county. Stated one program participant:

> I got to hear from the superintendent and most of his executive staff
> during the program. I got to listen to Board of Education members and
> local politicians. I was in training with principals who were sharing
> tricks of the trade on how to be successful. I got to work with school
> system forms, policies, and processes. Yes, the focus on the school
> system was obvious and was helpful in training me in my new role. It
> also made me feel that the best place to seek a principal position where
> I could meet with immediate success was right here in [this] county.

Program participants indicated that the appeal of emphasizing the local school system went deeper than just spending time with system leaders. One program participant stated, "I think it was because the superintendent talked about the shared vision of the school system and then hearing it reinforced by the Central Office staff, principals, and local politicians. The way they discussed a common sense of system mission made me feel like I would be a part of a team and that there would be support to help me be successful as a new principal."

Another area that program participants cited as a strength of the program was the active participation of the system's principals. Principals serving on panels, facilitating monthly seminars, conducting diagnostic interviews, and a variety of other

actions gave program participants tremendous access to current practitioners. A program participant, who is now a principal, indicated,

I will forever be in debt to my colleagues who helped in this program. Almost every day I reflect on some part of this training that they were responsible for and that I now use as a principal. We had the opportunity to hear from so many different and outstanding principals throughout this profession development activity. I was inspired by them to want to stay in [the school system] and volunteer to help in the program now that I am a principal.

Program participants indicated that the emphasis on local programs helped them know how and where to obtain system resources, to deal with the political aspects within the system community, and how to prepare for their own evaluations as principals.

The Establishment of a Strong Network of Colleagues to Provide Support in New Positions

The superintendent had hoped that providing a preparation program for principals would lead to a strong network of support for these individuals. Focus group interviews with program participants who had advanced in leadership indicated that the program had more than met the superintendent's expectations for networking opportunities. One program participant stated,

The strongest aspect of the program for me was the networking and relationships I built with the individuals in my group. As I moved into my principalship, I had no question or hesitation about contacting a fellow principal or Central Office leader because we had spent so much time with them in the training. I also developed really close bonds with

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many of my peers who went through the training. I felt like I wasn't

alone as I transferred to a new position.

Program participants cited the interactive nature and time allotted for questions

and discussions as being a key to forging strong relationships between individuals in

each cohort of the Aspiring Leadership Program. One program participant stated, "So

often, training is so one-sided with people talking at you. This was so different. We

had the opportunity to engage in activities, debrief, and ask questions. That's what

made it so rewarding was the personalized attention we received."

The structure of the program, with its emphasis on being hands-on and

practical, was cited as a key to building a strong network for program participants. "It

really provided a safe harbor to learn about leadership. As participants, we were made

to feel comfortable making mistakes. The principals running each session stressed the

willingness to help us at any time, and believe me, I have taken them up on that offer."

The majority of focus group participants indicated that the strongest

networking opportunities were established with their fellow program participants,

followed by system principals, Central Office staff, and local politicians.

Needed Program Improvements—A Greater Emphasis on Time Management, Communication, and Data Analysis

As various program participants moved into leadership positions, they were in

agreement that the training had been extremely beneficial in preparing them for their

new roles. However, there were some areas that participants agreed had not been

stressed as much in the program and were noted as areas for improvement in the

future.

Three participants who became principals cited a greater need to focus on time

management as it relates to the principalship. One individual stated,

That's the one area I was not ready for as I became a principal.

Everywhere I walked in the building, somebody needed to talk to me or

get my opinion on something. I felt myself falling behind early with all

the things I needed to get done. I wish we could have done more in the

program with how successful principals manage the multiple

commitments on their time.

Other participants took a different position on the time management issue,

citing that the program needed to help individuals cope with balancing the

professional and personal demands of the principalship. Every program participant

who had become a principal indicated that they were unprepared for the demands on

their personal lives that the job requires. One individual explained, "I really would

have liked to have dialogued with current principals on how they manage to have a

personal life. Everyone tells you to take a vacation and take time for yourself, but

when do you do this? How do you find the time? Hearing how other principals

balance these issues would really have helped me in my transition."

Participants also indicated a greater need to focus on communications. "We

spent a lot of time being told to think like a principal, which we did, but we didn't

spend a lot of time speaking or writing like a principal during the program," indicated

one participant. These individuals suggested incorporating more opportunities during

the monthly seminars to help participants practice oral and written communication

skills expected of principals. Simulations that would incorporate communications

skills were also suggested. A program participant, who is now a principal, stated,

During my first year, I had to deal with a student bringing a weapon to

school. I had to write a letter to my parents, address the faculty, and

talk about it at my PTSO meeting. I made the best decisions I could,

but I kept thinking this would have been a great 'real life' situation to

have dealt with during the leadership program.

Focus group participants also indicated that communications with key Central Office staff should be more realistically addressed. One participant explained, "How do you communicate frustrations or issues when it's your boss? I remember going crazy my first few weeks on the job because I had filled out an extra staffing request and nobody could tell me if I was going to get it. I called, e-mailed, and wrote memos. I kept thinking, 'Maybe I'm not doing what I should to express my needs.'" All but one participant who became a principal indicated a need to address more "realistic" communications with Central Office staff.

Finally, several participants indicated a desire to focus more on the idea of making "data-driven decisions." While the focus groups indicated that effective use of data had been discussed often in the training, this "was a concept that really needed us to get our hands dirty and work with school data, not just hear about it," said one newly appointed principal. Several participants remembered that they had been given a fictitious school with data early in the program, but they never really used it. One participant stated,

This was a real hole in the program. You don't get the chance to work

with this kind of data as a vice principal and then you are made a

principal and expected to know how to have data-driven decisions.

Doing more with data would really benefit the program.

The Need for a Stronger Partnership with the College Involved with the Program and Support for Advanced Graduate Level Work

In focus group interviews, all but two individuals had taken the system's

Aspiring Leadership Program in conjunction with the CASE Program. This

partnership with a local university was meant to serve as a precursor for future

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doctoral studies in Instructional Leadership. Focus group participants expressed their anticipation of a blending of the county program and the university courses. The consensus of the group interviewed was that this did not happen. One participant stated, "There were so many times topics crossed over between the program and the college, but instead of building upon each other, it just seemed these things were done by accident, which I think was the case. Just some common planning between what we were doing with the system training and our courses would have made such a difference."

Several participants also expressed displeasure in a perceived lack of system support for continuing in the CASE Program. System records indicated that of the participants who originally signed up for CASE, only four enrolled in the first set of classes that would lead to a Ph.D. Focus group participants stated the following reasons for not continuing in the program:

- Poor communication about registration and completing paperwork to enroll

- Moving the classes from the designated school system to a neighboring system

- A lack of financial commitment from the schools system to help with tuition

The lack of financial support was a concern raised by all focus group participants. One individual stated, "Originally, CASE was $390 per course. When I found out the next phases was going to be $1,300 per class, plus fees, there was no way I could continue. I was really disappointed and felt let down." Several school system leaders interviewed for this study were unaware of this issue and stated they would look into the situation.

<u>Completing All Phases of the Designated Program, Including the Project and Intern</u>
<u>Components</u>

Perhaps the most common criticism of the Aspiring Leaders Program by focus groups and key system leaders was not providing the last phases of the program—an intensive research project and an internship component. System records were somewhat unclear about this issue, however out of the 99 participants who comprised the first three cohorts, only four completed any formal project and seven have been afforded an opportunity to do any type of internship. A key system leader said, "This is an area we need to focus on; we haven't done well on this front. The opportunity for people to get actual field experience is critical to build our principal preparation program." The vast majority of participants in the focus groups indicated that including the internship would substantially improve the program. One participant stated, "After we were done with the first three phases of the program, things just kind of stopped. It wasn't until I became a vice principal two years later that I felt I got the chance to put to use the things I had learned."

Several of the participants who became principals indicated an internship experience for the position would have been an excellent foundation for their transition. "Some people see the vice principal as the training ground for a principalship, but you're so busy doing that job that I'm not sure you get to reflect on how to handle the principal's job. Even a brief time interning as a principal would have really been a tremendous professional experience."

Several participants suggested that an internship did not have to be for an extended period of time or even during the school year. The school system being studied runs several major programs during the summer involving thousands of students, and participants thought that these activities would provide excellent internship opportunities. A participant stated, "Giving people who go through the Aspiring Leaders Program the opportunity to run a summer reading program or fill in

while a principal is on vacation during the summer would not require a lot of money or take people out of the classroom. I think the benefits to the system would outweigh the costs."

Many participants also saw the research project component as being valuable to the program, especially if the projects could be tied to graduate level work. "Most graduate programs in administration require some sort of research project. You should be able to do research that can satisfy your graduate program and the Aspiring Leaders Program that will also really benefit a school or school system."

Separate Training for Aspiring Principals from Training for Other Leadership Positions

Many of the individuals from the various focus groups suggested that the program would be strengthened by separating training for future principals from the other educational leadership positions. All focus group participants agreed that the training had a strong principal bias, which presented both positive and negative issues. One program participant stated, "While I learned a great deal about the principal position, I never really wanted to pursue that job. I really want to be an instructional specialist, so while the training was useful, it did not really address my specific needs." Several program participants who had advanced to non-administrative leadership positions agreed with this idea. One individual reflected, "As an instructional specialist, the training has helped me better assist the principal because I know now more about the issues they are dealing with. However, the training would have assisted me in my transition if it was not totally focused on the principalship."

The focus group of program participants who had become principals also agreed with this suggestion. Several indicated that some of the training was not focused on the principalship as it should have been because it tried to address other leadership issues. One current principal stated, "I took this program to prepare to be a

principal. It was great training, but at times it seemed presenters and facilitators felt

bad about all of the attention on this role [the principalship]. They seemed to go out of

the way to give nominal mention to other leadership positions in the school system. I

don't think that really helped individuals for pursuing a vice principal or principal

position, and it took time away from the rest of us." All but two individuals in focus

groups suggested separating training for the different types of leadership positions

people may pursue would enhance the program.

Summary

This chapter presented the findings associated with this study. Qualitative and

quantitative methods were used to address the six research questions raised in Chapter

I. A number of recommendations for practice and further research were drawn from

these findings and are presented in Chapter V. The following chapter also presents

conclusions reached as a result of this study.

CHAPTER V

SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

This chapter consists of six parts: "Introduction," "Summary of the Study," "Findings of the Study," "Conclusions," "Recommendations," and "Suggestions for Further Research." The Introduction frames the issues that led to this study. The Summary includes the purpose of the study, problem statement, research questions, and methodology. Observations made from the analysis of data are found in the Findings section. Based on the findings, reflections about the principal preparation program are cited in the Conclusions. Suggestions for the local school system, state level policy makers, and university faculty involved in principal preparation are included in the Recommendations section. Implications for further research are reflected in the Suggestions for Further Research section.

Introduction

As schools nationwide face serious challenges ranging from random outbursts of violence to budget shortfalls, an increasingly diverse student population, and a growing teacher shortage, educational experts continue to assert the need for strong principal leadership (Lashway, 2003; Marshak, 2003). In response to these and other forces, the role of school principal has become increasingly complex and demanding. An unprecedented era of educational accountability has increased the responsibilities of principals, making their top priority providing leadership for learning. As standards-based reform has continued to increase, heightened by the recent passing of the "No Child Left Behind" legislation, the federal and state governments have placed

responsibility for student achievement directly on individual schools and, consequently, principals.

As time demands and expectations for principals have increased, the supply of qualified candidates for the position has decreased. Based on a survey conducted by Education Research Services (ERS) in 1998, half of the school districts across the country reported shortages of qualified principal candidates to fill vacancies (Tracy & Weaver, 2000, p.2). ERS and the U.S. Department of Labor estimate over 40% of all public school principals will retire or leave the position for other reasons before 2010 (Lovely, 2004, p.1). Many experts suggest "that a scarcity of capable education leaders ranks among the most severe of the problems facing schools nationwide" (Murphy, 2000, p.2).

Faced with an increasing concern over finding a sufficient quantity of qualified principal candidates, many school districts have responded by developing leadership within their own organizations and instituting "grow your own" principal preparation programs. While there appears to be an increasing number of "grow your own" principal preparation programs across the county (ERS, 2000; Tirozzi, 2001), there is limited research about their effectiveness or if they are a possible solution to addressing a shortage of qualified candidates for future principalships.

Summary of the Study

This study is the development of a critical evaluation of one school system's efforts to develop and implement a "grow your own" program to address issues of quality and quantity of principal candidates. The study serves two purposes:

1. To determine the extent to which this system's efforts to design and implement a program that supplements university preparation have succeeded in meeting program goals (product), efficient use of system

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resources (input), and appropriate selection of program activities (process). The context in which this program was developed was also examined.

2. To determine what can be learned from these efforts that might be beneficial to this system as it attempts to improve the program, and what can be learned that might prove useful to other systems coping with the need to address principal shortages.

Chapter IV presented the results of data analysis aimed at answering the following research questions:

1. What forces impacting the principalship combined to influence school authorities in the creation of their principal preparation program?

2. Which program elements were created specifically to address those forces impacting the principals?

3. What resources (financial, facilities, human) were made available in the design and implementation of the principal preparation program?

4. What were the essential sources that led to the elements and structure of the designated program, and to what extent did they reflect current research about effective principal preparation programs and standards of licensure? What was the process for implementing the program and recruiting participants?

5. What perceptions did participants have about the effectiveness of the program and did these perceptions match the goals and expectations of the program design committee? Did program participation increase or decrease participants' interest in advancing to a leadership role?

6. To what extent did participants who have attained leadership positions report that the program has helped prepare them for the responsibilities

of their positions? What areas of the program did participants see as needing improvement?

The research design for this study employed both qualitative and quantitative methodologies and was based on Daniel Stufflebeam's conceptual model for professional evaluation known as CIPP. Data were gathered to address the four components of the CIPP model as defined by the six research questions. The findings from this collection of data were presented under the components of context, input, process, and product. The first two research questions dealt with context, the third question dealt with input, question four dealt with process, while questions five and six dealt with product.

Summary of Findings for the Research Questions

The study revealed a wide array of information about "grow your own" programs, much of which was supportive; however, this researcher found few evaluative reports on these efforts. This raises a concern that these programs may not be receiving the critical analysis that they require.

While this formative evaluation revealed wide support for the "grow your own" program under study, the data collected and analyzed, along with the review of research, provided ample evidence that these programs must be subjected to rigorous evaluation procedures if they are to achieve their intended ends.

Findings Supported by Review of Research

In addition to the numerous findings that this study of one school system's efforts to design and implement a "grow your own" program produced, there were several significant findings from the literature on principal preparation programs. Most revealing of these were:

1.   There is considerable concern among the various factions of the educational community related to the quality of current university preparation programs, the most significant of which is the concern that these programs, though strong in the area of theory and philosophical percepts, fail to adequately address the practical side of principal preparation.

2.   The review of research also contained cautionary comments relative to "grow your own" principal preparation programs. These data indicate that "grow your own" is not synonymous with "go it alone." The research overwhelmingly supports, as did the interviews with key administrators in the school system where the study was conducted, for a blending of university programs and resources with school system efforts and resources to prepare school-based leadership personnel for the challenges of a diverse and demanding society. The importance of education in contemporary society cannot be overstated, and the dependence of present society to have not only a "highly qualified workforce" but equally a fully enlightened citizenry is, or should be, abundantly clear.

Findings Supported by the Research Study

As indicated, a number of significant findings also emerged from the data related to the formative evaluation of one system's efforts to develop a "grow your own" leadership program. Prior to stating these findings, it is important to note that these findings are based on "formative" and not "summative" data. The study did not include any evidence on the "performance" of those individuals who have completed the program and who were promoted to principalships and/or other leadership

positions. The majority of them have been in these positions for two years or less when data for this study was collected, and their performance reviews are, at best, preliminary in nature.

<div align="center">Summary of Quantitative Survey Findings</div>

Overall, the survey findings indicated that the instrument had a high degree of reliability and the respondents viewed the program as being highly effective in preparing them for the principalship as well as other leadership positions. It also revealed few differences among the various groups that participated in the survey. The important statistical findings, all of which were at a statistically significant level, were as follows:

Finding #1: The instrument had a high degree of reliability across the three domains tested and across the three cohorts.

Finding #2: In each of the three domains, a summary question reflecting the entire domain was inserted. An analysis of variance conducted on these summary questions revealed no statistically significant difference among the three cohorts.

Finding #3: A one-way analysis of variance compared the responses of all three cohorts to the design team and revealed no statistically significant differences for Domains 1 and 2. There was a statistically significant difference with Domain 3 favoring the design team.

Finding #4: An independent t-test of all three cohorts compared to the design team further confirmed no statistically significant differences in Domains 1 and 2, but a statistically significant difference at the .01 level for Domain 3.

Finding #5: An independent t-test of the total cohorts' responses vs. the design team's responses to the three summary questions revealed identical results. There

were no statistically significant differences in Domains 1 and 2. There was a statistically significant difference with Domain #3 at the.001 level.

Finding #6: An independent t-test comparing male and female responses revealed no statistically significant differences in Domain 1 and 2. There were statistically significant differences at the.01 level of Domain 3 favoring male respondents.

Finding #7: A one-way analysis of variance for age differences among respondents revealed no statistically significant difference across the three domains.

Finding #8: An independent t-test comparing African American and Caucasian respondents revealed no statistically significant difference across the three domains.

Finding #9: An independent t-test comparing elementary and secondary school respondents across the three domains revealed no statistically significant differences.

Finding #10: An independent t-test comparing applicants and non-applicants for principalships revealed no statistically significant differences for Domains 1 and 2. It did reveal statistically significant differences at the .01 level favoring applicants for principalships for Domain #3.

Finding #11: An independent t-test examining applicants and non-applicants for other leadership positions across the three domains revealed no statistically significant differences for Domains 1 and 2. It did reveal statistically significant differences favoring applicants for Domain 3; however, after applying the Scheffé test, it was judged to be not statistically significant.

Finding #12: A one-way analysis of variance of differences based on respondents' thoughts about applying for future leadership positions in the three domains tested revealed no statistically significant differences.

Summary of the Qualitative Data Findings

A large amount of data was collected from personal interviews, focus group interviews, and the review of records. The findings are as follows:

1. The data indicated that a number of forces combined to prompt system executives to initiate a "grow your own" program—some internal and some external in nature. The data indicated that a primary concern was the lack of qualified candidates to meet existing and projected needs at the principal level. While this concern for quantity and quality of the candidate pool is national in nature, the system executives focused on local, not national, needs. While the need for principal candidates has been acute in this school system [a 71% turn-over rate in eight years], there was a particular need to attract minority candidates to the position. Creating a "grow your own" program was seen as an excellent vehicle to do this.

The data also indicated that program design was largely in response to external forces—the nationwide school accountability movement and the research literature support for the importance of the principal in providing the instructional leadership needed to address these accountability demands.

In addition, system administrators were influenced by a concern that principals be skilled in relating school-based decisions on input from community and business leaders, focusing on the belief that school and communities are one.

2. The important program elements tended to match the concerns that gave rise to the initiation of this training. There was the somewhat obvious need to change the focus of principals from that of "school manager" to "instructional leader." The issue was how best to do that and, at the same time, prepare school leaders who met state and national accreditation standards. A match between system goals and these standards, notably ISLLC licensing standards, was highly correlated. Hence these standards and the state's previous Principal Assessment Center served to guide

the design team's direction. School system leaders and design team members all expressed concern with the perceived theoretical training provided by university preparation of principals. In response to this, there was a great emphasis on making the program "hands-on" and practical in nature.

3.   "Grow your own" programs are not without costs—the resource investment, both human and fiscal, is comparatively high. The program's initial cost for the first three years was over $100,000. One of the benefits that helps to offset "human costs" is the growth benefits derived to those system personnel who contributed to program design and operations. Key school system leaders indicated that serving as presenters and facilitators in the program became excellent professional development for the school system's principals. Whether or not long-term costs will be less than start-up costs is unknown.

4.   While the conceptual base for the program emerged out of concern for the system's need to create a sufficient supply of qualified candidates (system goal), it was also embedded in the research literature on the principalship and the increasing standards for principal certification and licensing.

5.   The process of creating a "grow your own" program took over two years of intense system efforts and required the participation of numerous school stakeholders. The active participation of the school system's principals in the design created a sense of shared vision and ownership in the program, leading to their active participation. The process of designing the program was enhanced by including state and federal consultants as well as visiting other school systems with principal preparation programs.

6.   Program participation seemed to have greatly affected interest in pursuing leadership positions. Fifty-nine percent of the program participants indicated that the program greatly increased their desire to pursue leadership positions. Of the

99 participants from the first three cohorts of the Aspiring Leaders Program, 55 have already advanced to various leadership positions: nine at the principal level and 22 at the vice principal level. Not only did program participants say that the training truly prepared them for future principalships, but also it greatly enhanced their desire to pursue leadership in the designated school system, reflecting one goal of a "grow your own" model.

7.   Program participants, while outwardly enthusiastic relative to program content and delivery, had much to say about ideas for program improvement. Two of the most often expressed needs were for an internship experience that mirrored the responsibilities of building principals and for leadership preparation aimed at individuals who, while not presently interested in pursuing a principalship, were interested in roles in the area of instruction and curriculum development.

8.   Those who had obtained principalships indicated that they felt the program addressed system expectations of the principalship while preparing them in the effective use of system financial and security requirements of the position. On the other hand, they expressed concern that the program needs to provide for additional emphasis on how to blend positional demands with personal and family needs. They reported with praise for the opportunities to interact, often on a one-to-one basis, with system leaders as well as with board members and community leaders. These exchanges, along with interactions with school-based administrators, elevated their "comfort level" in networking with these individuals now that they are principals.

Conclusions

Because a large amount of data was collected for this study, there were a number of significant findings and conclusions. Based on the findings of this study,

the following are conclusions regarding the Aspiring Leadership Program implemented in the system being studied.

Conclusion #1

From the data that were gathered, the school system should continue its "grow your own" program for aspiring leaders. The program was viewed as successful and very effective in addressing its initial purposes, specifically to increase the pool of qualified candidates for leadership positions. Data analyzed from the survey reflected a high degree of satisfaction from all respondents in the training and the preparation greatly increased participants' knowledge and skills in the targeted leadership areas. Program involvement tended to increase participants' understanding, knowledge, and appreciation of the principalship. Program participants who went on to become principals indicated that the program greatly helped them in making the transition to their new positions. Additionally, the program provided a large number of qualified individuals for future leadership opportunities. Of the 99 individuals who have completed the first three cohorts, 55 have advanced in leadership, including nine participants who have become principals and 22 who have become vice principals.

Conclusion #2

"Grow your own" principal programs need to deal with forces unique to individual school systems while also addressing state and national forces impacting the principalship. Program participants indicated one of the most appealing features of this program was the "local flavor" it provided. Participants who had advanced in leadership indicated it not only made them want to stay and pursue leadership in the designated county, but also provided a greater degree of confidence that they were prepared for their new positions. While the focus on local issues was appreciated by program participants, so too was the emphasis on aspects of leadership affected by

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state and national policies and requirements. The clear focus on accountability in the program benefited program participants who advanced in leadership roles, helping them feel ready to meet state mandated testing requirements as well as the provisions of the "No Child Left Behind" legislation.

Conclusion 3

Creation of "grow your own" leadership programs needs system-wide leadership and resources, requiring a shared vision that unites and ignites system action and which sparks broad community support and increased financial support from local and state officials. One of the most commonly reflected ideas from key school system leaders, design team members, and program participants was the clear vision and mission for educational leadership, which was articulated in the designated county. As the program was created, the school system's vision was infused in all aspects of its implementation, indoctrinating aspiring leaders to the standards expected of them while involving local political leaders and outside officials to establish a unity of purpose and mission. This resulted in the system obtaining additional resources to continue providing the training as local officials felt a greater connection and need to support the system's efforts in leadership preparation.

Conclusion 4

Program participants saw the value in separating efforts to prepare future principals from other educational leaders. Because of the inclusive nature of the program, teachers with limited experience were in the same training as experienced vice principals. Numerous individuals indicated that creating a separate strand for aspiring principals would be beneficial to all participants. It was also felt that this would allow for including the internship experience, which was cited as one of the areas of needed program improvement.

Conclusion 5

       "Grow your own" programs are not synonymous with "Go it alone." While the vast majority of design team members, presenters, and resources were from the local school system, experts and consultants were tapped from other school systems, the State Department of Education, the U.S. Department of Education, and local universities. All of these elements combined to provide an extremely satisfying program, according to program participants. Participants not only valued the collaboration with a local university that allowed them to obtain college credit, but also indicated that the school system should further pursue a university partnership more directly related to program improvement and implementation.

<div align="center">Recommendations For Practice</div>

       The research results document several areas for program improvement for the designated school system that could also benefit other systems' planning to implement "grow your own" programs. The following recommendations are offered as a result of the conclusions.

Recommendation #1

       The school system should continue to provide training for future educational leaders, but provide a separate program for aspiring principals.

Brief Rationale

       One of the main reasons for creating the Aspiring Leaders Program was to increase the quantity and quality of future candidates for the principalship. The fact that nine principals and 22 vice principals have already come from the first three cohorts seems to indicate that the program represents a good investment in leadership development. As was recommended by many of the program participants, separating the training with one focus on aspiring principals and a second on leadership at all

levels would enhance the program. An unexpected benefit of the program has been

the number of individuals who have advanced to other leadership positions (24), to

include instructional specialists, administrative assistants, and Central Office

positions. While these individuals indicated that training was still beneficial for them,

they noted the clear focus and bias towards the principalship, and felt separating the

training would allow for a greater differentiation of preparation for the variety of

future leaders for the school system.

Recommendation #2

The school system should implement the internship and action research

components of the Aspiring Leaders Program.

Brief Rationale

Failure to fully implement the internship and action research components that

were part of the system's proposed leadership model were consistently noted areas of

improvement. Many experts in leadership preparation cite a strong internship as a

vital component of preparing individuals for the principalship (Lauder, 2000;

Marshak, 2003; Newsom, 2001). The internship would afford program participants

the opportunity to work in conjunction with an experienced principal and receive

critical feedback on issues that individuals may not be facing as vice principals. The

action research component would assist program participants in the data analysis and

instructional leadership aspects of the principalship. It would also increase the value

of research results in general to guide the leadership decision-making processes.

Recommendation #3

As "grow your own" programs are designed and implemented, an evaluation

component should be built into the design to ensure an organized collection of data

and research, allowing system leaders the opportunity to monitor progress and enhance program improvement.

Brief Rationale

The school system studied operated its Aspiring Leaders Program for three years, spending over $100,000 in its design and implementation without a format for evaluation of its effectiveness. Because the program went from design to implementation rather quickly, data collection and record keeping were diffused throughout the organization. Not only did this lead to key records and data not being shared, but it also created a situation where program evaluation was not assigned to a specific person or division. The lack of an evaluative component in principal preparation programs is not an uncommon occurrence as only two of the 17 programs in the state in which the study took place could articulate any type of evaluation procedure in their training. Research on "grow your own programs" substantiates this concern. Incorporating an evaluation component will allow system leaders to ensure the training provided is meeting system goals while also allowing them to target needed areas of improvement.

Recommendation #4

School system leaders and local university officials need to proactively engage in a partnership to blend the best opportunity for preparation of future educational leaders.

Brief Rationale

While the school system being studied did form a collaborative relationship with a local university, it was for the primary purpose of allowing participants to obtain graduate level credits. When key school system leaders first met with

representatives from the university, there was no dialogue about collaborating or blending materials or curriculum taught in university classes and the system's program. The relationship was symbiotic; the university received students and the school system was able to provide credits as an incentive for participation.

Current research about "grow your own" principal preparation programs indicates that they are most effective when they are in collaboration with university preparation. Key school system leaders and program participants all indicated forging a strong partnership with the local university would greatly benefit the experience individuals received from the training. Aligning courses and curriculum taught at the university with key aspects of the system's program would not be difficult and would provide a richer experience for participants.

Recommendation #5

School system leaders should expand partnerships with other systems and State Department of Education to pool resources and provide the most current training to ensure an adequate supply of future principal candidates.

Brief Rationale

While ensuring the training had a "local flavor" was cited as one of its strongest features, the preparation program was benefited by seeking the assistance of the State Department of Education as well as other school systems that had already implemented such programs. The Southern Regional Education Board has cited several examples of regional principal preparation programs that allowed for a blending of resources while still retaining the unique aspects of each system (SREB, 2001, 3). The school system being studied benefited greatly from the expertise provided from consultants from the federal and State Departments of Education and from nationally based professional associations, such as NASSP and NAESP.

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Recommendation #6

The school system should consider a needs assessment to determine if the goal of promoting more minority candidates to leadership positions is being met.

Brief Rationale

One of the major forces that led to the formulation of a leadership program in the school system was a desire to increase the number of minorities in administrative positions, particularly at the principal level. As the program enters into its fourth year, the results are mixed. Data show that four of the nine participants who have become principals were minorities (44%). Certainly this would appear to be encouraging to school system leaders. However, of the 55 individuals who have advanced in leadership after participating in the program, only 10 were minorities (18%). Of the 22 program participants who have been promoted to vice principalships, only 2 were minorities. Having such a limited number of candidates who are minorities advance to the vice principalship does not bode well for diversifying the principal ranks in the future. The design committee needs to work with key school system leaders to see if changes or modifications need to be made in the leadership program and other aspects of the system's organization to encourage and promote a greater number of minority candidates into leadership positions.

Recommendations for Further Research

Recommendation #1

Examine the forces that have lead to an increase in "grow your own" principal preparation programs across the state being studied and the nation.

While this study identified the major forces, which led one school system to design and implement a "grow your own" principal preparation program, the findings are unique to this system and not generalizable to other school districts. Current research indicates that such programs are increasing rapidly across this country, but little research has been conducted to identify common reasons or national implications.

Recommendation #2

Explore how data can be collected in school systems that have developed "grow your own" programs to indicate their overall level of effectiveness and areas for improvement.

Brief Rationale

Of the 17 "grow your own" programs developed in the state in which the study took place, only two had any type of formal evaluative component. This is a trend also reflected in the literature review. If school systems are going to expend significant human and fiscal resources on the development and implementation of "grow your own" programs, then there should be methods employed before, during, and after such training to assess if system goals are being met. While Stufflebeam's CIPP model worked well in evaluating this school's program, alternative approaches may need to be employed in other school districts. Further research is needed to develop effective and efficient evaluation models. As noted earlier, the CIPP model is very complex and may involve more costs than most systems will desire or be able to invest.

Initiate a series of studies to assess the effectiveness of university principal preparation programs to explore the perception that they are "out of touch" with the reality of today's schools.

Brief Rationale

A consistent finding in the literature review and research conducted for this study indicated a common perception that university programs for principal preparation are ineffective and need to be overhauled. However, there seems to be little research to support this notion. In one such study, Louis Williams (2001) stated, "After a review of literature revealed the inescapable conclusion … there is not much research" evaluating the effectiveness of university leadership programs (Williams, as cited in Lashway, 2003, p.3). If research does indicate major deficiencies in university preparation programs, school systems can tailor "grow your own" programs for principals accordingly and universities can better address program revisions so as to provide improved preparation programs for future educational leaders. While these improvements would be very beneficial, they would not negate the need for collaborative program efforts; in fact, they may tend to intensify collaborative efforts.

Personal Reflection on This Study

The researcher's interest in this topic stems from his work as a secondary principal and participation on several state and national committees on principal preparation. This study not only afforded opportunity to examine the most current research about the development of aspiring principals, but also focused on the efforts of one school system to design and implement a "grow your own" program. As public education continues to face challenges, ensuring a sufficient supply of qualified principal candidates will be one of the most significant. School systems will need to take a greater role in the identification and preparation of future administrative

candidates. With increased expectations on student performance and accountability, future principals will need a blending of proven theoretical and pedagogical training, along with practical, hands-on leadership experiences that "grow your own" programs and universities can provide together.

Appendix A

The Survey

The purpose of this survey is to evaluate the effectiveness of the Charles County Aspiring Leaders Program in helping aspiring school leaders develop the knowledge and skills necessary for them to be successful. The survey contains three sets of statements that describe elements of knowledge and skills associated with effective school leadership. The first set of statements focuses on the domain of organizational development. The second set of statements focuses on the domain of organizational environment, and the third set of statements focuses on the domain of the educational program.

After reviewing each statement, please indicate the extent to which your participation in the Aspiring Leaders Program contributed to your knowledge and skills in each of the areas by clicking on the appropriate box. If you served as a member of the Aspiring Leaders Program design team, please indicate your assessment of the effectiveness of the program in each of the areas included in the various statements. At the end of the survey, you are invited to provide some information about your background and experience.

To proceed to additional statements, click on "Next Page" at the bottom of each screen. To review your responses to previous statements, click on "Previous Page" at the bottom of each screen.

When you have completed the survey, click on "Submit Survey."

Thank you very much for taking the time to complete the survey.

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Evaluation of the Charles County Aspiring Leaders Program

SECTION I. ORGANIZATIONAL DEVELOPMENT: VISION AND ACCOUNTABLE LEADERSHIP

Please indicate the extent to which your participation in the Aspiring Leaders Program contributed to your knowledge and skills in each of the areas of school leadership included in the following statements:

	To a great extent	To some extent	To a limited extent	Not at all	Don't know
1. The principal helps the faculty to develop an understanding of, and support for, the beliefs and attitudes that form the basis of its educational value system.	○	○	○	○	○
2. The principal provides opportunities for identifying and reaching consensus on educational goals.	○	○	○	○	○
3. The principal sets high, professional expectations and standards for the faculty and school.	○	○	○	○	○
4. The principal helps the faculty develop high professional expectations and standards for themselves and the school.	○	○	○	○	○
5. The principal envisions future goals and directions for the school.	○	○	○	○	○
6. The principal encourages changes in school programs that lead to a better school for the students.	○	○	○	○	○
7. The principal communicates to the faculty ways in which school programs can grow.	○	○	○	○	○
8. The principal involves the community and community agencies in the planning process	○	○	○	○	○

9. The principal uses outside resources to assist in school improvement.

         ○   ○   ○   ○   ○

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SECTION I. ORGANIZATIONAL DEVELOPMENT: VISION AND ACCOUNTABLE LEADERSHIP (continued)

Please indicate the extent to which your participation in the Aspiring Leaders Program contributed to your knowledge and skills in each of the areas of school leadership included in the following statements:

	To a great extent	To some extent	To a limited extent	Not at all	Don't know
10. The principal gathers information and feedback from individuals and community agencies.	○	○	○	○	○
11. The principal provides for the dissemination of information to individuals and community agencies.	○	○	○	○	○
12. The principal supports and operates within the policies of the district.	○	○	○	○	○
13. The principal maintains good rapport and working relationships with other administrators of the district.	○	○	○	○	○
14. The principal invests time with the district office and community agencies to obtain their support and resources.	○	○	○	○	○
15. The principal strives to achieve autonomy for the school.	○	○	○	○	○
16. The principal develops and implements school practices and policies that synthesize educational mandates and theories.	○	○	○	○	○
17. The principal analyzes the political aspects of education					

and effectively interacts with
local, state, and national
communities.

18. The principal informs the
staff of new developments and
ideas in education.

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SECTION I. ORGANIZATIONAL DEVELOPMENT: VISION AND ACCOUNTABLE LEADERSHIP (continued)

Please indicate the extent to which your participation in the Aspiring Leaders Program contributed to your knowledge and skills in each of the areas of school leadership included in the following statements:

	To a great extent	To some extent	To a limited extent	Not at all	Don't know
19. The principal supports and participates in the identification of needed change rather than directing change.	○	○	○	○	○
20. The principal supports and participates in the evaluation of change rather than directing change.	○	○	○	○	○
21. The principal anticipates the effects of school-wide decisions.	○	○	○	○	○
22. The principal fairly and effectively evaluates school personnel.	○	○	○	○	○
23. The principal involves the faculty in the decision-making process.	○	○	○	○	○
24. The principal sees the value of discussing school-related problems with the faculty and seeking their opinions about the problem.	○	○	○	○	○
25. The principal uses a systematic process the faculty knows and understands to implement change.	○	○	○	○	○
26. The principal has the patience to wait to resolve a problem if the best solution to that problem is not readily	○	○	○	○	○

evident.

27. Thinking about your knowledge and skills in the domain of "Organizational Development: Vision and Accountable Leadership" (Questions 1 – 26) prior to your participation in the Aspiring Leaders Program, to what extent do you feel your knowledge and skills in this domain have improved as a result of participating in the Aspiring Leaders Program?

      ⌒ To a great extent
      ⌒ To some extent
      ⌒ To a limited
      ⌒ Not at all
      ⌒ Don't know

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SECTION II. ORGANIZATIONAL ENVIRONMENT: HUMAN RESOURCES AND COMMUNITY INVOLVEMENT

Please indicate the extent to which your participation in the Aspiring Leaders Program contributed to your knowledge and skills in each of the areas of school leadership included in the following statements:

	To a great extent	To some extent	To a limited extent	Not at all	Don't know
28. The principal is willing to admit to making incorrect decisions and corrects them, if feasible.	○	○	○	○	○
29. The principal perceives teacher needs.	○	○	○	○	○
30. The principal sees the value of giving the faculty the support they need to be effective.	○	○	○	○	○
31. The principal diagnoses the causes of conflict and successfully mediates or arbitrates conflict situations.	○	○	○	○	○
32. The principal creates an environment where the faculty feel at ease in his/her presence.	○	○	○	○	○
33. The principal compliments the faculty in a sincere and honest manner.	○	○	○	○	○
34. The principal is receptive to suggestions.	○	○	○	○	○
35. The principal is accessible when needed.	○	○	○	○	○
36. The principal takes the time to listen.	○	○	○	○	○

164

Previous Page   Next Page   ▉ 29%

This online survey is powered by WebSurveyor.

SECTION II. ORGANIZATIONAL ENVIRONMENT: HUMAN RESOURCES AND COMMUNITY INVOLVEMENT (continued)

Please indicate the extent to which your participation in the Aspiring Leaders Program contributed to your knowledge and skills in each of the areas of school leadership included in the following statements:

	To a great extent	To some extent	To a limited extent	Not at all	Don't know
37. The principal creates an environment where the faculty feel free to share school-related ideas and concerns with him/her.	○	○	○	○	○
38. When the faculty discuss a problem with the principal, the principal understands and appreciates the faculty's views on the problem.	○	○	○	○	○
39. The principal fosters relationships where the faculty feel he/she is sincerely interested in what they are saying.	○	○	○	○	○
40. Through effective management of the day-to-day operations of the school, the principal promotes a feeling of confidence in the school among staff, parents, and community.	○	○	○	○	○
41. The principal finds the time to interact with students.	○	○	○	○	○
42. The principal fosters an environment where students feel free to initiate communication with him/her.	○	○	○	○	○
43. Students view the principal as a leader of school spirit.	○	○	○	○	○
44. The principal encourages student leadership.	○	○	○	○	○

45. The principal helps develop
student responsibility.   C   C   C   C   C

Previous Page   Next Page   33%

This online survey is powered by WebSurveyor.

SECTION II. ORGANIZATIONAL ENVIRONMENT: HUMAN RESOURCES AND COMMUNITY INVOLVEMENT (continued)

Please indicate the extent to which your participation in the Aspiring Leaders Program contributed to your knowledge and skills in each of the areas of school leadership included in the following statements:

	To a great extent	To some extent	To a limited extent	Not at all	Don't know
46. The principal is highly visible to the student body.	⊙	⊙	⊙	⊙	⊙
47. The principal positively reinforces students.	⊙	⊙	⊙	⊙	⊙
48. The principal enjoys working with students.	⊙	⊙	⊙	⊙	⊙
49. The principal keeps the faculty informed about important issues.	⊙	⊙	⊙	⊙	⊙
50. The principal provides the faculty with clear and easily understood information about school operations.	⊙	⊙	⊙	⊙	⊙
51. When the faculty are informed of administrative decisions, they are aware of what the principal expects of them as it relates to the decision.	⊙	⊙	⊙	⊙	⊙
52. The principal is able to effectively organize activities and tasks.	⊙	⊙	⊙	⊙	⊙
53. The principal develops appropriate rules and procedures.	⊙	⊙	⊙	⊙	⊙
54. The principal uses systematic procedures for staff appraisal, such as retention, dismissal, and promotion procedures.	⊙	⊙	⊙	⊙	⊙

Previous Page   Next Page   ████████ 38%

This online survey is powered by WebSurveyor.

SECTION II. ORGANIZATIONAL ENVIRONMENT: HUMAN RESOURCES AND COMMUNITY
INVOLVEMENT (continued)

**Please indicate the extent to which your participation in the Aspiring Leaders
Program contributed to your knowledge and skills in each of the areas of school
leadership included in the following statements:**

	To a great extent	To some extent	To a limited extent	Not at all	Don't know
55. The principal establishes the overall tone for discipline in the school.	○	○	○	○	○
56. The principal establishes a process to make students aware of school rules and policies.	○	○	○	○	○
57. The principal explains the reasons for his/her administrative practices to the faculty.	○	○	○	○	○
58. The principal works with other leaders of the school to implement a team approach to managing the school.	○	○	○	○	○
59. The principal encourages the faculty to be sensitive to the needs and values of other faculty in the school.	○	○	○	○	○
60. The principal helps the faculty clarify or explain their thoughts by discussing those thoughts with them.	○	○	○	○	○
61. During meetings, the principal involves persons in the discussion who might otherwise not participate.	○	○	○	○	○
62. The principal shares personal feelings and opinions about school issues with the	○	○	○	○	○

faculty.

63. The principal helps the
faculty develop a sense of pride
and loyalty by showing his   ○   ○   ○   ○   ○
personal thoughts about the
school.

**64. Thinking about your knowledge and skills in the domain of "Organizational
Environment: Human Resources and Community Relations" (Questions 28 – 63)
prior to your participation in the Aspiring Leaders Program, to what extent do
you feel your knowledge and skills in this domain have improved as a result of
participating in the Aspiring Leaders Program?**

   ○ To a great extent
   ○ To some extent
   ○ To a limited
   ○ Not at all
   ○ Don't know

[Previous Page]   [Next Page]   ■■■■■ 43%

This online survey is powered by WebSurveyor.

SECTION III. EDUCATIONAL PROGRAM: INSTRUCTIONAL LEADERSHIP

Please indicate the extent to which your participation in the Aspiring Leaders Program contributed to your knowledge and skills in each of the areas of school leadership included in the following statements:

	To a great extent	To some extent	To a limited extent	Not at all	Don't know
65. The principal is about the general goals and objectives of curricular areas.	○	○	○	○	○
66. The principal is about the varied instructional strategies the faculty might appropriately use.	○	○	○	○	○
67. The principal possesses instructional observation skills that provide the basis for accurate assessment of the teaching process in the classroom.	○	○	○	○	○
68. The principal actively and regularly participates in the observations and assessment of classroom instruction, including teaching strategies and student learning.	○	○	○	○	○
69. The principal uses effective techniques for helping ineffective the faculty.	○	○	○	○	○
70. The principal maintains an awareness and knowledge of recent research about the learning process.	○	○	○	○	○
71. When criticizing poor practices, the principal provides suggestions for improvement.	○	○	○	○	○
72. The principal is committed to instructional improvement.	○	○	○	○	○

73. The principal promotes the
development of educational goals
and objectives that reflect societal
needs and trends.

      C   C   C   C   C

[Previous Page]   [Next Page]   █████ 48%

This online survey is powered by WebSurveyor.

SECTION III. EDUCATIONAL PROGRAM: INSTRUCTIONAL LEADERSHIP (continued)

Please indicate the extent to which your participation in the Aspiring Leaders Program contributed to your knowledge and skills in each of the areas of school leadership included in the following statements:

	To a great extent	To some extent	To a limited extent	Not at all	Don't know
74. The principal promotes diagnosing student learning needs and applying appropriate instruction to meet those needs.	C	C	C	C	C
75. The principal administers a school-wide curricular program based upon identification of content goals and objectives and the monitoring of student achievement toward those goals and objectives.	C	C	C	C	C
76. The principal participates in instructional improvement activities, such as program and curriculum planning and monitoring of student learning outcomes.	C	C	C	C	C
77. The principal uses objective data, such as test scores, to make changes in curriculum and staffing.	C	C	C	C	C
78. The principal has a systematic process for program review and change.	C	C	C	C	C
79. The principal encourages articulation of the curricular program.	C	C	C	C	C

80. Thinking about your knowledge and skills in this domain of "Educational Program: Instructional Leadership" (Questions 65 – 79), to what extent do you feel your knowledge and skills in this domain have improved as a result of

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participating in the Aspiring Leader Program?

       ◯ To a great extent
       ◯ To some extent
       ◯ To a limited
       ◯ Not at all
       ◯ Don't know

| Previous Page | Next Page | ████ 52% |

This online survey is powered by WebSurveyor.

SECTION IV. DEMOGRAPHICS

Your position at the time of program participation (please check all that apply):

- ☐ Teacher
- ☐ Resource Teacher
- ☐ Athletic Director
- ☐ Media Specialist
- ☐ Guidance Counselor
- ☐ Principal
- ☐ Vice Principal
- ☐ Other (please

If you selected other, please specify:

Your current position (please check all that apply):

- ☐ Teacher
- ☐ Resource Teacher
- ☐ Athletic Director
- ☐ Media Specialist
- ☐ Guidance Counselor
- ☐ Principal
- ☐ Vice Principal
- ☐ Other (please

If you selected other, please specify:

Your gender:

- ○ Male
- ○ Female

Your age:

- ○ 35 or under

     ◯ 36-45
     ◯ 46-55
     ◯ 56 or over

Race/ethnic classification (check one):

     ◯ African American
     ◯ Asian
     ◯ Caucasian
     ◯ Hispanic
     ◯ Native American
     ◯ Other (please

If you selected other, please specify:

In which level of education do you currently work?

     ☐ Elementary
     ☐ Middle School
     ☐ High School

Are you currently applying or will you be applying for a principal position in the near future (within five years)?

     ◯ Yes
     ◯ No

Will you be applying for another type of instructional leadership position in the near future (within five years)?

     ◯ Yes
     ◯ No

How did participation in the program affect your thoughts about applying for future leadership positions?

     ◯ More likely to
     ◯ Less likely to apply
     ◯ Unchanged

What motivated you to pursue the Charles County Leadership Program?

     ☐ Encouragement from a mentor
     ☐ Enhance job opportunities as a principal

☐ Required for building or district level position other than 7-12
☐ Broaden knowledge base
☐ Broaden range of influence
☐ Opportunity to use leadership skills
☐ Prestige and status
☐ Greater professional freedom
☐ Ability to perform required tasks and functions of principal
☐ Increased responsibility
☐ Effect change on a greater scale
☐ Other (please specify)

If you selected other, please specify:

Thank you for taking the time to complete the survey. Please hit the "Submit Survey" button below.

[Previous Page] | [Submit Survey] | ██████████ 100%

This online survey is powered by WebSurveyor.

Appendix B

ISLLC Standards

INTERSTATE SCHOOL LEADERS LICENSURE CONSORTIUM (ISLLC)

Standards for School Leaders

STANDARD #1

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

A school administrator is an educational leader who promotes the success of all students by **advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.**

STANDARD #3

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

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

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

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.**

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Appendix C

Request to do Research and Interview Protocols

110 Leeds Way
La Plata, MD 20646
August 20, 2004

Dear Mr. Richmond:

I am asking for your permission to request the participation of program participants and designers in the Charles County Public Schools Leadership Institutes over the past three years in a dissertation study I am conducting. I am a doctoral candidate in the Department of Education Policy and Leadership at the University of Maryland. The focus of my research is to examine how a local school system designed and implemented a principal preparation program to address a shortage of qualified principal candidates.

Current literature indicates the nation will face an unprecedented shortage of qualified principal candidates in the next few years. While many systems have responded to this issue by creating principal preparation programs that they design, implement, and control, there is limited research about how effective these programs have been. This study will allow for a greater understanding of how and why a system decides to create such programs to meet system needs in leadership development. The Audit of Principal Preparation Survey, developed by Jerry Valentine and Michael L. Bowman, has been used in numerous studies and will be used for this study. I will follow-up the survey by interviewing program design members and participants.

I am requesting that all ninety-nine (99) participants of the first three cohorts of the Charles County Leadership Institute, as well as key members of the design team and principals who have helped implement this program, be a part of this study. Each participant will receive a copy of the survey and a stamped, addressed envelope for returning the survey. After tabulating results, data for specific groups and individuals will be treated anonymously. Results of the study will be available to those requesting them.

A copy of the survey and its cover letter are enclosed for your review. Your permission to request participation from Charles County Leadership Institute designers and participants would be greatly appreciated. In a few days, I will call you for a response. If you have any questions regarding the study or the survey, please call me at 301-753-1656 (home) or at 301-645-2601 (work).

Sincerely,

Heath E. Morrison

Enclosures

September 8, 2004

Dear Colleague:

I am writing to invite you to participate in a study of the Charles County Aspiring Leaders Program. The study, which is being conducted as part of my doctoral program, will examine the effectiveness of the Aspiring Leaders Program. Study findings will inform ongoing efforts to strengthen the program to ensure that it meets the needs of the Charles County Public Schools for highly-skilled leaders in every school in the district.

You have been chosen to be part of this study because of your involvement and participation in the Charles County Leadership Institute over its four year development. You will be asked to respond to a survey based on an instrument developed by Jerry W. Valentine and Michael L. Bowman. Data collection for the study includes an online survey of all participants in the first three annual cycles of the Aspiring Leaders Program. The survey asks you to rate the contributions of the program to the development of your knowledge and skills in areas related to effective school leadership. The survey also asks about your background and experience. Participation in the survey should take approximately twenty minutes. While some individuals participated in the program several years ago, all respondents will provide valuable information for this study to improve the program in Charles County.

The study design and instruments have been reviewed and approved by the Charles County Public Schools Department of Research and Assessment. Additionally, Mr. Richmond, the Superintendent, and Mr. Cunningham, the Associate Superintendent, have endorsed the survey and value this research as a way to improve the program.

Your responses are confidential. All survey data will be maintained in secure files and will be accessible only to me and members of the dissertation committee. Reports and other communications related to the study will not identify respondents by name, nor will they identify any schools. Study results will be available in a summary report, which will be transmitted to the Charles County Public Schools.

If you are willing to complete the survey, please click on the following link   and follow directions which appear at the beginning of the survey.

If you have any questions or concerns about this study, you may contact me by calling 301-645-2601 or you may send me an e-mail at hmorrison@ccboe.com . You may also contact Dr. Carol Parham, chairperson of my committee, by directly calling the university at 410-405-3590.

Thank you very much for your participation.

Heath E. Morrison

110 Leeds Way
La Plata MD 20646
September 1, 2004

Dear Participant:

As a doctoral student at University of Maryland, I am currently involved in the dissertation segment of my program. I have designed a quantitative and qualitative research study. The purpose of my study is to examine how a school system designs and implements a principal preparation program to address issues of a qualified principal candidate shortage. The means of collecting data will be interviews that will be audiotaped and a survey.

You have been chosen to be a part of this study because of your participation in the Charles County Leadership Institute.

All responses will be kept confidential, and the participants will not be identified by name. Participants will be referenced according to their positions. Only the members of my dissertation committee and I will have access to the records of information obtained directly from the interviews and survey. The benefit of participating in this study will be to help in the development of research in the area of principal preparation programs and to help in the continued improvement of the system's leadership development efforts.

If you have any questions or concerns about this study, you may contact me by calling 301-645-2601 or you may send me an e-mail at hmorrison@ccboe.com . You may also contact Dr. Carol Parham, chairperson of my committee, by directly calling the university at 410-405-3590.

The results of the study will be provided in the form of an executive summary and made available to the institution and the participants upon request.

Signing below signifies that you will allow this researcher to complete the study at your institution.

Thank you for your consideration in this matter.

Sincerely,

Heath E. Morrison

_____
Signature and Position at Institution   Date

_____
Name and Address of Institution

110 Leeds Way
La Plata MD 20646
September 1, 2004

Dear Participant:

As a doctoral student at University of Maryland, I am currently involved in the dissertation segment of my program. I have designed a quantitative and qualitative research study. The purpose of my study is to examine how a school system designs and implements a principal preparation program to address issues of a qualified principal candidate shortage.

You have been chosen to be a part of this study because of your involvement and participation in the Charles County Leadership Institute over its four year development. You will be asked to respond to a survey instrument developed from Jerry W. Valentine and Michael L. Bowman's "Audit of Principal Effectiveness." This survey appears as a link on this cover letter. To respond, simply click on the link. Participation in the survey should take approximately twenty minutes. While some individuals participated in the program several years ago, all respondents will provide valuable information for this study to improve the program in Charles County.

All responses will be kept confidential, and the participants will not be identified by name. Participants will be referenced according to their positions. Only the members of my dissertation committee and I will have access to the records of information obtained directly from the interviews and survey. The benefit of participating in this study will be to help in the development of research in the area of principal preparation programs and to help in the continued improvement of the system's leadership development efforts. Mr. Richmond and Mr. Cunningham have endorsed this survey and value this research as a way to improve the program.

If you have any questions or concerns about this study, you may contact me by calling 301-645-2601 or you may send me an e-mail at hmorrison@ccboe.com . You may also contact Dr. Carol Parham, chairperson of my committee, by directly calling the university at 410-405-3590.

The results of the study will be provided in the form of an executive summary and made available to the institution and the participants upon request.

Signing below signifies that you will allow this researcher to complete the study at your institution. Thank you for your consideration in this matter.

Sincerely,

Heath E. Morrison

_____
Signature and Position at Institution   Date

_____
Name and Address of Institution

INFORMED CONSENT FORM
Survey

I, _____, hereby consent to my participation in the following doctoral dissertation research project:

A Critical Evaluation of a School System's Efforts to Develop and
Implement a "Grow Your Own" Principal Preparation Program
Heath Morrison, Researcher
Department of Educational Leadership Policy
University of Maryland, College Park

The purpose of the research is to evaluate one school system's efforts to develop and implement a program that will provide a continuing supply of highly qualified principals to fill anticipated needs. The research will require participants to complete an electronic survey "Evaluation of the Charles County Aspiring Leaders Program," modified from a survey originally designed by Jerry W. Valentine and Michael L. Bowman. It contains eighty (80) items, uses a five-point Likert scale, and will take approximately 20 minutes to complete. This survey also includes a section with demographic questions. The following is a representative question appearing on the survey.

	Don't know		To a great extent	To some extent	To a limited extent	Not at all

EXAMPLE: Please indicate the extent to which your participation in the Charles County Aspiring Leaders Program contributed to your knowledge and skills in each of the following areas:

	Don't know		To a great extent	To some extent	To a limited extent	Not at all
The principal encourages changes in school programs that lead to a better school for the students						

Anonymity, except to the researcher, will be protected by a coding system. Subjects may decline to answer any of the questions and will not be penalized in any way.

Participants will be asked to describe and reflect on their experiences through design or participation in the Charles County Aspiring Leaders Program. It is not anticipated that participation in this research will cause harm or professional risk to the participants. Participation in the project involves minimal risks or involves risk that is

equivalent to the level of risk associated with ordinary daily living. Anonymity and confidentiality will be honored and protected throughout the research and reporting procedures. All data will be secured in Heath Morrison's office at Thomas Stone High School and access will be restricted to the researcher and the dissertation committee. All data will be destroyed one year following the completion of this dissertation.

It is hoped that the information and insights provided with this study will help school system personnel make improvements to the Aspiring Leaders Program. It is also hoped that the information will help contribute to the expanding literature on principal preparation programs.

Questions about this study should be directed to Heath Morrison, Researcher, at 301-645-2601 or (e-mail) hmorrison@ccboe.com. If you have questions about your rights as a research subject or wish to report a research-related injury, please contact: Institutional Review Board Office, University of Maryland, College Park, Maryland, 20742; (e-mail) irb@deans.umd.edu: (telephone) 301-405-4212.

_____

My signature below indicates that I have read the above and that I agree to participate in this research study.

I understand that participation is voluntary, and that remuneration will not be provided. I also understand that I am free to withdraw consent and to discontinue participation in the project at any time, without prejudice.

_____
    _____
Signature   Date

_____
    _____
Print Name   Telephone

_____
_
Address

_____
E-mail Address

September 7, 2004

Dear Colleague:

      In the next day or so, you will receive an e-mail from me inviting you to participate in a survey. This survey asks you to reflect on your participation in the Charles County Aspiring Leaders Program. While I realize some people receiving the survey participated in the program several years ago or only did the summer program, all responses will be extremely valuable in this research.

      While the primary reason for this survey is for my dissertation research project, it will also be extremely valuable in helping assess the leadership program in Charles County and contribute to making the program stronger. Mr. Richmond and Mr. Cunningham both support this research.

      The University of Maryland requires all people involved in a study to sign an "Informed Consent Form," which I am enclosing with this letter. Please take a few moments to review this form and then return it to me at Thomas Stone High School via the school system pony.

      Again, I hope you will agree to participate in this survey. You should receive it in your e-mail in the next day or two, and it will take between fifteen and twenty minutes to complete. Over the first three years of the program, there were approximately 100 participants, so each voice is critical to providing assessment of this program. Please contact me with any questions you may have. I very much appreciate your support in this endeavor.

Sincerely,

Heath Morrison

Thomas Stone High School
3785 Leonardtown Road
Waldorf, MD 20601
301-645-2601
hmorrison@ccboe.com

enc.

INFORMED CONSENT FORM
Focus Groups

I, _____, hereby consent to my participation
in the following doctoral dissertation research project:

A Critical Evaluation of a School System's Efforts to Develop and
Implement a "Grow Your Own" Principal Preparation Program
Heath Morrison, Researcher
Department of Educational Leadership Policy
University of Maryland, College Park

The purpose of the research is to evaluate one school system's efforts to develop and
implement a program that will provide a continuing supply of highly qualified principals
to fill anticipated needs. The research will require program participants, participants who
have become principals, and members of the design committee to participate in focus
group interviews of approximately one (1) hour in length. These interviews will be
scheduled at a time and location convenient to the participants. Interviews will be tape-
recorded, and transcripts will be professionally transcribed. The interviews will be
conducted by Dr. James Dudley, Professor Emeritus at University of Maryland.
Examples of the questions asked during the focus group interviews are listed below:

EXAMPLE:

1. What perceptions about the principalship did participants have before completing
   the program?

2. What perceptions about the principalship did participants have after completing
   the program?

Subjects may decline to answer any of the questions and will not be penalized in any
way.

Participants will be asked to describe and reflect on their experiences through design or
participation in the Aspiring Leadership Program. It is not anticipated that participation
in this research will cause harm or professional risk to the participants. Participation in
the project involves minimal risks or involves risk that is equivalent to the level of risk
associated with ordinary daily living. Confidentiality will be honored and protected
throughout the research and reporting procedures. All data will be secured at Heath
Morrison's office at Thomas Stone High School, and access will be restricted to the
researcher and the dissertation committee. All data will be destroyed one year after the
completion of this dissertation.

It is hoped that the information and insights provided with this study will help school system personnel make improvements to the Aspiring Principals Program. It is also hoped that the information will help contribute to the expanding literature on principal preparation programs.

Questions about this study should be directed to Heath Morrison, Researcher, at 301-645-2601 or (e-mail) hmorrison@ccboe.com. If you have questions about your rights as a research subject or wish to report a research-related injury, please contact: Institutional Review Board Office, University of Maryland, College Park, Maryland, 20742; (e-mail) irb@deans.umd.edu; (telephone) 301-405-4212.

My signature below indicates that I have read the above and that I agree to participate in this research study.

I understand that participation is voluntary, and that remuneration will not be provided. I also understand that I am free to withdraw consent and to discontinue participation in the project at any time, without prejudice.

_____   _____
Signature   Date

_____   _____
Print Name   Telephone

_____
Address

_____
E-mail Address

UNIVERSITY OF MARYLAND, COLLEGE PARK
HUMAN SUBJECTS REVIEW COMMITTEE APPLICATION FORM
Addendum

1. *Abstract:*

The research focus of this study is the development of a critical evaluation of one school system's efforts to develop and implement a "grow your own" program that will provide a continuing supply of highly qualified principals to fill anticipated needs. The study serves two purposes:

> 1. To determine the extent to which this system's efforts to design and implement a program that supplements university preparation havesucceeded in meeting program goals (product), efficient use of system resources (input), and appropriate selection of program activities (process)?
>
> 2. To determine what lessons can be learned from these efforts that might be beneficial to this system as it attempts to improve the program, and what can be learned that might prove useful to other systems coping with the need to address principal shortages?

Research activities will include a survey of program participants and focus group interviews with select participants as well as members of the program design team. The survey poses no potential for harm, and subjects will be notified of their right not to respond. Respondents will be provided full anonymity, and confidentiality of all data will be provided. Interviews will be conducted by the project faculty advisor, and interviewees will be provided an opportunity to review what was recorded to ensure it was properly transcribed.

2. *Subject Selection:*

  a. The subjects for the survey instrument will be the seventy-eight program participants from the first three cohorts of the principal preparation program being studied. These seventy-eight individuals include vice principals, administrative assistants, and teachers. It is expected almost all participants will be willing to participate in this study as it will provide data for program improvement in the school system being studied. The subjects who will participate in focus group interviews will be members of the program design committee (approximately five individuals), program participants (approximately five individuals), and program participants who have attained principalships (approximately four individuals). It is expected they will be willing to participate to assist in program improvement.

  b. Subjects will be selected because of their participation in the principal preparation program or their assistance in designing the program.

  c. Because this study is a formative evaluation of one school system's principal preparation program, only subjects who helped create it or have participated in it will be able to accurately determine its effectiveness.

3. *Procedures:*

The seventy-eight program participants will be asked to complete a survey developed in 1986 by Jerry W. Valentine and Michael L. Bowman. A copy of this proposed instrument will be attached to the application. The instrument, Audit of Principal Effectiveness, contains eighty

questions and uses a Likert-type scale ranging from 1 to 9. I am working with Policy Studies Associates in Washington, DC to provide subjects the opportunity to respond to the survey on-line. This should not only require less time and increased response rate, but also assist in ensuring confidentiality of all participants. An initial request for participation will be sent to all subjects. Subjects will then be asked to sign the Informed Consent Form, agreeing to participate in the survey. Next, the survey will be e-mailed to all participants who agree to be part of the study. They can be e-mailed back to an individual at the Charles County Public Schools Board of Education.

There will be focus group interviews with members of the program design team, select program participants, and program participants who have attained principalships. A letter requesting their participation in this study and the Informed Consent Form will be sent to these individuals. Focus group interviews will be arranged at a time and locations convenient to participants and conducted by Dr. James Dudley, Project Faculty Advisor. Proposed questions are attached to this application.

4. *Risks and Benefits:*
There are no risks to subjects in this study.

5. *Confidentiality:*
To protect the anonymity of the respondents, questionnaires will be e-mailed along with an electronic tracking card. A log will be kept of the individuals to whom the questionnaires are e-mailed and addresses and mailing dates will be noted. A follow-up e-mail and questionnaire will be sent to potential respondents when a reply is not received. The e-mail containing the survey will be sent by Kathy Perriello, an Instructional Specialist for Charles County Public Schools, and returned to her. Data will be sent to a protected file using a program called WebSurveyer. Once surveys have been collected and analyzed, the file will be destroyed.

Dr. Dudley will audio record all focus group interviews. These recordings will be transcribed and sent to participants to review for accuracy. Once all research is done for this study, these documents will also be destroyed. Only the Student Investigator, the Project Faculty Advisor, and members of the dissertation committee will have access to all recorded data. It will be stored in a secured office in the home of the Student Investigator.

6. *Information and Consent Forms:*
Subjects will be informed about the nature, purposes, and intent of this research study. They will be clearly informed of the reasons why they are being asked to participate in this research. A copy of the invitation letter and the consent form will be included with this application.

7. *Conflict of Interest:*
There is no conflict of interest for program participants in this study.

8. *HIPAA Compliance:*
"PHI" does not apply to this study because there is no use of protected health information.

June 3, 2004

TO: Emily Cole Bayer, Ph.D.

FROM: Heath Morrison, Principal

RE: Research Request

I am providing you all of the requested paperwork for conducting research in Charles County Public Schools. Please let me know if you need any other information. Both Mr. Richmond and Mr. Cunningham are aware and supportive of my dissertation work.

Thank you for your help.

INDEPENDENT RESEARCH REQUEST FORM

RESEARCHER INFORMATION:

List the name(s) and title(s) of the author(s) of this study:

Heath E. Morrison, Principal of Thomas Stone High School

Telephone Number:

301-753-1656 (home); 301-645-2601 (work)

Identify the institution/organization sponsoring the study: (Name, Address)

University of Maryland, EDPL Dept., College Park, Maryland

OBJECTIVES:

State the objectives of your study:

This research study examines one school system's effort to address the principal quality/quantity shortage through a "grow your own" program of leadership development. The study serves two purposes:

> 1. To what extent has this system's efforts to design and implement a program that supplements university preparation succeeded in meeting program goals (product), efficient use of system resources (input), and appropriate select of program activities (process)?
>
> 2. What can be learned from these efforts that might be beneficial to this system as it attempts to improve the program, and what can be learned that might prove useful to other systems coping with the need to address principal shortages?

Cite your research question(s):

1. What external and internal forces impacting the principalship combined to influence school authorities in the creation of their principal preparation program? (context)
2. Which program elements were created specifically to address those forces impacting the principals? (context)
3. What resources (financial, facilities, human) were made available in the design and implementation of the principal preparation program? (input)
4. What were the essential elements and structure of the designated program, and to what extent did they reflect current research about effective principal preparation programs and standards of licensure (ie. ISLLC)? What was the process for recruiting participants into the program? (process)
5. What perceptions did program participants have about the principalship before and after completing the first phase of the program? To what extent did these perceptions match the goals and expectations of the program design committee? (product)

6. To what extent did participants who have attained leadership positions report that the program has helped prepare them for the responsibilities of their positions? To what extend do annual evaluations of newly appointed principals reflect program goals? (product)

State study rationale (Why is this study important?):

The significance of this study is to further the research on a local school system's attempt to create its own principal preparation program. According to the State Department survey, over 2/3 of the principal preparation programs in the state the study was conducted were conducted in the last five years. At this time, there is limited research about these types of programs so this study will provide some insight into the challenges of creating and implementing them.

This study will seek to identify how a school system planned, developed, and implemented a principal preparation program. School districts with programs aligned with the ISLLC Standards should not only provide leaders who meet state licensing standards, but should be able to meet the ever increasing demands for accountability of principals as instructional leaders. Using the CIPP model to evaluate this school system's efforts to create a "grow your own" principal preparation program will provide feedback, suggestions, and recommendations to the school system for program improvement.

How will data from this study benefit the school(s) studied or CCPS?

I believe data collected from this study will help in the continued improvement of the Leadership Institutes offered by the Charles County Public School System. The literature review for this dissertation has already provided numerous "best practices," ideas, and concepts that have been implemented in the program. The survey of program participants will provide meaningful feedback to assess how effectively the program has aligned to its original goals.

DATA COLLECTION:

Identify the CCPS school(s) that will be involved in this study:

There will be no particular schools involved. I would like to survey the seventy-eight (78) participants of the Charles County Public Schools Leadership Institute from the past three (3) years and several of the decision makers for the program.

How much time overall will you need to collect all the data for your study? (Indicate days per school):

Several months

Suggest multiple dates on which you will be available to come to each school:

Not applicable

Describe the content of the instrument(s) that will be used:

I will combine qualitative and quantitative measures for this study. Surveys and interview questions will be used. The survey instrument will be a revision of The Audit of Principal Effectiveness created by Jerry W. Valentine and Michael L. Bowman. A copy of the proposed instrument will be attached this application.

Describe how the instrument(s) will be administered:

The study will be mailed to each of the seventy-eight participants of the Charles County Leadership Institute. Interviews will be conducted face-to-face at the interviewees' convenience.

State the range of time that similar populations needed to complete the instrument(s):

The survey should last about twenty minutes.

Describe special accommodations, if any, for special populations (e.g. Special Education/ESOL/etc.):

Not applicable

State requirements for staff/teacher participation in terms of time and level of effort, if any:

Staff taking the survey will be asked to take approximately twenty minutes to answer the instrument. Face-to-face interviews should last approximately half-an-hour.

Describe your efforts to reduce impact on student instructional time:

I will try to conduct most of my research during the summer, so as not to have any impact on instructional time.

SELECTION:

Identify target population (number of students or classrooms, grades, age, etc.):

The target population for this survey will be the seventy-eight participants of the Charles County Leadership Institute over the past three years. Members of the design team and key system leaders will be targeted for interviews.

Indicate selection/sampling procedures to be used:

Because the N is so small, I will be trying to get survey results from all seventy-eight program participants.

Describe intended data analysis procedures:

Interviews will be transcribed and respondents will be able to review the transcripts, making corrections or additions if necessary. This process will add validity to the study by allowing participants to verify their own words and ensure their thoughts were captured correctly. These interviews will be categorized through

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context analysis "drawing up a list of coded categories and 'cutting and pasting' each segment of transcribed data into one of these categories" (Greenhalgh, 1997, p.5). From the interviews and records reviewed, the researcher should be able to recognize elements referenced frequently. Significant patterns and clusters should emerge from which to draw conclusions.

The survey instrument will be analyzed through quantitative procedures. The data will be analyzed using the means and standard deviation. Descriptive statistics, including t-tests for the independent sample, will be utilized. The Chi-square test for independence and the analysis of variance will be used to identify areas where significant differences existed between how program participants and designers viewed the program.

DISSEMINATION:

Where will the data and/or report be published?

The data will be used for my dissertation work published through the University of Maryland.

Describe your efforts to ensure confidentiality:

The survey that will be developed for this study will request demographic information, current job status, as well as career aspirations. This survey will be mailed out to the seventy-eight program participants from the first three cohorts, principals who helped provide input into the program and served as facilitators and presenters, and members of the design team. To protect the anonymity of the respondents, questionnaires will be mailed along with a tracking card. A log will be kept of the individuals to whom the questionnaires are mailed and addresses and mailing dates will be noted. A follow-up letter and questionnaire will be sent to potential respondents when a reply is not received.

Describe your efforts to ensure that all data, analysis, and final report are shared with R&A, school principal(s), staff, and other affected parties:

As chairperson of the Charles County Leadership Committee, I will share and disseminate relevant information to the committee to assist in program improvement. I will provide any data, research, or results from the study as requested by staff from the CCPS.

PERSONAL INTERVIEWS (Superintendent)

1. What were the forces that led to the formation of a committee to address leadership issues in the county? [context]
   > **Probes:** What were the internal forces (issues of quantity and quality of principal candidates)?
   > What were the external forces (issues of traditional preparation/university preparation)?

2. As the committee began to suggest the formation of a principal preparation program, what were your perceptions on potential benefits and any problems with its implementation? [context]
   > **Probes:** What were short-term benefits and problems?
   > What were long-term benefits and problems?

3. What parts of the program addressed specific needs clearly with principal preparation in the school system? [context]
   > **Probes:** What knowledge did you have regarding principal preparation programs at that time?
   > What knowledge have you gained?

4. How did this program align with other system initiatives and the system budget? [input]
   > **Probes:** How did this program fit into the Five Year Plan?
   > What were the major funding sources?

5. Were there any limitations to resources provided for this program? [input]
   > **Probes:** Were there any program elements not included because of budgetary issues?
   > How was the issue of internships addressed within budgetary limitations?

6. How were major system leaders kept current and allowed to provide input during the program development and implementation? [process]
   > **Probes:** How were Central Office leaders involved in the process?
   > How were principals in the school system involved in the process?

7. What were system leaders' expectations for the program? What was done to share these expectations for the program with participants? [process]
   > **Probes:** What did you hope this program would achieve?
   > What was told to program participants upon entry into the program?

8. What perceptions do system leaders have about the success of the program, specifically, is it meeting system goals? Do you have any information or feelings about whether participants share your views? [product]
   Probes: How would you rate the overall effectiveness of this program?
   Has any data been collected to justify your opinion?
   From your experience, how have program participants reacted to the program?

9. What perceptions about the principalship do you think program participants had both before and after the program? [product]
   Probes: What were the major attitudes and thoughts about the principalship that program participants shared before and after the program?

10. What was the overall assessment of the program's positive and negative outcomes? [product]
    Probes: Was a formal evaluation of the program ever conducted?
    What other data is available to assess the overall success of the program?

11. How do program design team members and key system leaders think program success should be sustained and needed improvement implemented? [product]
    Probes: What elements of the program do you feel are most effective?
    What elements of the program might need to be changed or altered?

12. Do program leaders think that providing this program has helped develop a stronger, more qualified pool of leaders in the system? [product]
    Probes: Has this program assisted in developing a larger pool of candidates for vice principalships/principals?
    Has this program enhanced the overall quality and preparedness for vice principal and principal candidates?

PERSONAL INTERVIEWS (Associate Superintendent)

1. What were the forces (internal and external) that led to the formation of a committee to address leadership issues in the county? [context]
   Probes: What were the internal forces (issues of quantity and quality of principal candidates)?
   What were the external forces (issues of traditional preparation/university preparation)?

2. As the committee began to suggest the formation of a principal preparation program, what were your perceptions on potential benefits and any problems with its implementation? [context]
   Probes: What were short-term benefits and problems?
   What were long-term benefits and problems?

3. What parts of the program addressed specific needs clearly with principal preparation in the school system? [context]
   Probes: What knowledge did you have regarding principal preparation programs at that time?
   What knowledge have you gained?

4. How did this program align with other system initiatives and the system budget? [input]
   Probes: How did this program fit into the Five Year Plan?
   What were the major funding sources?

5. Were there any limitations to resources provided for this program? [input]
   Probes: Were there any program elements not included because of budgetary issues?
   How was the issue of internships addressed within budgetary limitations?

6. How were major system leaders kept current and allowed to provide input during the program development and implementation? [process]
   Probes: How were Central Office leaders involved in the process?
   How were principals in the school system involved in the process?

7. Who was the target audience for participation in the program, and how were they selected? [input]
   Probes: Were participants specifically selected?
   How were participants encouraged to participate?

8. What were system leaders' expectations for the program? What was done to share these expectations for the program with participants? [process]
   Probes: What did you hope this program would achieve?

What was told to program participants upon entry into the program?

9. What perceptions about the principalship do you think program participants had both before and after the program? [product]
   Probes: How would you rate the overall effectiveness of this program?
   Has any data been collected to justify your opinion?
   From your experience, how have program participants reacted to the program?

10. What perceptions do system leaders have about the success of the program, specifically, is it meeting system goals? Do you have any information or feelings about whether participants share your views? [product]
    Probes: What were the major attitudes and thoughts about the principalship that program participants shared before and after the program?

11. How do program design team members and key system leaders think program success should be sustained and needed improvement implemented? [product] What have been some of the major changes in the program? [product]
    Probes: What elements of the program do you feel are most effective?
    What elements of the program might need to be changed or altered?

12. Do program leaders think that providing this program has helped develop a stronger, more qualified pool of leaders in the system? [product]
    Probes: Has this program assisted in developing a larger pool of candidates for vice principalships/principals?
    Has this program enhanced the overall quality and preparedness for vice principal and principal candidates?

PERSONAL INTERVIEWS (Assistant Superintendent of Instruction)

1. What were the forces (internal and external) that led to the formation of a committee to address leadership issues in the county? [context]
   Probes: What were the internal forces (issues of quantity and quality of principal candidates)?
   What were the external forces (issues of traditional preparation/university preparation)?

2. What parts of the program addressed specific needs clearly with principal preparation in the school system? [context]
   Probes: What knowledge did you have regarding principal preparation programs at that time?
   What knowledge have you gained?

3. What parts of the program addressed specific needs clearly with principal preparation in the school system? [context]
   Probes: What knowledge did you have regarding principal preparation programs at that time?
   What knowledge have you gained?

4. How did this program align with other system initiatives and the system budget? [input]
   Probes: How did this program fit into the Five Year Plan?
   What were the major funding sources?

5. How were major system leaders kept current and allowed to provide input during the program development and implementation? [process]
   Probes: How were Central Office leaders involved in the process?
   How were principals in the school system involved in the process?

6. What were system leaders' expectations for the program? What was done to share these expectations for the program with participants? [process]
   Probes: What did you hope this program would achieve?
   What was told to program participants upon entry into the program?

7. What perceptions do system leaders have about the success of the program, specifically, is it meeting system goals? Do you have any information or feelings about whether participants share your views? [product]
   Probes: How would you rate the overall effectiveness of this program?
   Has any data been collected to justify your opinion?
   From your experience, how have program participants

reacted to the program?

8. Do program leaders think that providing this program has helped develop a stronger, more qualified pool of leaders in the system? [product]
   Probes: Has this program assisted in developing a larger pool of candidates for vice principalships/principals?
   Has this program enhanced the overall quality and preparedness for vice principal and principal candidates?

PERSONAL INTERVIEWS (Staff Development Coordinator)

1. What were the forces (internal and external) that led to the formation of a committee to address leadership issues in the county? [context]
   Probes: What were the internal forces (issues of quantity and quality of principal candidates)?
   What were the external forces (issues of traditional preparation/university preparation)?

2. As the committee began to suggest the formation of a principal preparation program, what were your perceptions on potential benefits and any problems with its implementation? [context]
   Probes: What were short-term benefits and problems?
   What were long-term benefits and problems?

3. What parts of the program addressed specific needs clearly with principal preparation in the school system? [context]
   Probes: What knowledge did you have regarding principal preparation programs at that time?
   What knowledge have you gained?

4. What research on current programs on principal preparation was used to develop the program? [input]
   Probes: What specific existing principal preparation programs were examined?
   Was current literature utilized in the design of the program?

5. Were there any limitations to resources provided for this program? [input]
   Probes: Were there any program elements not included because of budgetary issues?
   How was the issue of internships addressed within budgetary limitations?

6. What were the major resources offered in support of program development, and which of these resources were actively used in program implementation? [input]
   Probes: What were the major financial resources?
   What were the major facilities resources?
   What were the major human resources?

7. How did this program align with other system initiatives and the system budget? [input]
   Probes: How did this program fit into the Five Year Plan?
   What were the major funding sources?

8. How were major system leaders kept current and allowed to provide input during the program development and implementation? [process]

Probes: How were Central Office leaders involved in the process?
How were principals in the school system involved in the process?

9. What perceptions about the principalship do you think program participants had both before and after the program? [product]

Probes: How would you rate the overall effectiveness of this program?
Has any data been collected to justify your opinion?
From your experience, how have program participants reacted to the program?

10. What were the essential elements and structures of the designed program? How were they agreed upon by the design team and system leaders? [input/process]

Probes: Describe the essential elements of the program?
How specific was the program design to the school system being studied?
How did the committee come to consensus on the program?

11. To what extent were the ISLLC Standards incorporated into the design of the program? [process]

Probes: Were any other standards besides ISLLC considered in the formation of the program?
Describe how the ISLLC standards are reflected in the program.

12. Who was the target audience for participation in the program, and how were they selected? [input]

Probes: Were participants specifically selected?
How were participants encouraged to participate?

PERSONAL INTERVIEWS (Focus Group Design Team)

1. What research on current programs on principal preparation was used to develop the program?

2. What were the essential elements and structures of the designed program? How were they agreed upon by the design team and system leaders?

3. To what extent were the ISLLC Standards incorporated into the design of the program?

4. What elements of the program were most effective in preparing participants for a future principalship?

5. How do program design team members and key system leaders think program success should be sustained and needed improvement implemented?

6. Do program leaders think that providing this program has helped develop a stronger, more qualified pool of leaders in the system?

PERSONAL INTERVIEWS (Focus Group Design Team)

1. What research on current programs on principal preparation was used to develop the program?

2. What were the essential elements and structures of the designed program? How were they agreed upon by the design team and system leaders?

3. To what extent were the ISLLC Standards incorporated into the design of the program?

4. What elements of the program were most effective in preparing participants for a future principalship?

5. How do program design team members and key system leaders think program success should be sustained and needed improvement implemented?

6. Do program leaders think that providing this program has helped develop a stronger, more qualified pool of leaders in the system?

PERSONAL INTERVIEWS (Focus Group Aspiring Principals Program Participants)

1. What perceptions about the principalship did participants have before completing the program?

2. What perceptions about the principalship did participants have after completing the program?

3. Did participation in the program meet the expectations of the participants?

4. What were areas of strength of the program?

5. What were areas of the program that needed improvement?

6. Did participation in the program strengthen, alter, or modify your desire to pursue leadership in the future?

PERSONAL INTERVIEWS (Focus Group Aspiring Principal Program Participants Who Attained Leadership Position)

1. What perceptions about the principalship did participants have before completing the program?

2. What perceptions about the principalship did participants have after completing the program?

3. Did participation in the program meet the expectations of the participants?

4. What were areas of strength of the program?

5. What were areas of the program that needed improvement?

6. Did participation in the program strengthen, alter, or modify your desire to pursue leadership in the future?

7. What elements of the program were most effective in preparing participants for a future principalship?

8. To what extent did participants who have attained leadership positions indicate the program helped prepare them for their new responsibilities?

Appendix D

Second Request Letter

Dear Colleague:

Recently, I sent you an e-mail inviting you to participate in an online survey, which is being administered as part of an evaluation of the Charles County Aspiring Leaders Program. According to my records, I have not received your survey. If you are willing to complete the survey, click on the following link:

http://webmailer.com/C.dll/Jya70B5CpL6C8B51KD9sU4J.htm

and follow directions which appear at the beginning of the survey. Please complete the survey as soon as possible, but no later than September 24, 2004. It may not be possible to process survey results received after that date.

It you have any questions, or concerns about this evaluation, you may contact me by telephone at 301-645-2601 from 7:00 AM to 3:00 PM, or by e-mail at hmorrison@ccboe .com.

Thank you very much for your participation.

Heath E. Morrison

Appendix E

Leadership Grant

Grant Application
Role of the Principal as Instructional Leader

Local School System: Charles County Public School

Superintendent: Mr. James Richmond

Contact Person for Grant: Carolyn Graham

Phone: 301 934-7332   E-mail: cgraham@ccboe.com

I.   **Project Summary (Describe what you wish to do -- 15 points)**

Charles County Public Schools (CCPS) and the Superintendent are committed to providing to new and aspiring principals, high quality professional development which links directly to the school systems focus on increased Academic Achievement, Career Readiness and Personal Responsibility. To accomplish this goal CCPS's will establish a leadership training program. The CCPS Leadership Training Program will complete a design that builds upon the experiences of new and aspiring principals. The purpose will be to further develop their knowledge, skills, and competencies to prepare them for the challenges of becoming a principal in Charles County.

One major challenge of the contemporary principalship is to create professional learning communities. Principals must become facilitators of learning for students, faculty and community. A challenge for those responsible for providing the leadership development is to better have the program participants understand how they can support those individuals willing to assume the responsibility of the principalship.

A Leadership Development Committee, established in 1999, began to review the role of the principal for the 21st Century. Using the Interstate School Leaders Licensure Consortium (ISLLC) National Standards, the system identified skills which are necessary for a school administrator under each of the six standards.
(See Appendix A)

The "Role of the Principal as Instructional Leader Grant proposal" will focus on the following Leadership Development Objectives:

- To develop curriculum/modules for post graduate training credits.

- To provide relevant learning experiences for new and aspiring principals.

- To assist new and aspiring principals in becoming the educational leader of their school.

- To develop and provide a networking system of experienced principals and central office administrators.

- To provide activities and experiences which will enhance the knowledge, skills, and abilities necessary to become a high performing principal.

I.   **Project Discussion (briefly respond to the following questions):**

1. How is your project unique (15 points)?

   One unique component of this project is the identification of knowledge, skills, and abilities of teacher leaders within our schools. CCPS believes that the future principals of our system will come from the initial phase of this leadership development. Through this process, potential leaders will be nurtured and trained to maximize their leadership skills.

   This model allows for any school system to utilize the national standards to identify the needs in their own county.

2. What do you hope to learn from your project that will have value for dissemination across the state.

   The goal is to develop a comprehensive model, partnering with the University of Notre Dame, that will be institutionalized in Charles County and become a model for leadership development which can be replicated in any school system.

3. How will your project help with the looming shortage of administrators?

   The Maryland State Department of Education Task Force on the Principalship made three major recommendations: a) The State Department of Education, and all 24 local school systems, must "clear the plate" of extraneous responsibilities assigned principals to ensure they have time to fulfill their primary role as instructional leaders/facilitators; **b) Comprehensive programs must be developed for the identification of principal candidates and school systems must provide professional development programs for new and current principals;** and c) Principal salary and compensation packages must be adjusted to better reflect the responsibilities, accountability, and stress of the principalship.

   In support of the above "recommendation b" of the Task Force report, CCPS's is developing a model which identifies knowledge, skills, and abilities for all instructional leadership in the schools. By defining these roles, educators will know what is expected and will be provided a clear plan for professional growth. We

believe people who know what is expected and are provided a clear plan for professional growth are willing to commit to a future vision.

3. How will you evaluate the effectiveness of your project?

A model of evaluation will be developed including these components:

- Each participant will identify a Leadership Learning Plan through self-assessment. They will verify their self-assessment through personal reflections, observations, and documentation of leadership activities. These experiences will be documented in the Principal's Portfolio.

- A Professional Development (experienced principals and central office staff) Team will work with each candidate to monitor their continued learning schedule. These teams will provide support, assistance, and opportunities to reflect on experiences critical to each one's growth and development. The Professional Development Team will be responsible for evaluating the candidate's progress.

- Semi-annual evaluations will be completed by experienced principals and central office administrators. The final evaluation will include the results from their instructional modules and their performance based experiences consistent with Charles County Board of Education policies.

This process will be piloted and evaluated by the candidates and the Professional Development Team.

4. Who will be responsible for preparing your final report on this project?
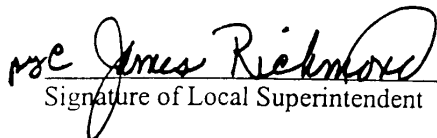
The Leadership Development Advisory Committee

5. How will you spend the $5,000 that you receive?

Salaries and Wages:	$500
Contracted Services:	$3,000
Supplies and Materials:	$1,500
Equipment:	000
Other:	000
Total:	$5,000

Total Possible Points   100

Total Points Awarded: _____   (to be completed by MSDE staff)

_____   __16/13/00__

Signature of Local Superintendent   Date

Appendix F

School System Leadership Themes and ISLLC Standards

ASPIRING PRINCIPAL

	STANDARD #1	STANDARD #2	STANDARD #3	STANDARD #4	STANDARD #5	STANDARD #6
INTERSTATE SCHOOL LEADERS LICENSURE CONSORTIUM (ISLLC) NATIONAL STANDARDS	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.	A school administrator is an educational leader who promotes the success of all students by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.	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.	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.	A school administrator is an educational leader who promotes the success of all students by acting with integrity, fairness, and in an ethical manner.	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.
ASPIRING PRINCIPAL PROGRAM CONTENT	□ Strategic Planning □ Systems Theory □ Consensus Building □ Communication Skills □ Negotiation Skills □ Analysis of Data for School Improvement □ Human Relations Skills	□ Curriculum K-12 Assessment and Evaluation of Program □ Adult Learning Environment □ School Culture □ Change/School Reform □ Staff Evaluation □ Innovative and Risk Taking □ Classroom Observation Techniques □ Effective Teaching Practices □ Technology Integration into Curriculum □ Professional Development □ Diversity □ Learning Theories □ Student Growth and Development	□ Organizational Development □ Crisis Intervention □ Human Resource Management and Development □ Fiscal Management and Decision Making □ School District Operational Procedures □ School Safety and Security □ School Facilities and Space Utilization □ Administrative Technology	□ Dealing with the Media-School and District Perspective □ Public Relations/Promoting Schools □ Community Involvement and Participation □ Partnerships □ Community Resources	□ Models Integrity, Fairness in an Ethical Manner □ Purpose of Schooling □ History of Education	□ Change and Conflict Resolution as it applies to Social, Legal, Political Systems □ Policy Development □ Accessing Resources and Grants □ School Law □ Social, Legal, and Political Issues and Processes that Impact Schools □ School, District, Community, State, and Federal Governance
ASPIRING VICE PRINCIPAL PROGRAM CONTENT	□ Share and promote the vision of learning to the school. □ Writing appropriately to a variety of audiences		□ School Operations □ School Safety □ Space Utilization □ Maintenance of Facilities □ Substitute Teacher Procedures □ Administrative Technology □ Emergency Preparation Plan □ Managing of School Finances □ Transportation □ Student Behavior Expectations □ Student Records □ Free and Reduced Lunch Procedures □ Interviewing and Hiring Skills	□ School Promotions □ Knowledge of Resources Available	□ Professional Code of Ethics	□ Legal Issues □ School District Policies

ENVIRONMENTS THAT ARE CONDUCIVE TO THE DEVELOPMENT OF SCHOOL LEADERS

DEVELOPMENTAL FOCUS	RECOGNITION	COLLEGIALITY	AUTONOMY	PARTICIPATION	OPEN COMMUNICATION	POSITIVE ENVIRONMENT
Assist in learning new knowledge and skills and are encouraged to help the learning of others.	Recognized for the professional roles they take and the contributions they make.	Collaborate on instructional and student-related matters. Discuss strategies, share materials, and observe one another's classrooms.	Encouraged to take the initiative to make improvements and to be innovative.	Involved actively in making decisions and have input on important matters.	Send and receive communication in open, honest ways and feel informed about happenings in their school.	Experience a positive climate and effective administrative leadership.

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