

The California League of Middle Schools' Professional Development
for Principals: A Model of Coaching and Mentoring

by

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The California League of Middle Schools' Professional Development

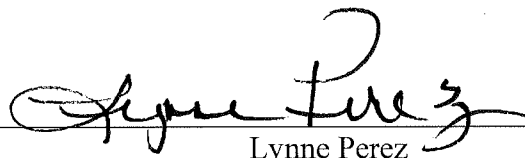
for Principals: A Model of Coaching and Mentoring



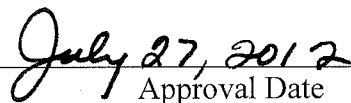
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ABSTRACT

This qualitative case study investigated principals' perceptions of a professional development model developed by the California League of Middle Schools. The study explored the activities that principals deemed supported or hindered their work in developing strong leadership skills associated with improving student achievement. Furthermore, the study sought to discover any additional activities the principals believed the program should provide in order to support the development of effective practices of a school leader.

The study used a qualitative design to examine principal perceptions of activities in a mentoring and coaching professional development program. Participants were selected based upon (a) their participation in the California League of Middle Schools' Mentoring and Coaching Professional Development Model, and (b) having achieved growth in the school's Academic Performance Index of 17 points based upon the statewide average for California middle schools for the past two academic years. Data were gathered and analyzed from multiple sources including one-on-one principal interviews, field observations of the professional development coaching and mentoring sessions, as well as program documents and artifacts. Data were triangulated in order to ensure trustworthiness of the study's findings. Since participants were given an opportunity to express the pros and cons of the professional development program for principals, the research evolved as explanatory and descriptive.

Results of this qualitative study indicated that principals perceived the League of Middle Schools' professional development model which included coaching and

mentoring as having the capacity to support and change specific leadership practices and behaviors associated with effective schools.

This study will add to the existing body of research on the professional development programs that incorporate coaching and mentoring for principal induction, professional growth for veterans, as well as the body of research on the development of effective leadership practices that can impact student achievement.

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One who lacks the confidence to trust, does not communicate, is not open; has difficulty creating deep and stable relationships, and lacks the ability to generate and enjoy the beauty of true friendships. Without trust, there cannot be relationship. Distrust is a lack of confidence in one's self, in others, and in faith itself. (Author unknown)

CHAPTER 1—INTRODUCTION

School districts are challenged to meet the increasing requirements of ensuring learner proficiency and creating high performing schools. As parents and community members join in supporting the move for high quality instruction and improved academic results, districts acknowledge the need to recruit, hire, train, and sustain high performing school leaders (Hall, 2008). The process of developing effective school leaders requires deliberate efforts by both universities and school districts (Browne-Ferrigno & Muth, 2004). Once aspiring leaders complete administrative preparation programs and are placed in positions of school leadership, ensuring that they have the skills, knowledge, and abilities necessary to create the conditions for high performing schools escalates. While many districts offer programs and training for principals in the respective schools, new administrators still feel they need more to be successful in their jobs (Petzko, 2008). To support these novice school leaders, school districts strive to find effective professional development models to build the leadership capacity of their principals. Many models exist for principal training that utilize internal district staff, such as assistant or associate superintendents, or Professional Development Departments; outside educational consultants; and in-service university coursework. Some districts have also chosen to utilize coaching and mentorship, a known strategy for building leadership capacity as part of their professional development and training (Bloom, Castagna, Moir, & Warren, 2005; Browne-Ferrigno & Muth, 2004; J. Daresh & Playko, 1990).

In the 21st century, the job of the principal has changed from one of site manager to that of an all-encompassing school leader. Principals are expected to have knowledge of curriculum design and pedagogy. They are expected to evaluate and refine curricular

practices to ensure effective execution of programs, models, and instructional strategies (James-Ward, 2011). With the enactment of the federal mandates of No Child Left Behind (NCLB, 2001), and the Reauthorization of the Elementary and Secondary Education Act (U.S. Department of Education [USDOE], 2010a), principals are under tremendous pressure to improve student achievement (James-Ward, 2011). In this new environment, Cotton (2003) labels the site principal as a key component in ensuring the proficiency of students within the school setting. In fact, school district officials place the responsibility squarely with principals to be the instructional leaders who are expected to supervise, support, coach, train, and evaluate the work of key organizational members, the teachers. Professional development for the practicing principal must then require an all-encompassing training menu designed to meet the stringent demands of this position (Sanders & Kearney, 2008). With the weight of performance and the expectation to achieve results resting on principals, it is incumbent upon school districts to create effective training models that cater to the needs of adult learners and build the capacity of its site administrators. Once effective models are identified and implemented, the principal's overall effectiveness can be addressed in order for them to support the development of their entire site, thus achieving the goal of positive student outcomes.

Statement of the Problem

Schools across the nation are expected to focus on delivering a high quality educational product as evidenced by academic proficiency for all (NCLB, 2001). Still plagued by the ever-widening achievement gap, increasing dropout rates, and the lack of equity amongst schools, the nation continues to seek out innovative solutions that will provide a turnaround of our current educational crisis. Competent principals (Marzano,

Waters, & McNulty, 2005) and competent teachers (Saphier & Gower, 1997) are major contributors in the success of a school. Since both principals and teachers impact student learning, the development of each has become a very important focus in the mission to improve schools nationwide. With the knowledge that principals play such an important role in school turnaround (Carter, 2000), districts are faced with the challenge of finding ways to build the skills, knowledge, and abilities of its school leaders.

As novice principals enter the ranks of this multifaceted position from preparation programs, most have emerged with beginners' skill sets, and they are left to figure out how to effectively meet the wide range of complex challenges faced by school leaders, especially in urban schools (Farkas, Johnson, Duffett, & Foleno, 2001; Perez, Uline, Johnson, James-Ward, & Basom, 2011; Sanders & Kearney, 2008; Searby, 2010). They enter the position prepared to be competent beginners; however, the position of principal requires that they take on so much more. Traditional preparation programs focus on leadership theories, decision-making, school law, budgeting, curriculum and instruction, teacher supervision, and school operations, all within a finite training period (Searby, 2010). In reality, most novice principals enter the position feeling overwhelmed, unprepared, alone, isolated, and without the support necessary to effectively lead a school site (Grissom & Harrington, 2010; Searby, 2010).

Principals are expected to command on-the-job performance in each of these skill sets, as well as in the areas identified by the Interstate School Leadership Licensure Consortium (ISLLC) Standards (Glatthorn & Jailall, 2009). These standards delineate knowledge, performance, and dispositions that educational leaders need to direct schools toward increased student achievement. They have been adopted in 35 states and are the

only leadership standards that have been developed by a national body of state departments (Sanders & Kearney, 2008). The ISLLC Standards identify the following skills:

- A school administrator is an educational leader who promotes the success of all students by facilitating the development, the articulation, the implementation, and a 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 professional growth.
- A school administrator is an educational leader who promotes the success of all students by ensuring management of the organization and operational 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 and mobilizing community resources.
- A school administrator is an educational leader who promotes the success of all students by acting with integrity and 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. (Sanders & Kearney, 2008, p. 31)

Principals are expected to fulfill the roles of visionary, one who charts and champions the direction for the school; staff developer, one who ensures that staff

members are trained to teach at high levels; and instructional manager, one who oversees and ensures instructional quality and curriculum development (Cotton, 2003; Glatthorn & Jailall, 2009; Marzano et al., 2005). With the growing awareness that school administrators are critical in creating the conditions for student achievement, the 2009 federally funded Race to the Top (RTTT) grant (USDOE, 2009) specifically called out for the recruitment, development, reward, and retention of effective teachers and principals. The Executive Summary (USDOE, 2009) defined an effective school leader as “a principal whose students achieve high rates (e.g., one and one-half grade levels in an academic year) of student growth” (USDOE, 2009, p. 12). In addition to the Race to The Top Grant, the U.S. Department of Education, in its *Blueprint for Reform: The Reauthorization of the Elementary and Secondary Education Act*, includes as a priority the existence of “great teachers and leaders at every school” (USDOE, 2010a, p. 8). The Blueprint calls on states and districts to develop and support teachers and principals by placing them on a path to facilitate successful student outcomes. With the realization that principal preparation programs alone are insufficient in providing on-going training to create effective school leaders, the Blueprint supports new initiatives that will “recruit, place, reward, retain, and promote effective teachers and principals and enhance the profession of teaching” (USDOE, 2010a, p. 8).

The increased demand for principal performance is coupled with the increased demand for on-going principal training and support. There is a need for principal training to extend beyond the traditionally accepted preparation programs whose ability to certify fully effective principals is hindered by a time-bound approach (Sanders & Kearney, 2008; Searby, 2010). Training of effective school leaders is a life-long endeavor that

must be carried out over the lifetime of a career. The strong leadership qualities necessary for school improvement are developed over time and through purposeful, sustained efforts (Casavant & Cherkowski, 2001). There exist no quick remedies with regard to training the quality of principals that will create and sustain student achievement. The problem, faced by the educational community-at-large, is to identify best practices known for developing and sustaining high quality principals beyond the administrative certification process.

A professional development strategy that utilizes mentoring and coaching has emerged as a tool for building effective educational leaders. J. Daresh and Playko (1990) contend that “mentoring to assist present and future leaders is a powerful tool that may be used to bring about more effective school practice” (p. 44). The use of mentoring, especially in urban schools, has potential value in creating highly effective principals as these first time leaders engage in learning innumerable school tasks, procedures, policies, and practices that are designed to produce positive student achievement results (J. Daresh & Playko, 1990; McCreary-King, 1992; McGough, 2003; Mendez-Morse, 2004). Bloom et al. (2005) assert that “coaching has been embraced by the private sector because it is a proven strategy for increasing the productivity and effectiveness of managers and executive leaders” (p. 7). They add that coaching, as a method of giving deliberate support in creating and achieving goals, is “well-suited to the needs of adult learners” (p. 7). Professional development models for principals must now take into account the dynamic skill sets that principals need to meet the arduous and increasingly challenging demands placed upon them.

Purpose of the Study

The purpose of this study was to understand the principals' perceptions of the pros and cons of the California League of Middle Schools' (CLMS) Professional Development model, which included coaching and mentoring. California League of Middle Schools is a part of the California League of Schools (CLS), a nonprofit educators' association which also encompasses the communities of California League of High Schools and California League of Elementary Schools. California League of Schools is dedicated to helping K-12 educators improve student learning through useful, evidence-based professional development and other resources. Aware that many strategies exist to address principals' professional growth and development, this research focused specifically on the activities associated within a training model designed to equip effective school leaders.

Browne-Ferrigno and Muth (2004) contend that effective professional training for principals requires the replacement of traditional power roles such as superior over subordinate. They add that principals' training, in order to be most effective, should now consist of collegial-peer relationships that are built upon "conditions of trust, openness, risk taking, problem identification, problem solving, and goal setting" (p. 490). Based upon this idea, it was the goal of this research to determine the principals' perception of their participation in the CLMS' training program and how the program supported changes that helped them develop effective school leadership behaviors. The research examined data to determine what principals felt worked or did not work in this professional development model and their suggestions for future leadership training models.

Significance of the Study

Principal leadership requires a series of well-planned and skillfully implemented tasks that are designed to build teacher instructional capacity and student performance (Casavant & Cherkowski, 2001). Urban schools are associated with a complex set of tasks due to high numbers of students, large language learner populations, high percentages of students with a low socioeconomic status, high mobility and dropout rates, extensive special education needs, and high staff turnover (Hopkins-Thompson, 2000). With the principal as one of the major components in successful schools, factors contributing to principals' use of effective practices and their growth and development—in particular the use of mentoring and coaching—may become significant. Much research has been done within the business industry on mentoring and coaching as a leadership training tool, but few studies exist on the impact of these tools around the development of strong educational leaders who are able to produce high performing schools.

Administrative Bill 430 “provides professional development funds for school administrators’ training using the California State Board of Education (SBE) approved training providers” (California Department of Education [CDE], 2011a, para. 1). As these providers seek to best equip novice principals and vice principals with effective leadership behaviors and practices, a study of the CLMS’ Professional Development for Principals that utilized coaching and mentoring has the opportunity to inform the state’s decisions with regard to their current curriculum. Additionally, districts seeking to build the capacity of their novice and veteran principals would be able to consider a comprehensive model that includes coaching and mentoring as a strategy in their quest to

design effective principal induction programs and on-going professional development and training.

Methods Overview

This investigation of the principals' perception of the pros and cons of a professional development model, which included coaching and mentoring sponsored by CLMS was designed as a single qualitative case study. It examined the principals' perceptions of their training experience with regard to developing and supporting practices or behaviors they believed beneficial in creating effective schools and positive student achievement outcomes. Further, it explored their perceptions of changes that could be made within this training model in order to best support future participants in their professional growth and development. "Qualitative researchers are interested in understanding how people interpret their experiences, how they construct their worlds, and what meaning they attribute to their experiences" (Merriam, 2009, p. 5). Creswell (2009) explained that a qualitative study is a strategy of inquiry where the researcher explores in depth a program, an event, an activity, a process, or individuals. He also contended that researchers collect detailed information using a variety of data collection procedures over a sustained period of time. The collected data supply answers to questions that seek to provide an understanding of a particular experience.

In this research, a professional development training model for principals that utilized coaching and mentoring and was conducted in an urban school district identified as District A to determine the participants' views on the pros and cons of their experience. With Social Constructivism as the applied worldview, the use of principal interviews, field observations, and documents from the program provided data to inform

meaning, find emerging patterns and themes, and support a theory about the use of coaching and mentoring as a strategy to build principal capacity and impact student achievement (Creswell, 2009; Glaser & Strauss, 1967). This qualitative study relied upon an analysis of the participants' perceptions of the CLMS' professional development training that included coaching and mentoring in order to gain knowledge of what they deemed as supportive in creating the leadership practices associated with effective schools.

According to Creswell (2009), "the idea behind qualitative research is to purposefully select participants and/or documents that will best help the researcher understand the research question" (p. 178). The population for this study consisted of principals from an urban school district located in Southern California identified as District A. District A was selected based upon its collaboration with and participation in the CLMS' Principal Professional Development training. In addition, the geographic location of District A was feasibly convenient in making multiple site visitations by the researcher.

Participants were purposefully selected based upon (a) their full participation in the League's professional development program for the last 2 years, (b) being a principal at the same site for the past 2 years, and (c) exceeding the state average for student academic growth at the school they led for the last 2 years as measured by the California State Academic Performance Index (API). The API, a measurement of the progress of individual schools in California, is based upon students meeting proficiency in the standards for core academic subjects. The API scores range from 200 to a maximum score of 1000. The score is one of the main elements of public school accountability

within the state. Schools are measured by how well they meet or exceed their goal of reaching an API of 800. A minimum API growth score of 17 was selected based upon the statewide average growth for middle schools. Demographic data such as years of teaching experience, years of administrative experience, postsecondary degrees earned, and the specific program by which they earned their administrative training and credential were collected from the participants in order to make interpretation and larger meaning of the data.

Using, as a guide, interview questions adapted from two survey instruments originally developed by James-Ward and Potter-Salcedo (2011), the researcher created a questionnaire and protocol for interviews (James-Ward, 2011; James-Ward & Potter-Salcedo, 2011). The interview questions were created for use during one-on-one sessions with principals to gather data (see Appendix A). An additional protocol was developed based on Merriam's (2009) recommendations for collecting data through field observations. This protocol form was used for data collection during observations (see Appendix B).

During the data collection phase, interviews were conducted with principals using a semi-structured approach. The interviews were audio taped and subsequently transcribed for analysis. The coaching session and the professional development training led by mentors were also observed. Accompanying documents associated with the training were gathered for analysis. Accompanying documents included meeting agendas, email communication, professional articles, educational texts, and student achievement data. These documents, augmented by data from the interviews and field notes from the observations, made up the data corpus for this study.

Data analysis is the process of making meaning of the data and generating answers to the research questions within a study. According to Merriam (2009), “These answers are also called categories, themes, or findings” (p. 176). As a part of the analysis process, data are consolidated and reduced, and conversations and observations are interpreted in order to produce the findings. In qualitative research, data analysis is “primarily inductive and comparative” (Merriam, 2009, p. 175). Conclusions are arrived at by constantly making comparisons and inferences around the material contained within the data. All data collected for this study were analyzed using a constant comparative analysis method in order to identify emerging patterns and themes around the principals’ perceptions of the pros and cons of the League’s professional development training model that utilized coaching and mentoring within their training strategy.

Research Questions

School districts bear the responsibility of training principals who are capable of leading schools to high achievement. Historically, coaching and mentoring has played some part in the training and development of principals, with more to be learned (Crow & Matthews, 1998; J. Daresh, 1986; Hobson, 2003; Weingartner, 2009). Therefore, this research examined the following questions:

1. What are principals’ perceptions of the pros and cons of the California League of Middle Schools’ coaching and mentoring model for principals?
2. What are principals’ perceptions of how participation in the California League of Middle Schools’ professional development for principals that included coaching and mentoring, support or change leadership behaviors or practices?

3. What recommendations do principals suggest for the California League of Middle Schools' coaching and mentoring model that would best support the development of leadership practices associated with effective schools?

Limitations

Elements of the research design limited the study's participants to a small sample. The findings have the potential of informing the CLMS and District A with regard to the principals' perceptions about the pros and cons of the training. Moreover, the data can help to determine what principals felt worked and did not work, as well as noting any changes they believed would add value for future programs and participants. Study limitations place District A and CLMS, and no other entities, in a position to benefit from the findings on the activities that principals believed should be included in a coaching and mentoring program.

Delimitations

Study delimitations include the following: (a) the research site is located in a specific geographical region and district, (b) research subjects are middle school principals who have led the same school site for the past 2 years, (c) principals have participated in the CLMS' professional development program during the past 2 years of their professional career, and (d) the schools' student achievement data evidenced an API growth more than 17 points from year 1 to year 2.

Definition of Terms

Mentor: For the purposes of this study, a mentor is a person who initiates assistance, helps, provides supports, or teaches skills necessary to successfully perform in a job (Mendez- Morse, 2004). Sheehy (1976) described a mentor as "one who takes an

active interest in the career development of another person—a non-parental career role model who actively provides guidance, support, and opportunities for the protégé” (p. 36).

Mentoring: The relationship in which a more experienced person takes under their tutelage a less experienced person in order to provide career and psychosocial development is referred to as mentoring. Mentoring is further defined as “the establishment of a personal relationship for the purpose of professional instruction and guidance” (Ashburn, Mann, & Purdue, 1987, para. 1).

Role model: A role model describes someone who has traits or characteristics that another person would want to emulate (Mendez-Morse, 2004).

Coaching: In the professional industry, coaching is often used interchangeably with the concept of mentoring. The working definition for this study will follow the definition by Bloom et al. (2005), who defined coaching as “the practice of providing deliberate support to another individual to help him/her to clarify and/or to achieve goals” (p. 7).

High performing or high achieving schools: For the purposes of this study, high performing or high achieving schools are those schools having an API greater than or equal to 800. “The API was established by the Public Schools Accountability Act (PSAA), a landmark state law passed in 1999 that created a new academic accountability system for K-12 public education in California” (CDE, 2010, p. 6). The API is a measurement of academic performance and progress of individual schools in California based on the results of statewide testing. This score is one of the main elements of public school accountability. It is used to determine school growth from year to year, in addition

to ranking the schools within California. Academic Performance Index scores range from 200 to a high of 1000. Schools are measured by how well they meet or exceed the acceptable minimum goal of 800, thereby obtaining the title of high achieving.

Effective principal: The Council of Chief State School Officers (CCSSO) in the Interstate School Leaders Licensure Consortium established the Standards for School Leaders and identified an effective principal as one 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” (CCSSO, 1996, p. 12).

CHAPTER 2—REVIEW OF THE LITERATURE

This review of literature begins with an historical look at the role and responsibility of school principals and how that role has changed over time. In light of the current expectations and demand for great schools and great leaders, the review will focus on the specific leadership behaviors of effective principals then moves to a discussion of specific models of pre-service credentialing programs and in-service programs that are designed to provide the training and professional development necessary for the acquisition of strong leadership skills. Moreover, the literature review will address the variety of training strategies in use within some of the professional development program models at the pre-service and in-service level. As these various training models are explored, a focus on the adult learning theories will be highlighted in order to tease out best practices. Finally, the review will consider the literature on coaching and mentoring as a means to develop the leadership skills and knowledge of practicing principals.

The Principal's Role: An Historical Progression

The role of the principalship has evolved throughout the educational beginnings of public education within the United States (Bloom, 2004). Early on, the principal or headmaster was known for having sole leadership within the schoolhouses of the American frontier. During the 1920s, the principalship was “characterized by a values-based concern with pedagogy” (Grogan & Andrews, 2002, p. 235). Principals were focused on maintaining the values of the culture of the day within the teaching practices of the educators within the school building. Families and schools were strong partners within the educational process, and together they maintained close ties

(Grogan & Andrews, 2002). Principals facilitated the partnership and acted as the liaison between the home and school connection.

As the United States was wrought with great deficits in the 1930s, they faced an economic depression where money was scarce and the American Dream became the American Nightmare for many citizens (Lone Star College-Kingwood, 2012). Schools were forced to “engage in a variety of cost-cutting strategies” (Urban & Wagoner, 2009, p. 298), such as increasing class size; closing small schools; cutting teachers and teacher salaries; eliminating ancillary programs such as night school, summer school, art and music, industrial arts; special education programs; and kindergarten programs (Urban & Wagoner, 2009). It was during this decade that the role of the principal moved toward a “scientific management of schools” (Grogan & Andrews, 2002, p. 235). The role shifted from focusing on maintaining family-as-partner to the autonomous manager of schools in crisis with limited to no funds. With the difficult economic challenges, principals of the 1930s were burdened with greater responsibility to lead fiscally-sound schools without the former security of the family as a shared-decision making partner (Grogan & Andrews, 2002; Urban & Wagoner, 2009). Principal as manager superseded the role of instructional leader in that the focus was on running a fiscally efficient school site in the midst of the nation’s worse economic downturn ever (Grogan & Andrews, 2002).

The decades of the 1940s and 1950s saw the principals’ role being influenced by the nation’s active participation in World War II, a national desegregation movement, and one that “stressed the importance of education in a democratic and strong society” (Grogan & Andrews, 2002, p. 235). The late 1950s and early 1960s saw the Cold War and the launch of Sputnik, which spawned a new educational focus on academic

competition and excellence. Math and science inherited the new educational spotlight, and the role of the principal was said to have drawn from “empirically developed strategies for management and instruction” (Grogan & Andrews, 2002, p. 235). In addition, the nation was experiencing landmark decisions around education as a civil right for all citizens. Cases such as *Brown v. Board of Education of Topeka* (1954) ruled that racial segregation in public education was illegal and unconstitutional. Many of the nation’s principals were thrust into a role of managing the civil unrest at school campuses, as the landmark decision to desegregate blazed across the United States (Urban & Wagoner, 2009).

This era called on principals to assume the duality of manager and instructional leader. The actions and decisions of the principal were to demonstrate instructional leadership with the shift in the nation’s curricular focus to mathematics, science, and technology, which was driven by Sputnik’s launch and the threat of international dominance. Further, principals were thrust in the position of a manager who was capable of ensuring the democratic rights of all students during a racially volatile climate (Grogan & Andrews, 2002; Urban & Wagoner, 2009).

As the increase in social ills plagued the nation’s schools in the 1970s, principals were faced with unique issues that drew their attention away from instruction to addressing the list of mounting problems of the day. Teen pregnancy, racial tension, and drug abuse, ranked as headliners and forced principals to assume the role of developing solutions for these social dilemmas. This shift led principals away from the role of an instructional leader who was previously charged with improving teaching and learning. Further, as these social problems increased within the educational arena, public

confidence decreased, and the 1970s were marked as the decline of public education. The downturn lasted, and the principal's role took on the overwhelming task of regaining public trust and confidence (Grogan & Andrews, 2002).

As the United States faced increasing international economic competition during the 1980s, the National Commission of Excellence in Education (NCEE, 1983) produced the report entitled: *A Nation at Risk*. The report called for schools to return to a level of academic achievement that prepared U.S. students to outperform students from anywhere in the world. The report stated:

Our society and its educational institutions seem to have lost sight of the basic purposes of schooling, and of the high expectations and disciplined effort needed to attain them. This report, the result of 18 months of study, seeks to generate reform of our educational system in fundamental ways and to renew the Nation's commitment to schools and colleges of high quality throughout the length and breadth of our land. (NCEE, 1983, p. 6)

During this decade of the 1980s, the Commission's report imposed upon the role of the educators, including principals, actions that supported deep educational reform. The pressure for principals to return schools to high performance and to make an international mark upon school achievement was heightened. Principals nationwide were expected to focus their attention and abilities on creating high quality schools and reviving the Nation's confidence in the public education system (NCEE, 1983). The 1980s produced a tremendous increase in job expectations that followed school principals into the 1990s (Grogan & Andrews, 2002). At the turn of this decade, the principals' role characterized

the position as enormously challenging. Grogan and Andrews (2002) noted on this new task-identification of the 1990s that:

School principals are expected to focus their schools on student learning, yet children come to school less prepared to engage in learning activities. The breakdown in communities and family structures places enormous pressures on children, out-of-school demands compete for learning time, and teachers operate on outdated notions of instruction. (p. 237)

Principals had become burdened with the expectation of repairing not only the broken state of public schools, but the societal trauma that attributed to the low performance of students nationwide.

The 21st century inherited the historical shift that has followed the role of the principal for the past five decades. The principals' role evolved from that of overseeing a values-laden family partnership to creating schools where all students academically outperform all international competitors (Grogan & Andrews, 2002; NCEE, 1983). The shift in the principals' role has come with a modern-day list that is full of discrete responsibilities that require significant expert knowledge. Current principal responsibilities call for the immediate attention of those charged with the preparation and development for school leaders around what is needed to provide successful training. A review of the literature on the current principal responsibilities can provide a rationale for the consideration of program revision in pre-service and in-service training models that will promote continued learning well beyond job entry. In light of these critical responsibilities, and the principal's impact on student achievement, the goal for continual

learning is to build a cadre of strong school leaders capable of building successful schools.

Principal Responsibilities

Principal responsibilities have directed preparation and development programs as they formulate the outcomes for those completing leadership training and entering the administrative ranks. Pre-service training programs were designed to prepare leaders for the responsibilities that await them in the principalship position. In-service models were designed to build the capacity of practicing principals in meeting the responsibilities of the job. Portin, Schneider, DeArmond, and Gundlach (2003) investigated the core responsibilities of principals. The researchers conducted interviews over a 2-year period, with more than 150 educators across 21 schools in four mid-sized cities within four different states. Data were collected over a 2-year period, and the goal of the research was to understand the actual responsibilities of what it takes to lead a school. Their study focused on answering three critical questions:

1. Are there core responsibilities and roles that all principals have in spite of the type of school they run?
2. How do these responsibilities differ across traditional, magnet, charter, and private schools?
3. Do the current training programs address the demands of the job?

(Portin et al., 2003, p. 4)

The study “sought to understand the principalship in great depth rather than provide a snapshot from a national broad survey” (Portin et al., 2003, p. 4). “During the interviews, respondents were asked about the way their school distributed leadership and

management responsibilities, maintained instructional quality, and identified and solved problems” (Portin et al., 2003, p. 4). The 2-year field work looked at the ways in which principals were trained and tried to identify areas of training deficiency. Findings from the study, revealed that the core responsibility of a school principal is that of a diagnostician; one who is able to identify “his or her school’s particular needs and given the resources and talents available, deciding how to meet them” (Portin et al., 2003, p. 9).

Portin et al. (2003) added that as diagnosticians, principals must engage in: “instructional leadership, cultural leadership, managerial leadership, human resource leadership, strategic leadership, external development leadership, and micro-political leadership” (p. 18). These responsibilities are not separate compartments of activity, but they are linked together, with each responsibility affecting and supporting the other. Moreover, Portin et al. found that effective principals have mastered the ability to properly delegate responsibility for school success and carefully manage those who share in the leadership work.

Key findings regarding principal responsibilities were found as a result of the research of Marzano et al.’s (2005) meta-analysis. Findings indicated that principals fulfill many key responsibilities within a school site. One of the critical responsibilities noted was that of providing intellectual stimulation, or that of an instructional leader, for those under their leadership. A key element of a high performing school is a high performing faculty that delivers a quality instructional program (Platt, Tripp, Ogden, & Fraser, 2000; Whitaker, 2003). With this responsibility, also known as staff developer, Whitaker (2003) recommended that principals operate from the framework that teachers are doing the best they know how to do in terms of delivering quality instruction. The

principal can then assume the responsibility of modeling effective instruction, remain in the classroom to provide immediate and constructive feedback, make opportunities to observe the best practices of teacher colleagues, and create an environment that builds the collective efficacy of the staff within the learning community (Cotton, 2003; Leithwood & Jantzi, 2008; Marzano et al., 2005; Platt et al., 2000; Whitaker, 2003).

As staff developers with the goal of creating quality instruction, principals maintain the responsibility of sharing best practices, research-based strategies, and holding the critical conversations that lead to improved teaching and learning. Attention to building instructional capacity remains a central responsibility for principals, and the realization that achievement is a task accomplished by an entire learning group of professionals (Blankstein, 2004).

With the complexity associated with the responsibility of providing intellectual stimulation, principals require significant training in order to plan and lead quality professional development that facilitates moving an entire staff to higher levels of teaching and learning. Novice principals reported that pre-service programs did not adequately prepare them to meet the challenge of being a staff developer (Archer, 2006). Pre-service programs at the graduate level were the primary means of building this skill set, and early career principals deemed these programs as lacking the depth of training needed for strong practice (Young & Grogan, 2008).

Examples of exemplary preparation models do exist such as those noted in a study conducted by Darling-Hammond, LaPointe, Meyerson, Orr, and Cohen (2007) on *Preparing School Leaders for a Changing World*. The study examined eight exemplary pre-service and in-service principal development programs that were selected based upon

their evidence of strong outcomes in preparing school leaders. In addition, the eight programs were selected because they represented a variety of training approaches used to equip school leaders (Darling-Hammond et al., 2007). One training model in particular, the Educational Leadership Development Academy (ELDA), in partnership with the San Diego Unified School District and the University of San Diego, integrated university coursework with a strong internship component that included coaching and mentoring. According to Darling-Hammond et al., the program developed leaders “within a context of district instructional reform by focusing on instructional leadership, supported by a strong internship and coaching/networking” (p. 19).

The Darling-Hammond et al. (2007) study examined, through case studies, the characteristics of carefully selected programs. The findings discussed survey data collected from program graduates from pre-service and in-service programs. “The principal survey responses were compared to a national comparison sample of principals taken from the National Association of Elementary School Principals” and found that ELDA graduates stated that they experienced a high level of preparation (Darling-Hammond et al., 2007, p. 18). Graduates rated their experiences in the following areas: university leadership preparation (coursework and quality of faculty); the internship experience; preparation to lead learning, develop school vision; serve as instructional leader; manage school operations; engage parents and community; and whether or not they would repeat the experience (Darling-Hammond et al., 2007).

In addition to survey data, Darling-Hammond et al. (2007) gathered field data on the program participants in ELDA. Findings from a principal-participant who completed the pre-service and in-service programs noted that she “felt prepared to meet the

responsibilities of professional developer based upon the preparation received in the program (Darling-Hammond et al., 2007, p. 58). In addition to the principal's perception of their satisfaction with the program, was increased student achievement data for the school for which she had oversight. "In the three years that she [the ELDA graduate] had been principal, the school's Academic Performance Index (API) had grown by more than 150 points" (Darling-Hammond et al., 2007, p. 55).

Developing effective school leaders who employ the identified practices and responsibilities as a professional developer requires deliberate attention. Principals need to possess these responsibilities or behaviors of practice in order to have the potential of leading schools to growth and achievement. In order to improve teaching and learning, principals must develop the ability to observe the instructional practices of their faculty, identify the areas for growth, and have the knowledge to implement the next steps that will build teacher capacity (Darling-Hammond et al., 2007; Marzano et al., 2005; Saphier & Gower, 1997; Whitaker, 2003). The next steps for improving a teacher's instructional delivery can include making recommendations about: writing clear learning objectives, the learning activities being aligned to the learning objective, the use of questioning strategies, the type of formative assessment practices, English learner strategies, effective grouping techniques, and technology integration (Marzano, 2007; Marzano, Frontier, & Livingston, 2011; Saphier & Gower, 1997; Stansbury, 2011). Effective staff developers are also known to model a variety of strategies within the classroom, and they are known to provide teacher-coaching that will help improve instructional practices (Blankstein, 2004; DuFour & Marzano, 2011; DuFour & Sparks, 1995). In addition, the principal as staff developer needs to have a sufficient knowledge base in order to analyze the taught

curriculum and a sufficient resource base in order to recommend and prescribe targeted training or classes that will build the skills and abilities gaps of their teachers (Glatthorn & Jailall, 2009; Grissom & Harrington, 2010; Saphier & Gower, 1997; Whitaker, 2003). Therefore, universities and districts alike must give a concerted effort toward developing or improving training models that equip principals over the long-term in the identified behaviors as staff developer (Browne-Ferrigno & Muth, 2004).

Additional responsibilities of school leaders include collaborating with stakeholders in developing a clear vision, a clear mission, and goals that will chart the direction of the school (Leithwood & Jantzi, 2008; Marzano et al., 2005; Reddekopp, 2008). In setting the focus for the site, effective leaders bring individuals along in this process being deliberate in promoting the value of people over the goals that they set (Whitaker, 2003). Principals therefore assume the responsibility of working with teachers, staff members, and parents to develop a common vision and to set clear goals that will drive the school efforts around a persistent, school-wide focus on learning for all students (Cotton, 2003; Miller, 2004; Platt et al., 2000).

Further, it is the responsibility of the principal to create systems of support that keep the school focused on the ideals and beliefs that push achievement forward. The principal must continually communicate what is valued and set structures that keep people focused on the established priorities (DuFour, DuFour, Eaker, & Many, 2006). Building capacity for strong, effective communication, encouraging ownership of the ideals and beliefs that lead to improvement, maintaining focus and high visibility, and setting clear directions are essential responsibilities of the principal.

There is a recognition that most novice principals tend to lack the experience needed to move a staff toward developing common goals and setting the school's instructional direction (Olson, 2007). To the degree district leaders learn how to provide principals adequate training and support, these early career principals will learn to fulfill this critical responsibility in setting site direction and implementing their vision of a high performing school (Reddekopp, 2008). While the literature suggests that the responsibilities of a principal included that of setting the direction, mission, and vision for the school, identifying effective principal professional development models to acquire this expertise remains the challenge.

The principal leadership responsibilities identified throughout recent literature are vast and multifaceted (Blankstein, 2004; Cotton, 2003; P. Daresh, 2010; Davis, Darling-Hammond, LaPointe, & Meyerson, 2005; Marzano et al., 2005). They have identified essential responsibilities that principals need in order to impact the performance within a school site. Responsibilities include developing the direction, mission, and vision for the school; establishing strong communication structures; working as staff developer providing intellectual stimulation for all staff; improving schools through distributing leadership, using data to inform instruction, focusing on one problem and turning problems into growth opportunities, and creating professional learning communities, and most importantly ensuring quality instruction.

Due to the overwhelming complexity and challenges within the principalship such as declining test scores, increased drop-out rates, teen pregnancy, drug abuse, and the widening of the achievement gap, the current state of recruiting, training, and retaining quality leaders lies in jeopardy (P. Daresh, 2010; Hertting, 2008; Thomas & Kearney,

2010; USDOE, 2010b). Even with targeted recruitment efforts, many individuals who enter principal preparation programs emerge less likely to seek jobs in urban districts, which happen to be the entities with the highest need (Darling-Hammond et al., 2007; Grogan & Andrews, 2002). Further, the 21st century challenges and complexities of diminishing budget resources, job isolation, the lack of collegial training relationships, and fragmented professional development, attributed to an attrition rate of approximately 45% of principals who remain in the position within the first 3 years (Hall, 2006; R. J. Malone, 2001; Prince, 2004; Spanneut, Tobin, & Ayers, 2012). Educators who enter the ranks of a school administrator must come bringing to bear all of the training garnered through principal preparation programs, additional master's level coursework, and personal and professional development.

Principal leadership now bears the central responsibility for developing effective and high-performing schools (Darling-Hammond et al., 2007; Marzano et al., 2005). "Few jobs have as diverse an array of responsibilities as the modern principalship and any one of the roles can distract administrators from their most important role: quality instruction" (Darling-Hammond et al., 2007, p. 4). With the recognition that leadership impacts student achievement, it is imperative that principals receive continued development beyond the pre-service experience in order to meet the 21st century demands of creating high performing schools and the turnaround needed for failing schools (Cotton, 2003; Darling-Hammond et al., 2007; Marzano et al., 2005; Mendez-Morse, 2004). Further, the evolution of the principals' role also indicates the need for an analysis of the ways in which effective behaviors are created, developed, and improved upon over time.

Effective Principal Leadership Behaviors

The role of the principal has become one that is large and complex; high student academic achievement is the goal, and there is the realization that the job is not accomplished alone (Blankstein, 2004). Effective leaders play an important role in determining the academic achievement level of a school site, with the recognition they must develop many other notable team members. Effective principals engage all stakeholders in this process to include teachers, parents, counselors, para-educators, clerical staff, cafeteria workers, and custodians with the realization that all may (or should) play a significant role in the success of a student. However, there is also the realization that the chain of command places final authority with the principal and holds him or her responsible for successes and/or failures at the school (Blankstein, 2004; Cotton, 2003; Marzano et al., 2005). In order to engage others in the workload, effective principals assume the responsibility for staff growth and development. Therefore, effective principals must master the art of building the leadership capacity of each individual working with students to achieve high performance (Blankstein, 2004). The greater challenge becomes that of developing the principal who is charged with building the professional expertise of all members within the educational team. Professional development for educational leaders, therefore, has the ability to govern the effectiveness for an entire school site. It is critical that programs be sought out or developed with strategies that can build the leadership behaviors and responsibilities associated with strong principals.

Marzano et al. (2005) contended that school leaders affect the successful functioning of many aspects of a school. Marzano et al.'s research, conducted through a

meta-analysis, allowed for the implementation of a variety of techniques in order to synthesize vast amounts of data. Their quantitative, meta-analytic method allowed for generalizations that may not have been previously available regarding the relationship between various leadership behaviors and student achievement. Their research focused on principal leadership behavior and its relationship to student achievement. The meta-analysis examined 69 studies completed or published between 1978 and 2001 and involved approximately 2,802 schools, 14,000 teachers, and 1,400,000 students. Study samples included schools at various levels: elementary, middle, junior high, K-8, and K-12. Data were gathered through searches of standard databases of studies that met the identified criteria, as well as reference sections within the studies. Additionally, researchers analyzed survey results and ratings from teachers about principal behavior.

Findings from Marzano et al.'s (2005) meta-analysis revealed a .25 correlation between the leadership behavior of the principal and the average academic achievement of students. Within the 69 studies, researchers found specific behaviors related to improvements in achievement. The researchers stated, "We identified 21 categories of behaviors that we refer to as responsibilities" (Marzano et al., 2005, p. 41), including situational awareness; flexibility; discipline; outreach; monitoring/evaluating; culture; order; resources; knowledge of curriculum, instruction and assessment; input; change agent; focus; contingent rewards; intellectual stimulation; communication; ideals/beliefs; involvement in curriculum, instruction, and assessment; visibility; optimizer; affirmation; and relationships (Waters & Cameron, 2007). Moreover, the findings suggested a statistically significant correlation with student achievement to the extent that leaders engage in these specific responsibilities. Findings from this meta-analysis suggest that

the fulfillment of these responsibilities, in combination with one another, result in effective leadership for learning. Principals will be equipped for this work to the degree they have opportunities to develop competency in the identified leadership responsibilities (Marzano et al., 2005).

Drawing from the Marzano et al. (2005) findings, it can be argued that effective school leadership requires a preponderance of behaviors or responsibilities, with skillful execution, in order to impact student achievement. Principals must not only be aware of these practices, but also must be expert in the execution of these behaviors as they lead school sites to achieve positive student outcomes. Once principals become proficient within these behaviors, student achievement is known to exhibit a positive result (Marzano et al., 2005). While the findings of the meta-analysis present encouraging results about the stated behaviors, additional research is needed on the appropriate training models and methodologies that will equip principals with an effective demonstration within each of the 21 responsibilities.

Principal Beliefs

Leithwood and Jantzi (2008) conducted a quantitative study that sought to identify specific principal practices that affect student learning and achievement. In particular, the researchers set out to investigate the relationship between principals' sense of self-efficacy for school improvement and student achievement. "Self-efficacy is the belief in one's ability to perform a task or achieve a goal" (Leithwood & Jantzi, 2008, p. 497). The purpose of Leithwood and Jantzi's study was to explore the link between identified leadership practices arising out of self-efficacy and student academic progress. Their study included 180 schools within 45 districts from nine states, with participants

chosen using a stratified random sampling procedure. Data were collected from 96 principals and 2,764 teachers respondents in two separate survey instruments, one for principals and another for teachers. Survey items measured leader self-efficacy, leader collective-efficacy, teacher efficacy, school leadership, school conditions, and class conditions. In addition, student achievement data were collected and averaged over a 3-year period in language arts and mathematics. The survey data were analyzed to identify leadership practices that might be linked to the achievement of students (Leithwood & Jantzi, 2008).

Findings from Leithwood & Jantzi (2008) indicated that school leader efficacy was significantly linked with the achievement of students. Likewise, their study revealed that leader self-efficacy leads to specific leadership practices that affect student learning. It was hypothesized that when leaders believe in their ability to accomplish a task or goal, certain practices emerge. These practices are then said to have significant effects on the conditions that account for student learning. The four emerging behaviors that were identified were (a) setting directions, (b) developing people, (c) redesigning the organization, and (d) managing the organization (Leithwood & Jantzi, 2008).

According to the data analysis, principal self-efficacy, the belief that one can personally accomplish a set of goals and tasks, led to high achievement (Leithwood & Jantzi, 2008). As an outcome of that belief, the four behaviors of setting directions, developing people, redesigning the organization, and managing the organization emerged; however, little is known about how principals were developed in those four areas known to impact achievement. Additionally, little is known about how the participants in the study attained a belief system around principal self-efficacy. Therefore, further

investigation and study is needed on particular training models that will equip principals with these and other leadership behaviors found to have an impact upon student achievement.

The Leithwood and Jantzi (2008) study and the Marzano et al. (2005) meta-analysis identified a number of specific leadership practices and behaviors that have had an impact upon student achievement. While these studies linked consequential leadership practices with principal self-efficacy, the findings from the meta-analyses reflect no such linkage to a set of beliefs. Still, findings from the studies reflect some degree of alignment across responsibilities, on the one hand, and practices on the other (Leithwood & Jantzi, 2008; Marzano et al., 2005). Their research suggests that as these responsibilities and practices are developed and sustained, principals grow in their capacity to facilitate high achievement in their schools.

Effective leadership behaviors emerging from the research (Leithwood & Jantzi, 2008; Marzano et al., 2005) indicate that they play an important role for achieving high performance. Therefore, the means of developing these practices within school leaders requires further study and investigation.

Whitaker's (2003) work on principal beliefs was conducted through a study involving 163 middle schools using the results from the Audit of Principal Effectiveness, a nationally norm-referenced teacher assessment of effective principal skills and teacher responses as measured by the National Association of Secondary School Principals' (NASSP) Comprehensive Assessment of School Environments (CASE) instrument. The sample population included eight schools (four principals each) that were identified as having principals identified as either more effective or less effective as measured by the

responses from the Audit of Principal Effectiveness. Four of the principals were identified as more effective and four principals were identified as less effective. Both groups of four included an urban school, a suburban school, a small-town school, and a rural school. Data collection included on-site interviews with teachers and principals. Data were analyzed, and findings revealed one critical difference between principals in high achieving schools as compared to those in lower achieving schools. The principals who worked in high achieving schools “viewed themselves as responsible for all aspects of their school” (Whitaker, 2003, p. 15). These principals assumed the full responsibility for the overall success of the site. According to the findings, the principals scoring more effective demonstrated the belief that positive change in the school was up to them. Principals scoring less effective “were more willing to blame outside influences for problems in their schools, and they felt as though they had no control over the outcomes” (Whitaker, 2003, p. 15). In addition, they considered the factors outside of the school as those having an influence on teachers, the school’s program, and the work of their staff.

Whitaker’s (2003) findings indicated a sharp contrast in principal beliefs about the level of responsibility as it related to effective leadership behaviors in principals. While principals rated as more effective believed they were most responsible for the success of the entire school program, those rated as less effective did not. It should be noted that the findings failed to address a comparison of achievement data between the two groups of schools, and more needs to be learned about the significance, if any, the ratings and beliefs had upon student performance. Additional study on the specific training and professional development for principals rated as more effective might inform how to develop this leader self-efficacy in all principals leading school sites.

Knowledge about effective professional development models and training methodologies requires significant attention since leader self-efficacy has been identified as one of the behaviors associated with effective principals and high achieving schools (Leithwood & Jantzi, 2008; Marzano et al., 2005). Additional exploration is needed to identify effective professional development models, training methodologies, and strategies by which principals can achieve a skillful and effective demonstration of these behaviors.

Principal Preparation and Development

The beginnings of principal preparation can be traced back to an informal course within a school of management at the University of Michigan (McCarthy, 1991). Beyond this training course, formal university programs in educational leadership began to emerge around the mid-twentieth century. Over the next few decades, programs tripled due to the increasing enrollment within the nation's public schools and the subsequent demand for more administrators (McCarthy, 1991; Young & Grogan, 2008).

Pre-service Preparation Program Design

Pre-service programs were delivered through the traditional graduate coursework model, and not until the last few decades did alternative program models for both levels of training such as: leadership academies, internships, coaching, mentoring, state-run programs, university partnerships, or professional associations begin to emerge (McCarthy, 1991; Young & Grogan, 2008). These emerging program models were designed, however, to address the training needs of pre-service and practicing principals in the multitude of evolving responsibilities and behaviors needed for effective school leadership.

The instructional strategies in early pre-service programs focused on the lecture method as the dominant teaching style. McCarthy (1991) noted that some pre-service programs were known for offering alternative training strategies such as: “case studies and learning-in-action, incorporating opportunities for [aspiring] administrators to learn as they reflected on their own actions” (p. 127). This deviation from the traditional preparation formally received in programs was due to faculty members urging for a shift from teacher-centered learning to student-centered learning. The shift was in response to better addressing the needs of aspiring principals as adult learners in light of the position being wrought with a series of complex responsibilities, roles, behaviors, and tasks (Darling-Hammond et al., 2007; Marzano et al., 2005; McCarthy, 1991; Merriam, 2001; Young & Grogan, 2008).

There exist several training models that have the goal of recruiting and preparing strong future principals and programs for better equipping practicing principals involved in the changing realities of the job responsibilities as a school leader. The current programs aim at providing the skills, knowledge, and leadership abilities necessary to meet the challenging demands of the position. The conceptual approach identified by the National Staff Development Council described as the four important program objectives that principal professional development models should strive to accomplish: “(a) developing individual leadership effectiveness; (b) enhancing career transition into leadership positions; (c) instilling the vision, values, and mission of the organization; and (d) developing skills and knowledge to implement long-term strategic objectives” (Peterson, 2002, p. 214). In addition, the Interstate School Leader Licensure Consortium (ISLLC) outlined six standards they identified as necessary for strong principal leadership

nationwide. “In many states, changes in the preparation and credentialing of future principals have been based on these recognized leadership standards” (Spanneut et al., 2012, p. 67). As the principals’ role and responsibilities have become increasingly complex and multifaceted, both levels of professional development programs are faced with meeting the new challenges of providing the type of training and level of preparation that will build strong, effective administrators.

Program Models

Peterson (2002) in “The Professional Development of Principals: Innovations and Opportunities,” Darling-Hammond et al. (2007) in *Preparing School Leaders for a Changing World*, and Davis et al. (2005) in *School Leadership Study: Developing Successful Principals*, both pre-service and in-service, outlined program features in various models that currently exist to train school leaders. Program design elements included structural features around curriculum, instructional strategies, technology, value-driven cultural elements, and learning standards for effective principal leadership. The following programs demonstrate a sampling of the pre-service and in-service principal training models they selected to highlight. It is an attempt to show the variance that exists in terms of the types of training models across the United States.

Pre-service program models. Pre-service preparation programs are responsible for providing the training and certification for aspiring principals desirous of entering the administrative ranks. Since effective principal leadership impacts student achievement, preparation programs play an important role in the development of successful schools (Cotton, 2003; Darling-Hammond et al., 2007; Marzano et al., 2005). The literature

highlights a sampling of the pre-service programs dedicated to the task of training future school leaders.

Delta State University pre-service principal training. Delta State University offers a pre-service training program that is supported by the state of Mississippi and local school districts from around the state. The Mississippi State Department of Education supports a sabbatical for educators in order for them to prepare full-time for the principalship (Darling-Hammond et al., 2007). This program trains aspiring principals through a 14-month Masters of Education program that included coursework around instructional leadership and is coupled with a full-time internship. The program model includes extensive use of field-based projects, problem-based learning, action research, and presentations from experts in the field as part of the university coursework (Darling-Hammond et al., 2007).

The Delta State University internship program receives deep financial support from the state through the Mississippi Sabbatical Leave Program. This program “pays teachers’ salaries for one year while they complete their administrator credential” (Darling-Hammond et al., 2007. p. 20). Local districts recruit the candidates and, during the year internship, participants engage in a curriculum that was developed by a consortium of local superintendents, have an assigned mentor, and gain authentic experience on school campuses (Darling-Hammond et al, 2007).

Darling-Hammond et al. (2007) reported that more than 70% of the Delta State graduates had become principals and data from the study’s findings indicated that these individuals were deeply engaged in instructional activities at their sites. Study findings also included teacher ratings of the principal graduates where their faculty rated them

“extremely high as strong, supporting, effective leaders” (Darling-Hammond et al., 2007, p. 20).

Bank Street College Principals Institute. The Bank Street College of Education’s Principals Institute began in the late 1980s. This is a collaboration project between the college and the New York City Board of Education to increase the number of underrepresented individuals (women and minorities) in public school administration (Darling-Hammond et al., 2007). Candidates complete an 18-month master’s degree while working concurrently in the New York City Public School District.

Program curriculum focuses on: creating a progressive vision for school reform that is centered on building the capacity of the school as a whole; developing leaders who can demonstrate instructional and transformational practices; and leaders who can build the teacher’s ability to improve teaching and learning. The instructional design elements include an integration of theory and practice, program advisors, and three internship placements that are intended to promote reflective practice (Darling-Hammond et al., 2007). A program advisement model assigns a mentor-type individual and an expert faculty member who allows participants to “reflect on practice, identify challenges and weaknesses, and develop new skills and strategies” (Darling-Hammond et al., 2007, p. 23).

Findings from the Darling-Hammond et al. (2007) study identified this program as having a “continuum of complementary and increasingly integrated leadership preparation and development strategies” (p. 23). The overarching program tenants were driven by four foundational goals: (a) lifelong learning, (b) reflective practice, (c) inquiry, and (d) advocacy. The use of “action-learning experiences that link academics, practice,

and inquiry to concerns for equity, ethics, and diversity” (Darling-Hammond et al., 2007, p. 24) are the means by which they develop the four program goals.

In-service program models. In-service training is responsible for helping principals meet the challenges and expectations associated with the current work. Using a mix of training strategies, the goal of these programs is to build the capacity of principals in leading successful schools. The following programs, highlighted by Peterson (2002) and Darling-Hammond et al. (2007), represent some of the strategies currently available for in-service training opportunities.

The Meyerson Academy: Cincinnati, Ohio. The Meyerson Academy is a professional development academy developed as a partnership with the Ohio school district and the local business leaders interested in improving the quality of public schools. The district contracts with the academy to provide training to its administrators (Davis et al., 2005; Peterson, 2002). Participation is voluntary and offers training in four areas: the district mission, district culture, administrative structures and formal expectations for working with parents and community. The instructional model offers monthly sessions with 20 available training hours and employs a traditional workshop format (Davis et al., 2005; Peterson, 2002).

Ohio Principal Leadership Academy. The academy offers a job-embedded program that is portfolio-driven for the development of their school leaders (Beebe, Hoffman, Lindley, & Prestley, 2002; Peterson, 2002). Meeting times are flexible, and the program uses facilitators to guide the learning. The academy targets new principals and offers a 2-year program that is aligned to the ISLLC (Beebe et al., 2002; Peterson, 2002). Each participant is assigned to work with an experienced administrator for the 2 years,

and they focus on developing skills in the area of instructional leadership and school improvement. The model employs 28 days of internet-based learning that is designed to complement the face-to-face sessions (Beebe et al., 2002; Peterson, 2002).

Vanderbilt International Principals' Institute. The institute was established around 1981 and serves approximately 25 principals from the United States and abroad in a 10-day summer intensive training. Topics of focus include: instructional leadership; managing change and improvement; developing an educational vision for school; and shaping the school culture. The instructional model engages a mixed approach that is designed to engage principals through problem-based learning, lecture, leadership simulations, personal writing, and a computer simulation of decision making for school improvement called, "In the Center of Things" (Peterson, 2002, p. 221). The institute's focus is leadership (Vanderbilt Peabody College, 2012). The curriculum asserts to be aligned to the ISLLC standards but not closely followed (Peterson, 2002).

Pre-service and in-service program models. Districts and educational organizations are responding to the idea that "professional development of school leaders is not just a brief moment in time that ends with graduation from a licensing program" (Darling-Hammond et al., 2007, p. 3). Training programs have adopted a long-term approach that includes pre-service and in-service components in response to the need for on-going leadership development. These programs represent a sampling of the models that currently exist.

Chicago Principals and Administrators Association and the Chicago Leadership Academies for Supporting Success (CLASS). The Chicago Principals and Administrators Association in partnership with Chicago Public Schools (CPA) offers a

comprehensive model that includes sequential, continuous, and in-depth training for aspiring, novice, and veteran principals (Chicago Principals and Administrators Association, 2005; Peterson, 2002). The CLASS model includes a three-part grouping beginning with the Leadership Academy and Urban Network for Chicago (LAUNCH) program for aspiring principals; followed by the Leadership Innovation for Today (LIFT) program in support of first year principals; and the Chicago Academy for School Leadership (CASL) program for veteran principals, assistant principals, and other school administrative positions (Peterson, 2002).

The conceptual framework for the Academies is guided by a set of seven standards that were designed to guide the training and its outcomes. The seven standards, called the Chicago Standards for Developing School Leaders, are as follows:

1. School leadership;
2. Parent involvement and community partnerships;
3. Creating student-centered learning climates;
4. Professional development and human resource management;
5. Instructional leadership improving teaching and learning;
6. School management and daily operations; and
7. Interpersonal effectiveness. (Peterson, 2002, p. 225)

Leadership Academy and Urban Network for Chicago (LAUNCH), for aspiring principals, includes a 5-week summer academy where aspiring principals engage in a variety of learning experiences based upon adult learning theory that include “mini-lectures, case study, videotapes, simulations, small-group problem solving, role-play, computer simulation, group brainstorming, creativity exercises, and reflective

writing” (Peterson, 2002, p. 226). In addition, during the school year, the aspiring principals participate in a semester-long, paid internship with “experienced, carefully screened principals” (Peterson, 2002, p. 226). They attend support and training meetings throughout the year with other LAUNCH members. The curriculum is based upon the seven leadership standards for each LAUNCH participant.

The LIFT training model was established for first year principals and focuses on their development and support. The program is long-term and designed as a job-embedded learning experience that included coaching, mentoring, and feedback. The training model includes a 4-day orientation with learning and sharing experiences, workshops, five program retreats, and coaching with trained principals. The workshops and retreats had a pre-established curriculum based upon the seven leadership standards and assume that university preparation has not covered the daily managerial procedures needed for effective principal leadership, such as district budgeting, district operational procedures, and contractual knowledge. The program reinforced culture building, symbols to build community, ceremonies to celebrate a strong work ethic, accomplishments, a unified identity, and a clear vision that supports strong leadership (Peterson, 2002).

The Chicago Academy for School Leadership (CASL) implements a 2-year training model for sitting principals, assistant principals, and other school administrative positions. Peterson (2002) noted that the curriculum design for CASL was guided by the principles of adult learning theory, and the training strategies included long-term seminars around 11 content modules that were aligned to the seven leadership standards. Included in the modules were activities to build management and communication skills,

organizational culture, and the change process. Participants completed a professional portfolio through job-embedded activities that included reading, presentations, videotapes, and other materials. The instructional approach within the modules included mini-lecture, discussion, case study analysis, brainstorming activities, small-group problem solving, simulations (computer-based and hard copy), and role playing. This academy utilized a permanent staff of trainers, outside consultants, and sitting principals within the Chicago Public School District (Peterson, 2002).

The program attempted to build a culture of “strong professional relationships and to develop trust and camaraderie” among the participants (Peterson, 2002, p. 229). The development of traditions, symbols, and ceremonies were also emphasized in order to reinforce the values of a strong learning community (Peterson, 2002).

Educational Leadership Development Academy (ELDA) at the University of San Diego. In partnership with the San Diego Unified School District since the late 1990s, the ELDA program provides pre-service and in-service training to support the development of strong principal leadership. The program emphasized “the development of principals as instructional leaders and teachers as instructional experts” with all program components being crafted in close collaboration between the university and the district (Darling-Hammond et al., 2007, p. 26). The pre-service program hand-selects recruits to complete a year-long series of full-time study at the university within a paid internship under the coaching of an assigned, expert principal within the district.

Educational Leadership Development Academy’s pre-service program curriculum covers: instructional leadership, organizational development, and change management. Trainees are provided with extensive training in designing and implementing professional

development for teachers and training in developing district-required school plans (Darling-Hammond et al., 2007).

Further, the ELDA program offers an intensive in-service training for practicing principals within the district. The training is delivered by an instructional leader who has oversight for a learning community that offers: “formal and informal principal networks, study groups, staff developers, mentor principals, and peer coaching. The focus is on teaching, learning, and instructional improvement” (Darling-Hammond et al., 2007, p. 27). These in-service participants engage in monthly principal conferences, professional development institutes, and classroom observations at schools to observe teaching practices. In addition to this support, new principals who need assistance have access to mentors for further development (Darling-Hammond et al., 2007).

The Gheens Academy: Louisville, Kentucky. This training exists as a partnership between a private entity, the Gheens Foundation and the Jefferson County Public School District (Davis et al., 2005; Spiro, Mattis, & Mitgang, 2007). The partnership was established in the 1980s and offers a cohort model whereby participants move through the training together. Cohorts groups are comprised of aspiring principals or sitting principals. The Gheens Leadership Development Center delivers a training model that includes: “workshops, training focused on specific mandates (such as evaluation training for new principals), mentorship opportunities for newly appointed principals, and individual assistance for experienced principals” (Peterson, 2002, p. 218). The curriculum is focused on instructional leadership, management, parent involvement, and community and business partnerships (Davis et al., 2005; Spiro et al., 2007). The cohort groups meet in 3- to 8-week strands. The instructional strategies include professional

readings, reviewing case studies, and group projects. There are few, if any, course lectures within their instructional delivery (Davis et al., 2005; Peterson, 2002; Spiro et al., 2007).

Administrators throughout the United States have access to a variety of training programs that are designed to prepare aspiring leaders for the principalship and those designed to build the capacity for strong leadership among practicing principals. A sampling of the various professional development programs within the literature revealed a wide variance in the models that exist. According to the literature, programs vary by geographic location, program staffing, and the learners that they target; from aspiring principals to veteran practitioners to other school administrative positions. Further, programs vary by core features such as: curriculum design and delivery, technology integration, program goals, learning standards, instructional strategies, program structure, and the program's culture. Programs are sponsored by a variety of entities which include local school districts, partnerships with school districts and local business and community organizations, administrator associations, state colleges and universities, and private organizations (Beebe et al., 2002; Chicago Principals and Administrators Association, 2005; Darling-Hammond et al., 2007; Davis et al., 2005; Peterson, 2002). In spite of the variance, one goal remains for all program models: to build quality principals, both present and future, who will in turn build quality educational programs through training models that prove to be efficacious.

The increasing complexity of the principalship responsibilities in leading a site now suggests that training programs are reformed in order to equip leaders with new tools, new skills, and provide for on-going training that will build effective leaders and

effective schools. Ongoing attention to underperforming schools has developed an increased awareness of the need for professional development models that will effectively train principals through the use of a variety of strategies suitable for adult learners (Darling-Hammond et al., 2007). As this study seeks to describe a principals' training model that includes coaching and mentoring, an investigation of the program elements that best meet the needs of principal learners merits further consideration. A review of the literature surrounding adult learning theory will provide a framework by which to analyze the principal training models' ability to meet the needs of school leaders as learners.

Adult Learning Theory

How adults learn has occupied the attention of scholars, curriculum writers, and educational program designers for numerous decades. While scholars have no one clear definitive answer, a plethora of theories, models, and principles have helped to explain how adults learn best (Brundage & MacKeracher, 1980; Hansman, 2001; Kilgore, 2001; McCarthy, 1991; Merriam, 2001; Merriam & Caffarella, 1991).

Andragogy

One theory that attempts to describe how adults learn best is known as *andragogy*. Malcolm Knowles, around 1967, introduced the term to the American culture (Knowles, Holton, & Swanson, 2011). While the term was first used around the 18th century, it began to appear in articles and spoke of teaching in a way that best met the needs of adult learners (Brundage & MacKeracher, 1980; Knowles et al., 2011). Andragogy was re-introduced and made a distinction between the ways pre-adults should be taught as compared to adults. The pedagogical model was used to describe how children were best

taught, and the andragogical model was the term used to describe how adults were best taught. Brundage and MacKeracher (1980) defined pedagogy as “the art and science of helping children learn and andragogy as the art and science of helping adults learn” (p. 6). Knowles et al. (2011) provided a more definitive reference, stating:

The pedagogical model, designed for teaching children, assigns to the teacher full responsibility for all decision making about the learning content, method, timing, and evaluation. Learners play a submissive role in the educational dynamics. In contrast, the andragogical model focuses on the education of adults and is based on the following precepts: adults need to know why they need to learn something; adults maintain the concept of responsibility for their own decisions, their own lives; adults enter the educational activity with greater volume and more varied experiences than do children; adults have a readiness to learn those things that they need to know in order to cope effectively with real-life situations; adults are life-centered in their orientation to learning; and adults are more responsive to internal motivators than external motivators. (p. 70)

The assumptions that underlie andragogy describe the adult learner as one who has the ability to direct their own learning, one who brings experiences to the learning, has the desire to immediately apply the learning toward solving real problems, and perhaps for that reason, is self motivated (Brundage & MacKeracher, 1980; Knowles et al., 2011; McCarthy, 1991; Merriam, 2001; Merriam & Caffarella; 1991). While this theory is meant to lay a foundational understanding for how adults learn best, critics acknowledge that this is not characteristic of all adults. This criticism caused Knowles to revise earlier writings thereby representing andragogy versus pedagogy as a continuum

where both approaches can be appropriate for children and adults. The shift in thinking recommended a continuum that ranged from teacher-directed learning to student-directed learning (Brundage & MacKeracher, 1980; Kilgore, 2001; Knowles et al., 2011; Merriam, 2001; Merriam & Caffarella, 1991). This shift in theory can serve to inform developers of training models on the types of learning activities that have the potential to best train pre-service and veteran principals alike.

Brundage and MacKeracher (1980), in a report commissioned by the Ontario Ministry of Education on adult learning principles and their application to program planning, outlined the characteristics of adult learners across seven identified categories. The report was developed “through an analysis and synthesis of the literature on adult education, andragogy, teaching and learning, and other related fields” (p. iii). Their report outlined a series of adult learning principles within the following seven categories: physiological, self-concept, emotional, past experiences, time, motivation, and learning styles and abilities. The learning principles Brundage and MacKeracher identified are listed below:

A. Physiological characteristics of adult learners

- a. Adults learn best when they are in good health, well rested, and are not under stress.
- b. Adults do not learn productively when under severe time constraints. They learn best when they can set their own pace and when time pressures are kept to the minimum. (p. 23)

B. Self-Concept

- a. Adults enter learning activities with an organized set of descriptions and feelings about themselves which influence the learning process.
- b. Adults with positive self-concept and high self-esteem are more responsive to learning and less threatened by learning environments. Adults with negative self-concept and low self-esteem are less likely to enter learning activities willingly and are often threatened by such environments.
- c. Adults react to learning experiences or information as they perceive it, not as the teacher presents it.
- d. Adults learn best when there are activities which allow them to organize and integrate new learnings into their self-concept.
- e. Adults learn best in environments which provide trusting relationships, opportunities for interpersonal interactions with both the teacher and other learners, and support and safety for testing new behaviors. (p. 26)

C. Emotions, Stress, and Anxiety

- a. Adults learn best when they are stimulated, aroused, or motivated to an optimum level through internal or external sources.
- b. Adults do not learn when over stimulated or when experiencing extreme stress or anxiety.
- c. Adults learn best in environments which provide trust relationships and freedom from threat.
- d. Adults who enter into learning activities are often well motivated and generally do not require further stimulation. In the form of pressure or

demands from the instructor or other learners. What they may require is assistance and support to channel their motives into learning rather than into self-defense.

- e. Adults learn best when the content is personally relevant to past experience or present concerns and the learning process is relevant to life experiences.
- f. Adults learn best when novel information is presented through a variety of sensory modes and experiences, with sufficient repetitions and variations on themes to allow distinctions in patterns to emerge.
- g. Adults learn best through effective two-way communications which emphasize learner talking and self-reflecting and teacher listening and reflecting. (p. 31)

D. Past Experiences

- a. Adults learn most productively when the material being learned or the processes being used bear some perceived relationship to past experience, or when past experience can be applied directly to new situations.
- b. The past experience of adult learners must be acknowledged as an active component in learning.
- c. All adults do not necessarily possess all the meanings, values, strategies, and skills required for new learning activities. Acquisition of the missing components must be regarded as an essential activity in all learning experiences. (p. 35)

E. Time

- a. Adult learning should focus on the problems of the immediate present.

Learning content should be derived from the learner's needs.

- b. When learning focuses on problem-solving, the solutions must come from, or be congruent with, the learner's experience, expectations, and potential resources, rather than being prescribed by an 'expert'.

- c. Adults tend to experience a need to learn quickly and get on with living. They are often reluctant to engage in learning or content which does not appear to have immediate and pragmatic application within their life.

(p. 36)

F. Motivation

- a. Adults who begin with motive related to unmet needs are likely to feel more threatened and to require more teacher support, structure, and extensive assistance in clarifying their own directions and goals.

- b. Once direction and goals have been clearly identified, behavioral objectives can be developed which will guide the learner and teacher in seeking, giving feedback, and providing real information for the guidance of learning.

- c. Success and satisfaction become reinforcers for learning and motives for further learning.

- d. While adults have the verbal capability to clarify and specify their own learning needs, they are often reluctant to do so and may need assistance in the process. (p. 41)

G. Learning Styles and Abilities

- a. A group of adult learners each have individualistic learning and cognitive styles and mental abilities.
- b. The teacher of adults must be willing and able to respond to each learning and cognitive style and how these styles affect the processes he uses to assist learners.
- c. Cognitive and learning styles are value-neutral, meaning there is no 'one best way to learn.'
- d. Adults tend to be proficient at self selecting the learning situations which best enhance their own learning/cognitive styles.
- e. Adult learners prefer to start with the learning activities they are most comfortable with and to avoid those they see as difficult.
- f. Adult learners and their teachers share the responsibility for teaching activities such as providing input, creating learning experiences, directing activity, and deciding on directions and objectives. (pp. 50-51)

Brundage and MacKeracher's (1980) report summarized guidelines that can influence the design of training activities that would be geared toward principals as adult learners. The report encapsulates a plethora of learning principles that may be applied to the professional development programs responsible for training pre-service and in-service administrators. Caution must be exercised, however, in that the report notes that there is no one set way for all adult learners.

Context-Based Adult Learning Theory

Context-based adult learning stemmed from the work of psychologist L. S. Vygotsky (1978) who contended that “all human activities take place in a cultural context with many levels of interactions, shared beliefs, values, knowledge, skills, structured relationship, and symbol systems (p. 45). Merriam and Caffarella (1991) contend that adult learning is shaped by many factors, such as social and cultural influences, and does not occur within an isolated space. The theory of context-based adult learning is that learning is best shaped by the context of the learning situation, the learning tools, and the cultural elements (Hansman, 2001; Kilgore, 2001). Learning is not achieved through isolated or fragmented bits of information. Adults best understand and make meaning when they can connect to real-world, authentic contexts. Hansman (2001) suggests:

Adult educators understand that learning can take place in many settings and therefore design programs that incorporate tools, context, and social interactions with others. These programs could take the form of internships, apprenticeships, and formal and informal mentoring programs that provide adult learners with real-world, context based learning. (p. 49)

Theorists concede “that there is no such thing as one kind of learner, one learning goal, or one way to learn, nor one setting in which learning takes place” (Kilgore, 2001, p. 53). These theories are meant to provide a framework for the design of adult training programs. More is to be learned as to the best approaches for instructing adult learners.

As the nation entered the 21st century, “both the preparation of aspiring principals and the development of practicing principals have been the focus of much criticism and reform” (Young & Grogan, 2008, p. 305). There is evidence within the literature that

pre-service programs and training programs for sitting principals have now begun to incorporate many of the learning principles of the andragogical model, as well as the learning principles from Vygotsky's (1978) context-based learning theory (Darling-Hammond et al., 2007; Davis et al., 2005; Peterson, 2002). Specifically, many of the exemplary principal training models found within the literature incorporate coaching and mentoring as a training strategy to build principal effectiveness in pre- service and in-service programs (J. Daresh & Playko, 1990; Darling-Hammond et al., 2007; Davis et al., 2005; Mendez-Morse, 2004; Peterson, 2002).

Principal Coaching and Mentoring

The current demands of the principalship, particularly in large schools or schools within the urban communities, far exceed the capacity of most people (Darling-Hammond et al., 2007). Davis et al. (2005) asserted that:

Principals are expected to be educational visionaries, instructional and curriculum leaders, assessment experts, disciplinarians, community builders, public relations/communications experts, budget analysts, facility managers, special programs administrators, as well as guardians of various legal, contractual, and policy mandates and initiatives. In addition, principals are expected to serve the often conflicting needs and interests of many stakeholders, including students, parents, teachers, district office officials, unions, state and federal agencies. The demands of the job have changed so that traditional methods of preparing administrators are no longer adequate to meet the leadership challenges posed by public schools.

(p. 6)

Many aspiring leaders fail to take account of the comprehensive professional training that is necessary for the principalship, not to mention the personal transformation that must occur in the shift from teacher to principal (Browne-Ferrigno & Muth, 2004). As those who oversee the administrative ranks give consideration to the needs of these adult learners who will occupy the professional development programs for practicing principals, the need for on-going training is no longer an optional activity, but essential to the success of educational leaders and the schools they lead.

Davis et al. (2005) asserted that “the demands of the job [of principal] have changed so that traditional methods of preparing administrators are no longer adequate to meet the leadership challenges posed by public schools” (p. 6). A growing body of literature suggests that principals may benefit from formal coaching and mentoring as a means to receive support and develop proficiency in all areas of the position (Archer, 2006; Browne-Ferrigno & Muth, 2004; J. Daresh, 2001; Darling-Hammond et al., 2007; Davis et al., 2005; Hertting, 2008; Peterson, 2002).

As defined by J. Daresh (2001), “mentoring is an ongoing process in which individuals in an organization provide support and guidance to others in order to become effective contributors to the goals of the organization” (p. 3). Mentoring is meant to build capacity for those in positions of power, oversight, and influence. In fact, “84% of superintendents say they are actively and deliberately grooming someone on their staff for a more senior position, and most principals (67%) say they are doing the same in their schools” (Riggins-Newby & Zarlengo, 2003, p. 11). Educators acknowledge that the principles of practice associated with coaching and mentoring work in pre-service as well as in-service capacities. Darling-Hammond et al. (2007) and Peterson (2002) outlined

several in-service programs whereby mentoring and coaching were utilized as a training strategy to build the capacity of practicing principals. Even though many of the programs under study (Darling-Hammond et al., 2007; Davis et al., 2005; Peterson, 2002) yielded findings that categorized the training as exemplary—more can be learned about the effectiveness of coaching and mentoring as a means to build principal leadership capacity.

The professional standards and the expectations for school leadership are changing. Therefore, universities, districts, private consultants, and state and local partnership training organizations are faced with a need to adapt pre-service and in-service principal development as well (Barnett & O'Mahony, 2008; Browne-Ferrigno & Muth, 2004; CCSSO, 1998; Darling-Hammond et al., 2007). As the challenges and demands for the principalship mount, it is critical to give attention to training leaders to align all aspects of the school so that instruction will improve for all children (Darling-Hammond et al., 2007; Grogan & Crow, 2004). If principals are to develop in the leadership practices and behaviors proven to build successful, high performing schools, then a vehicle for their on-going development is essential. The coaching and mentoring experiences of successful principals may serve to inform the educational community on another viable training strategy to build leadership capacity.

Ehrich and Hansford (1999) noted that the effectiveness of mentorships is based upon three key assumptions: that mentors show commitment to the program, that there is compatibility between the mentor and mentee, and that mentors have the skills and knowledge necessary to assist the principal's professional growth. If these conditions are not met, positive outcomes for principals are unlikely. Moreover, while some principals

benefit from their mentoring experiences, the quality of the experience has been known to vary (Ehrich & Hansford, 1999).

In a study utilizing a mixed methods approach by Pocklington and Weindling (1996), among headmasters and their mentors, they identified several positive outcomes within the mentoring experience. Their research methodology utilized questionnaires and interviews to gather the views of those participating in a mentoring pilot program. Questionnaires were completed by 238 headmasters and 303 mentors, constituting a response rate of 65% and 68%, respectively. From this sample, a case study was conducted with 16 mentor pairings (Pocklington & Weindling, 1996).

Data from the mentor pairings in Pocklington and Weindling (1996) study were taken from interview transcripts and focused on what was covered during the mentor meetings. Within the sample, the respondents identified several priorities to include: school management and finance, improving teaching and learning, school image, and teacher team-building and evaluation. It was the intent that the program mentors' work would focus on the priorities by the headmasters. Mentors from the case study described using open-ended questioning and long-term strategic problem solving functions with their mentees as a strategy to address their knowledge and skill gaps. In the following representative case study response, the mentee describes the interaction with the mentor:

My mentor dealt with problems of an immediate nature on a regular basis; my mentor allowed me to grow professionally and personally through sharing concerns, ideas, problems and successes and thereby develop into a critical, reflective leader of the school; and it had been invaluable to have someone in whom I could confide my frustration, anger, uncertainties and fears, as well as talk

through possible ways of addressing this and other problems affecting the school—notably, student underachievement and absenteeism, and low staff morale.

(Pocklington & Weindling, 1996, pp. 177-179)

This mentee's response gives an indication of the training's positive effect upon the headmaster's work with problem-solving, self-efficacy, and direction to address student achievement. According to Pocklington and Weindling (1996), the headmaster mentoring program benefitted the new leaders by assisting in mutual learning, providing camaraderie, and nurturing personal and professional reflection; program experiences also served to negate the feelings of isolation, task insecurity, and vulnerability.

The researchers noted that the experiences varied depending upon the mentors' commitment, knowledge, and skills, as well as the compatibility between the mentor and the mentee, conclusions that seem to support those advanced by Ehrich and Hansford (1999). Yet, Pocklington and Weindling (1996) also concluded that while the headmasters' list priorities and issues, they were only mentioned in 3 out of 10 instances. The researchers said the challenge appeared to be keeping the student achievement needs equal to the development of principal needs. The mentors' priority focused mainly on the needs of the principal-as-manager, as opposed to the principal as one who improves teaching and learning (Pocklington & Weindling, 1996). Further study, keeping the two factors of manager and instructional leader at the forefront, is essential as researchers explore how principals perceive the ability of mentoring to help develop and/or support effective leadership practices.

In 2010, the Chicago Public Schools ELIS Effective Leaders Improve Schools (ELIS) Program, a principal training model that included mentorship:

- Mentors were to provide direct and purposeful support to help aspiring or new principals to perform at high level and make observable progress toward becoming transformational instructional leaders;
- Mentors and mentees connect leadership development efforts to improvements needs in the school, resulting in positive impact on the quality of teaching and learning as evidenced by measurable gains in student achievement; and
- The mentoring relationship is an integrated component of meeting the professional needs of the mentee, as the mentor uses blended coaching strategies to improve targeted, appropriate, and timely learning and development opportunities to aspiring and new school leaders. (P. Daresh, 2010, p. 124)

The program was also designed to build principals' capacities to develop and articulate a belief system through voice and action, engage and develop faculty, assess the quality of classroom instruction, facilitate and motivate change, and balance management (P. Daresh, 2010).

For his research, P. Daresh (2010) gathered data from the ELIS program over a 3-year period during its initial implementation. At the onset, the following data gathering instruments were administered to mentor pairs to evaluate the program's progress toward goal attainment: (a) The Principal Mentoring Quality Assurance Reflection Instrument, (b) Induction Mentor Support Logs, and (c) Collaborative Logs (adapted from Bloom et al.'s (2005) work on Blended Coaching). The resulting data allowed for reflection on the types of activities that were working in the mentor coaching relationships, areas in need of improvement, strategies for improvement, and additional supports needed from

the district. The data also provided evidence of face-to-face interactions and a look into how meeting agendas were co-created.

P. Daresh (2010) noted that the end-of-year findings, based upon document analysis, guided the implementation of programmatic changes. In the beginning of the program, training focused on helping principals address managerial issues. After years two and three, support focused on principal competencies and mentors were no longer setting or controlling the agendas. Due to the programmatic changes made along the way, principals expressed a growing satisfaction in support over the 3-year evolution of ELIS. At the end of year three, the findings for principals revealed that they were satisfied with the mentor coaching interaction and appreciated the investment into their professional development, especially during the first years of the job (P. Daresh, 2010).

With regard to the mentors, the P. Daresh (2010) findings revealed they enjoyed the opportunity to contribute to a colleague's growth. However, in the early years of the program questions arose as to whether or not the pairs engaged in conversations related to professional development around the program competencies, and whether or not the principals were becoming more skillful in the execution of the expected leadership behaviors. By year three, mentors reported that they relied more on focusing on developing their mentee's (headmaster's) mastery of the identified competencies than in previous years.

P. Daresh (2010) identified two main insights after reviewing the findings, which he believed called for future study. First, he asserted that there was a need to "determine specific ways mentoring and coaching activities are helping new principals think about the use of desired competencies" and a need to "ascertain the impact of mentoring on new

principals' capacities to address the improvement needs of their schools" (p. 132).

Second, he believed there was a need to "attend to the quality of mentoring and coaching interactions taking place to promote new principals' reflections about improving their professional practice" (p. 133).

Findings from the ELIS program support the need to engage in formative evaluation with mentorship and coaching programs (P. Daresh, 2010). With timely data and feedback, programs can be adjusted to ensure that the developmental needs of principals are being addressed. Studies to address these considerations have the potential to transform the preparation, induction, and on-going professional development programs for principals through the use of mentoring and coaching strategies.

Effective mentoring and coaching constitutes empowerment built upon a foundation of mutual trust and respect (J. Daresh, 2001; Hall, 2006; Rich & Jackson, 2005). Mentoring and coaching involves a strong commitment on the part of both participants to invest time and engage in courageous, collegial conversations (J. Daresh, 2001; R. J. Malone, 2001; Miller, 2004). Such conversations result in strong bonds between participants. Still, J. Daresh (2001) recommends that these strong connections be balanced with objectivity about the potential outcomes of this training strategy so as not to raise unrealistic expectations. Although mentoring and coaching is not a panacea for principal professional training and development, growing research supports participants' remaining optimistic about the opportunities for growth and advancement of successful leadership practices (Reddekopp, 2008).

Browne-Ferrigno and Muth (2004) followed multiple cohorts of aspiring and practicing principals as they participated in professional development through mentorship

and coaching. They conducted two case studies at the University of Colorado at Denver (UCD) using veteran principals as program mentors and coaches.

In the first study, Browne-Ferrigno and Muth's (2004) purpose was to provide a perspective on the benefits of coaching and mentoring aspiring and practicing principals together through clinical practice. Issues related to role-socialization, professional development, and leadership capacity-building were addressed as they related to the training experiences. Researchers sought to inform the practices of university-based preparation programs and principal leadership development programs with regard to how participants can gain authentic administrative experience guided by coaching through mentorship (Browne-Ferrigno & Muth, 2004). Findings from the first study in the area of role-socialization indicated that aspiring principals required an intricate process whereby they can learn and reflect when working closely and being coached by a mentor in authentic experiences, much like the adult learning principals identified by Knowles et al. (2011). The adult learning principles suggest that adults learn best when the knowledge is relevant to real problems or situations that they currently face (Knowles et al., 2011).

The second study was a cross-cohort case study where the researchers compared the influences of a variety of field experiences on aspiring, novice, and veteran principals in leadership learning (Browne-Ferrigno & Muth, 2004). While role transformation was the researchers' primary interest, the importance of mentoring in authentic administrative work emerged from the data. Data analysis revealed that when carefully constructed coaching and mentoring experiences were created, effective professional development occurred for aspiring, novice, and veteran principals (Browne-Ferrigno & Muth, 2004). Findings also suggested that administrative clinical practice could be greatly enhanced

through “focused mentoring provided by qualified professionals” (Browne-Ferrigno & Muth, 2004, p. 470). In addition, effective mentoring provided stimulation for role-socialization for upcoming principals and novice principals. The coaching experience allowed the aspiring principals to begin to make decisions according to a newly assumed principal. The coaching experience allowed the novice principals to make better decisions similar to a veteran principal.

Veteran principals, who served as the mentors, grew from their coaching experience as well (Browne-Ferrigno & Muth, 2004). J. Daresh (2001) confirms this idea through his professional expertise in the practical aspect of administrative mentoring. He asserted that: effective mentoring relationships have two-way sharing and learning where both participants grow in the process. He argued that

Mentoring relationships should be deliberate in their design so that principals (both mentor and mentee) are helped in the process. Leadership mentoring during clinical practice increases the capacity of new and veteran administrators to meet the demands of school leadership. (p. 470)

Mendez-Morse (2004) conducted a qualitative study in West Texas among 60 school districts and 480 veteran principals. Among the principals, more than 90% were White males and fewer than 3% were African-American and Mexican-American. The primary goal of the study was to identify mentors or role models significant to the careers of the Mexican-American female principals; the secondary goal was the identification of any individuals who had been mentors or role models. Purposeful sampling was used to select participants for an information-rich collection of data. In the district, there were only 13 Mexican-American principals, of which 6 agreed to participate (Mendez-Morse,

2004). Data were collected from interviews and focus group meetings. The interviews were semi-structured with open-ended questions focused on identifying any role models or mentors they interviewed had experienced.

Findings from the Mendez-Morse (2004) study indicated that the principals had sought out mentors based upon the principals' specific skills and knowledge gaps. The mentors were primarily nonprofessionals such as a mother or father, siblings, aunts or uncles, and cousins; however, other mentors included professionals such as community members, counselors, and other principals (Mendez-Morse, 2004). All respondents indicated that they assembled their role model or mentor from those who had the skills, knowledge, and/or support that they needed. While traditional mentoring programs seek to match mentors with mentees, these participants had to seek out their own sources for training and support. Mendez-Morse's findings suggest that traditional mentoring programs are not the only viable means for leaders to gain professional growth, but nontraditional mentors and coaches were found to offer professional growth as well. The findings suggest that informal and nontraditional coaching and mentoring practices merit deeper investigation.

Kanter (1977) conducted a 5-year, mixed methods case study of the comprehensive ordering of the experiences and reactions of men and women in organizations. The study focused on the potential of nontraditional mentorship and coaching relationships that can assist in providing underrepresented groups greater access to management positions. The study attempted to highlight the dysfunctional behavior in organizations that prohibited groups from accessing career advancement, highlight common organizational problems, identify the obstacles that impeded efficiency and

productivity, as well as suggest more humane and equitable operating practices. An embedded outcome of the study was to address the equitable treatment of women within the workplace and how they could successfully navigate the power structures within organizations. Kanter, as participant-observer, collected data from observations, open-ended interviews, surveys, pretests, focus groups, and document/content analysis. From the study findings, themes emerged around the use of coaching and mentoring to advantage one's professional career with knowledge and skills development and the skills that lead to promotional opportunities (Kanter, 1977).

According to Ehrich and Hansford (1999), Kanter's (1977) work served as the catalyst for subsequent research around the use of mentoring to advance one's professional success within an organization. In addressing the pros and cons of mentoring, Ehrich and Hansford identified three categories of mentoring, "traditional, professional, and formal" (p. 93), and noted that in each of these categories the experiences can be quite different. Based upon these varied experiences, formal programs were given priority to address the gaps among participants. In addition, Ehrich and Hansford asserted that the formal/traditional programs were developed to address "homosocial reproduction," a term coined by Kanter's (1977, p. 53) study, where the selection of incumbents is made on the basis of social similarity. In these instances, there is an elitist-group formation, where one group enjoys the privilege of having a mentor to coach and assist in career advancement. Ehrich and Hansford refer to this practice as one of the disadvantages of mentorship-type programs, where mentors have a bias and they become highly selective and exclusive in nature.

Where there is lack of accountability, mentors as coaches can also become more comfortable with those who are similar in mind-set, world view, race, gender, or all of these conditions (Ehrich & Hansford, 1999). In such situations, mentorship then becomes an inequitable practice serving to disadvantage groups historically discriminated against due to their race, ethnicity, gender, religion, sexual orientation, age, and the like. Professional mentorship and coaching programs were supposed to become the solution in an attempt to dismantle the barriers experienced by those unable to benefit from the biased practices (Ehrich & Hansford, 1999).

By contrast, Darling-Hammond et al. (2007) highlighted two exemplary pre-service principal development programs that utilized a mentorship-coaching internship component that was aimed at bridging the gap of underrepresented groups within the principalship. The Bank Street Principals Institute and the Delta State University both aimed at preparing a greater number of women and minorities to enter the ranks and become effective principals. The use of mentorship and coaching was one strategy within the development programs meant to counteract former access to the role of school leader. Therefore, further study focused on the use of mentorship and coaching programs, and their ability to support workplace equity might yield findings that are able to improve the practices of this training strategy. Future findings could also provide a series of tangible activities for mentoring and coaching models that would mitigate some of the negative trends identified in previous research. These new ideas and structures have the potential to impact the advancement of professional development and growth through mentoring and coaching, as well as reducing the bias that can occur.

In another study conducted by Spiro et al. (2007), researchers were intrigued at the increased use of mentorship to improve school leadership for novice school leaders during the first years of the position. The study sought to investigate the use of mentorship programs now adopted by as many as 22 states for the purposes of supporting new principals. The research explored why so many states and districts were turning to principal mentoring, what can be learned from their early experiences, what are the verifiable benefits to new principals, what are the difficulties and challenges, what should be the core goal of principal mentoring, and what should quality mentoring look like (Spiro et al., 2007). Researchers reviewed existing literature on mentoring in education and other professions, they conducted interviews with educators, and made site visits in two of the districts employing principal mentoring, Jefferson County, Kentucky and New York City's Leadership Academy.

Findings from Spiro et al. (2007) found that principal mentoring was falling short of its potential. This was due to the program being set up as a buddy system or as a check-list of activities that failed to help prepare principals to become adept in the key responsibilities of a site leader. Findings noted the following common symptoms of the mentoring programs studied:

- 1) Vague or unclear goals
- 2) Insufficient focus on instructional leadership and/or overemphasis on managerial role
- 3) Weak or non-existent training for mentors
- 4) Insufficient mentoring time or duration to provide enough sustained support to prepare new school leaders for their multifaceted job challenges

- 5) Lack of meaningful data to assess benefits or build a credible case for sustained support
- 6) Underfunding that contributes to all of these shortcomings. (Spiro et al., 2007, p. 4)

Even with the common problems identified within the study, researchers also found occurrences of mentoring that supported novice principals. From the interviews, they found that “both mentors and protégés reported to be very satisfied with the experience due to the belief that some mentoring is better than none” (Spiro et al., 2007, p. 4).

Further, the study found that competing budgetary priorities hindered the ability to sustain any level of mentorship training programs, especially in light of the shortcomings.

Spiro et al. (2007) developed the following suggestions that may serve to improve the quality of the principal mentorship training:

- 1) Creating statewide, quality guidelines for mentorship programs.
- 2) High quality training for mentors.
- 3) Mentoring programs gather meaningful data about its efficacy, especially how mentoring is contributing to the development of leadership behaviors necessary for improved teaching and learning.
- 4) Establish at a minimum, a year long program, ideally two or more years, in order to adequately support new principals as they move from novices to strong leaders capable of making deep school change.
- 5) Provide state and local funding for principal mentoring in order to provide quality training, stipends for mentors, and a lengthy time period of mentoring to provide new principals with meaningful professional induction.

- 6) The primary goal of mentoring should be clear and unambiguous. Mentoring provides new principals with the knowledge, skills and courage to become leaders of change who place teaching and learning first in their schools.

(Spiro et al., 2007, p. 4)

Spiro et al.'s (2007) study also found that principal mentoring had potential benefits. One novice principal reported that "the early days of the job can be among the loneliest, and a time of overwhelming self-doubt but the confirmation and assurance of an experienced, nonjudgmental colleague [mentor] can make all the difference" (p. 21). In light of such promise, researchers also found potential pitfalls of the mentorship program. The implementation was found to have design flaws that affected the potential of mentorship to realize greater training benefits. State leaders indicated difficulty in

continuing to recruit quality principal mentors as the rewards are intrinsic and the obligations of mentoring, as currently structured, are onerous for many sitting principals. Mentors are expected to spend at least 50 contact hours with new principals, fill out numerous forms, schedule committee meetings, and be available for advice beyond the minimum hours. (Spiro et al., 2007, p. 15)

Program logistics such as structure, recruiting, reasonable time commitment, and funding all represent negating factors that must be addressed in order to develop mentorship programs that can support the goal of developing strong principal leaders.

While the novice principals in Spiro et al.'s (2007) study perceived that the mentor was valuable, data could not support the fact that leadership behaviors or practices were being developed within the school leaders. In addition, there was no programmatic evidence that the focus of the school-wide culture was fixed on improving teaching and

learning as a result of working with the mentor. As the researchers addressed the pros and cons of the mentorship training strategy under study, more is to be learned about the potential benefits of supporting practicing principals, in particular those new to the position through the use of mentors.

James-Ward and Potter-Salcedo (2011) conducted a study on the coaching experience of 16 urban school principals. The study examined how principals and their coaches spent time together and the impact of the coaching experience on principal actions. The study was a descriptive evaluation of a leadership coaching model in an urban school district located in Southern California. The district was in Program Improvement status based upon the fact of not having met their statewide academic growth targets. Based upon the state's recommendation and the district's superintendent having mandated coaching for principals, the study sought to identify how the coaches impacted the principal leadership practices.

In James-Ward and Potter-Salcedo's study (2011), the superintendent determined that all elementary principals with less than 4 years of principal experience, and those leading schools in Program Improvement status, would receive a coach. The coaching was considered a 6-month professional development tool. It was the intent that coaches would build principal capacity to improve teaching and learning and to carry out district initiatives. Over the 6-month period, coaches and principals were to have met every 1 to 2 weeks in 3- to 6-hour time blocks. Principals were matched with coaches based upon similar personalities "and the strengths of coaches to principals' needs" (p. 128). The coaches were assigned to work with one novice principal and one veteran principal.

The study's methodology included the administration of a pre- and post-survey instrument to all principals and coaches. The principal pre-survey questions addressed administrative experience, beliefs about the principal's role, and school-wide vision and goals. The open-ended post-survey questions addressed the impact of the coaching on principal actions, how the pairs spent their time together, and ways to improve the coaching experience (James-Ward & Potter Salcedo, 2011).

The coaches' open-ended pre-survey questions focused on any previous principal experience, beliefs about successful leadership, and reasons for becoming a coach. The post-survey focused on the perceived impact of the experience on the principals, how time was spent together, and ways to improve the coaching experience (James-Ward & Potter-Salcedo, 2011). The two researchers assumed differing roles—one was participant observer, the other was not. Each developed the questions and analyzed data, but to ensure objectivity, the researcher not involved with the district compiled data, reviewed the responses, and wrote the findings.

Findings from the James-Ward and Potter-Salcedo (2011) study found that from the coaches' perspective the relationships with both principals were "collegial and trusting" (p. 131). Veteran principals were less receptive to affording immediate trust and seen as "not as open to feedback" as the novice principals. The veteran school leaders were more annoyed with the confusion around district initiatives; however, the novice principals welcomed feedback, engaged in questions, and they were open to considering a variety of perspectives.

Additionally, James-Ward and Potter-Salcedo (2011) found that the coaches thought the principals would rate the coaching experience as inspiring and kept them

going in the face of difficulty and chaos. They believed novice principals would describe the training as “extremely helpful in the development of leadership skills” (p. 131) and the veteran principals would state the coaching helped with handling difficult teachers and helped to stay focused.

The principals’ perspective indicated that “having a coach once a week to validate, reassure, and provide professional support assisted in removing what can be lonely work” (James-Ward & Potter-Salcedo, p. 134). They also reported that the site visits gave sufficient time to observe classrooms and instruction, followed by reflection on the observations. Moreover, findings indicated that most principals gained a greater level of courage as a result of the experience, but an opposing opinion stated that “she was a courageous leader before receiving assistance from a coach” (James-Ward & Potter-Salcedo, p. 135). One principal noted that they had not learned much from the experience, and it was like being shadowed as opposed to being coached, stating, “Student achievement has improved because practices are more systematic and deliberate” (p. 135).

Principals in the James-Ward and Potter Salcedo (2011) study reported that teacher evaluation was impacted as a result of the coaching experience. They indicated that “the coach shared various formats for feedback that included effective feedback and follow-up” (p. 135). They indicated that the time spent observing classes provided an extra set of eyes to see things they might have previously missed. That coaches, for the most part, helped principals to review data in new and meaningful ways. However, two principals stated data analysis did not occur, as it was not an area of need. Most

principals shared they became more reflective as a result of working with the coach, while two principals felt they were reflective prior to the coaching experience.

In summary, James-Ward and Potter-Salcedo's (2011) findings indicated that the majority of principals were impacted by the coaching experience in the following ways: they became more reflective; they had adequate meeting time; principal efficacy increased; they were given new ideas to improve student achievement and for teacher evaluation; and classroom observations were enlightened. They valued trust as an important component of the relationship, as well as having a good coaching match. Some principals stipulated that a coach implied a principal needing direction and leadership, whereas a mentor implied someone who helps you become more reflective and offers advice. Even in light of that stipulation, the most noted finding was that all principal respondents believed that leadership coaching should be recommended for all principals. While the findings indicated that the coaching experience had a positive impact on the principals' actions, further study is needed to generalize and substantiate the findings.

Summary

Leadership mentoring and coaching has the capacity to create authentic learning experiences and to assist in the role transformation from teacher to principal, secretary to manager, manager to executive (Browne-Ferrigno-Muth, 2004; Ehrich & Hansford, 1999; Hall, 2008; Kanter, 1977). Additionally, mentoring and coaching can help in-service employees learn new skills and expand their knowledge. Specifically within the arena of education, mentoring and coaching can help build leadership practices for school leaders as identified in Leithwood and Jantzi's (2008) qualitative study on leadership efficacy. Principal capacity building through coaching and mentorship can be realized through

in-service training that is relevant and includes authentic experiences. Most importantly, research findings indicate that preparation and development must extend beyond the pre-service programs, since support for novice or beginning principals and the occasional professional development within the first few years fall short of sustaining strong administrators (Browne-Ferrigno-Muth, 2004; R. J. Malone, 2001; Miller, 2004). Ongoing nurturing, training, and support for knowledge and skill building is necessary for principals charged with continual leadership growth and continual student achievement success.

School leaders are challenged to master the identified practices and responsibilities that the research supports as having an impact upon student achievement (Cotton, 2003; Darling-Hammond et al., 2007; Leithwood & Jantzi, 2008; Marzano et al., 2005). The role of the principal is critical in creating the conditions that will produce quality academic results, and principals are held responsible for producing these outcomes (Cotton, 2003; Darling-Hammond et al., 2007; Waters & Cameron, 2007; Whitaker, 2003). Aware of the need for on-going support, guidance, advice, and encouragement, and with a keen understanding of their role, principals at all levels understand they need formal and informal sources of support in order to lead students to high performance (Hall, 2006). For this reason, many veteran principals reported seeking out their own personal growth experiences (Bugbee, 2006; Mendez-Morse, 2004).

In order to fulfill the principal role and develop the leadership practices and behaviors consistent with successful leaders, on-going, career-long training is essential (Rich & Jackson, 2005; Saban & Wolfe, 2009). Principal mentoring and coaching, once a rarity, is now a requirement by many states to ensure administrators develop the

professional expertise necessary to realize results (“Principals Need Mentoring Too,” 2007; Spiro et al., 2007). In addition, mentoring and coaching as a training strategy exist within many of the professional development programs that have been noted for having exemplary outcomes on principal leadership development (Darling-Hammond et al., 2007; Peterson, 2002; Spiro et al., 2007). No longer are those responsible for recruiting, hiring, training, and supervising principals adhering to the self-development model, which assumes individuals will take personal action to attain the knowledge and expertise necessary to transform schools. Instead, formal, strategic coaching, and mentoring programs have increased in favor and frequency as a means to create effective, sustainable administrative leadership (Beebe et al., 2002; Bugbee, 2006; Darling-Hammond et al., 2007; Davis et al., 2005; Peterson, 2002).

As the theme of mentoring emerged within Kanter’s (1977) case study on the comprehensive ordering of the experiences and reactions of men and women in organizations, a trend toward mentor bias and its ability to negatively impact an organization was identified. Behaviors guided by homosocial relationships, whereby mentors engaged in discriminatory practices, were revealed. This pattern suggested that mentoring had the ability to negatively impact the workplace. Relationships could become exclusive and selective and thereby discriminating against various individuals and/or groups. Unless the design of coaching and mentoring programs included deliberate measures to protect against exclusionary practices, mentoring would not yield the positive outcomes for professional growth for individuals-at-large (J. Daresh, 2001; Ehrich & Hansford, 1999).

The inclusion of accountability within coaching and mentorship has been identified as a crucial factor along with commitment, compatibility, and the level of training within critical skill sets (Browne-Ferrigno & Muth, 2004; J. Daresh, 2001; Ehrich & Hansford, 1999; Mendez-Morse, 2004). When these elements are not properly addressed within coaching and mentorship, the benefits may not be realized. Within the context of seeking to understand how coaching and mentorship can impact, create, and sustain effective school principals, the pros and cons must be weighed. While there are perceived benefits, there is a need for more empirical data to support the use of these training strategies as effective and additional data to inform improvement measures around the use of coaching and mentoring in building principal capacity.

This review of relevant literature examined the historical progression of the role of the principal within public education; effective principal leadership behaviors; and the current responsibilities associated with the principalship. A review of the principal preparation and development programs outlined a sampling of the various design elements that exist nationwide, with a particular focus on the variety of instructional models used to recruit and train pre-service principals and those used to develop and sustain practicing principals. Adult learning theory and the accompanying learning principles that help to shape the instructional design and delivery of the various training models added insight to the reasons for potential effectiveness of the programs outlined within the literature. A review of the literature on the use of coaching and mentoring sought to determine how individuals can move into the identified domains of effective principal practice through an exploration of the use of this training strategy. Lastly, literature on the use of coaching and mentoring in a training model within principal

professional development programs provided a conceptual framework by which to evaluate and describe the focus of this research study—The California League of Middle Schools' Professional Development Program: A Model of Coaching and Mentoring.

Nationwide, school districts are seeking to empower their principals with the necessary leadership tools that will not only close the achievement gap but also produce achievement results for all students. As the demand for effective training solutions grows, there exists the need for additional study as to the potential benefits professional development that includes coaching and mentoring can have upon school leader behavior. It was the intent of this study that those practices perceived as being supportive within a coaching and mentoring model of training could be identified and could add to what is currently known. Understanding how former coaching and mentoring experiences influenced, developed, and supported the leadership behaviors and practices may be a critical component of the next generation of training programs; therefore, this case study of the California League of Middle Schools' professional development program for principals was designed to create new understandings with regard to the pros and cons and to the practices participants perceived as supporting changes in the leadership behaviors of school principals.

CHAPTER 3—METHODOLOGY

This chapter highlights the methodology that was used to conduct a single qualitative case study of the California League of Middle Schools' (CLMS) professional development program that incorporated a training model with coaching and mentoring. The qualitative methodology for this study was informed by the work of Creswell (2009), Marshall and Rossman (2006), Merriam (2009), Schwandt (1997), Stake (1995), and Yin (1994). The methodology and procedures used in this study are outlined in this chapter and include the following components: (a) research design, (b) delineation of the case study, (c) gaining access, (d) participant selection and purposeful sampling, (e) data collection and procedures, (f) validity and reliability, (g) audit trail, (h) data analysis, and (i) ethical considerations.

Research Design

The research design chosen for this study was a single qualitative case study (Yin, 1994). Qualitative research is best suited for understanding how people interpret their experiences and what meaning they attribute to those experiences (Merriam, 2009). Moreover, as Yin (1994) explains, “case studies are the preferred strategy when ‘how’ or ‘why’ questions are being posed, when the investigator has little control over events, and when the focus is on a contemporary phenomenon within some real-life context” (p. 1). Given that this study sought to capture and describe how practicing principals perceived their experiences as participants in a professional development program, a single case study was employed (Stake, 1995; Yin, 1994).

“Case study research is to generate knowledge of the particular” (Schwandt, 1997, p. 13). This study sought to capture the uniqueness of a professional development

training model for principals in that its implementation was limited to one urban school district within Southern California for each of its middle school leaders (Stake, 1995; Yin, 1994). The development model was also unique in that there were multiple training strategies, several trainers or facilitators, and the model offered a variety of resources. The model included coaches that were assigned to a principal on a one-to-one basis, monthly professional development sessions that were led by the mentors and coaches, attendance at the regional CLMS conferences, and professional resources to support the work of an educational leader. Since the study sought to capture the complete essence and distinctiveness of this specified training model, a qualitative case study was the logical research strategy (Stake, 1995; Yin, 1994).

Research Questions

The following research questions guided the study:

1. What are principals' perceptions of the pros and cons of the California League of Middle Schools' coaching and mentoring model for principals?
2. What are principals' perceptions of how participation in the California League of Middle Schools' professional development for principals that included coaching and mentoring, support or change leadership behaviors or practices?
3. What recommendations do principals suggest for the California League of Middle Schools' coaching and mentoring model that would best support the development of leadership practices associated with effective schools?

Delineation of the Case Study

The case selected for this study is the California League of Middle Schools' (CLMS) Professional Development for Principals. It was chosen because it purported to

have offered a comprehensive training package for practicing principals. The program was offered through a partnership between the CLMS and a mid-sized urban district with a history of underachievement. It included extensive access to coaching, mentors, monthly professional development sessions, CLMS conference attendance, model school visits, and professional resources, all within a training span of 5 years. Given these components of the program, this case provides a rich context for studying and understanding the influence of a variety of components of professional development on practicing principals.

The researcher's goal was to expand on the existing beliefs and theories about the effective implementation of in-service principal training models that include coaching and mentoring. Yin (1994) on generalizability noted that: "Critics typically state that single cases offer a poor basis for generalizing" (p. 36). "A common complaint about case studies is that it is difficult to generalize from one case to another" (p. 37). "This is because survey research relies on statistical generalization, whereas case studies rely on analytical generalization. In analytical generalizations, the investigator is striving to generalize a particular set of results to some broader theory" (p. 36). The broader theory is that coaching and mentoring is a potentially effective training strategy within practicing principal training programs. While generalization is not automatic, this theory must be tested through replications of the findings in schools or school districts where the theory has specified that the same results should occur. Therefore, this study will attempt to identify principal perceptions relative to the usefulness of coaching and mentoring as an effective training strategy to develop strong leadership behaviors.

Gaining Access

Prior to finalizing a study location, the researcher participated in an information gathering process to determine the feasibility of conducting the research study.

District A, an urban school district of 26,000 students located in Southern California, was investigated as having had a training program for middle school principals that included coaching and mentoring. A meeting was held at the close of the 2010-2011 academic year with District A's associate superintendent of secondary who had oversight for their eight middle schools. The purpose of this meeting was to determine (a) if the district was suitable for the study, that is, if there were schools within District A with potential participants meeting the study's criteria; (b) if there were principals still employed within the district who participated in the professional development program; and (c) if those same schools had been experiencing a period of recent academic growth as measured by the Academic Performance Index (API) for the past 2 years since academic growth was a criterion for participation in the study. During the 3-hour meeting, the associate superintendent addressed these issues in addition to providing a complete program overview of the professional development within their eight middle schools, especially as it related to the coaching and mentoring of its principals (see Appendix C).

Based upon the program currently in place, the associate superintendent for secondary schools agreed that District A's participation within the research study would be plausible and might serve to inform their district about the impact of this comprehensive training program. It was mutually determined at the conclusion of the meeting that District A could be considered as a viable locale for a study that would

explore the professional development training model for their middle school principals. The researcher then focused on the process of purposefully selecting the participants.

Participant Selection and Purposeful Sampling

Purposeful sampling was engaged to identify all participants. As Creswell (2009) explains, “The idea behind qualitative research is to purposefully select participants that will best help the researcher understand the problem and answer the research questions” (p. 185). For the purpose of this single case study, a qualifying principal was one whose school’s API had grown from one year to the next (2010 to 2011) by at least 17 points (the average increase in API for middle schools statewide). While all eight middle school principals within District A participated in the professional development training, not all of the eight schools met or exceeded the statewide growth average of 17 points. In that the study sought to capture the training program’s ability to build, support, and change effective leadership practices, the participants best suited to answer the research questions were those whose schools had met or exceeded the statewide average growth targets. Further, the participants in this study must have worked as a middle school principal within District A during the time period of the CLMS professional development training. This training began at the beginning of the 2010 academic year. Finally, the principal must have been a continuous participant in the CLMS professional development program since its inception in 2010.

Generating a list of qualifying participants began with an analysis of the student achievement data from District A’s eight middle schools. Data were gathered for each of the eight middle schools for the past two academic years from the California Department of Education’s (CDE, 2011b) website under the Testing and Accountability section.

Since the researcher sought to identify how involvement in the training supported or changed effective leadership behaviors, principals were selected based upon the student achievement growth at their school sites.

Using the CDE (2011b) database for student achievement scores, the researcher reviewed each middle school's API for the past 2 years. Academic Year One (AY1) measured performance between the period of 2009 to 2010 and Academic Year Two (AY2) measured performance between the period of 2010 to 2011. Middle schools that demonstrated a minimum gain in their API of 17 points from AY1 to AY2 were listed as a potential participant for the research study. After a review of the criteria, three schools were identified.

Beyond the informational meeting, permission was granted by the San Diego State University Institutional Review Board (IRB) to move forward in conducting research within District A. Permission was sought in order to investigate the professional development training program that included a coaching and mentoring component (see Appendix D). After IRB permission was granted, the researcher entered the field through a phone call to the Office of the Superintendent of District A. The researcher discussed the nature of the call with the superintendent's administrative assistant. The assistant returned the call with direction to forward a letter to the superintendent of District A via email requesting permission to conduct the research. The researcher forwarded the letter with direction to return the signed copy via email to the researcher. Once the superintendent's assistant facilitated return of the signed letter, the researcher contacted the superintendent by telephone in order to get direction for the next steps. During the

phone conversation, the superintendent requested a meeting with the researcher and the associate superintendent of secondary instruction.

An introductory meeting was set with the researcher, the Superintendent, and the associate superintendent of secondary instruction and held at the District A Central Office. During this meeting, the superintendent introduced the researcher to the associate superintendent and provided the researcher opportunity to explain, in detail, the purpose of the case study; and provide and review copies of the Consent Form (Appendix B), the Principal Interview Questions (Appendix C), and the Field Observation Protocol Form (Appendix D). At the conclusion of the meeting, the superintendent directed the researcher to work directly with the associate superintendent of secondary instruction as the District's lead contact. The lead would assist the researcher as necessary with any other processes associated with the study's data collection phase.

The researcher presented the list of the three qualifying schools to the associate superintendent of secondary. The next sequence of events in the data collection phase occurred as follows:

Step 1: Associate superintendent notified the three principals about the study and its purpose at his next visit to their school site. The associate superintendent notified the principals that they would meet with the researcher during the Principals' District Meeting in December to discuss in detail the study's purpose and the consent process.

Step 2: The associate superintendent provided the researcher with the date, time, and place of the December Principals' Meeting.

Step 3: At the end of the District meeting in December, the associate superintendent facilitated a meeting with the three principals. He introduced the researcher and then allowed the researcher to discuss the study at length, distribute and discuss the consent form, and invited the principals to participate.

The researcher then facilitated a thorough discussion of the study's purpose. After the discussion, the researcher distributed the Consent Forms and gave ample reading time for the principals to carefully review the information. Once the Consent Form was read, the researcher engaged in a question and answer period. The researcher emphasized that participation was voluntary and explained that participants could withdraw at any time. In addition, the researcher explained the commitment of a one-on-one interview, a field observation of the coaching session, a field observation of the monthly professional development session, and the submission of documents relative to the training experience. Principals were told that documents could include items such as: handouts, email messages, professional articles, meeting agendas, titles of reference books, and any other materials that were associated with their training. The researcher explained that the documents would allow for the gathering of additional data that were critical in describing the overall training experience.

- Step 4: Once all questions were answered, each participant signed the form granting permission to participate in the study, gave the researcher their preferred contact information, and received a copy of the consent form.
- Step 5: The principals received follow-up calls from the researcher and were scheduled for one-on-one interviews.
- Step 6: During the call, the researcher advised that the interview would be audio-taped for accuracy and the audio transcribed. Transcripts would be maintained in a secure, password protected location only available to the researcher. All participants, including the schools district would be referred to as pseudonyms.
- Step 7: During the call, the researcher requested that principals begin submitting documents relative to the professional development training via email at any time to the researcher. They were also advised that they could submit documents during the time of the interview.
- Step 8: During the call, the researcher requested principals to discuss with their coach the possibility of participating in a field observation of the coaching session using the Consent Form for reference. Principals were advised to discuss with the coach that the researcher would thoroughly review the study, the consent form, and gain written permission at the school site prior to beginning the field observation.
- Step 9: The associate superintendent discussed the study with the California League of Middle Schools program director prior to their January training and obtained permission for the researcher to observe the Monthly

Principal Professional Development session led by the mentors and coaches.

Data Collection and Procedures

The data corpus of this qualitative study was comprised of three data-collection methods: (a) one-on-one, semi-structured interviews, (b) observations of the coaching session and mentoring session, and (c) document analysis. This research design allowed for adequate amounts of data collection that, when analyzed, could best describe the reality of the principals' experience (Marshall & Rossman, 2006; Merriam, 2009).

Interviews

Qualitative researchers frequently utilize interviews for data gathering purposes. Patton (2002) explains:

We interview people to find out from them those things we cannot directly observe. . . . We cannot observe feelings, thoughts, and intentions. We cannot observe behaviors that took place at some previous point in time. We cannot observe situations that preclude the presence of an observer. We cannot observe how people have organized the world and the meanings they attach to what goes on in the world. We have to ask people questions about those things. The purpose of interviewing, then, is to allow us to enter into the other person's perspective. (pp. 340-341)

According to Marshall & Rossman (2006), interviews allow and encourage participants to freely share their views. Interviewing was selected in order to permit for a collection of rich, descriptive data about the perception of the training experience.

The semi-structured interviews were guided by a list of questions adapted from two survey instruments originally developed by James-Ward and Potter-Salcedo (2011). Based upon field testing and its relevance to the current research questions for this study, the researcher decided this survey adaptation would best elicit principals' perceptions about their preparation, training, and coaching experiences. Interview questions were checked by the researcher to ensure they were written in familiar language (see Appendix C), with words that made sense to the interviewees. Merriam (2009) states, "Using words that make sense to the interviewee, words that reflect the respondent's world view, will improve the quality of data obtained during the interview" (p. 95). Principals responded to questions posed by the researcher in a one-on-one setting that offered privacy and confidentiality.

During the first portion of the interview protocol, demographic data were collected from the principals with regard to teaching and administrative experience, post-secondary degrees earned, and the specific program by which they earned their administrative credential. Interview questions from the next section focused on their work with coaching around communication, facilitating learning and performance, principal self-efficacy, instructional improvement, research-based strategies, culture, climate, parent beliefs, and managing/leading change. These question items offered structured responses according to a rating scale ranging from "not at all" to "frequently/consistently." Once the response was given, the researcher offered several probing questions. Probes in qualitative research, "are also questions or comments that follow up something already asked" (Merriam, 2009, p. 100). Probing was useful when the researcher sensed that the interviewee was making a significant point and felt there was

more to be learned. The technique allowed the researcher to gather more information and/or make adjustments as the interview moved along. The probes in this study took on various forms ranging from silence, to sounds, to follow up statements or questions such as: please explain, can you elaborate, tell me more, what was the outcome, or please share a few examples (Merriam, 2009). The researcher was careful not to press too hard or too fast in order to maintain the level of comfort with the respondents.

The last section of interview questions, those adapted from the previously mentioned surveys, offered the opportunity for the principals to share their beliefs about the ability of coaching to impact student achievement and principal performance.

Observations

According to Marshall and Rossman (2006), observation is a fundamental and highly important method in qualitative inquiry. Observations were used to discover and capture the complex interaction of the natural and social setting within the coaching and mentoring experience. The observations helped identify accompanying perceptions that each principal categorized as helpful, influential, and supportive of their leadership behaviors and/or changes. “Observation allows the participant to hear, to see, and to begin to experience reality as the participants do” (Marshall & Rossman, 2006, p. 100). The researcher observed the principal coaching session and the monthly professional development session led by mentors and coaches. In order to get firsthand knowledge of the participants, record information as it occurred, and have the opportunity to notice unusual aspects during both observations, the researcher adopted the position of observer-as-participant (Marshall & Rossman, 2006; Merriam, 2009).

The researcher created an observation protocol (Creswell, 2009) for use during both sessions (see Appendix D). Data were gathered using a single page, three-column form. On the left column of the form, the researcher jotted down descriptive notes about the setting, the surroundings, and the atmosphere. The tally column, located in the middle of the form, listed the categories from the principal interview questions. This allowed the researcher to create a tally for every instance where she observed corresponding events, actions, or tasks that coincided with a particular question item from the principal interview. The right column was set aside for the reflective notes where the researcher recorded personal thoughts, speculations, feelings, problems, ideas, hunches, and impressions. There was space at the bottom of the form for the researcher's verbatim notes of the dialogue, accounts of noteworthy events, and listing specific activities. During the observations, the researcher also noted demographic information about the time, place, and date of the observational setting (Creswell, 2009).

The observation of the coaching session consisted of three components. First, the researcher observed the conversations and actions of the coach and principal within the office setting. This segment lasted approximately 2 hours. During the second component, she observed the classroom walk-through process and supervision of school dismissal for approximately one and a half hours. Last, the researcher observed the debriefing session between the coach and principal, which lasted for one-half hour.

The observation of the professional development training led by the mentors and coaches was a full-day session lasting for 7 hours. The researcher again assumed the position of observer-as-participant and used the protocol to record the day's events. The researcher used the electronic version of the form in order to quickly enter verbatim notes

of the session's activities. The notes were saved using MS Word and retained for analysis.

Document Analysis

The data found in documents “can furnish descriptive information, verifying emerging hypotheses, advance new categories and hypotheses, offer historical understanding, and track change and development” (Merriam, 2009, p. 155). Thus, documents associated with the coaching and mentoring experience were collected as part of the data corpus. This included artifacts collected during the principal interviews and the professional development session led by the mentors and coaches. These documents included email communications, professional readings and articles, textbooks, PowerPoint presentations, training activity handouts, training agendas, school instructional bulletins, data template worksheets, and student achievement data reports. Document contents were analyzed in order to answer the research questions and to support or corroborate any emerging findings from the interviews, observations of the coaching session, and observations of the professional development session led by the mentors and coaches.

Validity and Reliability

Merriam (2009) has stated, “Traditional reliability is the extent to which research findings can be replicated” (p. 221). Since qualitative research yields “many interpretations of what is happening, there is no benchmark by which to take repeated measures and establish reliability in the traditional sense” (Merriam, 2009, p. 220). Instead, qualitative researchers seek consistency and dependability across the data they gather. “Rather than demanding that outsiders get the same results, a researcher wishes

outsiders to concur that, given the data, the results make sense” (Merriam, 2009, p. 221). Similarly, validity in qualitative research seeks findings that are reasonable given the data collected. “It revolves around the degree of confidence a researcher can place in what they have seen or heard.” (Fraenkel & Wallen, 1996, p. 461).

Data triangulation was engaged in order to achieve reliability and validity within the findings from each of the data sources associated with the training experience. Interview and observation data, field notes from observations, and the review of documents allowed for rich comparisons in principal perceptions of their experience and the identification of emerging themes and patterns. Data triangulation is comprised of gathering data from multiple sources, employing multiple methods, and using multiple investigators or multiple theories in order to confirm emerging findings. “Triangulation using multiple sources of data means comparing and cross-checking data collected through observations at different times or in different places, or interview data collected from people with different perspectives” (Merriam, 2009, p. 216). The use of data triangulation in this study allowed for the findings about the professional development experience to best match the reality of what the principals constructed as the actual occurrence, especially when describing the pros and cons of the training model. Table 1 represents the triangulation matrix, which highlights the relationship between the data collected and the research questions.

Data triangulation is also a means to generate validity: “how the research findings match reality” (Merriam, 2009, p. 213). Validity is the goal in qualitative research due to the fact that one is investigating constructions of reality set by people and how they understand the world. Merriam (2009) ascertains that “just as there will be multiple

Table 1

Triangulation Matrix to Answer Research Questions

Research questions	Interview: Principals	Observation: Coaching session	Observation: Professional development session led by mentors and coaches	Analysis: Program documents
	Three, 1-hour interviews with each principal	Four-hour field observation, school site	Seven-hour field observation, district central office	Submission and collection of program documents
What are principals' perceptions of the pros and cons of the California League of Middle Schools' coaching and mentoring model for principals?	Questions 1-20	Field observation of coaching session January 17, 2012	Field observation of professional development session led by mentors and coaches January 19, 2012	<ul style="list-style-type: none"> • Instructional bulletins • Emails • Handouts • Meeting agendas • Memos • Professional articles • Power Point presentations • Student achievement data
What are principals' perceptions of how participation in the California League of Middle Schools' professional development for principals that included coaching and mentoring, support or change leadership behaviors or practices?				
What recommendations do principals suggest for the California League of Middle Schools' coaching and mentoring model that would best support the development of leadership practices associated with effective schools?				

accounts of eyewitnesses to a crime, so too, there will be multiple constructions of how people have experienced a particular phenomenon” (p. 214).

Audit Trail

Data were collected from the three sources as a means of triangulation with the result of generating validity and reliability within the study’s findings. The researcher maintained an audit trail in order for others to trace the data collection. According to Merriam (2009), the audit trail is similar to “an auditor authenticating the accounts of a business allowing independent readers to authenticate the findings of a study by following the trail of the researcher” (p. 222).

For this case study, the audit trail included a database of electronic transcriptions of the interviews, coded documents of the field notes from the observations of the coaching session, and observations from the professional development session led by mentors and coaches, and a notebook with the training program documents that were submitted for analysis (Glesne & Peshkin, 1992; Merriam; 2009; Yin, 1994).

Electronic data were maintained by the researcher and available only through authenticating the password on the researcher’s computer. Data were available only to the researcher and her dissertation advisor. Confidentiality and sensitivity to the needs of the subjects were maintained at all times.

Role of the Researcher

During the observation sessions, the researcher assumed the role or position of observer-as-participant. According to Merriam (2009), in this role the researcher assumes enough group membership to interact as an insider with those participating without assuming core membership of the group being studied. This role allowed the researcher

to have greater access to information about the coaching and mentoring experience from the principals' perspective.

As the researcher is the instrument by which the data are collected, the quality of information is therefore dependent upon his or her abilities (Merriam, 2009; Yin, 1994). Not only do the types of questions matter when interviewing, but the researcher's ability to pause, probe, listen attentively, rephrase, and use nonverbal cues are all important techniques when attempting to gather a rich collection of data (Glesne & Peshkin, 1992; Merriam, 2009).

The researcher must also be aware of the personal biases they bring upon entering the field and work to deliberately guard against them. Schwandt (1997) defines "bias as the tendency in inquirers that prevents unprejudiced consideration or judgment" (p. 9). Glesne and Peshkin (1992) recommended that the "participant observer constantly analyze his or her observations for meaning and for evidence of personal bias" (p. 43). To counteract for any preconceived notions, the researcher adhered to these recommendations and engaged in self-reflection for preconceptions and made constant analysis by checking her own assumptions and perceptions in order to counteract personal bias.

Data Analysis

All interview data and field notes were transcribed by the researcher into an electronic format using Microsoft Word (MS Word). Each transcript was read line-by-line in order to get a general sense of the material. Additional reviews of the interview data allowed the researcher to begin to see the development of trends or patterns. The responses to the follow-up questions asked by the researcher were analyzed to determine

any emerging themes and patterns and to determine if there was support for any pre-existing categories. Once a theme emerged, that theme was color-coded. The principal responses and the content within the documents that aligned or gave supporting evidence were then color-coded based upon the particular theme. For example, “The coach helped to brainstorm possibilities” was color-coded blue, and when a response in an interview transcript was found, or an agenda item within one of the monthly sessions that aligned with that theme, it was circled blue.

The researcher allowed for overlap within the data and multiple identifications with more than one theme or category. For example, when analyzing a principal’s statement on receiving a timely email communication from his coach with resources to guide his Data Conferences with teachers, that one statement would be categorized under two themes:

1. Timely communication, and
2. The regular review of student data.

Overlap in the coding of data allowed the researcher to most accurately represent the principals’ perceptions of their training experience and to generate validity within the study’s findings.

A document analysis was also conducted. Documents were analyzed in order to identify emerging themes and to find support for any of the pre-existing categories. Additional analysis looked at the frequency of particular references made to these documents during the coaching session, the full-day professional development session, and principal interviews.

Ethical Considerations

The researcher considered the ethical nature of conducting research on human subjects and the potential outcomes resulting from their participation and initiated the following procedures to safeguard participants and study data. Prior to beginning the research, the researcher applied to San Diego State University's Institutional Review Board (IRB) for permission to conduct the study. After IRB approval, the researcher sought permission from the selected school district to conduct the study, following District A's procedures. Consideration was given to maintain the well-being of the participants when asking questions regarding their participation in the California League of Middle Schools' Professional Development training and their work with coaches and mentors. In order to maintain confidentiality, participants and schools were given pseudonyms.

The Participant Consent Form that the study participants signed emphasized that participation was voluntary, that they would receive no compensation for their participation, and that they were free to withdraw at any time without penalty. Participants granted written permission in accordance with the informed consent regulations for human subjects (see Appendix B). The researcher adhered to the provisions of the permissions granted and maintained the confidentiality of the participants and the data throughout the study. Participants were notified that, at the end of the study, they could request and would receive a link to the Executive Summary of the research findings.

Summary

This chapter outlined the rationale for a single case study with the primary focus on a single phenomenon—The California League of Middle Schools’ Professional Development Program: A Model of Coaching and Mentoring. Creswell (2009) noted that “as a study develops over time, factors will emerge that may influence a single phenomenon” and that a study should “begin with a single focus to be explored in great detail” (p. 130). Therefore, the study’s methodology for exploration was outlined within this chapter as follows: the research design and research questions, delineation of the case study, gaining access to the research site, participant selection and purposeful sampling, data collection and procedures, validity and reliability, audit trail, the role of the researcher data, and ethical considerations. Chapter 4 presents the findings from the analysis of the data.

CHAPTER 4—SUMMARY OF FINDINGS AND DATA ANALYSIS

The purpose of this chapter is to present the analysis of data collected for this study and to report on the findings for the research questions. The study was designed to describe the principals' perceptions of the pros and cons, how participation changed or supported leadership practices, and principal recommendations to improve the model's ability to develop effective leaders. Data were collected according to the methodology outlined in Chapter 3.

The findings are reported in four sections. The first section describes District A and its demographics; the setting and demographics for each of the three middle schools and their student achievement data (Academic Performance Index [API] Charts); and provides a thorough overview of the California League of Middle Schools' (CLMS) professional development program. The following three sections address each of the research questions posed within the study.

Each section's findings are based upon the information collected to form the data corpus: administrative interviews, observation data from the 4-hour coaching session, observation data from the 7-hour professional development session that was led by the mentors and coaches, and data contained within the 47 documents ranging from email communications to professional texts.

District and School Setting

The researcher identified an urban school district that had an active professional development program for principals which included coaching and mentoring. The participants were purposefully selected from that district based upon preset criteria, which

yielded three middle school principals for study. As reported in Chapter 3, the middle schools were part of an urban school district located in Southern California: District A.

District A

Employing more than 3,000 individuals at varying levels, which included approximately 1,600 certificated staff and 1,500 classified or nonteaching staff, District A was considered a mid-sized urban school district. District A had a certificated employee ethnic count of 46.7% African-Americans, 22.4% Hispanics, 18.6% White, 11% identified as Others, and 1.3% listed as having Multiple Ethnicities. District A had an enrollment of approximately 26,000 students across 40 school sites encompassing 24 elementary schools, 8 middle schools, 3 high schools, and 5 alternative programs. Within the 8 middle schools, District A had a total population of approximately 7,203 students in Grades 6 through 8.

The demographic composition for District A's student population mirrored districts categorized as urban with 73% Hispanic, 25.3% African-American, .2% White, 1% Other, and .5% listed as having Multiple Ethnicities. Approximately 62% of the students were identified as having a non-English speaking background. As a mid-sized urban district, District A had approximately 85% of their students categorized as Socioeconomically Disadvantaged, and 8% of their students were categorized as Students With Disabilities, each having an Individualized Education Program (IEP) designed to meet his or her unique learning needs.

The administrative staff within the district was comprised of 108 employees with 13 holding doctorate degrees, 43 holding a master's degree plus 30 hours, 41 holding a master's degree, 9 holding a bachelor's degree plus 30 hours, and 2 employees holding a

bachelor's degree. The ethnic composition of the administrators included 71 African-Americans, 18 Hispanics, 10 Whites, 3 Filipinos, 2 Asians, 1 American Indian, and 3 with Multiple Ethnicities. For combined administrative experience within District A, the overall average was 13.76 years. All of the administrators had a minimum of 3 to 5 years of experience, with most having 6 years or more. During the time of this study, there were no first or second year administrators.

The District's eight middle schools served a population of sixth, seventh, and eighth graders. In addition to a comprehensive middle school curriculum, each campus offered art and music, Advancement Via Individual Determination (AVID) as a gateway to college preparation, and a Gifted and Talented Education (GATE) program. In addition to a variety of after school and enrichment programs, each middle school provided an opportunity to join the debate teams and the MESA (Mathematics, Engineering, and Science Achievement) program. The district offered Project SEED, a pre-Algebra seminar class that teaches advanced mathematics concepts using the Socratic Method for sixth graders at every middle school. To prepare students for Advanced Placement (AP) courses at the high school level, two of the middle schools offered Pre-AP courses in Grade 6, with a plan to expand to more middle schools at a later date.

To answer the questions relative to this study, three middle school principals qualified to participate. Each principal met the following criteria: (a) the principal had participated in the CLMS' professional development program that included coaching and mentoring for the past two academic years, and (b) his or her school met the statewide average growth of 17 points as measured by the API over the period of two consecutive academic years. While not part of the study's selection criteria, it is important to note

that each principal had continuous oversight for the school during the time period in which the academic growth occurred and, according to Cotton (2003), should be considered a key component in ensuring the proficiency of students within the school setting.

Richmond Middle School

Richmond Middle School (RMS) was located in an urban setting and was situated on a large main street in the hub of the city. The school was built more than 40 years ago on minimal square footage, with current evidence of building additions to accommodate student growth. There was a mixture of architectural design elements that included two-story permanent structures and single-story buildings that included portable bungalow classrooms.

The campus was newly painted and, according to Principal Dunbar, a school culture of pride and respect had been regained as measured by the lack of graffiti, multiple flower beds planted by the students, and walls flanked with motivational quotes to inspire the best student performance and conduct. The office exhibited a large, open design that displayed school uniforms, bulletin boards filled with Richmond activities, a variety of college pennants, and motivational posters that set the tone for all office visitors.

Richmond Middle School, with a mid to large enrollment, had a diverse student population typical of urban schools. Table 2 summarizes the ethnic composition of the school as reported by the 2011 California Basic Educational Data System (CBEDS).

In addition to serving a diverse student population, RMS employed a diverse certificated staff made up of 54 employees. Richmond's teaching staff of 44 members

Table 2

Richmond Middle School Student Population by Ethnicity

2010-2011 Ethnic breakdown							
Hispanic	African-American	Pacific Islander	Filipino	White	Asian	Multiple ethnicities or no response	Total
870	148	14	0	2	0	18	1,052

had a varying range of credentials. Of the entire group, 41 were fully credentialed, one was a university intern, and two were district interns (CDE, 2011b).

Student achievement at Richmond had improved for the past two academic years from 2009-10 (AY1) to 2010-11 (AY2). Exceeding the statewide average growth of 17 points on the school's API was coupled with Richmond's meeting the targets for each of their numerically significant subgroups. Numerically significant subgroups, as defined by the California Department of Education (2012), are groups with "100 or more students with valid Standardized Testing and Reporting (STAR) test scores, or 50 or more students enrolled with valid test scores who make up at least 15% of the total valid test scores" (para. 16). The following subgroups are reported by the state "if their numbers qualify them as numerically significant: African American (not of Hispanic origin), American Indian or Alaska Native, Asian, English Learners, Filipino, Hispanic or Latino, Pacific Islander, Socioeconomically Disadvantaged, Students with Disabilities, and White (not of Hispanic origin)" (CDE, 2012, para. 15).

Principal Dunbar had been a principal for the past 6 years and had 10 years of teaching experience. He received his training for the principalship through a traditional

university preparation program earning a master’s degree in education in conjunction with the administrative services credential.

The growth in API from 686 to 713, a 27 point gain, and Principal Dunbar’s participation in District A’s coaching and mentoring program over the past 2 years qualified him to participate in the study, since his unique perceptions about the coaching and mentoring experiences would inform the findings and help answer the research questions.

Tables 3 and 4 provide a comparison of Richmond’s student achievement data based on the API that showed growth from AY1 to AY2 and the specific progress of their numerically significant subgroups (CDE, 2012).

Table 3

Richmond Middle School Report: 2010 API Growth and Targets Met

Richmond Middle School	Number of students included in 2010 API	Numerically significant in both years	2010 growth	2009 base	2009-10 growth target	2009-10 growth	Met subgroup growth target
School wide	1,058		686	656	7	30	Yes
Black or African-American	172	Yes	688	646	8	42	Yes
Hispanic	866	Yes	684	656	7	28	Yes
Socio-economically disadvantaged	968	Yes	684	657	7	27	Yes
English Learners	735	Yes	650	615	9	35	Yes

Table 4

Richmond Middle School Report: 2011 API Growth and Targets Met

Richmond Middle School	Number of students included in 2011 API	Numerically significant in both years	2011 growth	2010 base	2010-11 growth target	2010-11 growth	Met subgroup growth target
School wide	990		715	686	6	29	Yes
Black or African-American	133	Yes	708	687	6	21	Yes
Hispanic	831	Yes	717	684	6	33	Yes
Socio-economically disadvantaged	919	Yes	712	684	6	28	Yes
English Learners	709	Yes	692	650	8	42	Yes

Martin L. King, Jr. Middle School

Martin L. King, Jr. Middle School, led by Principal Eddison, was the most recently constructed of the three middle school sites in the study. The school's entrance was clearly marked by deep-blue accent tiles, which were highlighted by the contrasting neutrality of the concrete walls. The office doors were set back by a sizeable amount of greenscape that gave the school a park-like aesthetic. The school design was compact since all buildings were situated in one large cluster and surrounded by the athletic fields. King Middle provided a clean and clutter-free learning environment, and it was evident that campus pride was a priority.

While King Middle was situated amidst a residential community, it was also within one block of its local elementary feeder school. Formerly one of the largest middle schools in District A, King's enrollment had been experiencing a steady decline

for the past 5 years. In 2011, King's enrollment dropped from 1,116 students to 993. Even though the enrollment dropped, however, the ethnic breakdown of King's student body, predominantly a minority population remained constant over the past few years. Table 5 summarizes the 2010-2011 ethnic breakdown of King's 993 students (CDE 2011b).

Table 5

Martin L. King, Jr. Middle School Student Population by Ethnicity

2010-2011 Ethnic breakdown							
Hispanic	African-American	Pacific Islander	Filipino	White	Asian	Multiple ethnicities or No response	Total
823	140	12	0	3	1	14	993

King's staff shared a diversity of ethnicities, very similar to the student population. Their 55 certificated employees held a variety of professional credentials. There were 38 teachers with full credentials, 8 teachers who worked as university interns, 8 teachers who worked under an emergency credential, and 1 teacher under a district waiver.

Principal Eddison had been a principal for the past 13 years and had 22 years of teaching experience. He received his training for the principalship after earning a second master's degree in education through a traditional preparation program that offered the administrative services credential. King Middle's growth in API from 619 to 638, a 19 point gain, and Principal Eddison's participation in District A's coaching and mentoring program over the past 2 years qualified him for participation in this study.

Tables 6 and 7 compare King Middle's student achievement data showing growth from AY1 to AY2 by their API and the numerically significant subgroups (CDE, 2012).

Table 6

Martin L. King, Jr. Middle School Report: 2010 API Growth and Targets Met

King Middle School	Number of students included in 2010 API	Numerically significant in both years	2010 growth	2009 base	2009-10 growth target	2009-10 growth	Met subgroup growth target
School wide	1,116		619	559	12	60	Yes
Black or African-American	141	Yes	577	500	15	77	Yes
Hispanic	954	Yes	624	567	12	57	Yes
Socio-economically disadvantaged	1,006	Yes	618	565	12	53	Yes
English Learners	841	Yes	604	556	12	48	Yes

Whitmore Middle School

Whitmore Middle School, led by Principal Hillman, was located in a densely populated area within this Southern California inner city. Located within 50 yards of a main thoroughfare, the school was secured by perimeter fencing that resembled a gated community. The entrance was set back, and the architectural layout made gaining access to the office a deliberate task. However, once inside the campus, the classrooms were easily accessible as the entire school was situated in multiple rows of single-story buildings.

Whitmore, built several decades ago, recently received additional state funding for school-wide modernization and upgrades. The school office was minimally staffed by

Table 7

Martin L. King, Jr. Middle School Report: 2011 API Growth and Targets Met

King Middle School	Number of students included in 2011 API	Numerically significant in both years	2011 growth	2010 base	2010-11 growth target	2010-11 growth	Met subgroup growth target
School wide	1,051		639	619	9	20	Yes
Black or African-American	139	Yes	624	577	11	47	Yes
Hispanic	889	Yes	643	624	9	19	Yes
Socio-economically disadvantaged	991	Yes	637	618	9	19	Yes
English Learners	796	Yes	627	604	10	23	Yes

one clerical employee, who greeted visitors upon arrival. The office lacked an open layout and was compartmentalized by air walls for what appeared to be previously occupied positions. A business-like feeling described the appearance of Whitmore's school office: postings gave attention to parental matters such as upcoming involvement activities, mandatory district notices, and recent grade reporting announcements.

Whitmore Middle housed a student population of 835 within the urban community and was considered a school predominantly occupied by students of color, much like Richmond and King Middle.¹ Table 8 summarizes Whitmore's ethnic student population.

¹While each of the three middle schools hosted a variety of ethnicities, it is important to note that there were few students identified as non-Hispanic Whites in the entire student body of all three schools. According to Great Schools (2012), "The Census Bureau projects that by the year 2100, the U.S. minority population will become the majority with non-Hispanic whites making up only 40% of the U.S. population (para. 2). Many urban districts in Southern California currently mirror this ethnic shift as noted in the student populations for Richmond, King, and Whitmore middle schools.

Table 8

Whitmore Middle School Student Population by Ethnicity

2010-2011 Ethnic breakdown							
Hispanic	African-American	Pacific Islander	Filipino	White	Asian	Multiple ethnicities or No response	Total
740	81	0	0	2	2	10	835

The certificated teaching staff at Whitmore had its own unique composition and the ethnic breakdown mimicked that of their student population. Whitmore's teachers worked under a variety of credentials. There were 30 teachers with full credentials, one university intern, three teachers with emergency credentials, and one teacher working under a district waiver (CDE, 2011b).

Principal Hillman had been a principal for the past 22 years and 9 nine years of teaching experience. He received his training for the principalship through a traditional preparation program, earning a master's degree in education along with the administrative services credential. The growth in API from 574 to 612, a 38 point gain, and Principal Hillman's participation in District A's coaching and mentoring program over the past 2 years qualified him to participate in the study.

Tables 9 and 10 illustrate a comparison of Whitmore's student achievement data based on the API that showed growth from AY1 to AY2 and the specific progress of their numerically significant subgroups (CDE, 2012).

Table 9

Whitmore Middle School Report: 2010 API Growth and Targets Met

Whitmore Middle School	Number of students included in 2010 API	Numerically significant in both years	2010 growth	2009 base	2009-10 growth target	2009-10 growth	Met subgroup growth target
School wide	862		574	539	13	35	Yes
Hispanic	776	Yes	576	537	13	39	Yes
Socio-economically disadvantaged	737	Yes	579	537	13	42	Yes
English Learners	666	Yes	546	521	14	25	Yes

Table 10

Whitmore Middle School Report: 2011 API Growth and Targets Met

Whitmore Middle School	Number of students included in 2011 API	Numerically significant in both years	2011 growth	2010 base	2010-11 growth target	2010-11 growth	Met subgroup growth target
School wide	835	Yes	612	574	11	38	Yes
Hispanic	753	Yes	607	576	11	31	Yes
Socio-economically disadvantaged	753	Yes	607	579	11	28	Yes
English Learners	660	Yes	585	546	13	39	Yes

Overview of The California League of Middle Schools' Professional Development Program for Principals in District A

During the introductory meeting with the researcher, the associate superintendent of secondary instruction provided an overview of the components of the principal training program. He began by outlining the history of the training stating that District A was a beneficiary of a grant sponsored by the California League of Middle Schools (CLMS) and the Schools to Watch Program (STW). This grant had been providing professional development for each of the eight middle schools within District A since August 2010. The professional development program was comprehensive and designed to improve the entire educational program for the eight middle schools within District A. Exemplary preparation programs, both pre-service and in-service were found to be comprehensive in that they offered a variety of training approaches designed to prepare individuals for effective principal leadership (Darling-Hammond et al., 2007).

According to the Associate Superintendent, the 5-year grant included several training components for the eight middle schools. In order to impact classroom instruction with a strong teaching cadre, the grant provided for the development of lead/demonstration teachers. To develop the future principal workforce and to address succession planning, the grant provided training for the current assistant principals at each of the middle schools. Additionally, to build the leadership capacity of the current administrators, the grant provided extensive training for each of the eight middle school principals and included principal coaches and mentors. Within the literature, formal coaching and mentoring has been found to be one of the beneficial training strategies as a means to develop proficiency for the principalship (Archer, 2006; Browne-Ferrigno &

Muth, 2004; J. Daresh, 2001; Darling-Hammond et al., 2007; Davis et al., 2005; Hertting, 2008; Peterson, 2002). For the purpose of this study, the researcher only focused on principal development and training with specific attention given to the use of coaching and mentoring.

CLMS-District A Principal Training and Development

The California League of Middle Schools and the Schools to Watch grant provided each of the eight principals with a multi-pronged approach in order to train and develop strong leadership behaviors and skills. The associate superintendent outlined the training plan, which included (a) access to mentors selected and hired by the grant's project director from the California League of Middle Schools and Schools To Watch; (b) one assigned principal coach for each of the eight administrators; (c) monthly, day-long professional development sessions led by the mentors; (d) attendance at the annual and regional middle school conferences sponsored by CLMS; and (e) a plethora of supplemental resources and materials to guide the work of the principal toward the development of strong leadership skills. This model as described by the associate superintendent had many of the same components that exist within the Educational Leadership Development Academy (ELDA), highlighted as an exemplary principal preparation program in the study on preparing school leaders (Darling-Hammond et al., 2007).

The mentors led the monthly professional development trainings and were assisted by the program's coaches. The mentors were available to principals for follow-up calls or contacts. The mentors were not individually assigned to a principal but assisted in the overall development of building strong leadership skills for all mid-level

administrators. The coaches, however, were assigned to a principal, and each coach worked with one principal on an individual basis.

The principals, according to the associate superintendent, had been leading the same school sites for the past 2 years while involved in the training program under the California League of Middle Schools and the Schools To Watch grant. He stated, “It is the hope that we can build and retain our competent principals as we train them to become strong leaders.” The associate superintendent pointed out that the training was focused on: impacting the principal’s ability to improve teaching and learning; creating and monitoring an effective school curriculum; the development of strong instructional practices; and the ability to manage the school site efficiently with all of its complex operations.

CLMS-District A Principal Coaching

Each of the eight principals was assigned a coach. The coaches were selected, hired, and trained by the CLMS staff. The coaches were former school administrators who had a successful track record of working with schools with similar demographics to those within District A. The associate superintendent noted that the coaches were retired administrators capable of spending focused time with principals during the course of the school day. It was made clear by the associate superintendent that the coach’s role was to support the work of the principal. It was never the goal for a coach to impede the work by adding nonessential tasks or engaging in training that was unrelated to the specific needs of the principal. According to Knowles et al. (2011) adult learning theory of andragogy, adults learn best when engaged in activities they deem as relevant and

applicable. The coaches' goal was to build leadership capacity by helping principals improve operations, management, and the instructional program.

The coaches had been instrumental in helping principals develop a yearly instructional plan to guide their work toward improved student achievement. The work included regular use of student performance data to direct the instructional practices, and the data analyses were focused on diagnostic assessments and student work samples. Coaches were to build the skill level of principals around how to best use data in order to monitor student progress. The Mid-Continent Research for Education and Learning (McREL), through a meta-analysis, identified principal responsibilities, that when attended to will raise student achievement (Marzano et al., 2005). One such responsibility was utilizing data effectively (Galvin & Parsley, 2005; Marzano et al., 2005). The associate superintendent summarized the training goals as follows:

Principals will fine-tune their ability to monitor school wide progress toward meeting the established academic growth targets as measured by the state guidelines. We are training our principals in specific instructional strategies, for example [those outlined in] Marzano's [2007] *The Art and Science of Teaching* and Munroe's [2009] *Black Board Configuration*. We want to implement these with fidelity in order to ensure academic growth at each of our schools.

During the informational meeting, the associate superintendent shared a principal's portfolio from the previous academic year (2010-11) that documented the type of data used to direct the instructional program in one of the eight middle schools. The portfolio binder included samples of the school's monthly instructional foci, copies of the staff instructional bulletins, work around the implementation of the Dr. Lorraine

Monroe's (2009) Black Board configuration, and student assessment data. Coaches staffed by the CLMS worked with the associate superintendent to support the middle school principals in the development of the work that was housed within their portfolio binder.

CLMS-District A Principal Mentorship

Mentorship as a support for principal growth and development was an additional component of the California League of Middle Schools and the Schools To Watch grant. The eight principals had access to mentors that took an active role in their professional growth as a school leader. Mentors were not individually assigned, but worked with the principals in the large group settings of the monthly professional development training. The mentors, as defined by the associate superintendent, were sitting or recent principals whose students had achieved academic success at their current school.

The role of the mentor was to (a) provide principals with current and relevant strategies to improve instruction through monthly, full-day professional development sessions, joint conference attendance (CLMS Conferences), and model school visitations; (b) provide a sounding board for discussion of workplace challenges; and (c) facilitate personal reflection from the vantage point of a colleague. The mentor's role was to help the principal become more reflective.

The mentors were to help guide principals toward possibilities that would help them mitigate their current challenges. Mentors have been found to provide principals with confirmation, assurance, and a nonjudgmental peer perspective that has helped fill the gap of job isolation and the lack of self-efficacy (Spiro et al., 2007). A critical role of the mentor, according to the associate superintendent, was to address the relevant

challenges of the principalship as they now exist. The mentor's role was to support the work of the coaches in that both helped principals successfully navigate the current challenges of today's middle school principals. However, Spiro et al. (2007) noted that mentorship without effective implementation was unable to reach greater training benefits for principals.

CLMS-District A Monthly Professional Development and Conferences

Monthly, full-day professional development sessions were led by the CLMS mentors and co-facilitated with the program coaches. During this training, principals work with the mentors and coaches staffed by the CLMS to develop additional strategies to help improve the overall effectiveness of the school site. The associate superintendent commented that the training "touched every aspect of running a successful school." During these sessions, the administrators would receive additional resources designed to take back to the site for immediate implementation. The resources were provided to guide the principal's work of improving the instructional program and student performance.

The CLMS Annual Conference at the state level (Northern California) was made available for the principals, assistant principals, and lead teachers-in-training. The CLMS also accommodated the entire team of principals, assistant principals, and lead teachers-in-training for the regional conference at the local level (Southern California). Included within the grant were all travel expenses for each member in the District A team. As noted by the associate superintendent, it was the intent that information gained through attending multiple conferences would add to the body of knowledge disseminated by the coaches and mentors.

Dominant Themes

Data analysis was conducted in order to answer the research questions posed within the study. Each of the principals participated in interviews and shared their perceptions of the pros and cons of the CLMS' training program that included coaching and mentoring. The interview's pre-established categories were designed to capture the dominant themes according to the perceptions of each principal participant.

Merriam (2009) asserted that "data collection and analysis is a simultaneous activity in qualitative research. Analysis begins with the first interview, the first observation, the first document read" (p. 165). The principal interviews, observations, and documents served to develop the researcher's hunches and insights into the dominant themes that were emerging from the training experience. As the interview questions gave way to a list of dominant themes, additional data from the other three sources emerged as supporting or disconfirming evidence. The findings relative to answering the research questions revealed five dominant themes: communication, principal efficacy, facilitating learning and performance, emphasis on continual improvement, and the regular review of student data.

Research Question 1: Summary of Findings

This section reports the findings for the first research question: What are the principals' perceptions of the pros and cons of the California League of Middle Schools' coaching and mentoring model for principals?

Communication

Perhaps attributable to the 21st century tools, principals identified frequent communication with their coach as a positive within the training experience. Each

principal stated during the interview that he communicated weekly with his coach via telephone calls and through email. The ease of convenience created a popularity with email, as each principal voiced the fact that he had a once-per-week electronic communiqué from his coach with regularity. The ability to send and receive email revolutionized the principals' ability to get timely feedback, input, resources, and an occasional "electronic pat on the back." Principals reported that within the heavy time demands on their schedule, they were able to reach out to their coach beyond the constraints of the workday and work week. Principal Hillman commended Coach McClure as follows:

He frequently responds to my emails, which makes up for the distance between our on-campus meetings. He also provides me with the validation to just make the call when I'm on the fence about a decision. He encourages me to exert the power of the office of the principal. He validates the fact that there are times to collaborate and there are times when I just need to make the call.

Adding to the experience, Principal Hillman also commented that he had received additional resources that were timely and focused on a current need.

My coach gives materials and artifacts, real time artifacts that he has used, and they were very beneficial to our work. When we were looking at re-designing our school wide discipline plan, formalizing our classroom environment structures, and developing our student behavior standards, he really helped a great deal. He sent samples and supplemental resources. He was very detailed and that has helped me greatly.

Principal Hillman noted the documents provided by his coach were used to guide the revision of their school wide discipline plan. He indicated receiving this information was a positive benefit of this program.

As part of the document analysis, Principal Dunbar submitted an email communication to the researcher. The attachment was an article, “The Data Mindset.” Principal Dunbar was developing data protocols to inform instructional next steps in their Professional Learning Communities. The email was sent in response to the principal’s request for resources to build their data-driven culture. Principal Dunbar noted this as a positive of the program. He appreciated receiving relevant and timely communication and resources to guide the PLCs in using student achievement data effectively. In addition to this email, Coach Lewis provided other resources. Dunbar noted:

As I look back during my first year in working with my coach, we were establishing PLCs, but they were not really functioning the way they were supposed to be. I told my coach about the challenges I was having. He provided me with some information in addition to what I already had that helped to simplify and clarify what the PLCs should be doing with our student data. I, in turn, used this with my staff, and I think that helped to get us going in the right direction.

The learning principles associated with andragogy describe adult learners as those who have the desire to immediately apply the learning toward solving real problems and the relevance to their problem motivates them to engage in the learning process (Brundage & MacKeracher, 1980; Knowles et al., 2011; McCarthy, 1991; Merriam, 2001; Merriam & Caffarella, 1991). As the coach made a timely and relevant delivery of

applicable materials, the principal was able to describe this experience as a positive. It is important to note that technology played a critical role in the training program. Technology enabled the exchange of frequent and timely communication between coach and principal.

Quality communication during face-to-face interactions between the principal and the coach was perceived as a positive within the coaching training model. During the interviews, Principals Hillman and Dunbar shared that their coaches “consistently had excellent listening skills.” Principal Eddison stated his coach “listens and allows me to talk; he is a great listener.” Principal Hillman stated that his coach had the ability to paraphrase what he said and the ability to summarize key points within his conversations. Principal Hillman added, “He [the coach] can help others sort through their thoughts, convey a strong vision, and then help them move through to acting upon it.” The principal described the communication as positive, nonjudgmental, and offered constructive feedback. Principal Dunbar shared, “my coach had an openness to listening to me as to where I was [developmentally] and to listen to what my needs were and to adjust to provide to me based upon where I am in my learning.” Principal Dunbar perceived this as a positive aspect of the communication in that the coach did not judge his learning gaps, but listened and tried to meet his needs.

Another positive perception about communication between principal and coach was the ability to allow for, to encourage, and to facilitate self-reflection on principal practices. Principal Hillman described Coach McClure and his ability to provide feedback and to facilitate self-reflection as follows:

This is one of his [the coach's] strong points. This has been one of the most beneficial aspects of our interaction. He gives me time to reflect on my practice and asks questions that help me to be more reflective of what I am doing. After attending one of my PDs [professional development sessions] here at the site, he gave me specific feedback on how to work better with my teachers. He told me what he did with his Professional Learning Communities and then he helped me plan my next PD.

During the observation of the coaching session, the researcher observed Principal Dunbar and his coach engaged in a conversation outside of the classroom after a walk-through. In this debrief, the coach facilitated a conversation about the teacher's use of the Black Board Configuration. During this observation, the researcher was able to see the reflection time provided by the coach as he worked with Principal Dunbar. The coach asked the principal to do the following:

Think about how the board can be used to set learning targets [and the coach paused]. How can we best focus the Do It Now section to match the day's learning objective? Think about that and we can discuss it further. I'll send you an article on "Knowing Your Learning Target" and let's also review Marzano's Chapter 1 in *The Art and Science of Teaching*. We can review this when I return, and we can talk about how we can help this teacher make better use of the configuration.

While the coach spoke, Principal Dunbar wrote on his note pad and nodded in agreement. When Principal Dunbar stated, "This is one of my teachers that doesn't take feedback well," the coach responded, "The resources I'm sending will help you guide these

conversations and we'll revisit this when I return." The coach jotted a few notes, possibly a reminder to send the electronic documents to Principal Dunbar. Mentoring and coaching involves a strong commitment on the part of both participants to invest time and engage in courageous, collegial conversations (J. Daresh, 2001; R. J. Malone, 2001; Miller, 2004).

An additional benefit as perceived by Principal Dunbar was his coach's ability to communicate in ways that built trust. He expressed that his coach developed a strong relationship of trust as demonstrated by his statement below:

I think one of the most important things is there needs to be a certain level of trust and confidentiality in that this is a person that you can really open up to, and there is not going to be any kind of negative repercussions that they are going to go back and tell your boss that he doesn't really know how to handle this, or he's not sure what he's doing with this. So there needs to be a high trust level, and I think that's what's really helped me with the coaching I've had.

Not only does the literature support that trust and respect are the foundations for effective coaching and mentoring relationships, but it also supports the theory that adults learn best in environments that provide trust and are free from the fear of threat (Brundage & MacKeracher, 1980; J. Daresh, 2001; Hall, 2006; Knowles et al., 2011; Rich & Jackson, 2006).

On the other hand, the quality of communication within his training experience was perceived as a negative by Principal Eddison. He believed the feedback was nonproductive due to the way it was delivered. In addition, he believed his coach did not know him as a professional. Eddison believed these were contributing factors to their

ineffective communication. Brundage and MacKeracher (1980) asserted that adults cannot learn in environments that lack trusting relationships. Eddison stated:

Sometimes the feedback from Coach McClure feels rushed and judgmental and not objective. I feel the coach needs to get to know me better and then the support could be considered as supportive. Once he knows me better as a professional and as a person, then that would open the door for objective feedback. Sometimes you need to realize that it might not be a good match.

Principal Eddison reasoned that the idea of “fit or match” within the coach-to-principal relationship may not have been a good one and therefore perceived this as a negative within this type of training. In addition, he alluded to the idea that coach and principal pairing or matching, if not done well, might be considered as an obstacle within this type of principal training. Overall, he described this segment of his experience with coaching as one that was not positive. The literature described instances where some programs required individuals to complete an application in order to best determine their aptitude for working as a coach or mentor (J. Daresh & Playko, 1990; Hall, 2008; R. J. Malone, 2001; Miller, 2004). Hall (2008) found that trained and skilled mentors, when matched well, can build the effectiveness of novice and veteran principal leaders.

Principal Eddison, in sharing another negative perception within the coaching model noted that the relationship lacked trust, objectivity, and knowledge of the principal’s needs, thereby inhibiting the ability of the coach to push him to the next levels of performance. Eddison stated:

The coach has a lack of information with regard to me as the principal. If the coach had more information on me as a professional, they would be able to push

me, and we have not had that much time together to really get to know each other. As we spend more time together, there would be time to develop trust and the ability to push me. I do believe the coach has the skill to push me, but needs to get to know me first. I believe this is a skill that can be learned.

Principal Eddison cited that the lack of having a trusting relationship created a feeling of judgment and therefore blocked constructive feedback from occurring. He called out the need to devote more time to developing trusting relationships between coaches and principals in programs like these. Eddison infers that there is a need for coaches to be trained in this area, as he believed that the ability to developing strong relationships is a learned skill. Further, he added that the ability to push a principal's performance is possible if and when trained coaches attend to building trusting relationships first. When this happens, Eddison voiced the belief that it is possible for coaching to push principal performance to levels that will yield greater results.

Effective coaching and mentoring should constitute professional empowerment since it is built upon a foundation of mutual trust and respect (J. Daresh, 2001; Hall, 2006; Mendez-Morse, 2004; Rich & Jackson, 2005). Wildflower and Brennan (2011) recommended that coaches "maintain an authentic and nonjudgmental presence," (p. 419) meaning that the coach or mentor attempts to build trust through a demonstration of sincere actions, objectivity in word, consistent support, dedication to growth, and a respect for the professional commitment of the principal. Therefore, the activities and functions that are not performed well, based upon what has been known to produce successful outcomes, such as building trust, can serve to negatively impact any potential benefits to training that utilized mentorship and coaching. While the level of trust was

nonexistent in one principal's coaching experience, the principal believed that it could have been developed if given more time and specific attention. This principal communicated that if there had been a significant level of trust, with the coach knowing him as a person, the feedback could have been different, probably even supportive.

Principal Efficacy

Analysis of data from the principal interviews and observations revealed that an additional benefit within the program model was the coaches' ability to inspire principals to believe in new possibilities. During the principal interview sessions, each of the three principals described his coach as one who inspired them to believe in their own ability to bring about change. The coach was also perceived as one who caused them to believe in new possibilities. Principal Eddison categorized his coach as follows:

He is a great listener, he's very genuine, charismatic, energetic, well presented.

He's a professionally dressed gentleman. He makes a sincere effort to help others believe in themselves; he's a true motivator. He uses his successful experience to make others believe that they can do it too.

James-Ward and Salcedo-Potter (2011) found within their study that self-efficacy increased as an outcome of the coaching experience with principal participants. Dunbar and Hillman added to that belief stating that their coaches consistently inspired them to believe in new possibilities, and Principal Dunbar specified by saying:

I had a lot of things in place, and I had them in mind before I had a coach, but the coach that I have has such a proven track record of moving a school very similar to mine to Distinguished School Status. This has really helped to reinforce what I believe can happen, can actually happen. This is based upon seeing what this

person has done and working closely with them, observing them; I have actually been able to make happen what I believed was possible.

The coaches conveyed their confidence in the principals' abilities, and the principals believed in their opinions. The principals stated they respected their coaches' suggestions because the coaches themselves were successful leaders over similar-type schools. When the coaches gave the impression: "If I can succeed, so can you," it appeared the principals believed in the coaches' vote of confidence.

During the coaching observation, the researcher had the opportunity to see Coach Lewis and Principal Dunbar review student achievement data from recent benchmark exams. They worked from a previously compiled chart that included a list of targeted students based upon Safe Harbor calculations. Safe Harbor students are those who fall within the Basic proficiency band of the California standards test for mathematics and English language arts (CDE, 2012). During the session, Coach Lewis commended Principal Dunbar for the growth trends with the targeted students. He stated:

Be sure to continue to commend your teachers during your PLCs [Professional Learning Communities] for their use of the data and the focus on the instructional strategies you've set in place. It shows your students are making gains.

Remember: focus and purpose, don't have all-over-the-place conversations and you must focus on what's next—data conferences in February. Keep guiding staff in how you use the data. I will send additional information to further guide your conversations and work. Great job.

Leithwood and Jantzi (2008) indicated that school leader efficacy was significantly linked with the achievement of students.

Coach Lewis referred to Principal Dunbar's use of the weekly instructional bulletin, a document included in the data corpus, and his use of positive communication to celebrate their small successes. Lewis stated, "It's [the Instructional Bulletin] a good way to keep the teachers focused on a few things; your important initiatives. Using this [the Instructional Bulletin] to build morale, buy-in, and praise, is a good thing too."

The researcher's field notes described Dunbar's body language and facial expressions as "satisfied" after hearing the encouraging words from Coach Lewis. He praised Dunbar's consistent use of data analysis for guiding the teacher data conferences, his PLC work, and recent student gains. Coach Lewis acknowledged his short-term success. Principal Dunbar stated in his interview that Coach Lewis added to his level of self-efficacy, his belief that the principal had the ability to make changes, and to see new possibilities. These coaching interactions appeared to be a part of the reasoning why Principal Dunbar held this belief about his training experience.

Facilitating Learning and Performance

The principals' perceptions about opportunities to develop strategies that facilitate school wide learning and performance was positive. During the interviews, each stated that the training program engaged them often in activities focused on how to facilitate continued learning and performance. Two of the principals acknowledged that their coaches focused considerable time on the reorganization of school wide goals to align their instructional program. Principal Hillman elaborated on his experience stating:

He [Coach McClure] attends our PD [Professional Development] at our school, and afterward he gives me feedback on how to work better with my teachers in the PLCs. He's given me insight on specific data to drive the work that we do. He

then helps me plan the PD for our PLC groups. He gives me materials and artifacts that he used and they were very beneficial.

Leithwood and Jantzi (2008) called out the management of the instructional program as one of the successful leadership practices that facilitate high performing schools. Principal Dunbar shared that his coach helped him facilitate the alignment of their instructional program, focus on a few things well, and balance the school initiatives against the district initiatives. Dunbar explained:

Coach Lewis helped me with the alignment of our instructional program, which included common pacing by subject, the development of common assessments, systematic and structured analysis of relevant student achievement data, and focused data conversations with teachers. He helped me get past the overload of district initiatives and recommended that we focus on a few school-wide instructional strategies; that we focus on them with fidelity. This was based on Marzano's [2007] *Art and Science of Teaching*. He believed that we would see more student proficiency if we could focus on a few things well.

In support of the coach's focus on facilitating learning and performance, the researcher observed classroom walk-throughs during the coaching session with Dunbar and Lewis. The researcher shadowed four visits to English Language Arts (ELA) classrooms at Grade 7. During the walk-throughs, the coach and principal observed that the teachers were on different schedules for administering the District Benchmark exams. Coach Lewis asked the principal why they were administering the tests on different days. Principal Dunbar responded that he was working on this piece—"whole school alignment and pacing in ELA, especially with [benchmark] testing." Coach Lewis nodded, as if to

agree, then cited additional benefits of all-school alignment or common pacing, giving further affirmation to the principal's plan.

Coach Lewis noted that common pacing allowed for teacher collaboration, sharing of instructional challenges, and observing each other's instructional strategies. In addition, he told Principal Dunbar, "Teachers will be able to have common discussions about the benchmark data and then allow the data to guide their future instruction as a grade level in the work of your PLCs." Principal Dunbar responded to his coach stating:

Here's where I use *The Principal as Staff Developer* [DuFour & Sparks, 1995] to guide my work and to ensure that I don't micro-manage the delivery of content.

For example, in ELA one teacher is eager to try new things but inexperienced; the other is inexperienced and afraid to implement my suggestions. With science in 8th grade, the science teachers are different, but both get results. One is highly structured and the other has organized chaos, and both teachers have high achieving students. I have yet to master how to direct those teachers on how to improve though.

Coach Lewis responds:

You're not there 24/7; you've got to trust teachers and let them [your teacher leaders] be the guide. You can't impose, but you can guide [teacher leaders] to help them see the change process by using data to help change what goes on in the class. You can start by having teachers bring one question to the PLC to see how to revise and improve. Bring questions where students are struggling (this is where the teachers are struggling, too). Let teachers bring questions to their PLC and determine what type or level of questions they have. Teachers can now add to

their bank of questions that they will return to the classroom and use. Then have them [the teachers] return to the PLC and have common conversations about how the students are grasping the concepts they previously struggled with.

Principal Dunbar added, “This is really what I want to continue to discuss and how you can help guide the way to get there. I firmly believe when teachers develop the work, they own it.” Coach Lewis affirms with a nod. As the coach walks over to read a bulletin board, Principal Dunbar states to the researcher, “The coach gives me a deeper level of thinking and resources. When with my colleagues, I don’t get the professional development that I need. The coach helps provide that.”

During interviews, Principals Dunbar and Hillman voiced their positive perceptions of the coaching interactions that helped them develop school wide instructional goals, common instructional pacing and alignment, common assessments, regular data analysis, and teacher collaboration in lesson and instructional planning. Among the documents for analysis, the book, *The Principal as Staff Developer* (DuFour & Sparks, 1995) was a text that the coach made reference to with regard to the re-organization of their instructional program goals. In addition, DuFour and Sparks’ (1995) text was referenced during the monthly professional development session for the daily learning targets. Principal Dunbar confirmed that he used the DuFour and Sparks text as one of the resources provided to facilitate school-wide learning and performance. He stated that his does not micromanage delivery of content as per his reading from *Principal as Staff Developer* (DuFour & Sparks, 1995).

While Principals Dunbar and Hillman noted this as a positive aspect within the coaching experience, Principal Eddison described an opposing view around the

facilitating of learning and performance. He categorized the early work with his coach as one of the negative aspects within the program. He explained that his coach initially failed to help identify and prioritize the school's instructional goals. At the beginning of their work, he described Coach McClure as follows:

He did not listen at first to the needs of our school. He needed to listen first and with an open mind before assuming. He needed to listen to what the principal had to say and then give examples and good suggestions on how to move forward with our goals.

Eddison added, however, that after working with the coach for a while and then getting to know each other better, the coach came around to working consistently with him in helping to identify instructional goals and their priority. Eddison shared that his leadership practices were changed. As a result of his coaching experience, he is getting into classrooms on a consistent basis to support instruction. He stated:

I have become more visible as a result of working with my coach. At first, when I knew that he was coming, I'll be sure to get into classrooms in order to benefit from our work together. I now make classroom support a priority. For example, I'll come into the office, put my things down and immediately go into classrooms. I feel better as I get into classrooms and this is a direct result of working with the coach.

However, Principal Eddison still criticized this aspect of the training model, stating that it did not provide for deliberate activities up front and the time necessary for him and Coach McClure to get to know and trust each other. He believed that this was essential before they were able to move forward with the work of school improvement.

Emphasis on Continual Improvement

Analysis of data from the principal interviews, observations, and document analysis revealed that the principal training program using the coaches and mentoring helped principals to use and promote research-based instructional strategies. Principals were clear that the district's goal was to bring about continual improvement in their leadership behaviors, the instructional ability of teachers, and the academic performance of all students. Data from the interview transcripts also indicated the principals were clear that the purpose of their coaches and the monthly mentoring sessions was to assist in realizing that goal. Each of the three principals believed this to be a positive aspect of the training program. Principal Eddison noted:

The organization, the California League of Middle Schools, is clearly focused on continual improvement and their work with us, like our monthly professional development sessions focus on helping us become better school leaders. Our district also helps us with the on-going professional development to improve instruction.

Principal Dunbar stated that he believed that the coach could impact the student achievement outcomes at his school. He considered a positive of the program stating:

I think the coach, at least in the role they served for me, I share with them my practice, and they give me feedback and also provide me tools that they have used or that they are aware of that maybe I'm not; and I use those tools to adjust and improve what I'm doing in a certain area of running the school.

Principal Eddison was unsure about the student outcomes as a result of the training's focus on continual improvement. When responding to the same question about the coach having an impact on the student achievement at their school, he responded:

No, not yet, I have not had enough time with this coach yet. I believe that there may be an indirect impact, such as our focus on data analysis. I believe this may have a future outcome at our school, but it's too early to tell. There is, however, an increased focus on improvement, and I do believe we will see gains in student achievement, but time will tell.

Principal Dunbar, however, was clear about their progress. He held the belief that the coach actually impacted student achievement outcomes at his school. He commented:

The coach that I have now has helped to make some short term improvements. For example, the way that we look at data and the types of data that we look at in our PLC's; when I initially started the position, the types of data that I asked my teachers to look at was not necessarily the type of data that was going to give us the most accurate picture of where the students were and what the students needed, and because of the relationship with my coach, he has helped me adjust the kinds of data that we look at, and I think that has helped the teachers improve what they do and has therefore affected student achievement. We now look at data that gives us a better picture of the students' needs.

Principal Hillman communicated a downside to the coach's ability to help focus on continual improvement. He recalled his first coaching experience within the CLMS program stating:

He [the coach I have presently] was not the first coach; the first one did not meet the standard. There was a first coach who didn't embrace the notion of what a coach should do. She wanted to do what she wanted to do, and that was not the plan. She wanted to revamp or restore our school, and that was not her role. Her role was to engage with me and I would take on the leadership at the school. That didn't work at all—she was interviewing teachers and giving her opinion of what things should be like. By getting the second coach it showed that if coaching is done right and in the right frame, it can be effective. If coaches know their role, it can be done right.

The researcher probed saying, "How long were you with that coach?" Principal Hillman responded, "For about 3 months; we caught it early, and the change was made." Hillman saw this as a downside and recommended principal-coach matching to ensure a positive experience and the right "fit."

According to principal interviews, they voiced support in the implementation of research-based practices such as Professional Learning Communities (PLC) in order to focus on continued improvement. Principal Dunbar appreciated the fact that his coach provided resources and guidance to help move their PLCs into higher functioning teams. He shared his challenges with Coach Lewis. In response, the coach provided resources, observed the PLC and provided feedback, facilitated a reflective conversation, and guided his next steps. Principal Dunbar used the resources and believed the focused work with Coach Lewis got the PLC moving in the right direction.

In addition, Principal Hillman considered the monthly trainings (those led by the mentors and coaches) as beneficial. He highlighted the training focused on: running

effective PLCs, changing school culture, using data to direct the instructional program, making effective leadership decisions, and getting “real time artifacts” and resources. He spoke about their November Monthly training, stating:

During our monthly training we get specifics on how to run effective PLCs.

During our November meeting we worked on becoming an effective change agent using Kotter’s Model. We also focused on our role as a staff developer and how to do that better. We looked at our school’s data, we observed high performing middle schools, and we worked closely with the CLMS staff to focus our work back at the school. Oh, it’s clear that they want our schools to improve.

The researcher collected documents and observed the monthly professional development session led by the mentors and coaches. Activities addressed the focus on continual improvement and included: (a) the use of data analysis templates to focus semester 2 instruction; (b) a review of Marzano’s Instructional Rounds Protocol (Marzano et al., 2011); (c) an activity to help teachers plan and implement daily learning targets; (d) two handouts on culture and climate building readings and one accompanying activity; and (e) an activity to help facilitate crucial teacher conversations.

The researcher observed principals working with the observational protocol (Marzano et al., 2011) with the mentors and the discussion on how to implement the methodology with fidelity. In addition, one of the mentors defined rounds, how to set them up, what to observe, and how principals debrief with teachers. The principals’ perceived these sessions as helpful; however, specific data on their perceptions of the activities were not obtained.

Regular Review of Student Achievement Data

Evidence contained in the interviews demonstrated a clear focus on the use of student achievement data to identify targeted learners, direct daily instruction, and plan future instruction, focus teacher collaboration, guide instructional rounds and lesson design, as well as create an operational school culture that was driven by evidence/data. Each principal stated that their coaches helped them implement the regular review, analysis, and use of student performance data. Principal Dunbar said this was positive, as he used the training to enhance his regular teacher data conferences. He stated:

I hold quarterly [teacher] data conferences with all my staff, and I'll give them my expectations one month ahead of time—I'll say I want you to show me these specific indicators for these groups of students and your interventions; so I give them this extensive list to provide. My coach sat in with me on the last series of data conferences and provided me with a template that he used for data analysis discussions along with a few research based articles that helped me to tighten up the focus on these conferences.

When asked about how the coaching has impacted his student achievement outcomes, Principal Dunbar shared the following experience with the use of data analysis:

The coach I have has shared in our short-term improvements, for example, the way that we look at data and the types of data that we look at. When I initially started this direction, the type of data that I asked my teachers to look at was not necessarily the type of data that was going to give us the most accurate picture of where the students were and what the students needed, and because of the relationship with my coach, they have helped me adjust the kinds of data that we

look at and I think that has helped the teachers improve what they do and has therefore affected student achievement. We now look at data that gives us a better picture of the students' needs.

During the coaching session, the researcher observed Coach Lewis engaged in a reflective conversation with Principal Dunbar on the progress and focus of the weekly professional learning community sessions. Coach Lewis asked, "How's it going, and what are you currently focused on [with your PLCs]?" Principal Dunbar discussed in detail the focus on data analysis and outlined the next instructional steps. The coach recommended Principal Dunbar continue to engage in purposeful and focused conversations in the PLCs, using the readings from DuFour and Spark's (1995) *The Principal as Staff Developer*. Lewis added, "Be certain to have teachers include their pacing guides to start the conversation and then you, as facilitator, always bring in the researchers Dufour, Marzano, Oliver, and Tomlinson and McTighe to ground their conversations." Marzano et al. (2005) found that successful school leaders engage in the practice of keeping the focus on improvement. "An effective leader ensures that change efforts are aimed at clear, concrete goals" (Marzano et al., 2005, p. 50).

In an observation of the monthly professional development session, one of the mentors led the principals in the agenda item: Daily Learning Targets. This was followed by examples and nonexamples of daily learning targets by core subjects. Bloom's taxonomy (Anderson & Krathwohl, 2001) was referenced along, with references to the text *Integrating Differentiated Instruction + Understanding by Design* (Tomlinson & McTighe, 2006).

After the direct instruction segment, the researcher observed the principals engaging in guided practice where they wrote daily learning targets by subject. The mentors circulated, giving assistance and feedback to the principals as they practiced writing daily learning targets. The session then moved to an extension activity that included the use of a data analysis worksheet. The mentors explained the template was designed to help them get teachers in the habit of using data to direct daily learning targets. The mentor commented:

This activity must include data, which can be common assessment data, teacher created assessments, assessments from the adopted materials, benchmark data, or student work samples, and the pacing guides. This will help to ensure that your teachers are remaining focused on the essential standards and what students did not get, based upon the data. It must also include data on what the students did get in order to direct the homework. Research is indicating that homework in mathematics, for example, should now be a review of last semester's learning. This will act to review what students learned months ago, but will be tested on in the upcoming CSTs [California Standards Testing]. The homework for semester 2 should be a review of last semester's learning in order to review and refresh for the state test.

The researcher observed activities that focused on using data to improve instruction during the principal coaching session and the professional development session. However, data collection did not yield perceptions data from principals. Further investigation is required in order to determine if these resources, strategies, and concepts supported or changed principal leadership practices.

The findings relative to answering the first research question identified five dominant themes around communication, principal efficacy, facilitating learning and performance, emphasis on continual improvement, and the regular review of student data. The principals reported that there were pros and cons within the overall training model for each theme. They indicated that the activities, resources, and relationships with coaches, had both positive and negative aspects. All data collected served to validate the principals' perceptions with regard to what worked well and what did not. However, some of the observations and documents were solely a depiction of what was presented or referenced by coaches or mentors. In these instances the principals' perceptions are yet to be described.

Research Question 2: Summary of Findings

This section reports the findings for research question 2: What are principals' perceptions of how participation in the California League of Middle Schools' professional development for principals that included coaching and mentoring, support or change leadership behaviors or practices?

Findings for this segment were derived from an analysis of principal interview data, with specific attention given to questions 13 through 20 (see Appendix C). Interview data indicated that principals believed their practices were changed, developed, and/or supported by participation in the following tangible activities of the CLMS training program. Activities included: (a) frequent communication via email and telephone, (b) campus visits, (c) classroom walk-throughs, (d) reflective conversations, (e) reviewing student performance data, (f) holding joint teacher data conferences, (g) co-planning the professional development sessions for the weekly PLCs,

(h) co-facilitation with principal of the on-site professional development sessions, (i) instruction on intervention strategies and research-based instructional practices, (j) review and feedback on the principals' weekly instructional staff bulletins, (k) professional development training with program mentors, (l) receiving relevant artifacts, resources, texts, and supplemental materials, and (m) joint attendance at regional and annual CLMS conferences.

In addition, principals identified a series of nontangible activities within the program they believed were responsible for the support, development, and changes in their leadership practices. These included having had access to: (a) a listening ear, (b) one who provided a critical eye, (c) objective, nonjudgmental feedback, (d) one who encouraged and motivated, (e) one who was able to instill self-efficacy, (f) one who conveyed trustworthiness, (g) one who had the ability to keep one focused, (h) one with knowledge of relevant resources, strategies, and systems, (i) one with the ability to know when and how to push abilities to the next level, and (k) one with a good personality match or fit.

The principals categorized both types of activities as influential in the support, development, and/or changes in many of their leadership practices. Principal Hillman believed, as a result of his coach's communication style, he changed the way he communicated with this teaching staff. He described his coach as having: a listening ear, one who encouraged reflection with wait time, and the expectation to think deeply. When describing how this interaction changed his practice, Hillman stated:

I now allow them [teachers] to tell me about their practice. I back up now and let the teachers tell me their next steps. Because of this new way of interacting, I

have found that teachers are much less defensive. I ask open-ended questions and then I let the conversation continue. It continues and so does the feedback. I let the teacher continue to talk and, as it goes on, I give suggestions. This way allowed me to find the best way to help teachers get better in their practice. This was because of my work with my coach. He's pretty good at this; you can tell that I like this guy. He's a good fit.

Principal Eddison reported he changed his communication style, becoming an active listener, endeavoring to give constructive feedback. This change in leadership practice was attributed to the negative example he believed was demonstrated by his coach. He perceived that his coach seemed to rush to judgment, did not engage in active listening, and did not provide objective feedback. Eddison described his new behavior as follows:

I have become really more patient with my teachers, in fact, to the extreme in order to be sure that I don't appear as though I'm not listening, or I'm rushing to a judgment, or, I'm telling them what I want done in the first place. I don't want to come off like that. I listen now until I get tired to ensure that won't be said about me. Even though the communication from my coach seemed judgmental, I determined that I would not repeat that. I now go out of my way to ensure that my teachers do not feel as though I am being judgmental.

Eddison shared that he made a conscious decision to become more aware of his communication style, as well as becoming more collaborative and inclusive. He attributed this to participation in the training and commented:

I have become more aware of my listening skills. While not believing fully that I am not a good listener, I now listen more due to my interaction with the coach. I now go after difficult teachers and work to gain their trust and buy in by listening to them. I have grown to become more inclusive, more humble, as a result of being with the coach.

Coach Dunbar stated that he'd become more open to discussion, allowing his teachers to have a more active voice in school wide leadership decisions. He attributed the change to his involvement with his coach as part of the CLMS training. Marzano et al. (2005) indicated that successful schools and their leaders engage in a level of communication that makes them "easily accessible to teachers and maintains open and effective lines of communication with all staff" (p. 47). Cotton (2003) also identified the type of leadership required for successful schools are principals who "adopt a more democratic, participatory leadership style" (pp. 52-53).

Overall, the principals indicated they provide greater wait-time for responses as opposed to rushing in with an answer when meeting with individual teachers. Principals stated they exercise patience and allow time for teachers to think about answers.

Principal Dunbar changed the way he led his Professional Learning Community (PLC) work. He recalled being unclear about the characteristics of an effective PLC, what they should be accomplishing, and how to plan for them. He noted:

Looking back, during my first year at Richmond we were establishing PLCs, but they were not really functioning the way they were supposed to. I told my coach about the challenges I was having with the PLC. I shared the reality of not having ever seen an effective model during my days as a classroom teacher, as PLCs

didn't exist in their current form back then. I really didn't have a clear picture of how they should look and what they were supposed to be doing. He provided me with some information in addition to what I already had and held some formative conversations with me. That information helped to simplify and clarify what our PLCs should be doing. I, in turn, used the new resources with my staff, and I think that helped to get us going in the right direction.

To add, as a result of working with his coach, Principal Dunbar changed his leadership practices in the area of using data to improve instruction. The coach provided him with new templates that required different data sets in order to guide targeted instruction. Dunbar stated he used this training to better focus teachers on the actual learning gaps. He changed the type of data they analyzed, how teachers worked collaboratively with the data, and the data he requested for his monitoring tool known as, "Teacher Data Conferences." This change resulted in the school realizing short term achievement gains.

Principal Dunbar noted that before working with the coach, he considered himself as having an autocratic leadership style as it related to the overall management of the site. When asked, have any of your leadership behaviors changed as a result of working with your coach, he answered:

Yes. One of the things that I've tried to do is to become less autonomous and now trying to involve my teachers and my leadership team in more actual decision making. I've always had them driving what happens in the classroom, with lesson planning and common assessments, but now as a result of my coach I've been more open to collecting data from that on what they need and then allowing them

to be a part of the process to make changes other than me just telling them what's going to happen.

He used the coaching feedback and the tools provided to adjust and improve what he's already doing. When asked about his belief that having a coach can impact student achievement, Dunbar responded:

Yes. Absolutely. I think the coach, at least in the role they served for me. I share with them my practice, and they give me feedback and also provide me tools that they have used or that they are aware of that maybe I'm not and I use those tools to adjust and improve what I'm doing in a certain area.

Coach Lewis supported Principal Dunbar's use of his Instructional Bulletin to: inspire the belief in new possibilities for his staff, celebrate staff for their hard work and achievement gains made, keep the staff focused on the vision for improvement; and motivate staff. Dunbar's leadership practice of building a culture that positively influences teachers was supported by his coach in this training program. "An effective leader builds a culture that positively influences teachers, who, in turn, positively influence students. Fostering a school culture that indirectly affects student achievement is a strong theme within the literature on principal leadership" (Marzano et al., 2005, p. 47).

As a part of the work in the November Professional Development training, Principal Hillman stated that the work with Kotter's (1996) change model was supportive of a new leadership practice. He categorized *Leading Change* (Kotter, 1996) as one of the "real time artifacts and resources" that the mentors used to create a plan to develop their data-driven culture.

In addition, Principal Hillman credits Coach McClure for supporting his work in the creation of a new school-wide discipline plan. As a result of his participation in this training program, Principal Hillman was privy to resources, support, and assistance for an immediate need.

Each of the principals identified how participation in this training program supported, changed, or developed many of their leadership practices. Marzano et al. (2005) found that successful schools are led by principals who are “willing to lead change . . . and by those who systematically consider new and better ways of doing things” (p. 45). The principals believed that the coaching and mentoring activities facilitated new ways of leadership at their sites as a result of being in this program.

Research Question 3: Summary of Findings

This section reports the findings for research question 3: What recommendations do principals suggest for the California League of Middle Schools’ coaching and mentoring model that would best support the development of leadership practices associated with effective schools?

Data responses from the principal interviews, with specific attention given to responses from questions 17 through 20 (see Appendix C), pointed to a series of recommendations and suggested activities based upon their perceptions. The suggestions and recommendations for the program that emerged were: coaching focused on effective instructional technology integration; shadowing effective principals with similar schools; culture building activities; focused, sustained school-wide professional development; a coaching needs-assessment tool; and using principals as coaches who have the ability to remain current with the trends in education.

The integration of technology training emerged as a suggestion for this training program. Principal Eddison stated: “I’d like to see how to incorporate technology to change the instructional practice at the site. If the coach can facilitate that training in technology, it would be helpful.” The literature suggests principal training programs, especially those categorized as exemplary, are moving to include technology related activities within the scope of their work (Darling-Hammond et al., 2007).

A recommendation to shadow effective principals was suggested as an activity to build strong principal leadership practices. Principal Dunbar noted that:

Most of the coaches were the kinds of people who were out of their position for a while [principal], they were retired or at higher level positions. I think it would be nice to see and maybe shadow and get us connected to shadow an exemplary performer. You know how teachers go and shadow an exemplary teacher? Maybe the coaches or mentors can get us connected to a principal and facilitate me going to see a principal who really has it together, an exemplary performer to see what I can take from a sitting principal and maybe work in a triad experience, the coach, me, and the principal.

Some preparation and in-service principal training programs have a shadow or intern component for the development of strong leaders. Programs such as the Delta State University Training and the Educational Leadership Development Academy (ELDA) both offer this component (Darling-Hammond et al., 2007). Individuals are paired with an exemplary principal, and they work as an intern or shadow to learn first-hand, on-the-job skills of the principalship (Darling-Hammond et al., 2007; Davis et al., 2005; Peterson, 2002). This practice is in concert with the theories associated

with adult learning principles. The ability to engage adults in reflective, two-way communication; real-life problem solving, and other relevant activities are considered effective adult learning strategies (Brundage & MacKeracher, 1980; Knowles et al., 2011).

Akin to the idea of an exemplary principal shadow experience was the recommendation for coaches and mentors to be familiar with current trends in the field of education. Principal Eddison shared:

The coach is giving me a lot of resources from their past, and I think one of the hurdles, unless a coach is just recently out of the field, is that education has really changed in the last 10 years, and I think if all of your administrative site experience has been 10, 15, or 20 years ago, I'm not sure how applicable it can be now. So it would be nice [for the coach] to have a current tie into the experience.

Adult learning principals cite relevance as key for adult learners and the need to ensure that the learning is up to date with their current job realities (Brundage & MacKeracher, 1980; Knowles et al., 2011; Merriam, 2001).

Culture building activities were suggested as an activity to include within this training model. Marzano et al. (2005) identified culture as one of the 21 leadership responsibilities requiring principal efficiency in order to build an effective school. While there was the recognition by principals that the program addressed school culture through readings and discussions, there was the recommendation to include more. Principal Eddison suggested:

I'd like to see culture building activities that are hands-on activities for helping us to change the culture of our school. As every site has uniqueness, coaches need to

spend time getting to really know our sites so they can address that unique characteristic of the site and how they can help the principal better address those unique needs.

The principles of adult leaning propose that adults want to readily apply new learning in order to solve an immediate problem (Brundage & MacKeracher, 1980; Knowles et al., 2011). Perhaps this is why Principal Eddison suggested that the training incorporate hands-on activities. The Chicago Leadership Academies for Supporting Success (CLASS) included a focus on culture and climate as one the seven Chicago Standards for Developing School Leaders (Chicago Principals and Administrators Association, 2005; Peterson, 2002). The literature indicated the inclusion of culture and community building as part of the conceptual framework that guided their training and program outcomes (Chicago Principals and Administrators Association, 2005; Peterson, 2002).

The recommendation for the inclusion of focused, sustained, school-wide professional development led by the coaches and mentors emerged. There was the recognition by participants that the principal training was very impactful; therefore, it was suggested that the entire school staff benefit from the same training. Principal Hillman suggested:

I'd also like the mentors to facilitate more teacher conferences and all-staff training. The [all-day] training that we get as principals from the mentors, I wish that was available for all of our teachers. Our teachers need to be a part of the same training that we are receiving.

The literature suggests that competent principals and competent teachers are critical in the development of successful schools (Cotton, 2003; Leithwood, Louis, Anderson, &

Wahlstrom, 2004; Marzano et al., 2005; Saphier & Gower, 1997). A training model of this magnitude, that is all-inclusive of every member within a school site, has yet to be identified, however.

In order to tailor the training to meet the particular needs of each principal, there was the recommendation to implement a needs-assessment tool. Each of the three principals acknowledged that coaches were able to provide relevant resources and pinpoint issues; however, one principal suggested adding the use of a diagnostic tool at the beginning of the coaching process. Principal Eddison shared:

If the coaches can use some sort of needs-assessment in order to get to know what each principal needs, we could begin working on those thing right away. It takes time for the coaches to get to know us, and we don't all need the same things; our schools are different and they have different needs. That way we don't have to waste time in trying to figure out what we need.

While the literature identified program models that included self-reflection activities with principals, coaches, and/or mentors, it made no mention of a needs-assessment tool. In that the principles of adult learning recommend adult learners share the responsibility for input, directing their learning experiences, and deciding on directions and objectives, a needs-assessment tool could serve as beneficial in a training model of this type (Brundage & MacKeracher, 1980; Knowles et al., 2011).

Summary

The findings identified the following dominant themes: communication, principal efficacy, facilitating learning and performance, emphasis on continual improvement, and the regular review and use of data. The principals believed the training model had several

positive aspects such as, frequent, timely communication, and positive face-to-face interaction which included the coach as an effective listener and one who provided feedback that was helpful. Browne-Ferrigno and Muth (2004) noted that when carefully constructed mentoring or coaching experiences were created, effective professional development occurred for aspiring, novice, and veteran principals. Principals also reported that their development and changes in leadership behaviors occurred as a result of the effective communication within the coaching and mentoring experience and that they gained valuable examples, as well as nonexamples of how to better communicate with their staffs.

Principal efficacy was perceived as a positive experience in that it was strengthened by their coaching experience, as well as their belief in new possibilities, which included dormant plans becoming reality. Principals respected their coaches' proven track record and the fact that a former, successful principal expressed a belief in their ability to change a school. The educational community reported that in using mentorship or coaching to build leadership capacity, "mentees tend to live up to expectations when a deep belief in their capacities is expressed by their mentor" (Lambert, 2003, p. 36). This belief of high expectations and confidence from a coach or mentor may have contributed to the principals' belief that this was beneficial within the CLMS' model.

Coupled with the principals' belief in their abilities was the program's facilitation of principals' learning and performance by the coaches assisting in the development of school-wide instructional goals, keeping principals focused on continued improvement

through the use of specific research-based strategies, and creating a culture driven by effective data analysis. Principals believed this to be a positive outcome of their training.

A negative characterization within the model, surfaced in the area of communications. One principal identified their initial coaching interactions as nonobjective, judgmental, and unable to get at the needs of their instructional program. Another principal identified his first coach as one with ineffective communication skills with him and his staff. Principals deemed the coaching fit, or match as having the ability to be positive or negative.

They believed that principal-coach matching should be a deliberate activity in order to minimize the possibility of negative effects. Ehrich and Hansford (1999) noted, when discussing the pros and cons of mentoring, that the effectiveness of mentorships was based upon three key assumptions: (a) mentors show commitment to the program, (b) there is compatibility between the mentor and mentee, and (c) mentors have the skills and knowledge necessary to assist the principals' professional growth. If the mentor or coach lacks the skill in a particular area, or does not appear to be a "good fit," the effectiveness of the professional growth can be negatively impacted.

Principals recommended activities thought to provide for the development of additional effective leadership practices and behaviors. The following activities were identified: technology training, effective principal shadowing, the inclusion of coaches and mentors who are current and up-to-date in the field of education, culture building activities, assistance with focused and sustained school-wide professional development, and a tool that would help coaches or mentors determine principal needs up-front. The idea of including specifically requested activities is supported by Browne-Ferrigno and

Muth (2004), who indicated that principals require an intricate process whereby they can learn and reflect when working closely with a mentor in authentic experiences. In addition, adult learning principles support the premise that adults take an active role in the identification of their knowledge gaps and setting the course for their learning. As principals identify the authentic experiences, an effective coaching or mentoring program model should consider its ability to meet those needs.

The purpose of this chapter was to present the detailed findings from the data collection and analysis in order to answer the research questions posed within the study. Rich dialogue based on the principals' perceptions of the pros and cons of the coaching and mentoring model provided a variety of dominant themes that emerged from the data. An analysis of the data collected provided the detailed descriptions that best matched the perceptions of the principals' experience. The findings represented a description of the pros and cons, how participation supported, changed, or developed their leadership practices, and their recommendations to improve the model.

Chapter 5 will discuss findings that emerged from the study, including implications for future research, and implications for practice.

CHAPTER 5—SUMMARY AND DISCUSSION

Fully competent principals and highly skilled teachers are key components in successful schools (Cotton, 2003; Leithwood et al., 2004; Marzano et al., 2005; Saphier & Gower, 1997). Since principals sit at the helm of the school, the task of making schools better falls squarely within their domain of responsibility. DuFour and Sparks (1995) acknowledges that the principal has the expectation of improving the school by improving the people who work there, creating a climate for effective staff development, making staff development and evaluation seamless, and renewing the cycle of continuous improvement.

Overview of the Problem

As principals enter the ranks of this multifaceted position from preparation programs, most have emerged with a skills deficit, making them ineffective in meeting the wide range of complex challenges faced by school leaders (Perez et al., 2011; Searby, 2010; Thomas & Kearney, 2010). Since the preparation in pre-service administrative programs is time-bound, the work to provide continual development of strong leadership skills for principals is the challenge of every educational institution that employs school leaders.

The increased demand for principal performance is coupled with the increased demand for on-going principal training and support. Training of effective school leaders is ongoing and is best sustained throughout the principal's career (Archer, 2006; Casavant & Cherkowski, 2001; USDOE, 2010). The leadership qualities necessary for school improvement are vast and must be developed through deliberate efforts. The problem requires that we identify a variety of best practices known for developing and

sustaining high quality principals beyond the administrative certification process. For this reason, an exploration of the California League of Middle Schools' (CLMS) professional development training to support and develop strong leadership practices for principals merited further examination.

This research study focused on the principals' perceptions of the pros and cons of the CLMS coaching and mentoring model for principals, how participation impacted their leadership practices, and suggestions for future training activities. The purpose of this study was to discover the perceptions and understand the perspectives of urban, middle school principals who were participants in a comprehensive professional development model that included coaching and mentoring. Given the fact that the purpose of the study was to capture the uniqueness of this model, a qualitative case study was employed.

Data triangulation was employed in order to confirm the emerging findings from the study and to generate reliability and validity. It allowed the findings about the professional development model, specifically coaching and mentoring, to best match the reality of what the principals constructed as the actual occurrence. The researcher sought to analyze the principals' perceptions about the overall experience and how the training influenced their leadership behaviors and practices.

Discussion of Major Findings and Results

This chapter comments on the three major conclusions from the study, connects the related research, acknowledges the study's limitations, and suggests implications for practice and future research. The three conclusions from the study are:

1. Coaching and mentoring, as an on-going professional development tool, has the ability to influence, support, and change principal leadership practices and behaviors.
2. There can exist activities and challenges within a coaching and mentoring experience that do not support the principals' work to improve student achievement.
3. The recommendations and suggestions from program participants have the potential to add value to future coaching and mentoring programs as participants are able to describe what worked well and what did not in the support of their leadership practices.

Impact of the Trainings' Pros and Cons on Leadership Practices

This section will discuss the principals' perception about what worked well and what did not within the CLMS' training model. With a focus on the coaching and mentoring component of the training model, the discussion will include the principals' beliefs about the trainings' impact upon the development and support of specific leadership behaviors and practices. Through an analysis of the data collected, the researcher identified five dominant themes that surfaced as the areas in which the principals' leadership practices and behaviors were most impacted. The five areas included: communication, principal efficacy, facilitating learning and performance, continual improvement, and regular review of student data.

Communication. Principals deemed that participation in the training program and the work with coaching and mentoring influenced their leadership practices in the area of communication. They stated that the experience provided frequent and timely

communication, and they rated having quality face-to-face interactions as beneficial and supportive of their leadership practices. The coaches were perceived to have had a listening ear and the ability to provide good feedback. While one principal rated the quality of the coaching communication interaction as a negative experience, he chose to use that as an example of what not to do.

The principals felt supported in their positions since the coaches were in frequent contact with them via email and telephone or through site visits. This communication mediated the feelings of isolation associated with the job of a school principal. In the study conducted by Pocklington and Weindling (1996), mentorship was found to negate the feelings of isolation, task insecurity, and vulnerability, since principals had a person they could confide in to negotiate the complexities of the job. For the most part, principals expressed a level of trust in their coaching relationship and that trust allowed them to feel supported by a respected professional peer. Browne-Ferrigno and Muth (2004), in arguing the case for mentorship-type training, found that in order to be most effective, principal training should now consist of collegial-peer relationships that are built upon “conditions of trust, openness, risk taking, problem identification, problem solving, and goal setting” (p. 490). Even in the case where a principal talked about challenges with the quality of communication with his coach, the principal believed that trust could be established with time and deliberate actions. It is important to note that trust was considered an important condition of the coaching and mentoring relationship by the principals. Based upon the research, this should not be overlooked or minimized (Hall, 2006, 2008; J. Malone, 2000; Rich & Jackson, 2005; Saban & Wolfe, 2009). Without trust, the meaningful types of relationships known to produce a rich exchange of

ideas are not possible. Trust is an essential element in training strategies that are built upon the one-on-one pairing found in mentoring and coaching.

In addition to the support found within the trusting relationship, the coaching and mentoring experience influenced changes in principal practices in regard to their communication style. Coaches allowed them to have significant wait time that enabled principals to become more reflective. Principals reported that the coaches added probing questions and summarized their thoughts as another technique to increase their personal reflection. As the principals learned to appreciate the opportunities to become more reflective, they reported that they became more patient when holding teacher conferences, giving teachers longer wait time, allowing teachers to lead the conversation, and coming up with solutions and next steps. Principals attributed this change in their way of communicating to the coaching experience and commented that this new style created a less defensive teacher-principal exchange and contributed to more teacher-developed solutions, creativity, and fresh new ideas. Additionally, the wait time offered teachers the opportunity to see the principals as inclusive and collaborative, and this appeared to be a new look for each of them. On the opposing side, one principal expressed the feeling that his coach initially appeared to be judgmental and nonobjective in his style of communicating. The principal explained that this experience caused him to work at not becoming what he had experienced in the coaching sessions. That principal reported having made the same changes as his fellow participants but for a different reason: to not become what he considered to be ineffective.

The literature cautions that ill-prepared mentors or coaches can seriously inhibit the progress of training; therefore, preparation for coaches and mentors must be a critical

component for anyone considering the implementation of this training strategy (Bloom et al., 2005; Hall, 2006; J. Malone, 2000; Olson, 2007; Riggins-Newby & Zarlengo, 2003; Searby, 2010; Weingartner, 2009). Coaches and mentors need the level of training that will mitigate ineffective communication skills, so that principals can experience a safe and secure environment that is free from the vulnerabilities associated with deep personal and professional growth.

Principal efficacy and the belief in new possibilities. Principals stated that their heightened level of self-efficacy and the belief in new possibilities stemmed from the coaching and mentoring experience. The leadership practice that was supported with regard to self-efficacy was the principals' belief in their ability to change a school and to see new realities. Lambert (2003) asserted that "mentees tend to live up to high expectations when a deep belief in their capacities is expressed by their mentor" (p. 36). Previous research advanced the idea that belief in the mentee on behalf of the mentor can produce self-efficacy and the actualization of those beliefs (J. Daresh & Playko, 1990; Duncan & Stock, 2010; Grissom & Harrington, 2010; R. J. Malone, 2001; Saban & Wolf, 2009; Weingartner, 2009). As documented by the principals, they perceived the coaches to be motivational and believed that the coaches felt confident about their abilities. The coaches used positive language and took opportunities to provide genuine praise for the difficult work the principals faced each day. Principals shared that coaches made them feel supported and encouraged them to believe in themselves, in their abilities, and in new possibilities.

Facilitating learning and performance. The coaching and mentoring experiences served to facilitate new learning and performance. This was considered a

positive experience, and principals deemed that leadership practices were supported and developed because of the coaching and mentoring activities. The training helped them address the organizational goals that would support a strong instructional program evidenced by student learning and best teaching practices. The principals reported that the training provided help to implement systematic, school-wide changes for aligning their instructional program.

Ehrich and Hansford (1999) stated that one of the three keys in effective coaching or mentoring is the skill and ability of the coach or mentor. The principals reported that the coaches, who had been principals in similar schools with a proven track record of moving to high performance, were skilled in sharing their experiences in order to help facilitate the principals' new school-wide goals (Hall, 2006; Hertting, 2008; Hopkins-Thompson, 2000; Mendez-Morse, 2004).

Specifically, the principals felt they were supported with a variety of strategies as they attempted to implement school-wide initiatives, such as subject matter and grade level instructional alignment, common discipline and behavior standards, and the use of performance data to guide their decisions. The skill of the coach and mentors was a key factor in helping the principals put the new school-wide initiatives into effective operation. Without the skillful knowledge and past experience of the coaches, principals may not have received significant support in this area.

Emphasis on continual improvement. Support to remain focused on continual improvement was high on the list of activities within the coaching and mentoring program. Each principal understood the CLMS' program goals: to improve teaching and learning. Findings indicated that the mentoring and coaching program delivered training

that included a substantial amount of research-based instructional strategies known to impact teaching and learning. Data analysis, in particular data analysis of student achievement data, was the foundation for the principals' efforts to improve instruction and student performance. The coaches and mentors supplied resources and the training to build the capacity of the principals in the effective use of data.

Previous research supported the idea that principals have a direct impact upon student achievement: When principals engage in specific leadership responsibilities, student achievement is impacted (Cotton, 2003; Leithwood et al., 2004; Marzano et al., 2005). From analysis of the observations, documents, and principal interviews, the researcher determined that the coaches and mentors reinforced the development of many of Marzano et al.'s (2005) 21 leadership responsibilities in their work with the principals. Working in concert with research findings that principals can impact student achievement, the CLMS coaching and mentoring program employed a significant amount of activities designed to support the habits of mind necessary to keep principals focused on good, better, and best. Principals stated they were clear that the responsibility of the coaches and mentors was to develop in them the leadership practices that would lead to continued growth. They specifically felt supported in areas such as: (a) using appropriate student achievement data to direct instruction, (b) implementing research-based strategies to include instructional rounds, (c) creating regular opportunities for teacher reflection, collaboration, and effective lesson design, (d) facilitating crucial teacher conversations that will lead to improved practice, and (e) building a culture of high expectations and the cycle of inquiry.

Principals reported that the mentor-led professional development trainings, the one-on-one work with their coaches, and the plethora of resources were helpful in supporting their focus on continual improvement. The training and expertise of the coaches and mentors was key in the work with building capacity (Bugbee, 2006; J. Daresh & Playko, 1990; Hall, 2008; Miller, 2004; Olson, 2007; Prince, 2004). If the mentors or coaches did not possess the expert knowledge beyond that of the principal, their ability to influence changes in the principals' practice was wrought with difficulty. Weingartner (2009) found that when that is the case, training is doomed to failure.

Regular review of student achievement data. An additional positive within the training model, according to the principals' perception, was the focus on data and its use to improve teaching and learning. Principals felt their coaches kept data analysis at the forefront of every conversation. Coaches emphasized that data analysis should be used to ground principals' efforts in moving students to subject matter proficiency and developing best teaching practices. The readings recommended by the coaches supported this focus on the efficient use of data, and the training the principals received used data as the guiding foundation for improving teaching and learning.

Barnett and O'Mahony (2008) commented, "At their core, mentoring and coaching are aimed at facilitating principals' growth" (p. 234). Principals cited specific examples in which the coaches helped them to better understand data and to run queries that were new to their practice. Based upon their expertise and past experience in school leadership, the coaches were able to influence and support a cycle of inquiry with data as its foundation. This, however, was not a skill acquired by training but a skill acquired through past leadership experience. The research literature supports the notion that

learning is most probable in coaching and mentoring relationships where the individuals have had a minimum of 3 to 5 years of successful school leadership experience (Barnett & O'Mahony, 2008; J. Daresh, 2001; Miller, 2004; Weingartner, 2009).

The literature also described instances where some programs required individuals to complete an application in order to best determine their aptitude for working as a coach or mentor (J. Daresh & Playko, 1990; Hall, 2008; R. J. Malone, 2001; Miller, 2004).

When individuals possess the skills, knowledge, and abilities to impart critical information based upon their personal leadership experience, the coaching and mentoring training experience has the potential to influence and support changes in the principals under tutelage. If particular attention is not given to mitigating the conflicting issues of lack of experience, instructional expertise, trust, effective communications skills, and fit, then the potential training benefits may never be realized.

Principal Recommendations and Suggestions

When principals were asked for recommendations and suggestions regarding additional activities that coaching and mentoring programs should include, they outlined several possibilities. The principals suggested activities they believed should be included as essential parts of a coaching and mentoring training experience. Cognizant of the fact that there exists a limited amount of resources and time, the principals identified activities they deemed as important. These activities were based upon their thoughts about the current and future trends in education, as well as the activities that would maximize the time needed for a quality coaching and mentoring experience. Principals believed these activities would support the development the effective leadership practices and behaviors needed for successful schools.

Coaching focused on effective technology integration. Principals were aware of the trends in 21st century learning, and they felt that learning more was critical to the success of their schools. Pileiro (2011) commented on 21st century teaching and learning as follows:

It's defined in many ways. For the most part it is teaching our students the following skills—Communication, Collaboration, Creativity and Innovation. But, many educators are overwhelmed with the task of implementing a plan to address these needs. More understanding and training needs to take place and districts need to implement plans that work for them. This will help bring those reluctant, late adopters along at a comfortable pace that will allow them to have small successes that will motivate them to continue and build confidence. (p. 1)

The principals were aware of the trends in technology and 21st century learning and believed coaching and mentoring should be a pathway to build their capacity and that of their schools. They believed that if coaches and mentors were to provide support in technology integration, consideration of their training and expertise must take the highest priority if this activity is to have the potential of producing positive learning outcomes.

Shadowing effective principals with similar schools. The opportunity to shadow principals who were considered transformational according to their California Accountability Progress Reports was a recommendation from the principals for future mentoring and coaching programs. It was noted that a coach could facilitate these professional relationships, giving the principals access to sitting administrators who were currently performing exemplary work.

The inclusion of this activity in future trainings should give attention to the ability of the principals being shadowed. If shadowing were to become part of a coaching and mentoring activity, then the principals leading the shadowing should participate in some level of training. When principals volunteer as shadows, they take on a level of mentorship or coaching. According to the research, not all good principals make good mentors, and the ability to communicate effectively is an important skill in this process (Cohn & Sweeney, 1992; J. Daresh & Playko, 1990; J. Malone, 2000; Weingartner, 2009; Wildflower & Brennan, 2011). With this in mind, in order to ensure that the principal-shadow activity has the probability of becoming a successful learning experience, consideration must be given to training the principals being shadowed.

Culture building activities. Aware that the culture of a school weighs in to determine its success, principals requested that future coaching and mentoring programs include hands-on activities that could build culture. The principals suggested that activities could be undertaken with staff, students, parents, and community to build the culture of the school around supporting improved teaching and student learning. Marzano et al. (2005) identified culture as one of the 21 leadership responsibilities that, when attended to, will positively affect the student learning outcomes at a school. Therefore, the inclusion of training within the coaching and mentoring experience that builds capacity to change and create a school-wide culture of continual improvement is essential.

Focused, sustained school-wide professional development. The professional development led by the mentors was extensive, and principals expressed a desire to extend this deep and sustained development to all school personnel. The principals

commented that the work required to develop quality teaching is monumental, and the support of the mentors would have a profound impact upon their schools. They suggested that program mentors and coaches include all teachers in a year-long training that focused on the improvement of instruction. Since principals leave administrative credentialing programs with introductory level training as instructional leaders or staff developers, the coaching and mentoring experience may seem like a plausible solution to building school wide capacity (Grissom & Harrington, 2010; Perez et al., 2011; Searby, 2010; Thomas & Kearney, 2010). However, the concept of educational leadership coaching and mentoring was built upon a one-on-one, personalized principal training model (Casavant & Cherkowski, 2001; J. Daresh, 2001; J. Daresh & Playko, 1990; J. Malone; 2000; Weingartner, 2009; Wildflower & Brennan, 2011). The idea of coaches and/or mentors training entire staffs may be in contradiction with the original intent or design for this training strategy.

Coaching needs-assessment tool. As quality classroom teaching offers differentiation, principal training that is delivered through mentoring and coaching should offer the same. Principals shared that they bring unique learning needs to the table, and a needs-assessment tool might prove useful in facilitating a more targeted approach from coaches and mentors. J. Daresh (2001) supported a provision for formal and informal ongoing needs assessments within a training program; however, the assessments were to address program modifications and not specifically to determine individual training needs. The development of a coaching needs-assessment tool might serve to maximize the benefits that can be derived from the limited amount of training time available to principals and minimize the time spent trying to figure out what a principal needs.

Ensuring the “best-fit.” The personality match between coach and principal or mentor and principal is critical in determining the amount of professional learning associated with this type of training. The principals emphasized that future coaching and training activities should include a strategic match-up between the principal and coach in order to ensure that the relationship has the potential to deeply impact and support the principal and impart the leadership practices that can cause principals to achieve transformational results.

The idea that matching training pairs played a role in the success of coaching and mentoring is referenced in James-Ward and Potter-Salcedo’s (2011) study. Their research described a principal who was dissatisfied with the coaching experience being asked if principals should receive a coach in the next year. He responded, “Not every principal should have a coach, but the coaches need to be selected more carefully” (James-Ward & Potter-Salcedo, 2011, p. 132). Hall (2008), in his study on strengthening the principal induction process through mentoring, discussed the idea of matching mentors and stressed its importance to the success of the outcomes for principals. He found that trained and skilled mentors, when matched well, can build the effectiveness of novice and veteran principal leaders. From the principals’ perspective, when the match is right, the experience has the possibility of building principals with effective leadership skills. The opportunity for well-matched coaching and mentoring experiences to develop high performing principals, teachers, and students is an area that merits further study.

Alternative Perspectives and Unexpected Findings

Principals shared the belief that all of the activities were essential in supporting their leadership practices to improve student achievement. However, data from the

interviews yielded alternative perspectives and findings that were unrelated to the questions being asked of the principals. Some of the findings indicated that certain aspects of the program were counterproductive to their work. They included: ineffective communication, unproductive feedback, lack of trust, improper fit or match, and mentors or coaches with the lack of proven leadership success.

Ineffective communication. Initially, one principal perceived that the communication between him and his coach was not effective. The coach was described as having poor listening skills, being quick to respond, and unable to help clarify goals and priorities. As in-service training programs incorporate the use of mentor-type relationships that work with principals to “reflect on practice, identify challenges and weaknesses, and develop new skills and strategies,” effective communication is an essential skill (Darling-Hammond et al., 2007). However, it is important to note that this perception changed after continuing to work with the coach.

Lack of trust. The essence of the coaching strategy rests upon a one-to-one interaction between two individuals. The finding emerged about a principal’s belief that the coach’s feedback in their one-to-one interaction appeared to be judgmental and nonsupportive. The principal stated that the coach did not know him well enough to critique his particular leadership practices and decisions; the relationship lacked trust. Further, the principal felt they needed to first spend time getting to know each other in order to have productive feedback and constructive dialogue. The literature relative to adult learning supports the theory that adults learn best in trusting relationships and in an environment that is free from the fear of threat (Knowles et al., 2011). Effective mentoring and coaching constitutes empowerment built upon a foundation of mutual trust

and respect (J. Daresh, 2001; Hall, 2006; Rich & Jackson, 2005). Therefore, the ability to build a relationship that is receptive to constructive feedback is critical in coaching and mentoring. This includes relationships that are trusting, open, collegial, and where principals feel free to learn without reprisal.

Improper “fit” or match. The notion of a good match or fit surfaced as an important consideration in the coaching and mentoring relationship. The lack of a good fit was deemed as not being able to support the development of strong leadership behaviors. Each of the principals spoke to the issue of the coach being a good fit and how that determined his learning outcomes. Two principals stated that their coach was a good match, while one principal said that fit might have come in due time. One of the principals even spoke of a former coach being a “terrible fit.” The principal stated, “It was caught early in the game, so we were able to fix it by getting a different coach.” Studies determining the effectiveness of mentoring or coaching relationships have typically yielded findings from observations of the pairs in process (Barnett & O’Mahony, 2008). The pairing or matching has been found to be significant in creating positive outcomes, and the pairing is also significant in causing mentor or coaching program failure (Hall, 2008; J. Malone, 2000; R. J. Malone, 2001; Olson, 2007; Weingartner, 2009).

Same coach—opposing outcome. The idea of “fit” signals a notable concern in that two of the principals were assigned to the same coach. Each principal had opposing views of their experience with the same individual. This was an unexpected finding. Principal Hillman expressed having positive interaction, strong support, focused direction, and a high level of trust and respect for Coach McClure. On the other hand,

Principal Eddison's perceived his experience was counterproductive, with poor communication, the inability to give objective feedback and constructive criticism, and a lack of trust within the relationship. As the idea of utilizing the strategy of coaching and mentoring as a training tool comes into greater prominence, the element of "matching and fit" cannot be overlooked. Careful and serious consideration must be given in order to allow this strategy the potential for successful outcomes in principal development.

Insufficient professional development. Principal Dunbar stated, before his coach, his professional development with colleagues in District A did not yield the wealth of information as compared to his CLMS coaching experience. He recalled that his coach provided an abundance of relevant resources, challenging dialogue, reflective conversation, and specific answers to the daily issues and problems associated with improving the teaching and learning at his site. Exemplary training programs, as found in the literature, are partnership programs with school districts, with the goal of strengthening the professional development for practicing principals (Darling-Hammond et al., 2007; Davis et al., 2005; Peterson, 2002). These programs were established to meet the current demands of the principalship and the diverse needs of adult learners through alternative training strategies (Darling-Hammond et al., 2007; Davis et al., 2005; McCarthy, 1991; Merriam & Caffarella, 1991; Peterson, 2002).

Lack of proven leadership success. Researchers caution that mentors and coaches need to have proven leadership success, training that relates to the goals and objectives of the mentoring or coaching assignment, and some of the positive predictors associated with successful outcomes. The principals believed that if coaches do not have proven success within similar schools, they will not make an effective coach or mentor.

Principal Dunbar stated that coaches need to have proven success within the last 5 to 10 years and no more: “Their experience needs to be relevant from a successful school.” According to Weingartner (2009), a few of the positive predictors are “efficient time management skills, the ability to engage in purposeful communication, respect for the principal’s time, and being highly qualified” (p. 95). Malone (2000) also cautions that not all good principals make good mentors.

When assessing the impact of coaching and mentoring effectiveness, Gusky (2000) recommends that the following “five levels be assessed: (a) participants’ reactions, (b) participants’ learning, (c) organizational support and change, (d) participants’ new knowledge and skills, and (e) student learning outcomes” (p. 82). When considering the implementation of coaching and mentoring for use in supporting the principals’ work to improve student achievement, careful consideration of the negating factors must be given significant attention, since there are activities and functions deemed as nonsupportive of the work.

The mentorship component. The mentorship component played a lesser role in the training model. Based upon the interviews, the role of the program mentors did not emerge as a dominant theme within the training. Only one principal cited the monthly professional development sessions led by the mentors as helping them to focus on continual improvement and the facilitation of learning and performance.

Limitations of the Study

When reviewing the findings of this study, the researcher identified limitations that must be acknowledged, especially when evaluating the implications for future practice. The study sought to describe the pros and cons of the California League of

Middle Schools' Professional Development Program: a model of coaching and mentoring, and the selection criteria limited participation to three principals. Further, the principals' suggestions and recommendations can help to identify program enhancements for future training participants. As this was a single case study involving a distinct training model established by two entities, the findings will serve to inform District A and the CLMS alone. It is the goal to inform both partnership organizations on how the model supported, changed, or developed the principal leadership practices associated with effective schools.

Recommendations for Future Research

There is a common recognition that the development of strong principal leadership practices are crucial within the school setting; however, a single, most effective approach for ensuring the reproduction of great school leaders continues to elude researchers. Therefore, an exploration of a variety of potentially effective programs is critical for producing better schools nationwide. Within the existing research on the benefits of mentoring and coaching programs, there is more to be learned with regard to the ability of this unique strategy to bring about increased principal efficacy, especially in urban schools.

While the findings within this study identify some potential benefits of the experience, there are many unexplored areas that, when studied, could add to the body of existing information. Future research focused on the coaching and mentoring experience could include the following:

- An analysis of mentoring and coaching preparation programs. How are the mentors and coaches trained? What are the qualities of an effective mentor and coach?
- A study to investigate the factors that contribute to effective matches between mentor/principal and coach/principal. What are the actions taken when mentoring and coaching matches are deemed ineffective?
- A comparative investigation of a coaching or mentoring history with both successful principal outcomes and unsuccessful principal outcomes. Is there a way to determine or measure principal readiness for positive coaching or mentoring outcomes? What are the reasons for varying outcomes? Can the unsuccessful outcomes be mitigated? How and in what ways?

It should be noted that the CLMS grant that sponsored District A's approach to principal professional development had a specific training design, where one of the elements included access to coaches and mentors. J. Daresh (2001), in *Leaders Helping Leaders*, noted that the design must be deliberate for mentoring or coaching relationships to be effective. Designs cannot be happenstance or left to evolve without direction and purpose (Archer, 2006; Cohn & Sweeney, 1992; J. Daresh, 2001; J. Daresh & Playko, 1990; Weingartner, 2009). Findings from the observations confirmed that the program's design had specific goals, planned activities, and procedures for the consistent and systematic training of the principals. Due to the fact that the training was grant funded, there were specific design elements and reporting requirements that forced the project directors to be deliberate in the delivery of services. While the research supported having a deliberate structure and design in order to increase the probability for positive,

measurable outcomes for coaching and mentoring, the issue of program flexibility in order to meet the specific training needs merits further consideration.

It is the intent that additional research in the above areas will add to the body of existing research in order to reproduce school leaders in urban communities who have the ability to lead schools to high levels of student and staff performance.

Implications for Future Practice

The coaching and mentoring experience in District A had many activities that principals considered a positive benefit to the work associated with improving teaching and learning. For districts and organizations like the California League of Middle Schools that are exploring strategies to support the development of effective principals, the implications of this study for future practice become informative.

Accessibility is an important feature of the coaching experience. Principals considered having access to someone who was readily available to respond to their need essentials. Timely and regular communication via email, phone calls, site visits, joint professional training, and conference attendance was rated highly by the principals. Many of the principals' decisions, changes in program direction, and support to teachers were influenced by the work with their coaches. It is recommended that programs be designed with a person who can be readily accessible to the principal.

Principals need an environment where they are free to learn and where the vulnerability associated with having a skills and knowledge gap is nonexistent. Principals in this study indicated a need for trusting relationships and a good fit between coach and principal. It is recommended that programs considering mentoring and

coaching include a relationship-building component to ensure that the groundwork is established for trust and confidence between coach/principal and mentor/principal.

In addition to building the trust component, it is recommended that those seeking to establish effective coaching and mentoring programs engage in a systematic, research-based process that deliberately matches mentors/coaches to principals. This may help to mitigate the negative impact associated with a principal who has difficulty benefitting from the knowledge that is being shared by the coach or mentor.

Use of research-based texts and strategies in mentoring and coaching programs should be continued as best practices. Resources that have proven to positively impact teaching and learning are resources that should remain and be added to coaching and mentoring programs. Programs using vetted resources and materials, and texts with strategies with proven success could serve as models for a prescribed curriculum in future or current coaching and mentoring programs nationwide.

Conclusions

The study began with an exploration of the experiences as related by urban school principals about their participation in the California League of Middle Schools' (CLMS) professional development program that included coaching and mentoring. The three principals were selected based upon the academic growth of their schools for the past 2 years. In addition, they were participants in the CLMS training program for the past 2 years. Realizing that principal leadership is a major contributor to the success of student performance, this study sought to determine what leadership practices were supported or developed as part of this training model that included extensive use of coaching and mentoring.

The findings from this study indicated that there were principal leadership behaviors and practices that were both supported and developed through involvement with the CLMS professional development program. Through the use of coaching and mentoring, principals received timely communication and feedback from coaches that helped direct the short and long term functions within their position. Having access to the knowledge and experiences of a peer who had proven success at a similar school helped to improve their instructional leadership practices and their ability to become more reflective. Principals had the opportunity to engage in professional dialogue with a critical ear, have someone listen to their thought processes, and have someone provide nonjudgmental feedback and motivation to believe in the possibilities of the principal to lead a school to improvement.

Study findings indicated that working with the coaches and mentors helped to keep the principals focused on continual improvement through the use of research-based strategies. The on-site coaching sessions, the full-day professional development sessions, local and state-level conference attendance, and the supplemental resources all focused on the need for continual improvement in teaching and learning. The supplemental resources and texts associated with the coaching and mentoring program held proven strategies that support student learning and best teaching practices. Principals were supported to align their organizations with school-wide instructional goals around continued improvement. Coaches worked to help them align their instructional program to a finite set of goals and worked to ensure that those goals were implemented with fidelity.

The use of data to inform instructional decisions was paramount, and principals were changing their leadership beliefs and practices to allow student performance data to lead and direct every instructional decision in support of continued improvement. Individual teacher meetings were improved as a result of principal coaching around the area of having crucial conversations. Principals expressed a change in practice from leading the teachers in these conversations to allowing teachers to come to conclusions about next steps. Principals learned to allow teachers wait time to think and reflect. The conversations included student performance data that better informed principals and teachers about what students knew and what they needed to learn. Principals attributed these changes in practice to the training received from the CLMS coaching and mentoring experience.

While the program reflected many positive aspects, the components that did not work well cannot be overlooked. Attention to the unexpected findings must inform decisions about enhancing current and future coaching and mentoring models. Attending to ineffective communication, judgmental feedback, the lack of trust, partner matching and best “fit” especially in regard to individual coaches with varying results, and ensuring the coaches and mentors bring expert knowledge into the training experience is critical. As the pros and cons of the model, as well as principal recommendations for program enhancement are weighed, the opportunity to create a more efficient training model that utilizes coaching and mentoring becomes a realistic possibility.

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APPENDIX A

Professional Development Training Program

Principal Interview Questions Focused

on the Work With a Coach

Questions for Principals

The following questions will be used to determine (a) the pros and cons of the professional development training program, (b) how and in what ways participation in the program changed or supported leadership behaviors or practices associated with effective schools, and (c) any recommendations or suggestions for improvement.

Demographic Data

Where did you obtain your administrative credential/training?

Describe your administrative training program.

Did you receive the administrative credential only?

Did you receive the administrative credential and a master's degree?

How many years of experience do you have as:

A teacher?

An administrator?

What is your highest earned degree?

1. Do you have an assigned coach?

If not, when last did you have one? 1 year ago...

2. Who provided the coach and for what purpose?

School board superintendent

Associate superintendent

Outside funded group

3. How long did you have a coach?

1 year

2 years

More than 2 years

4. How often do you meet with your coach?
More than once per week Once per week Once every 2 weeks Other
5. How often do you communicate with your coach?
Less than weekly Weekly Other
6. Communicating effectively: Please rate (by circling) the following mentoring competencies in relation to how much.

(1 = Not at all 2 = Sometimes 3 = On most occasions 4 = Very often 5 = Frequently/Consistently)

The coach listens attentively to everything that I say	1	2	3	4	5
The coach paraphrases and summarizes key points/ patterns in a condensed fashion.	1	2	3	4	5
The coach asks open-ended questions which help me clarify my thinking.	1	2	3	4	5
The coach delivers feedback in a supportive, nonjudgmental manner.	1	2	3	4	5
The coach provides feedback that is specific rather than general.	1	2	3	4	5
The coach knows when to push me and under what conditions.	1	2	3	4	5

7. Facilitating learning and performance: please rate (by circling) the following coaching competencies in relation to how much . . .

(1 = Not at all 2 = Sometimes 3 = On most occasions 4 = Very often 5 = Frequently/Consistently)

The coach helps me identify my organizational goals and prioritize them.	1	2	3	4	5
The coach helps me understand and manage the process of change.	1	2	3	4	5
The coach helps me brainstorm possibilities.	1	2	3	4	5
The coach is knowledgeable about best practices that enhance student learning.	1	2	3	4	5
The coach helps me to implement intervention programs that meet student needs.	1	2	3	4	5

The coach helps me articulate a vision of cultural responsiveness.	1	2	3	4	5
The coach helps me focus on the big picture.	1	2	3	4	5
The coach inspires me to believe in new possibilities.	1	2	3	4	5

8. Please rate (by circling) how much the coaching you received affected the presence and/or implementation of the following practices?

(1 = Not at all 2 = Somewhat 3 = Significantly 4 = Very significantly)

Emphasis on continual improvement.	1	2	3	4
On-going professional development for instructional improvement.	1	2	3	4
Differentiated instruction such that all students have access to a targeted and rigorous curriculum.	1	2	3	4
Regular review of student data by principal and/or leadership team.	1	2	3	4
Teacher accountability to help students reach clearly articulated goals.	1	2	3	4
Recognition on noteworthy efforts and accomplishments of students, staff, and community.	1	2	3	4
Teachers learning and using targeted intervention techniques and skills.	1	2	3	4
Intervention needs of students being met mainly within the regular classroom.	1	2	3	4
Regularly schedule grade level PLC meetings to analyze data, share teaching strategies, create lessons and common assessments.	1	2	3	4

9. Please rate (by circling) how much the coaching experience has influenced your beliefs about a site principal's ability to:

(1 = Not at all 2 = Somewhat 3 = Significantly 4 = Very significantly)

Increase student achievement	1	2	3	4
Lead or change the direction of a school	1	2	3	4
Improve the quality of teacher instruction	1	2	3	4
Effect school culture	1	2	3	4
Bring about change	1	2	3	4
Effect the beliefs and directions of the parent community	1	2	3	4
Move a school in a given direction in spite of obstacles	1	2	3	4

10. Do you believe that having a coach has influenced your beliefs? Yes No
Why or Why not? Please explain your response.

11. What was your coach's professional background?

12. What would you consider the coach's strongest educational leadership skill sets?

13. Have any of your leadership behaviors changed as a result of having a coach?
Yes No Please explain your answer.

14. Do you believe that having a coach can impact the student achievement outcome?
Yes No Please explain your answer.

15. Do you believe that having a coach has impacted the student outcomes at your school?
Yes No Please explain your answer.

16. Have any of the activities that you have participated in with your coach changed your leadership behaviors? If yes, what activities and what behaviors?

17. Are there activities that you believe should be included in the coaching program that would help shape the leadership behaviors of principals?
If yes, what activities?

18. For the purposes of this study, an effective principal leader is one who has led a school with improved student achievement data for a minimum of two years as measured by the Academic Performance Index of the school site. Based upon this definition, were there any activities within your coaching experience that did not seem to support your work as an effective leader?
If yes, list the activities and explain why they did not support your work.

19. Explain what you believe should be the role of the coach in supporting the work of principals?

20. Explain how the work with your coach differs from the work with your mentor?

APPENDIX B

Observation Protocol Reporting Form

Demographic Information (date, time, place, principal, coach, location, setting)		
Type of Observation	Additional Participants	
Description Notes	Categories From Principal Interview Questions	Reflective Notes
	1. Communication (type) 2. Continued Improvement New Learning & Performance 3. Research-Based Instructional Strategies 4. Principal Self-Efficacy 5. Principal Practices 6. Regular Use of Data 7. Coach's Impact on Student Achievement 8. Coaching Strengths & Future Coaching Activities 9. Coach Instilling Beliefs About the Principal's Ability to: Increase student achievement Lead/change school's direction Improve teaching quality Effect school culture Effect parent beliefs & direction Move forward in spite of obstacles	
Comments		

APPENDIX C

Questions of Inquiry for Feasibility and Gaining Entry

Into an Urban School District

Overall Program & Description

1. Describe the Principal Training Program?
2. Why was the program started?
3. When was the program started?

History and Origin of the Program

4. Describe the educational model and training strategies?
5. What research supports or informed the use of the training strategies within District A?

Partner Organization

6. Who is the organizational sponsor/partner of the Training Program?
 - a. National League of Middle Schools?
7. Does your partner organization have program goals? If yes, what are they?
8. What systems do they have in place to measure goal/objective attainment, if any?
9. How did you become associated with this partner organization?
10. What are the program goals / objectives as established by District A?

Program Goals and Objectives

11. What systems do you have in place to measure goal/objective attainment?
12. Thus far, is there any type of data to describe how the program is progressing?
 - a. Student achievement data, perceptions data, demographic data, etc.)
13. What are your overall expectations of implementing the model?
14. What are the expectations for the principals?
15. What are the expectations for Upper Management?

Program Logistics

16. What is the selection process for the trainers?
17. What is the selection process for principals?
18. Describe the training for the program facilitators, if any?
19. What is the organizational structure for training?
 - a. Who oversees the trainers?
20. What is the chain of communication?
21. What is the process and frequency for communication?
22. Describe any challenges of the coaching program thus far?
 - a. Pitfalls
 - b. Strengths
 - c. Evidence of success

APPENDIX D

Participant Consent Form

San Diego State University
Educational Leadership Doctoral Program K-12

Researcher and Institution

Helen V. Griffith
San Diego State University
Educational Leadership Doctoral Program K-12
Dr. Cheryl Ward

You are being asked to participate in a research study exploring the coaching and mentoring experiences of middle school principals. Before you give your consent to volunteer, it is important that you read the following information and ask as many questions as necessary to be sure you understand what you will be asked to do.

Study Purpose

The purpose of this study is to examine the practices in a professional development training for principals that includes coaching and mentoring. It is the hope to gain the principals' perspective as to the pros and cons of the program; what leadership practices and behaviors were changed or supported as a result of their participation; and recommendations and suggestions for program improvement that can lead to the development of leadership behaviors associated with effective schools.

Description of the Process

One-on-one interviews will be conducted with principals using a semi-structured approach using open-ended questions. Subjects will be invited to participate via a phone call or email. Once they agree, an in-person meeting will be scheduled to discuss the Participant Consent Form. Additionally, the coaches and mentors will be invited to participate as the researcher observes one of their principal training sessions. The coach and mentor will be observed during the process where field notes will be generated of the process.

Subsequently, principal participants will be asked to submit documents relative to their coaching and mentoring experience that will add to the data collection and analysis. All participants will remain anonymous as well as the school district.

Risks or Discomforts and Risk Management

While the nature of the questions you will be asked is not inherently personal, if at any time during the completion of the survey you begin to feel uncomfortable about responding to a question, you may discontinue participation, either temporarily or permanently.

Benefits

By participating in this study, you may be contributing to the improvement or creation of principal coaching and mentoring programs. However, the researcher cannot guarantee that you will receive any benefits from participating in this study.

Confidentiality/Privacy

Confidentiality will be maintained as required by law. Research files from the interviews and copies of scanned documents will be stored on the researcher's computer (that is password protected) and then destroyed within 2 months of the completion of the research. Only the researcher will have access to the research data. Your identity will not be disclosed in any presentation or publication associated with this research, unless you give specific written permission. If we seek your permission to disclose your identity, you have the right to review and edit the transcriptions of your interview prior to any publication.

Incentives and Costs for Participation

You will not be paid to participate and there are no costs to participate in this study.

Voluntary Participation

Participation in this study is voluntary. Your choice of whether or not to participate will not influence your future relations with San Diego State University or the researchers. If you decide to participate in this study, you are free to withdraw your consent and stop

your participation at any time without penalty or loss of benefits to which you are allowed.

Contact Information

If you have any questions or concerns about your participation in this study, you may contact

Dr. Cheryl Ward, San Diego State University, email: cward@mail.sdsu.edu.

Consent to Participate

Your signature below indicates that you have read the information in this document and have had a chance to ask any questions you have about the study. Your signature also indicates that you agree to participate in this study and have been told that you can change your mind and withdraw your consent to participate at any time. If you desire a copy of this agreement, please note below and a copy will be provided.

Required Signatures

Participant's Signature	Date

Participant's Name (PRINTED)

Project Representative	Date

_____ Yes, I desire a copy of this agreement.