Lessons Learned about the Implementation and Sustainability of the Redesigned Principal Preparation Programs in Alabama

by

Karen Tatum

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Approved by

Cynthia J. Reed, Chair, Professor of Educational Foundations, Leadership and Technology
David C. DiRamio, Associate Professor of Educational Foundations, Leadership and Technology
Frances K. Kochan, Wayne T. Smith Distinguished Professor of Educational Foundations,
Leadership and Technology
Ellen H. Reames, Assistant Professor of Educational Foundations, Leadership and Technology

Abstract

In the fall of 2005, the state of Alabama embarked upon a multi-system reform of its leadership standards, principal preparation program requirements, professional development standards, and professional practice evaluation system through the Governor's Congress on School Leadership. The work of this group was intended to open an avenue for collaboration and communication from a cross-section of stakeholders to design systemic change (Alabama State Department of Education, 2005; Cox, 2009). Their work resulted in recommendations for the revision of: (1) standards for instructional leadership, (2) leadership curriculum, (3) internship experiences, (4) certification, (5) evaluation, and (6) professional development programs. Eventually, thirteen colleges and universities in the state of Alabama redesigned their principal preparation programs to align with the state's new criteria for instructional leadership. Three of these universities piloted the redesign process for the state. This study looked at part of Alabama's systemic redesign of principal preparation programs including: (1) challenges encountered and support received, (2) lessons learned, and (3) strategies employed for sustainability. The findings presented were derived from survey results, transcribed interviews, and content analysis of redesign documents generated from the state and the three pilot sites. The presentation ends with recommendations to support sustainable reform of redesigned principal preparation programs.

This dissertation uses the alternative format. The introduction, literature review, and methods are presented in Chapters 1, 2, and 3. The next three chapters are in manuscript format.

The first manuscript examines and compares the factors that facilitate or hinder the redesign between the 3 pilot redesign universities and the 10 remaining redesign universities. The second manuscript discusses perceptions of stakeholders about the implementation and sustainability of the redesign; and, the third manuscript examines lessons learned about the redesign. Chapter 7 provides summarizes important findings of the study.

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CHAPTER I. INTRODUCTION

The latter portion of the 20th century ushered America into a new century and into a new movement of educational reform. Educational leaders, and those who prepare them, were confronted with a call for reform in a political and social environment that became enmeshed in a new era of accountability (Hess & Kelley, 2005; Fullan, 2003; Lashway, 2003; Rippa, 1984). The call from practitioners for more accountability regarding principal preparation became a focus of attention at both the national and state levels (Bottoms & O'Neill, 2006; Fowler, 2004). Among the most critical challenges and issues warranting reform were: redesign of principal preparation programs; revision of standards, licensure and certification; assessment and evaluation of school leaders; and professional development (Lashway, 2003). Educational reform itself is not new to the fabric of the American culture; however, a systemic review of policies that connect leadership to teaching and learning, theory to practice, and standards to learning became prevalent on the educational scene (Bottoms & O'Neill, 2006; Fullan, 2003; Lashway, 2003; Rippa, 1984). These issues, beginning in the 1900s, established a cyclical pattern of reform efforts in American education, and transitory trends on a national level that took precedence in the political cultures in the states (Fowler, 2004; Marshall, Mitchell & Wirt, 1989).

The history of public education in America has been infused with criticism. Sparked by a series of reforms that began in the late 1950s and early 1960s (Marzano, 2003; Rippa, 1984), multiple critical reports laid a foundation for doubt and cynicism about the quality of American

education programs and how they impact student learning (Marzano, 2003). Many in the general public began to question the effectiveness of public education. Spurred by fears about international competition, an increasing achievement gap, economic and financial competitiveness, and increasingly high stakes accountability, the reform era in the United States became inevitable. The list below offers just a few critical reports on the state of education and important legislative actions that propelled American education into a continuous cycle of reform:

- *1954 – **Brown vs Topeka***, a landmark decision that struck down the concept of "separate but equal" and ushered in school integration efforts (Wiles, 2005). The 1954 United States Supreme Court decision in *Oliver L. Brown et al. v. the Board of Education of Topeka (KS) et al. (Brown v. Board of Education)* is among the most significant judicial turning points in the development of our country (http://brownvboard.org/summary/index.php).

- *1957 – **Launch of Sputnik in 1957 and the book: Education and Freedom*** which linked the nation's security and the quality of education.

- *1965 – **The Elementary Secondary Education Act (ESEA).*** This Act became the first large concentration of authority over American education to be placed in the hands of the federal government (McCluskey, 2004).

- *1966 – **Equality in Educational Opportunity ("Coleman Report")*** which purported that schools account for only about 10 percent of variance in student achievement and the other 90 percent is accounted for by student background characteristics.

- *1972 – **Inequality: A Reassessment of the Effects of Family and Schooling in America*** corroborated the findings in the Coleman Report. In other words, if schools

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have little chance of overcoming the influence of students' background characteristics, why put any energy into school reform?

- *1983 – A Nation at Risk: The Imperative for Educational Reform*, issued by the National Commission on excellence in Education. This report sent the message that our society was being eroded by mediocrity. This negative account of America's educational system cast a shadow on education through the 1990s.

- *1995 – Third International Mathematics and Science Study (TIMSS)* involved a large-scale, cross-national comparison of the education systems in 41 countries. While 4th grade students performed moderately well, 8th and 12th grade students did not. Researchers interpreted these results as evidence of a dire need for public education reform.

- *2001 – No Child Left Behind Act (NCLB)* increased accountability for states, school districts, and local schools while requiring much more accountability for the receipt of federal funds.

- *2009 – RACE to the TOP*: In 2009, President Barack Obama embarked upon a path of educational reform for states to be able to implement innovative and transformational educational programs that often are not implemented or undertaken due to a lack of funding. This effort required states to compete against each other for available funding. To be eligible, states were required to agree to implementation of new policies related to low performing schools, many of which required districts to eliminate current school leaders and/or teachers and hire new ones. The theory of action behind this effort was that current staffing at the schools was not producing high levels of learning and that new staffing arrangements would be more likely to

raise levels of student learning and achievement (Center for American Progress, 2010).

These nine judicial, legislative and national educational reports were not only historical educational milestones, but also served as critical elements in school reform. Content within each of these reports became crucial in the context of reform, and was one of the key factors influencing the perceptions of the public about educational quality (Wiles, 2005). These reports and legislative actions are explored further in Chapter II of this study. With historical reform landmarks such as Brown v Topeka (1954), the Launch of Sputnik (1957), and the Coleman Report (1966), some historians believe that the United States hailed the decades of the late fifties and sixties as a period of social, economic, and societal change (Fowler, 2004; Rippa, 1984; Rosenblatt, 1996). Public schools in North America went from being the most respected institutions in our society to one of the most criticized, laying out a new environment in which educational policy transformed and became more "complex and multifaceted" (Fowler, 2004, p. 4). A federal funding explosion began between 1965 and 2002, in which federal spending on education increased at an extremely rapid rate (McCluskey, 2004). Spending patterns by the federal government in education between these years are tracked in McCluskey's (2004) article, *A Lesson in Waste: Where Does All the Federal Education Money Go?* He states, "…in 1965 the combined education expenditures of all federal departments and agencies, in inflation-adjusted dollars, were $24.7 billion…..by 2002, that figure had soared to $108.0 billion, an increase of more than 37 percent" (p. 6). A review of where the money was going during this period revealed that the most growth spurts appeared in education spending in three milestone years: in 1965, the year of the passage of the Elementary Secondary Education Act (ESEA); in 1980, Education's first year as a cabinet-level department; and in 2002, the most recent year for

which actual federal expenditures are known and the year that the No Child Left Behind Act of 2001 began implementation (McCluskey, 2004).

Demographic trends changed due to the rapid population growth during the baby boomers generation in America (Fowler, 2004). The vast number of baby boomers who are approaching or have reached retirement age may have become more interested in their investments in retirement funds and health care more so than in investments in education (Fowler, 2004). Additionally, the diversity of America's population changed the context of public schools and the political decisions made about them (Rosenblatt, 1996). Just as the financial and demographic trends shifted over the years, so did our political ideas (Fowler, 2004). Fowler reports that issues in educational politics shifted from those of equality to issues relating to excellence, accountability, and choice (Fowler, 2004; Boyd and Kerchner, 1988). Influenced by this ideological shift, public education began to draw criticism from both political parties and their presidents as well as from the business and religious communities (Fowler, 2004).

The movement toward the need for educational reform is extensive in the literature. Beginning with the government's expansion into the education arena in the 1950s prompted by the launch of the Soviet satellite Sputnik, to the passage of the Elementary and Secondary Education Act of 1965, there has been an ever increasing presence of federal polices impacting education (McCluskey, 2004). Many of these interventions have been viewed as civil rights issues described as "identity politics" when groups organized to change their situation (Marshall and Gerstl-Pepin, 2005, p. 110). Additionally, some believe that internal and external threats to public schools such as vouchers, for-profit corporations entering into the public education arena, and pro-business public policies have been harmful to public education (Blankstein, 2004). Even

today, the current President, Barack Obama, has introduced a new proposal for the future of education that includes the charter school as a model for systemic reform in the educational arena (American Recovery and Reinvestment Act [ARRA] of 2009).

As school accountability measures became embedded in state and federal regulations, such as the No Child Left Behind Act (NCLB) of 2001, American education was ushered into an era of standards-based school reform (SREB, 2001). The emergence of standards-based reform was not enough to spur a movement toward this reform effort. However, the public outcry and demand for more accountability from the local, state and national levels (Hausman, Crow, & Sperry, 2000) ignited a conversation about the role principals' contributions play in the instructional success of students. An intensified focus on leadership reform emerged with the advent of the effective schools research of the 1970s and 1980s (Edmonds, 1979; Goodlad, 1987) which revealed the principal's important role in improving student achievement (Edmonds, 1979; Goodlad, 1987). If the reform movement was to permanently affect the mainstream of American thought and "reduce the variance in beliefs to what can be seen in the school setting" (McNeil and Wiles, 1990, p. 28), then it was imperative that the contributions of all educational participants be unified on a permanent basis (Gorton, 1976).

The emergence of a series of education innovations sought to reshape the total content of the curriculum and to introduce a new set of methodologies. These innovations, augmented by the work of academic scholars in colleges and universities, sought to reorganize the conceptual structure of a discipline for presentation to boys and girls (Rippa, 1984). In the mid 1980s, the school reform movement shifted responsibility for curriculum development from the local level to the state level. Through the 1990s, calls for reform gradually shifted more to the national level, partially due to the movement on state and national standards (Ornstein & Hankins, 2004).

In the 2000s, reform efforts and educational innovations were centered on standards-based education which set academic standards for what students should know and be able to do. This new focus "came to fruition via the National Governors Association, which advocated for America 2000 and Goals 2000, national level policies that emphasized the need for national standards" (Marshall, 2005, p. 182). Some issues that were fodder for the debates for education reform were:

- Longer school day/school year

- After-school tutoring

- Charter schools, school choice, or school vouchers

- Smaller class sizes

- Internet and Computer access

- Track and reduce drop-out rate

- Track and reduce absenteeism

- English-only vs. bilingual education

- Mainstreaming special education students

- Content of Curriculum standards and textbooks

- Revising Leadership training programs, and

- Improved teacher quality which included:

  o Improved training

  o Higher credential standards

  o Higher pay to attract more qualified applicants

  o Merit pay

  o Firing low-performing teachers

o   Funding, neglected infrastructure, and adequacy of educational supplies

The standards-based reform movement was entrenched in the No Child Left Behind Act of 2001 which, according to Ravitch (2010), "assumed that higher test scores on standardized tests of basic skills are synonymous with good education … [but] its assumptions were wrong" (p. 32).

Background

Today's accountability market increased the urgency of the public's demands to restructure the face of school leadership (Mazzeo, 2003). Mazzeo (2003) further reported that there is a national principal shortage and, that this trend is expected to grow during the next five years. Such a shortage especially threatens recruitment for urban and rural districts with large concentrations of high-poverty and low-performing schools (Fuller & Young, 2009; Reed & Kochan, 2006). However, this type of challenge extended beyond the supply and distribution of leaders. Researchers suggest that many current and potential principals lack the skills necessary to lead in today's schools (Bottoms & O'Neill, 2001; Mazzeo, 2003). Further, there are increasing concerns that the quality of principals has declined in recent years and that today's principals lack the skills necessary to lead in today's schools (Bottoms & O'Neill, 2001; Levine, 2005; Mazzeo, 2003; Murphy, 1991). According to Hess and Kelly (2005), there has been little evidence that principal preparation programs have kept pace with changes, challenges, and opportunities in the world of schooling posed by an era of accountability.

Accountability in the United States

The criticisms regarding principal preparation are related to the focus on accountability in the country. The increased focus on student achievement over the last ten years appears to have been influenced by published evidence of poor reading and math scores across the United States

which consequently sparked a new era of accountability in K–12 education (Murphy, 2001; Murphy & Forsyth, 1999). Accountability was embedded in state and federal regulations such as the No Child Left Behind Act of 2001 (NCLB); high stakes testing; standards-based reform; and community outcries for attracting, recruiting and retaining leaders who can positively impact student achievement (Bottoms & O'Neill, 2001). Additionally, there has been considerable focus placed on accountability and improvement through the implementation of new accountability laws. Throughout the United States, educational policies required more stringent certification standards and professional development opportunities to support a public demand for accountability in the education arena (Rand, 2009). In a world of ever increasing accountability, and an educational arena of standards-based reform, major changes are needed to equip new leaders with the knowledge and training needed to increase student achievement (Bottoms & O'Neill, 2001; Lashway, 2003; Murphy, 2001).

High stakes accountability has changed nearly everything in the world of school leadership (Bottoms & O'Neill, 2001). These accountability initiatives resulted in state policymakers expect new principals to lead school change and raise student achievement. Research has shown that leadership is second only to teaching among school-related factors in its impact on student achievement (Davis, Darling-Hammond, LaPointe, & Meyerson, 2005; Leithwood et al., 2004; Seashore-Louis, et al., 2010; Shelton, 2009).Even superintendents make it clear that they demand more instructional leadership from principals as they work to close the achievement gap (Hess & Kelly, 2002). Adams and Copland (2005) report similar concerns regarding the demands of school leadership in an era of accountability. These authors state that as achievement gaps persist and academic results lag behind accountability expectations, the public looks to their principals for school improvement. In other words, we operate in a time

when student learning is prized. Societal demands focus on student learning as measured by standardized tests, and therefore changing the nature of school leadership, reshaping and requiring alterations in the knowledge and skills required of principals (Adams & Copland, 2005). Public outcry and demand for more accountability at the national, state and local levels (Hausman, Crow, & Sperry, 2000) has ignited a conversation about the role of the principal in student achievement and challenges those traditional practices and curriculum in the preparation of principals. These societal demands must be supported in state licensing requirements so that licenses reflect a learning focus (Adams & Copland, 2005).

The question as to whether or not licenses reflect a learning focus was investigated by Adams and Copland (2005) in their report, *When Learning Counts: Rethinking Licenses for School Leaders.* The report outlined the following conclusions:

- Licenses do not reflect a learning focus
- Licensing requirements are unbalanced across states and misaligned with today's ambitions for school leaders
- Licenses form the foundation of school leadership development
- Doing licensure well means tackling licenses in the larger context of school leadership development.

These researchers pointed out that doing licensure well required a balanced framework that was able to link licenses with the duties and demands of the principalship. They labeled this type of framework "License-Plus" which placed the learning focus on the individual elements, organizational elements and learning elements needed to prepare effective leaders and for leaders to be effective. McCarthy (2002) agreed that licensure and certification were key elements in leadership preparation. The National Conference of State Legislatures (NCSL; 2009) extended

the notion that these key elements "can be an important policy requirement to ensure schools have effective leaders" (p. 7). Licensure and certification are identified among the eight (8) initiatives supported by 23 states that enacted laws to address recruitment, preparation, support and retention of effective school leaders (NCLS, 2009). The NCSL report also contends that while licensure provides necessary leverage for school leadership, it must be done in concert with other aspects of leadership development. An additional area of concern came into play when states lacked common standards and inconsistencies became evident in the quality of preparation programs (Darling-Hammond, 2007). Throughout the United States, state policymakers have redesigned instructional leadership standards which often lead to curricular restructuring in university preparation programs and state licensure and/or certification (Darling-Hammond, 2007). Many states, including Alabama, have adopted Interstate School Leaders Licensure Consortium (ISLLC) (Council of Chief State School Officers, 1997) Standards for Leaders to provide a set of common expectations that guide knowledge, skills, and dispositions of school leaders and therefore affect teaching and learning (Darling-Hammond, 2007; Jackson & Kelley, 2002; NPBEA, 2001).

Alabama

The reasons outlined above are just a few impacting the urgency for states' efforts to improve the quality of the overall educational system beginning with state policy revisions of standards, licensure and certification in principal preparation programs. These changes prompted university preparation programs and state legislatures to revisit the content and processes used to prepare and support effective leadership. The effects of the accountability era thrust Alabama into a major overhaul of its instructional leadership programs to include: (1) revision of its leadership standards; (2) the restructuring of licensure and certification

requirements; and, (3) revision of its professional development evaluation systems. This resulted in the need for all Alabama universities and colleges with principal preparation programs to redesign their instructional leadership programs in terms of content, admissions processes, internships, evaluation, and relationships with school systems. Based on the decline of student achievement as evidenced by failing test scores across the state, some portrayed the instructional leadership in Alabama as ineffective (Bottoms & O'Neill, 2001; SREB, 2005). Research supported the idea that principals, nationwide, were ill prepared to effectively lead schools in this era of data driven accountability (Levine, 2005; Mazzeo, 2003; Murphy, 1991).

In Alabama, these problems appeared to stem from poorly devised educational leadership program curricula; lack of alignment between national and state standards; unattainable requirements of new accountability laws that forced the revision of state standards; and the existence of leadership licenses that did not reflect a learning focus to correlate with what happens at the school (Alabama Governor's Conference, 2004). According to Brooks, Havard, Tatum, and Patrick (2010), "standards for leaders… in Alabama, and in other states, are closely tied to the practical application of what principals do on a daily basis" (p. 427). A recent study by Rand (2009) reminded us that in order to staff schools with effective leadership "we must begin to:

- align actions across the leadership preparation system,
- align standards with knowledge skills,
- connect theory with practice, and
- provide leaders with the "authority" to practice their craft" (p xv).

Researchers' suggest that if state policymakers demand more of principals and plan to hold them accountable for student outcomes, then policymakers must also expect preparation programs to

match these demands placed on principals through training and practical experiences unique to the position (Norton, 2003).

In the Fall of 2005, the State of Alabama responded to a Request for Proposals from the Wallace Foundation to redesign the principal preparation programs in their state colleges and universities. Although Alabama was not chosen to receive one of these grant awards, Alabama's Governor, Bob Riley, initiated education reform focused on improving school leadership through the Governor's Congress on the Redesign of Instructional Leaders (http://alex.state.al.us/ [showleaderpg.php?lnk=gi](http://alex.state.al.us/showleaderpg.php?lnk=gi)). This effort, in concert with State Superintendent of Education Dr. Joseph Morton, provided an avenue of collaboration for systemic change in setting the standards for instructional leadership, designing sound and demanding curriculum, providing meaningful experiences for upcoming administrators, and the revision of the certification and evaluation programs (see Appendix A). Governor Riley created a Governor's Congress to address the issue of standards for instructional leaders. The Congress, according to Cox (2007), was to:

- Determine what was important for school leaders to know and be able to do;
- Research the best in national leadership standards, the standards of other states, and the most current research; and,
- Create a draft standards document for approval by the State Board of Education (Cox, 2007)

The initial meeting of the Governor's Congress brought together educators and legislators throughout the state, along with representatives from the Southern Regional Education Board, and in addition to explaining their mission, which was to enhance school leadership in Alabama, committee members (2004) were assigned to serve on five Task Forces:

1. Standards for Preparing and Developing Principals as Instructional Leaders

2. Selection and Preparation of School Leaders

3. Certification of School Leaders

4. Professional Development to support Instructional Leadership

5. Incentives and Working Conditions to Attract and Retain a Quality Principal in Every School (Governor's Task Force, 2004).

Once new standards and curriculum expectations were approved, a request for proposal to pilot these redesigned elements was sent to all Alabama colleges and universities with principal preparation programs. A total of 13 universities applied to be a part of the pilot program. However, four state universities were chosen as redesign pilot institutions: Auburn University in Auburn, University of South Alabama in Mobile, Montevallo University in Montevallo, and Samford University in Birmingham. Each university partnered with one or more public school systems in their region as part of this redesign effort. The Alabama State Department of Education provided the directives for college and university preparation programs throughout the state related to the new standards for instructional leadership. Three of these four universities successfully completed the redesign of their principal preparation programs, serving as pilot programs for the other colleges and universities that were eventually required to redesign their principal preparation programs based on these mandated changes or force closure their programs (Governor's Congress, 2004). The fourth pilot eventually redesigned its program but not within the window of time allowed for the pilot effort. Most Alabama universities have now graduated two cohorts from their newly redesigned principal preparation programs.

Southern Regional Education Board (SREB)

The Southern Regional Educational Board (SREB), in its report on Alabama's Principal Preparation Redesign Program (2009), acknowledged "Alabama's strong position among its 16

SREB states in the revision and adoption of a cohesive set of policies to raise the quality of leadership preparation and practice" (p. ii). While the overall report on Alabama is favorable in each aspect of leadership development, SREB questions the sustainability of the state's progress (SREB, 2010). They suggested that the reforms initiated are in jeopardy of survival due to factors outlined below:

- While many districts have embraced the changes, others have not

- Some administrators and faculty across the state still do not understand that a change in leadership preparation has occurred and want to continue the old ways of doing business

- The reforms remain immature

- The changes brought about by the Governor's Congress on School Leadership will take time to develop and even more time to bear definitive evidence of their success.

- The decreasing availability of resources to sustain the reforms, magnified by a lack of data showing immediate gains in school performance resulting from the changes

- The university programs would benefit from increased opportunities to share ideas

- The PLU system was new in the 2009–2010 school year and still involves a large number of questions about how it will work in practice.

- The collection and publication of data on Alabama's school leadership infrastructure and pipeline needs further development (SREB, 2010).

Fullan (2005) agrees with SREB's concern about sustainability in reform efforts. According to Fullan (2005), sustainability is at the heart of the dilemmas in education reform. His definition of sustainability is "the capacity of a system to engage in the complexities of continuous improvement consistent with deep values of human purpose" (p. ix). In other words,

sustainability is not just something that will last, but makes the case, as Hargreaves and Fink (2000) suggest, "for how particular initiatives can be developed without compromising the development of others in the surrounding environment now and in the future" (p. 30).

The Southern Region Education Board (SREB, 2010) acknowledged that Alabama's efforts to reform instructional leadership "resulted in an unmistakable statewide paradigm shift to a firm belief that Alabama's principals must be instructional leaders as opposed to school administrators" (p. i). Additionally, their executive summary revealed the impact from Alabama's efforts is visible in "several dimensions of the state's educational system, from the state level to the school level" (p. i). However, this report questions Alabama's ability for sustainability of the successes reached so far. The Rand Study (funded by the Wallace Foundation), *Improving School Leadership: The Promise of Cohesive Leadership Systems* (2009), provides current research on the impact of state and district policies affecting school leadership (p. xv). The underlying idea of the Wallace Foundation's grants to states and districts has been to "overcome the isolation of targeted reforms" by providing policy connections (xv). According to the Rand Study (2009), the advances made in improving leadership are led by states: "… although districts and states were equally likely to be taking action to improve leadership, states tended to lead efforts to build Cohesive Leadership Systems (CLS)" (p. vviii). Resources, both financial and human, affect efforts to sustain new programs (Marshall & Gerstl-Pepin, 2005; McCluskey, 2004; Ravitch, 2010). Therefore, the success of the reform efforts in Alabama may become affected as political administrations change, bringing their own reform agendas with them.

Purpose/Problem Statement

Alabama embraced a multi-system reform of its leadership standards, principal preparation program requirements, professional development standards and professional practice evaluation system. This study looks at one part of this systemic overhaul—the redesign of principal preparation programs.   Three universities served as pilot programs to implement the state's new requirements for principal preparation. Eventually, thirteen colleges and universities in the State of Alabama redesigned their programs to align with the state's new criteria. Rand (2009) emphasizes the importance of Cohesive Leadership Systems (CLS) and Alabama utilized this strategy. However, for redesigned programming to be sustainable, there must be resources, consistency, and buy-in from university leaders and faculty and the K–12 partner districts. Sustainability of the statewide reforms will be important during a critical period of political and financial instability. States are political entities whose leadership is subject to change every four years, adding to the need to develop deeper understandings about the sustainability of these redesigned programs and the challenges, opportunities and barriers created by the multi-system reforms mandated for use in these new programs.

Significance of the Study

The Honorable Bob Riley served two terms as Governor of Alabama and took the lead in creating a system for restructuring the state's instructional leadership programs from the redesign of principal preparation programs to the re-visioning of standards and certification. According to SREB (2009), Alabama stands out among other SREB states in their redesign. However, Alabama's leaders must think about the future consequences of the state's initiatives. Will their efforts stand the test of sustainability in the face of a new administration that may or may not be pro-education? According to the SREB report (2010),

the sustainability of the early gains of the Governor's Congress on School Leadership is threatened by a lack of resources and an incomplete understanding among front-line education leaders of what is necessary for implementation or why implementation is necessary or desirable. (p. ii)

The redesigned leadership preparation programs in Alabama are now all in at least their second year of implementation. Because systemic changes take 3–5 years to be fully embraced (Fullan, 2005), it is not appropriate to evaluate the effectiveness of these new programs and outcomes. However, practices utilized by the pilot sites chosen for this study may provide benchmarks for future graduate school program and policy development as well as evaluation studies of graduate school programs within the state.

Purpose of the Study

The purposes of this study were to examine the efforts put in place to implement and sustain the progress of the redesigned principal preparation programs at the State Level, University/College Level and Partner District level. The study also addressed differences in perception by role about the state, university/college, and local district supports that were put in place during and after the redesign process. Finally, this study considered the lessons learned about planning, implementation and sustainability of the redesigned programs. This dissertation is written using an alternative format. Consequently, findings related to each of these purposes are presented as a separate chapter or manuscript within this document. Chapter four discusses factors that help to facilitate or hinder the planning and implementation of the redesign. Chapter five presents stakeholder perceptions and about the implementation and sustainability of the redesign. Chapter six addresses lessons learned about the redesign. Chapter seven provides a synthesis of key findings, a discussion of their implications and recommendations.

This study investigated the need for sustainability in Alabama's reform programs; outlined the strategies needed in order to sustain reform efforts; and investigated the supports in place to sustain current reforms as well as barriers (challenges) that could undermine or limit sustainability of their work.

Research Questions

The study addressed three questions that grounded the inquiry:

1.   In what ways, if any, were the factors that facilitated or hindered the work of three pilots different from those of the remaining 10 redesign sites during the planning, implementation, and sustainability of the redesigned programs?

2.   What are the differences in perceptions of stakeholder groups (pilot sites and their partners and remaining 10 sites) about the planning, implementation, and sustainability of the redesigned principal preparation programs?

3.   What are the lessons learned by the stakeholder groups (pilot sites and their partners, and the 10 remaining sties) about the planning, implementation, and sustainability of the redesigned principal preparation programs?

Research Design

A mixed methods research design was used for collecting and analyzing data. This study involved a comparison of factors that facilitated or hindered the three pilot redesign universities (3PRs), the partner districts (LEAs) and the 10 remaining redesign universities (R10s) in the redesign of their principal preparation programs. Data collection included three types of participant surveys and interviews with one key policy maker and one consultant heavily involved in the redesign process for the state.   Convergent themes were derived from Likert-type responses from surveys, content analysis of documents, open-ended surveys, and transcribed

interviews. Study participants included faculty, deans, and department heads from each of the three pilot and ten remaining redesign universities and their partner districts. Data included survey results, transcribed interviews and content analysis of university and state documents on the policies and procedures for redesigning principal preparation programs in Alabama colleges and universities. Surveys were administered to college deans, program coordinators and faculty at the R-10s; as well as to college deans, educational leadership faculty and their school district partners of the 3-Ps. Interviews were conducted with two key policy makers/consultants involved with the design of Alabama's statewide educational leadership reform. The interview topics included: the redesign of principal preparation; revision of state standards, licensure and certification; evaluation and professional development. A constant comparative method was used to analyze data which involved constantly comparing the data for themes (Glaser & Strauss, 1967; Merriam, 1998; Patton, 1990, 2002).

Limitations

A mixed methods study design was used to gain insights into how 3 pilot university redesigns and the 10 remaining redesign universities implemented and are attempting to sustain mandated reforms. The very nature of this type of research design highlights limitations which can occur when it is assumed that the context originated under one set of conditions may be conducive to reform, and apply in another setting under other conditions that may have internal problems (Worthern et al., 1993). This research study has several limitations. The investigator recognized that there were some personnel changes after the initial phases of the redesign, and even after programs closed and reopened. Consequently, some survey questions remained unanswered, some responded that they were not there during the reform; and surveys were returned by the agency, unopened, because personnel no longer worked at that school or district.

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There is also the possibility that some memories are not as clear because of the span of time from the inception of the redesign to the point of this investigation—a period of four or five years. Additionally, at the time this research was being conducted, there was a turnover in the State Superintendent who was directly involved in the redesign. Therefore, this study is absent of the view or perceptions of the chief instructional leader who, with the former Governor, helped to initiate this multi-system reform in the State of Alabama. Interviews were conducted with a state policymaker and an outside consultant both heavily involved with the redesign and still working with the implementation and follow-up reviews of programs.

Another area of limitation evolved from the response rates on the survey. The investigator made repeated efforts to raise response rates. As consent forms were received, surveys were mailed to each participating site. Email reminders were sent on February 11, March 3, April 16, 2011 and June 7, 2011 to educational leadership deans, and school district superintendents (or their designees). Some sites requested additional information from the investigator about the proposal, the official clearance letter from the Institutional Review Board, or requested that the investigator send the methods section for the study before granting permission to participate. Each request was fulfilled in order to get a greater response rate for the surveys. Upon receiving consent forms, surveys were mailed to the participating sites based on the number of educational leadership personnel or affected school district personnel listed by the school on their website. Even with the investigator's additional attempts to contact potential site participants by phone or in person, the total response rate was still lower than the investigators had expected.

Researcher bias can occur when gathering the data, processing information, interpreting the data, and writing the results of the qualitative data (Patton, 2002). Furthermore, there could

be bias in what the researcher chose to use from respondents' answers to the open-ended questions. Additionally, there was the opportunity for bias on the part of the participant whose personal biases may have influenced their responses and their choices about what they wanted to present for review.

The investigator used descriptive statistics to report the findings. Because of the low response rate, there were no inferences made or generalizable conclusions drawn about results from surveys or from interviews

Definition of Terms

The following terms were used throughout this study:

Assistant Principal – refers to a building administrator who is subordinate to the principal.

Cohesive Leadership System (CLS) – defined as well-coordinated policies and initiatives across state agencies and between the state and its districts (Augustine, et al., 2009).

Cohort – refers to a group of students progressing through a principal preparation program at the same pace.

Evaluation – the identification, clarification, and application of defensible criteria to determine an evaluation object's value (worth or merit), quality, utility, effectiveness, significance in relation to those criteria (Worthern, Fitzpatrick, & Sanders, 1998, p. 517).

Formative Evaluation – an evaluation conducted to provide program staff with evaluation information for improving the program (Worthern, Fitzpatrick, & Sanders, 1998, p. 518).

Performance-based Licensure System – creating high standards and requiring administrators to demonstrate knowledge and skills in order to receive entry-level and advanced licensure (National Conference of State Legislators, 2010).

Principal – refers to any person who is certified as an administrator through successful completion of a graduate course of study or certification program and who presently serves as the lead administrator of an elementary, middle, junior high or high school.

Principal Preparation Program – refers to a program designed to prepare administrative candidates for leadership roles in schools.

Stakeholder – refers to an individual who has a stake in or may be affected by the program to be evaluated or the evaluation's results (Worthern, Fitzpatrick, & Sanders, 1998, p. 521).

Summative Evaluation – any evaluation conducted to provide program decision makers and potential customers with judgments about that program's worth or merit, in relationship to important criteria, to determine adoption, continuation or expansion, or termination (Worthern, Fitzpatrick, & Sanders, 1998, p. 522).

Tiered Certification – requires leadership candidates to go above and beyond completion of an approved administration preparation program and passing a certification exam. Requirements vary by state but can include a combination of graduate course work, education leadership experience, participation in mentoring and induction programs, professional portfolio documents, evidence of improved student achievement (Shelton, 2010).

Summary

Reform has been prevalent in the American education system for more than three decades. However, constant reform without sustainability of programs moves into a cycle of

continuing program reform. As Wheatley (1997) suggests, "sustainability is one principle that should be embraced by all organizations as they move into the future" (p. 27). The sustainability of this most recent reform of instructional leadership in Alabama as well as in other states will depend on measures put in place to support systemic alignment (Augustine, et al., 2009). The movement toward educational reform is extensive in the literature (Bottoms & O'Neill, 2006; Fullan, 2003; Hess & Kelley, 2005; Lashway, 2003; Rippa, 1984). However, sustainability of reform efforts presents a new landscape in light of newly revised principal preparation programs throughout the United States. Lessons learned about the sustainability of principal preparation reforms were critical to the study. Information gathered from the participant surveys from the administration and faculty of pilot universities, partner districts, and student cohorts, provided insight into lessons learned. Additionally, documentation from the redesign universities, the state department and the Governor's Office added to the body of research to help formulate the framework for future research on the importance of school leadership in improving schools and student success in Alabama.

CHAPTER II. LITERATURE REVIEW

Success is not a random act. It arises out of a predictable and
powerful set of circumstances and opportunities.

Malcolm Gladwell
Outliers: The Story of Success, 2008

The deplorable state of student achievement over the last ten years was evidenced by

poor reading and math score results which sparked an era of accountability in K–12 education.

Accountability, embedded in state and federal regulations such as The No Child Left Behind Act

of 2001 (NCLB), produced high stakes testing and standards-based reform (SREB, 2001) in

public schools. With increasing reports on the critical impact leadership had on student

achievement (Davis, Darling-Hammond, LaPointe, & Meyerson, 2005; Leithwood, 2004), state

policymakers expected new principals to lead school change and raise student achievement

(SREB, 2001). Additionally, community outcries for attracting, recruiting, and retaining leaders

who can impact student achievement became an impetus for change: (1) in our expectations of

our leaders; (2) their role as change agents for instructional leadership; and, (3) how their

training prepared and supported their new mission (SREB, 2001).

The call for principals to take a more interactive role in the instructional program for

schools was introduced decades ago through the research on effective schools. This body of

work highlighted the role and the contributions of the principal as one of the correlates central to

student achievement as well as the overall instructional program (Edmonds, 1979; Goodlad,

1987; Robinson, 1985). Student success also hinged on the principal's commitment to

communicate this support through every aspect of the school (Association for Effective Schools,

1996), as noted in Figure 1 (modified from Lezotte & Mckee, 2002, p. 20).
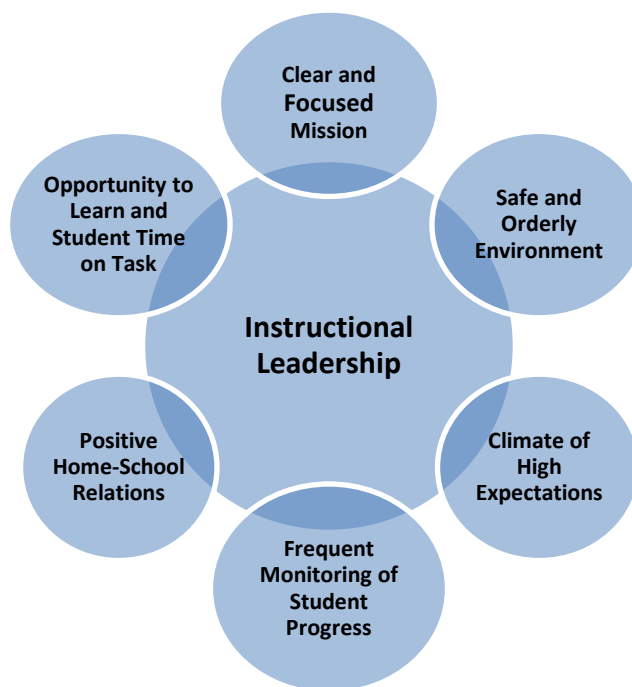
Figure 1. 7 Correlates of Effective Schools

In other words, schools can be more effective and students' experience more success if

the principal emerged as the primary influence in the school's instructional services. More than

twenty years later in 2001, enactment of the Elementary and Secondary Education Act produced

new legislation called the No Child Left Behind Act (NCLB; 2001). This legislation, known as

NCLB, placed enduring pressure on states to revise their standards, local education agencies to

implement school improvement strategies, and colleges with teacher preparation programs to

revise programs and policies to include key elements of the accountability law. School

Improvement, now referred to as Continuous Improvement (www.alsde.edu), is a process by

which members of the school community conduct a thorough evaluation of their school's

educational programming during the accreditation year and develop a written school improvement plan (www.alsde.edu). Central to School Improvement are nine elements identified as correlates, ideologically similar in respect to ideology of the Effective Schools movement (see Figure 1), which represent benchmarks for success:

- Administrative Leadership in Instruction – Instructional leaders guide the school community in identification of shared beliefs, affirmation of the school's mission, and establishment of mutually agreed upon goals.

- Curriculum – Curriculum is the plan for learning which identifies the student's "interaction...with instructional content, materials, resources, and processes for evaluating the attainment of educational objectives."

- Instruction – Instruction is the process of delivering the school's curriculum to students.

- Monitoring Student Progress – Student performance and progress are regularly and frequently monitored by using a variety of assessment strategies and instruments.

- Program Evaluation – Program evaluation is a process for systematically and comprehensively determining the effectiveness of educational programs and services.

- Professional Development – Professional development programs for staff focus on issues related to school improvement and professional growth. Staff is actively involved in planning professional development opportunities based on needs they have identified.

- Evaluation of School Personnel – Professional evaluation is the necessary companion of professional development. The evaluation system for school personnel provides

for the growth and development of all staff, enhances professional performances, and
may serve as the basis for employment decisions.

- School climate – The school climate and learning environment are safe, caring, and
  organized. Such an atmosphere promotes productive teaching and learning. The
  school community holds high expectations and fosters positive self-concept. All
  members of the school community believe they count as individuals within the
  educational environment.

- Parent and Community Involvement – An effective educational program reflects
  cooperative relationships among the major participants in the process—students,
  parents, school staff, central administration, school board, and community members.
  Parents and other community members frequently participate in school activities and
  are well-informed regarding school expectations, successes and failures.
  (www.alsde.edu)

Continuous improvement efforts in schools go hand in hand with state requirements for
academic success in local school districts; and were tied directly into accreditation requirements,
highly qualified staff, and student test scores that resulted in the school or district making
Adequate Yearly Progress (AYP). As recently as March 31, 2006, Alabama updated
requirements and revised its procedures for local education agencies to determine highly
qualified status, initial certification, and sanctions for noncompliance (www.alsde.edu).
Accountability regulations include sanctions for schools not meeting AYP, and provide a
timeline for requirements for schools on improvement. The list of sanctions was comprehensive
covering areas such as: (1) parental notification about teacher's Highly Qualified Status, (2)
providing School Choice to students attending low performing schools, and (3) school or district

takeover by the State Department. This was a classic example of external influences by states and accreditation agencies on regulation and control of local districts (LaMagdeleine, Maxcy, Pounder, & Reed, 2009). Alabama's effort to rise from the "perfect storm" of criticism, and work toward enhanced performance accountability (p. 143) became the typical response to public demands and dissatisfaction about policy. Due to the effects of poor student achievement performance and pressure for Alabama to meet federal mandates and for local systems to meet state mandates, a systematic alignment was initiated in the state of Alabama. The cry for increased student achievement also placed additional pressure on the school leadership.

The NCLB (2001) placed increasing pressure on states, school districts and colleges with increased accountability laws. Alabama revised its standards for instructional leadership, adopted by the State Board of Education effective in April 2006 (see Appendix A). In an effort to comply with stringent standards from the Federal Government placed on states and school districts through NCLB, the State Department of Education developed an Interpretive Guide (2003) which was a sanctions and rewards document, that described in detail the requirements for AYP that schools on improvement must attain. If a school on improvement failed to make AYP in its third year, the sanction includes the reconstitution of the staff—in other words, removal of the principal for his/her failure to demonstrate effective instructional leadership.

In Alabama as in other states, the federal government placed responsibility for student test results at the school level. Federal and state sanctions for poorly performing schools had a direct impact on those responsible for the instructional program. In addition to a loss of funding, sanctions can mean restructuring school leadership, dismissing teachers, recommendations for central administration support at the school, and clearing the way for school choice and/or charter schools (State of Alabama Rewards and Sanctions, 2003). Today's school environment

is centered on reading and interpreting data which drive decisions for school improvement and ultimately student success. It was crucial for school leadership to learn how to read and understand data if they are to make changes to increase the bottom line (Hess & Kelly, 2002). High stakes accountability changed nearly everything in the world of school leadership (SREB, 2001). Even superintendents made clear that they demanded more instructional leadership from principals as they worked to close the achievement gap (Hess & Kelly, 2002). Adams and Copland (2005) report similar concerns regarding the demands of school leadership in an era of accountability. These authors proposed that as achievement gaps persist and academic results with federal sanctions lagged behind accountability expectations, the public looked to their principals to help with school improvement. In other words, we were operating in a time when student learning was prized.

Societal demands focused on student learning as measured by standardized tests, and influenced the nature of school leadership necessitated through reshaping and requiring alterations in the knowledge and skills required of principals (SREB, 2001). Public outcry and demand for more accountability at the national, state and local levels (Hausman, Crow, & Sperry, 2000) ignited a conversation about the role of the principal in student achievement and challenges those traditional practices and curriculum in the preparation of principals. These societal demands must be supported in state licensing requirements so that licenses reflect a learning focus. Adams and Copland (2005) conducted an in-depth investigation to determine if licenses reflect a learning focus and reached the following conclusions:

- Licenses do not reflect a learning focus
- Licensing requirements are unbalanced across states and misaligned with today's ambitions for school leaders

- Licenses form the foundation of school leadership development

- Doing licensure well means tackling licenses in the larger context of school leadership development.

These researchers believed that doing licensure well required a balanced framework that was able to link licenses with the duties and demands of the principalship. The framework they constructed for their analysis, labeled "License-Plus", encompassed three categories needed to prepare effective leaders: individual-focused elements, organizational-focused elements, and learning-focused elements (2005).

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Principal Leadership

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Historical and Modern Views and Concepts of Leadership

Since the early days, leadership has been defined by many scholars in as many different ways. Pfeffer noted in *The Ambiguity of Leadership* (1977) that some definitions of leadership were ambiguous, some provided clarity and still some had difficulties making distinctions between leadership and social-influence. He went on to say that "leadership may depend on the kind of institution in which it is found" (p. 38). This disagreement about what does and does not constitute leadership was due to a complex phenomenon involving the leader, followers, and students (Hughes, 1933; Wren & Swatez, 1955). Chemers (1984) found that leadership could be divided into three periods: the trait period (1910 to World War II), the behavior period (World War II to late 1960s), and the contingency period (late 1960s to present) (Chemers, 1984; Hughes, 1933). While some researchers focused on personality, physical traits, and behaviors of leaders, others focused on the relationships leaders had with their followers and the situations that affect the leaders' actions; still other scholars defined leadership as follows:

- The creative and directive force of morale (Munson, 1921).

- The process by which an agent induces a subordinate to behave in a desired manner (Bennis, 1959).

- The presence of a particular influence relationship between two or more persons (Hollander & Julian, 1969).

- Directing and coordinating the work of group members (Fiedler, 1967).

- An interpersonal relation in which others comply because they want to, not because they have to (Merton, 1969).

- Transforming followers, creating visions of the goals that may be attained, and articulating for the followers the ways to attain those goals (Bass, 1985; Tichy & Devanna, 1986).

- The process of influencing an organized group toward accomplishing its goals (Roach & Behling, 1984).

- Actions that focus resources to create desirable opportunities (Campbell, 1991).

Although there are many definitions of leadership, there is no single definition that is correct. Hughes (1933) stated that "the various definitions can help us appreciate the multitude of factors that affect leadership, as well as different perspectives from which to view it" (p. 42). An era of accountability updated the thought patterns about what leadership looks like. Conventional ideas about leadership that focus on improving instruction and managing operations gave way more toward transforming a system so that it encouraged transformational leadership (Fullan, 2005). Proposing the concept of a new breed of leaders as "the new theoretician", Fullan (2005) questioned how we developed and sustained a greater number of system thinkers in action which focused on transforming a system and individual leadership. He described "the new work of school leaders is a mixture of technical (teaching children to read)

and adaptive (challenges in which we do not have the answers) work" (p. 53). Senge (2000) extended the notion that "leadership is more than a technical act…it is informed by multiple theoretical perspectives—it is an intellectual, moral, and craft practice" (more teaching and learning) (p. 317).

The ideas of a more traditional role for principals meant being the instructional leader at the school. The days of simplicity for the school principal have been crowded with new programs that required a different set of expectations for leaders to include, day to day management of people, students, and facilities (Poplin, 1992). However, as the new restructuring initiatives led schools into the 21st century (Leithwood, 1992, p. 2), the term 'instructional leadership' no longer appeared to capture the core of what school administration would become; instead, the term 'transformational leadership' evoked a more appropriate range of practice (Burns, 1978; Hughes, 1993; Kotter, 1990).

Just as the definition and practice of leadership experienced change, American education programs experienced a reform movement in the late 1950s and early 1960s. The history of education in America was infused with criticism beginning in the early 1950s and continues through today. Many critical reports laid a foundation of doubt and cynicism about the quality of American education programs and how they impacted student learning (Marzano, 2003). The public then began to question the effectiveness of schools in significant court cases and landmark legislation.

In 1954, Brown vs. Topeka became a landmark decision that struck down the concept of "separate but equal" and ushered in school integration efforts (Wiles, 2005). The 1954 United States Supreme Court decision in *Oliver L. Brown et al. v. the Board of Education of Topeka (KS) et al. (Brown v. Board of Education)* was among the most significant judicial turning point

in the development of our country (http://brownvboard.org/summary/index.php). However, this case was not just simply about children and education. The laws and policies struck down by this court decision were products of the human tendencies to prejudge, discriminate against, and stereotype other people by their ethnic, religious, physical, or cultural characteristics (http://brownvboard.org/summary/index.php). The Brown decision of 1954 became the legal basis for other civil rights legislation and gave activists a tool for persuading Congress to enact more antidiscrimination legislation that led to other "right to education" cases (Rippa, 1984). More than fifty years after the landmark case of Brown vs. Board of Education, some of the same conditions are still in existence. Impoverished school districts are in similar situations to those of the 50s: underfunded, low achieving schools, staffed with the poorest teachers in schools populated with the poorest students. These types of conditions in education, vestiges of discriminatory practices of an era gone by, gave birth to educational policies such as the No Child Left Behind Act of 2001 discussed in the latter portion of this section. The Launch of Sputnik in 1957 served as an impetus to ensure quality in our educational programs as well as reaffirm America's standing as a leader on the world state. During this period, the United States and the Soviet Union were the two dominant countries after World War II ended in 1945. After the war, an arms race began and each country sought to maintain its supremacy by forging close economic, social, and military ties with neighbors and allies. This pursuit for respect and supremacy was called the Cold War (www.archives.gov/education/lessons/modern-america.html).

> On October 4, 1957, the USSR launched the world's first intercontinental ballistic
> missile, with the first artificial Earth satellite, Sputnik, aboard… The launch of Sputnik
> gave the Soviet Union an enormous boost in world respect and influence. Politicians and

average Americans reacted in shock, and demanded increases in military and science

education spending. (p. 1)

The decades of the sixties and seventies were infused with more governmental

intervention in education to assist with funding issues and ensure educational equality such as

The Elementary Secondary Education Act (ESEA) enacted in 1965. This Act became the first

large concentration of authority over American education to be placed in the hands of the federal

government (McCluskey, 2004). As designated in the Constitution of the United States,

education is a state power, meaning "….. powers not delegated to the United States by the

Constitution, nor prohibited by it to the States, are reserved to the States respectively, or to the

people" (Amendment Ten-Powers of the States and People, Ratified 12/15/1791). The federal

government designed the ESEA in order to supplement the education efforts of states, and to

address Civil rights issues since education is now starting to be viewed as a civil right. Shifts in

national policy regarding education beginning with this act often are viewed as essential in order

to protest these rights (Barker, 1992; McCluskey, 2004; Prince, 2004). In order to qualify for

funds under the ESEA, states had to meet requirements of eligibility. Since the 1965 passage of

ESEA, federal lawmakers have passed increasingly restrictive laws and drastically escalated

education spending from approximately $25 billion in 1965 to more than $108 billion in 2002

(McCluskey, 2004). However, the increase in accountability was overlooked by the states and

the local educational agencies until the establishment of the No Child Left Behind (NCLB) Act

of 2001. Rippa (1984) stated that "significant evidence concerning the limited effectiveness of

the public schools was contained in James S. Coleman's research report entitled Equality of

Education Opportunity" (p 391). In the 1966 Coleman Report, James Coleman, a Johns Hopkins

researcher, purported that schools account for only about 10 percent of variance in student

achievement and the other 90 percent is accounted for by student background characteristics. Using data from over 600,000 students and teachers throughout the United States, Coleman reported that academic achievement was less related to the quality of a student's school, and more related to the social composition of that school, the student's sense of control of their environment and future, the verbal skills of teachers, and students' family background (Rippa, 1984). Other findings from the study were:

- the disparities in funding between schools attended by Blacks and Whites were far smaller than anticipated;

- funding was not closely related to achievement; family economic status was far more predictive;

- a different kind of resource–peers mattered a great deal. Going to school with middle-class peers was an advantage, while going to school with lower-class peers was a disadvantage, above and beyond an individual's family circumstances.

Policy makers and the mass media focused on one prediction: "that Black children who attended integrated schools would have higher test scores if a majority of their classmates were White" (Kiviat, 2000). The Coleman study, "Equality of Educational Opportunity" (1964), structured the Elementary and Secondary Education Act (ESEA) of 1965 (Rippa, 1984). The report was statistical and contained few recommendations, according to Rippa who said, "Nevertheless, his findings brought about a fundamental change in public policy…equality of educational opportunity, reflected in equal facilities and services, yields unequal educational attainment" (p. 392). The Coleman report served as a confirmation for those leaders who were resistant to spending additional funds for public schools. President Nixon's administration argued that "America was spending too much for its public schools, since *money doesn't seem*

to matter that much in terms of what happens to students' (p. 392). In 1972 Christopher Jencks

and his staff at Harvard corroborated the findings in the Coleman Report in their publication "A

Reassessment of the Effects of Family and Schooling in America" which focused on inequality

in the American education system. These researchers raised questions about the relationship

between schooling and earning power concluding that there was little connection (Rippa, 1984).

In other words, as Rippa (1984) suggests, if schools have little chance of overcoming the

influence of students' background characteristics, why put any energy into school reform?

Jencks et al.'s (1972) report concluded that:

- Educational opportunity is unequally distributed in the United States;

- Inequalities in educational attainment would persist even if qualitative differences

  between elementary and secondary school were erased ("schools serve primarily to

  legitimize inequality");

- Neither educational opportunity nor attainment is responsible for economic and social

  success in adult life. (p. 393)

Jencks et al. (1972) also argued that better schools would not eliminate nor reduce

economic and social inequalities (as cited by Rippa, 1984). He believed that in order to solve the

problems, we would have to "establish political control over the economic institutions that shape

our society—which in other countries is called socialism" (p. 393). A little more than ten years

after the Jencks Report, in 1983, the Commission on Excellence in Education was established to

examine the quality of American education and to report its findings which revealed our nation

was at risk. *A Nation at Risk,* the publication produced by this Commission, was an important

landmark in the history of school reform in the United States (Wiles, 2005). Kantrowitz (1993)

reported that because of its sobering and grim prediction that America would soon be engulfed

by a "rising tide of mediocrity in elementary and secondary school" (p. 46), this report was a forceful call for major changes in public education. This, according to Finn (1989) led to an education reform wave known as the "excellence movement" (p. 17). Finn (1989) argues that *A Nation at Risk* claimed that "students were not studying the right subjects, were not working hard enough, and were not learning enough. Their schools suffered from slack and uneven standards and many of their teachers were ill-prepared" (p. 17). Additionally, the report warned that America's social structure, culture and national defenses would be weakened if the United States did not take immediate steps to remedy a failing education system (Finn, 1989). Since the publication of *A Nation at Risk* (1983), states and districts have raised academic standards and instituted new testing programs as a result of the report by the commission (Schugurensky, 2002); and, education has become a permanent issue on the national agenda, rather than just a local and state issue. Comprehensive education-reform legislation has been enacted to increase graduation requirements, decrease average class size, require teachers to take literacy exams, require students to pass standardized tests and redesign teacher-licensing regulations (Finn, 1989). While requiring these more stringent mandates, there were also other results from these new reforms that benefited the education communities such as raising teacher salaries and increasing the average per-pupil expenditure (Schugurensky, 2002). Another study that had great impact on the need for educational reform was revealed in 1995 as a result of the Third International Mathematics and Science Study (TIMSS). This study, which involved a large-scale, cross-national comparison of the education systems in 41 countries, was considered fair within the international education community (OERI, 2004).

TIMMS was first conducted in 1995 with subsequent studies completed through 2007. As reported by the National Institute on Educational Governance, Finance, Policymaking, and

Management Office of Educational Research and Improvement, U.S. Department of Education

(OERI), this comprehensive study tested students in mathematics and science at three different

grade levels in 41 countries (OERI, 2004). The results of the TIMSS study were that while

fourth graders performed at high levels, by the time they reached high school graduation they

performed at unacceptably low levels in both science and math (OERI, 2004). The best

performance for U.S. students came from our fourth graders:

- On the fourth-grade TIMSS test administered in 26 countries, U.S. students scored near the top in science and above the international average in mathematics (NCES, 1997).

- On the eighth-grade TIMSS assessment, U.S. students scored somewhat above the international average in science and somewhat below average in mathematics (Peak, 1996).

- On the 12th-grade TIMSS assessment, U.S. students performed among the lowest of the 21 participating nations on tests of general knowledge in science and math (NCES, 1998).

It was believed that these deficiencies in academics threatened the nation's economic and

research status, as well as its supply of scientists, engineers and technicians, and mathematics

and science teachers (Martin, 2000; Silver, 1998). While 4th grade students performed

moderately well, 8th and 12th grade students did not. Researchers interpreted these results as

evidence of a dire need for public education reform. The twenty-first century gave birth to a new

system of accountability revealed in legislation called the No Child Left Behind Act of 2001

(NCLB). NCLB increased accountability for states, school districts, and local schools while

requiring much more accountability for the receipt of federal funds. NCLB Legislation marks the first time the federal government has:

- Made closing the achievement gap an explicit goal of federal policy;

- Required school districts to disaggregate student performance and publicly report the results;

- Required school districts to demonstrate that all student groups continue to increase their academic performance, year after year;

- Tied federal funding to continuous improvements in student test scores; and

- Set a deadline for closing the achievement gap (Prince, 2004).

The notion that schools were doing well was hidden within the schools in absence of federal laws to flush out disaggregated statistical data on student achievement. All subgroups within a school or district may not have been doing well. Upon deeper inspection, new data revealed that schools did not have quality achievement in subgroups and NCLB sought to find and rectify those discrepancies. Included in this data was achievement by subgroups, and a minimum 95% participation rate for all students (Prince, 2004). Prior to enforcement by NCLB, there was often low participation from minorities and special needs students on standardized tests (Prince, 2004). Consequently, test results for segments of the school population were not included in overall results. The intent of NCLB was to publicly acknowledge disparities in student performance which would trigger school reform that would benefit all students. Additionally, schools must demonstrate that all students are making benchmarks on standardized tests while ensuring "that every child receives a high-quality education" (Prince, 2004, p. 2). NCLB requires an annual review of test data for the purpose of continuous improvement with a system of sanctions and awards implemented by states.

Fullan (2005) argued that policies like NCLB were punitive and were bad for the

sustainability needed to engage in continuous improvement (p. 23). NCLB was the central

federal law in K–12 education. A new administration under President Barack Obama changed

the language from NCLB back to ESEA and in 2009, embarked upon a path of educational

reform for states to be able to implement innovative and transformational educational programs

that often are not implemented or undertaken due to a lack of funding. President Obama's

funding campaign was rooted in the theme, Race to the Top, which was distributed as a

competitive grant that totaled more than $4.35 billion that were available in two rounds in 2009

and 2012 (McNeil, 2009). This funding became a part of the stimulus bill, approved by congress

in 2009 as the *American Recovery and Reinvestment Act* (ARRA). It was not meant to become

tangled in bureaucracy and remain at the state level; rather, the majority of these funds was

meant to reach the LEAs in order for true reform to occur (for State Actions to promote reform

and LEA Actions to promote LEA reforms, see Appendix B: Alabama's Plan for Education

Reform). The Race to the Top grant was based on a state's ability to show capacity to support

education reform based on efforts to date and how those efforts can be leveraged and taken to

scale in the future. The grant focused on the four assurance areas that are core to the entire

American Recovery and Reinvestment Act (see Appendix C: Race to the Top: Exhibit I –

Preliminary Scope of Work):

- Standards and Assessments

- Data Systems to Support Instruction

- Great Teachers and Leaders

- Turnaround of Low-Achieving Schools

These nine judicial and legislative educational reports were not the only historical educational landmarks, but served as critical factors impacting school reform.

It was during the sixties that an explosion of social, economic, and societal change (Fowler, 2004; Rosenblatt, 1996; Rippa, 1984) influenced our perception of public schools in North America. Public schools went from being the most respected institutions in our society to the most criticized (Fowler, 2004) creating a new environment in which educational policy was transformed and became more "complex and multifaceted" (p. 4). Our declining academic standing in the world and the increasing criticism within the United States also brought changes in education funding policies in which federal spending on education increased at an extremely rapid rate between the years of 1965 and 2002 (McCluskey, 2004). According to McCluskey (2004), "the combined education expenditures of all federal departments and agencies, in inflation-adjusted dollars in 1965, were $24.7 billion, and by 2002 that figure had soared to $108.0 billion, an increase of more than 37 percent" (p, 6). A review of where the money was going during this period revealed that the most growth spurts appeared in education spending in three milestone years: in 1965, the year of the passage of the Elementary Secondary Education Act (ESEA); in 1980, Education's first year as a cabinet-level department; and in 2002, the most recent year for which actual federal expenditures are known and the year that the No Child Left Behind Act of 2001 began implementation (McCluskey, 2004).

Demographic trends changed with its population growth spurt of the baby boomers generation in America (Fowler, 2004). The vast populations of baby boomers approaching or have reached retirement age have become more interested in their investments in retirement funds and health care more so than in investments in education (Fowler, 2004). Additionally, the diversity of America's population changed the context of public schools and the political

decisions made (Rosenblatt, 1996). Just as the financial and demographic ideas shifted over the years, so did our political ideas (Fowler, 2004) shifting from issues of equality to issues of excellence, accountability and choice (Boyd & Kerchner, 1988). The influences of this ideological shift began to draw criticism of public education from both political parties and their presidents as well as from the business and religious communities (Fowler, 2004).

Educational Reform

The movement toward educational reform was extensive in the literature. Beginning with the government's expansion into the education arena in the 1950s prompted by the launch of the Soviet satellite Sputnik, to the passage of the Elementary and Secondary Education Act of 1965, there has been an ever increasing presence of federal polices impacting education (McCluskey, 2004). Many of these interventions have been viewed as civil rights issues (Marshall & Gerstl-Pepin, 2005) which the authors describe as "identity politics" (p. 110) when groups organized to change their situation. Additionally, internal and external threats to public schools such as vouchers, for-profit corporations entering into the public education arena, and public policy have been harmful to public education (Blankstein, 2004). Even today, President Obama has introduced a new proposal for the future of education that includes the charter school as a model for systemic reform in the educational arena (American Recovery and Reinvestment Act [ARRA], 2009).

As school accountability measures, such as the No Child Left Behind Act (NCLB) of 2001, became embedded in state and federal regulations, American education was ushered into an era of standards- based school reform (SREB, 2001). The emergence of standards-based reform alone was not enough to spur a movement toward this reform effort. The public's demand for more accountability from the local, state and national levels (Hausman, Crow, &

Sperry, 2000) prompted conversations about the contributions of principals in the instructional success of students. Leadership reform emerged with the advent of the effective schools research of the 1970s and 1980s (Edmonds, 1979; Goodlad, 1987) which revealed the principal's importance in affecting student achievement (Edmonds, 1979; Goodlad, 1987). If the reform movement was to affect permanently the mainstream of American thought, then it was imperative that the contributions of all educational participants be unified on a permanent basis (Gorton, 1976), and according to McNeil and Wiles (1990), "reduce the variance in beliefs to what can be seen in the school setting" (p. 28).

The Purpose of School

According to Blankstein (2004), "schools were clearly for the common good, and they served as the gateway to, and potential equalizer for, economic and life success for millions of under-served children" (p. 3). There has been a long standing school of thought that a good education is essential for the growth of communities (Fullan, 2003); therefore, the failure of our children and schools was not an option (Blankstein, 2004). While consenting views center around children succeeding in an educational system that meets their needs to be productive in society, the onslaught of strict accountability laws, the public alarm over high drop-out rates, increasing numbers in the prison system—especially among African-Americans and Latinos— and, a rising rate of illiteracy have weakened America's standing in the world (Blankstein, 2004; TIMSS Policy Forum, 1997). Rippa (1984) cited the Educational Policies Commission's statement that "the central purpose of American education is to develop in students the ability to think…to help every person develop those powers is therefore a profoundly important objective and one which increases in importance with the passage of time" (p. 319). Senge (2000) said that

in a school that learns, people who traditionally may have been suspicious of one

another—parents and teachers, educators and local businesspeople, administrators,

students—recognize their common stake in the future of the school system and the things

they can learn from one another. (p. 5)

Gorton (1976) explored the various functions of schools and asserted that the purpose of

school was to prepare students for the kind of world in which they will be living as adults. In his

book, *Role of the School in a Changing Society*, Gorton (1976) cites Herbert Spencer, who

alluded to the question of which educational objectives should be included in a school's

program, when he asked in 1880, "What knowledge is of the most worth?" (p. 29). Similar

questions have been raised about what knowledge is most worthwhile; how it was acquired or

created; and, which approaches and methodology to learning are likely to encourage the

individual to continue to learn after leaving school (Schubert, 1987). These three questions are

basic curriculum questions that serve as the foundation for all activities associated with

educational theory and practice (Schubert, 1987).

The Purpose of Curriculum

Curriculum served as an avenue to accomplish the purposes of school and "….links ideas

with practices" (Wiles, 2005, p. 29). Wiles explained that "curriculum, as a subset of

professional education, was a relatively new area of inquiry dealing with the who, what, why and

when questions posed by philosophy" (p. 29). A significant body of literature was developed

about the thoughts, issues, and purposes of curriculum since the first written by Wiles (2005)

book appeared in 1918. According to Ornstein and Hunkins (2004) "the purpose of the

curriculum is emancipation" (p. 10). Their assumptions were that school and its curriculum must

be fluid—not static nor oppressive. Curriculum should be viewed as a "field of study,

comprising its own foundations and domains of knowledge, as well as its own research, and theory" (p. 11). Wiles (2005) discussed the role of philosophy in curriculum which has been guided by educational philosophy over the years and "set the parameters of definitions of curriculum" (p. 81). Curriculum definitions vary:

- Curriculum should be used to create a more equitable society. (George Counts)

- The curriculum is all of the learning of students that is planned by and directed by the school to attain its educational goals. (Ralph Tyler)

- Developing experiences for children, and activities that will guide them, is the task at hand. (John Dewey)

American education has become an amalgamation of philosophies and curriculum models that purport lifelong learning, continuous change, and adaptability to changing systems during changing times (Ornstein & Hunkins, 2004; Schubert, 1986; Senge, 2000; Wiles, 2005). These researchers subscribe to the idea that a model that was viable was also flexible and had the ability to employ several views of education on a fluid continuum. Senge (2000) described a school as a "living system" which was always evolving (p. 55). Treating "schools like living systems instead of as machines" (p. 55) became a social process over the years as evidenced from the body of research outlining a plethora of ideas and innovations in education through the years (Senge, 2000).

Philosophy functioned as a base in curriculum development (Ornstein & Hunkins, 2004). Wiles (2005) agrees with Ornstein and Hunkins and extended the notion that curriculum literature in the 21st century was guided by five major philosophies:

(1)   Perennialism – reality is a world of reason and God and they favor a curriculum of subjects and doctrines; the role of the teacher should be to interpret and tell.

(2) Idealism – reality is seen as a world within a person's mind and favor schools that teach subjects of the mind—literary, philosophical, religious; idealist educator prefers the order and pattern of a subject matter curriculum that relates ideas and concepts to each other.

(3) Realism – reality is a world of things and schools should teach students about the physical world—math, science; leaders would work to provide a magnet program to emphasize the sciences and mathematics.

(4) Experimentalism – reality is a world of experience and schools should teach subject matter of social experiences—social studies.

(5) Existentialism – reality is a world of existing and schools should teach subject matter of choice—art, ethics, philosophy.

Wiles and Bondi (1998) developed a table looking at each of these five philosophies and the beliefs they hold about reality, truth, schools, curriculum and the role of teachers. Missing from the table was the role of principal. Since the time of their publication, a great deal of research has been developed on the role of principals as environmental and instructional leaders (Leithwood, 1992). Therefore, this researcher created a table, adapted from Wiles and Bondi (1998), and added the Role of Principal to see what the role of the leader would look like in each of the five philosophies.

Table 1

Five Philosophies of Curriculum Literature and the Beliefs They Hold about Reality, Truth, Schools, Curriculum and the Roles of the Teacher, Students and Principal

	Perennialism	**Idealism**	**Realism**	**Experimentalism**	**Existentialism**
Reality	A world of reason and God	A world of the mind	A world of things	A world of experience	A world of existing
Truth	Reason and revelation	Consistency of ideas	Correspondence and sensation (as we see it)	What works/What is	Personal, subjective choice
Why schools exist	To reveal reason and God's will	To sharpen the mind and intellectual processes	To reveal the order of the world and universe	To discover and expand the society we live in to share experiences	To aid children in knowing themselves and their place in society
What should be taught	Eternal truths	Wisdom of the ages	Laws of physical reality	Group inquiry into social problems and social sciences, method and subject together	Unregimented topic areas
Role of the teacher	Interprets, tells	Reports, person to be emulated	Displays, imparts knowledge	Aids, consultant	Questions, assists student in personal journey
Role of the student	Passive reception	Receives, memorizes	Manipulates, passive participation	Active participation, contributes	Determines own rules
Role of Principal	Maintain structured study of classics and preparation for life; changes in environment are superficial (i.e. physical plant, schedules)	Maintain school program without changes to order and pattern of subject matter; strict discipline; moral and spiritual leadership	Source of authority; moral and spiritual leaders; provide rational ideas and actions regarding school programs; changes made through natural evolution for perfect order	Decisions made through critical thinking and scientific processes; accepts changes and seeks new ideas for improvement	Change in environments embraced; home-schooling and computer-based classes possible scenarios for learning. Imparting freedom with responsibility, self motivation, regulation, and evaluation. Discipline regiment based on trust

Adapted from: Wiles, J., & Bondi, J. (1998). *Curriculum development: A guide to practice* (5th ed.; pp. 41–44). New York: Macmilliam.

Just as the idea of philosophy was looked upon in terms of theoretical inquiry (generalized knowledge) and practical inquiry (situational knowledge for understanding, decision, and action), curriculum and instruction were closely linked (Ornstein & Hunkins, 2004; Schubert, 1986; Wiles, 2005). Ornstein and Hunkins (2004) wrote that many educators, including curricularists who wrote textbooks, have trouble fusing theory with practice. However, good theory should guide practice. Schubert (1986) illustrated the problematic state of curriculum knowledge through the lens of three curriculum orientations: the Intellectual Traditionalist, the Social Behaviorist, and the Experimentalist. These three orientations (see Table 2) to curriculum theory, research, and practice often reflect the myriad of ideas and philosophies of educators by using the "framework of What? Why? How? Who? Where? and When?" (p. 14).

Table 2

Three Curriculum Orientations

Orientations	What?	Why?	How?	Who?	Where?	When?
Intellectual Traditionalist	Liberal arts tradition, great books	Develop mind (reason, logic, imagination: Become acquainted with life's great ideas and questions	Serious reading, contemplation and discussion, Socratic questions, lecture style	Everyone	Formal education schools, tutorials	Throughout life (ages 5–25 or 30) Lifelong learning
Social Behaviorist	Operationally designed skills and knowledge (basics = mathematics, social sciences, natural sciences, humanities, arts [technology])	Postindustrial society, communication essential for economic prosperity	Apply the knowledge Conduct educational research	Everyone according to their capacity Professional educators (educational researchers, applied researchers, educators)	Schools and technical institutions	Early years and throughout adult life
Experientialist	Reconstruct own experience, study its meaning, interpret its significance as it applies to self	Individuals are agents of own learning (share with others of similar journeys)	Begin w/learners' genuine interests, advance to knowledge	Teachers, students, community members and curriculum leaders in a shared community of growth	Outside formal educative institutions	Throughout life

Adapted from: Schubert, W. H. (1986). *Curriculum: Perspective, paradigm, and possibility* (pp. 14–18).

Table 2 showed how Schubert (1986) labeled three schools of curriculum thought as curriculum orientations. His explanation is that each of the orientations can be overlapping and still have a wide range in curriculum theory, research, and practice. Schubert (1986) believed it was difficult to classify any author or researcher under one label. Consequently, the three orientations outlined in Table 2 were framed by the questions: What? Why? How? Who? Where? and When? Schubert framed the orientations with the same questions that have been asked over the years by educational researchers and philosophers: What knowledge is most worthwhile? Why is it worthwhile? How is it acquired or treated? (Gorton, 1976; Schubert, 1986; Spencer, 1880). Schubert argued that everything in and about education (financial planning, in-service and pre-service teacher education, school board agenda, public relations, collective bargaining, textbook adoptions, teacher preparation, student activities to politically charged interest groups) was "infused with these fundamental questions" (p. 1). Table 2 also grouped the position of the various curriculum orientations as if they were presenters who had provided statements that introduced their position using the framework of What? Why? How? Who? Where? and When? (Schubert, 1986). The focus on the what, why and how about the curriculum was based in Ralph Tyler's (1949) dominant paradigm (analysis of purpose, content of learning experiences, etc); and the who, where, and when were looked at by Schwab (Schubert, 1986) who advocated "the conception of curriculum characterized by the interaction of teachers, learners, subject matter, and milieu" (pp. 10–11).

Schwab (1973), in his article, *The Practical 3: Translation into Curriculum*, identified four classroom commonplaces considered to be the essence of curriculum: teachers, students, subject matter and milieu which were integrally connected with the principles of the practical paradigm. Schubert (1986) maintained that the assumptions of practical curriculum inquiry

were: state of affairs; interaction; situational insight and understanding; and increased capacity to act morally and effectively. He further contended that "if these assumptions are carefully adhered to, it follows from them that the most important curriculum deliberation occurs at the local educational site" (p. 289). Schubert asserted that mandates from the federal and state educational departments, legislatures, research laboratories and foundations, and national reporting agencies were too far removed from the mainstream educational environment for meaningful curriculum inquiry and development to take place. He stated the following:

- The inquiry that can attend to actual states of affairs can best develop curriculum that meets needs of those affairs.

- Inquiry that proceeds by interaction with a state of affairs cannot be served best by token visits of outsiders who enter a problematic situation for a few hours, days, or even weeks to emerge, leave and write about their conclusions or to issue policy changes based on their limited exposure.

- Practical curriculum inquiry must engage primarily those who live in the educational setting in questions, and outside authorities only secondarily.

- Inquiry that seeks situations insights and meanings that lie behind the observable is best conducted by those whose personal orientations are acted out according to continuously redefined, inter-subjective meanings (page 289).

Fullan (2001) demonstrated that successful leaders in both education and business have much in common, citing that many of the pressures and influences on educational reform and accountability were derived from the world of business and how they perceived future workers (Fullan, 2001). The concept that restructuring of schools was comparable to a groundshift in business and industries was noted by researchers (Darling, 1992; Leithwood, 1990; Sarason,

1990). Darling (1992), citing Senge's article for the *Sloan Management Review,* described "learning organizations" as companies that grow and prosper by adapting and regenerating themselves in the face of change (as cited by Darling, 1992):

> Leaders are designers, teachers and stewards … these roles require new skills: the ability to build shared vision, to bring to the surface and challenge prevailing mental models, and to foster more systematic patterns of thinking. In short, leaders in learning organizations are responsible for building organizations where people are continually expanding their capabilities to shape their future—that is, leaders are responsible for learning. (p. 476)

An overview of the philosophies and orientations of curriculum was appropriate and important in this review. Curriculum is integral to learning and builds the bridge between theory and practice (Daresh, 2002; Hanson, 1996; Murphy, 2001). Tyler (1949) stated that "The curriculum is all of the learning of students that is planned by and directed by the school to attain its educational goals" (p. 18). Historically, educational goals and agendas have been set by federal and state mandates which can be highly technical in nature and rigid in their structure; yet, the mandated processes to be used were grounded in philosophical approaches that constructivist or realism/experimentalism approaches and philosophies. The No Child Left Behind Act (NCLB, 2001) was an example of policies that were highly structured and the requirements for teaching were prescribed by subject matter and time frames. However, in order to operationalize NCLB and to attain success, when prescription and instruction meet at the school level, practitioners become more constructivist in their approach and "place the individual as the active person in the process of thinking, learning, and coming to know" (Ornstein & Hunkins, 2004, p. 117). Daresh (2002) believed that field-based knowledge had obvious

practical value but was oriented around existing practices rather than reforms that may be needed (p. 2).

This conflict between mandates and how these mandates should be operationalized was an ever present struggle between connecting theory with practice and implementing federal and state regulations with real-world school needs and experiences. University preparation programs and school leaders must be prepared to face these challenges and ensure that students not fall victim to the accountability standards that appear to rule academe and sacrifice the freedom of invention and creativity in the classroom (Pungur & Buck, 1968).

The idea of prescribed and rigid curriculums has maintained a prominent place among strict accountability measures for students (Pungar & Buck, 1968). We must begin to liberate ourselves as educators, and students, according to Ornstien and Hunstein (2004), from the sometimes stifling curricular that "perpetuates the socioeconomic class structure…" (p. 187).

Leadership Reform Efforts

Need for Change

The movement toward educational reform was extensive in the literature and was introduced decades ago with the advent of the effective schools research of the 1970s and 1980s which emphasized the principal's importance in affecting student achievement (Edmonds, 1979; Goodlad, 1987), and the transition toward the standards-based school reform in the 90s. Even as we transitioned from the 20th to the 21st century with more stringent accountability demands from the local, state and national levels (Hausman, Crow, & Sperry, 2000), efforts at reform still did not seem to be enough to spur a movement toward true reform and revision of leadership training programs. Even today, reform efforts have been met with skepticism and critical review. "If the reform movement was to affect permanently the mainstream of American

thought, then it was imperative that the contributions of all participants—scholars in academic areas, classroom teachers, and professional educators—be unified and closely coordinated on some permanent basis" (Gorton, 1976, pp. 368–369). Reform efforts in an era of accountability have been met with challenges and often fail due to existing power relationships in school between teachers and administrators, teachers and students, and between parents and school staffs (Sarason, 1990). The term 'supervision' evoked an image of the typical relationship between the principal and staff. Traditionally, supervising teachers was the primary responsibility of principals which pre-determined superior-subordinate relationships (Downey, Steffy, English, Frase, & Poston, 2004). A cursory review of the literature on redesigning educational leadership programs and policies brought several questions to the forefront: (1) Why was there a need to redesign educational leadership programs? (2) What did principals need to know? and (3) Did the licenses that states require of school principals and university program curricula encompass the knowledge and skills those principals needed to promote student learning?

Kirst (2005) discussed the division between K–12 education and higher education promoted at both the state federal levels. This separation began at the policy level and extended to the academic arena. Over the years, there was a disconnection between student achievement in K–12 and higher education impacted the preparation level and remediation levels. This division between K–12 and colleges and universities was claimed to have had an impact on education issues critical to the nation, the states, and students remain on the margin of the policy agenda (Kirst, 2005). These issues included inadequate college preparation, high school redesign, career and technical education, and K–12 school reform itself for expanded college preparation (Kirst, 2005). States, such as Alabama, have made efforts to address these issues

systemically throughout the educational arena. Changes made in policy and procedures were

ushered in a reform movement in both K–12 and higher education. The challenges faced by K–

12 and higher education in an era of educational reform should be addressed through reflective

reasoning about what types of strategies or theories will be sustainable (Augustine, et al., 2009;

Fullan, 2003; Kirst, 2005; Steeples, 1990). Rather, solutions to challenges were based on the

interrelationships between people, existing and evolving situations, the skills needed, and the

environmental forces at work (Murphy & Forsyth, 1999). Murphy and Forsyth (1999) further

contended that most program changes were the product of individual department and program

faculty makings that were feasible within their institution rather than adopt a reform model, idea,

or program design. Senge (2000) reminded us that changes impact an institution on a whole. He

noted that "new programs would not just affect the students, but the faculty, and administration,

because any change is multi-faceted and complex and affects multiple levels in an institution" (p.

440). The role of higher education has changed from being a place of transition from high

school to life for teenagers. Our current reality about the status of education in both K–12 and

higher education must change. Researchers warned that college has become a provider of

lifelong learning, not just a transition from high school, and administrators in higher education

need to think about ways to focus on change management methods to create a pattern of

continuous learning (London, 1995; Lucas, 2000).

Accountability Laws Require Revision to Standards

The No Child Left Behind Act (2001) placed unending pressure on states, school

districts, and colleges with teacher preparation programs to revise their standards and programs

and policies to include key elements of the accountability law. As recent as March 31, 2006,

Alabama updated requirements and revised its procedures for local education agencies to

determine highly qualified status, initial certification, and sanctions for noncompliance (www.alsde.edu). Accountability regulations included sanctions for schools not meeting Adequate Yearly Progress (AYP), and provided a timeline of requirements for schools on improvement. The list of sanctions was comprehensive ranging from parental notification about teacher's Highly Qualified Status to providing School Choice to students attending low performing schools. The cry for increased student achievement also placed additional pressure on the school leadership.

Adams and Copland (2005) reported similar concerns regarding the demands of school leadership in an era of accountability. These authors stated that as achievement gaps persisted, academic results, with federal sanctions, lag behind accountability expectations, the public looked to their principals for school improvement. In other words, we operate in a time when student learning is prized. Societal demands focused on student learning and therefore changing the nature of school leadership, reshaping and requiring alterations in the knowledge and skills required of principals. However, these societal demands were not supported or reflected in state licensing requirements.

Student Achievement and Leadership

NCLB (2001) placed increased pressure on states, school districts and colleges with increased accountability laws. Alabama revised its standards for instructional leadership which were adopted by the State Board of Education effective in April 2006. In an effort to comply with stringent standards from the federal government placed on states and school districts through NCLB, the State Department of Education developed a Sanctions and Rewards Document. This Interpretive Guide (ALSDE, 2003) outlined in detail the requirements for Annual Yearly Progress that schools on improvement must attain. If a school on improvement

did not make AYP in its third year, the sanction included the reconstitution of the staff—in other words, removal of the principal for his/her failure to demonstrate effective instructional leadership.

A growing number of states and communities, including Alabama, employed comprehensive planning efforts to improve student instruction, school climate, professional development and the overall teaching and learning process (SREB, 2010). Key elements and strategies varied by state; however, there seemed to be the common thread of accountability as the impetus and improved teaching and learning as the end result (State of Alabama School Improvement Model, www.alsde.edu). The idea behind improving schools was to thoroughly assess and improve the planning process to work toward having more effective schools. The research literature on effective schools focused on high student achievement (Edmonds, 1979; Goodlad, 1987), continuous improvement of instructional programs (ALSDE, 2009; Adams & Copland, 2005; SREB, 2010), equity of opportunity for all students (NCLB, 2001), and student's learning the taught curriculum (Tyler, 1949; Wiles, 2005)—all elements that are included in the school improvement movement.

This literature was filled with research and recommendations offered about effective leadership and how it influenced practices that impact classroom instruction and, in turn, student outcomes (Marzano, 2003; Schomoker, 2006). One of the leading authors on this topic was Marzano (2003), who reviewed hundreds of research studies related to effective leadership to pull together a coherent set of recommended strategies. At the school level, Marzano cited the leader's role as critical for establishing the goals, mission, climate of the school and classrooms, attitudes of teachers, classroom practices of teachers, organization of curriculum and instruction, and opportunities for students to learn. In addition, it was essential for a school's improvement

and student achievement. At the classroom level, Marzano found effectiveness was based upon a teacher's instructional strategies, classroom management and curriculum design, all impacted by the leadership practices within the broader organization. Very little, however, was done to closely examine the connection between the implementation of such recommended leadership practices and their role in helping teachers make changes in the classroom which led to improved student achievement scores (Schmoker, 2006). And, empirical scores on a single test were just as important as *how* such leadership practices might lead to on-going instructional improvement practices within the classroom.

Alignment of Leadership Preparation Programs

Adams and Copland (2005) examined the licensure content for principals in 50 states plus the District of Columbia and found that licensing requirements were misaligned with today's ambitions for school leaders and varied widely state to state (p. 1). Their recommendations offered a plan whereby state licensure could be restructured to support school leadership development. They called their framework Licensing-Plus, which affected practitioners in four stages:

1. It restructured the license

2. It provided for the development of expertise

3. It promoted leadership development

4. It promoted effective licensing policies

Standards to Curriculum

Adams and Copland (2005) posed the question, "Do licenses reflect a learning focus"? In their report, *When Learning Counts: Rethinking Licenses for School Leaders*, they conducted an in-depth investigation and reached the following conclusions:

1. Licenses did not reflect a learning focus

2. Licensing requirements were unbalanced across states and misaligned with today's ambitions for school leaders

3. Licenses formed the foundation of school leadership development

4. Doing licensure well meant tackling licenses in the larger context of school leadership development.

Licensure for any profession indicates a structural framework for guided study (2005). Adams and Copland (2005) believed that doing licensure well required a balanced framework that was able to link licenses with the duties and demands of a leader's daily practice. The framework they constructed for this type of analysis encompassed three categories: individual-focused elements, organizational-focused elements, and learning-focused elements. Research indicated that there was a need to develop and plan more meaningful work and practical experiences for principals in their preparation programs. The authors labeled this type of framework "License-Plus" which placed the learning focus on the individual elements, organizational elements and learning elements needed to prepare effective leaders and for leaders to be effective. According to Ellis (1999), leadership by school principals must occur along many dimensions and traits that need to become a part of national, state, and local policy as well as daily practice (Ellis, 1999).

Ellis (1999) defined five areas of leadership traits in 20 dimensions that must be taken into account when policy regarding educational leadership standards, educational leadership degrees and training by universities, and licensure requirements by educational boards are made. These five areas and 20 dimensions that serve as a foundation for designing standards for educational leadership include the following:

1. Area 1–Organization

a. Planning and Organizing

b. Management Control

c. Delegation

2. Area 2–Problem Solving

a. Problem Analysis

b. Political Behavior

c. Decisiveness

d. Risk-Taking

e. Creativity

f. Educational Perspective

3. Area 3–Communication

a. Written Communication

b. Oral Communication

4. Area 4–Task Orientation

a. Persistence

b. Initiative

c. Stress Tolerance

d. Group Leadership

e. Individual Leadership

f. Adaptability

5. Area 5–Interpersonal Qualities

a. Flexibility

b. Consideration

These five areas and 20 dimensions of leadership in education have been shown through Ellis (1999) to have a proven influence on a school principal's success and have impacted the development of national and state leadership standards and policies.

Hanson (1996) identified topics of concern to educational administrators and aligned them to the Interstate School Leaders Licensure Consortium (ISLLC) Standards and correlated them into case topics. Through its six standards, ISLLC presented a common core of knowledge, disposition, and performance indicators that linked leadership behavior to productive schools and enhanced educational outcomes. The standards represented an effort to refine the skills of school leaders and to align leadership behavior with effective educational outcomes (ISLLC, 1997). According to ISLLC (1997), the new vision for school leaders should include a common core of standards that can be used to inform program instructional content as well as assessment tools for awarding new principal licensure and advanced certification. Various states have used the ISLLC Standards as the framework for the development of their state standards.

> Standards are the foundation and can inform all components of an aligned and cohesive system—preparation, licensing, induction, and professional development. They can help states set expectations for licensure, guide improvements in administrator preparation programs at colleges and universities, and influence the process for screening and hiring leaders, even at the level of local school boards. (NPBEA, p. 4)

ISLLC Standards had an impact on university-based leadership preparation programs (English, 2006) partially prompted by the increased emphasis on accountability for educational leadership professors (as cited in LaMagdeleine, Maxcy, Pounder, & Reed, 2009). These authors cited the warnings of Hoyle, English, and Steffy (1985) about the negative impact the rigid application of rigid application of standards on leadership preparation programs:

AASA recognizes the danger inherent in developing guidelines/standards that may vary

substantially from the programs provided by some institutions. Professionals depend on

creativity and the capacity of individuals and institutions to capitalize on these unique

strengths. Since the uniform patterns rigidly applied may impair the flexibility of that

program's need to meet local and regional needs, AASA desires that these guidelines/

standards not be used to limit program development or expertise of a given faculty. (p. 2)

The National Policy Board for Education Administration asserted that ISLLC 2008 (see

Appendix D: Educational Leadership Policy Standards: ISSLC Standards 2008) represented the

latest set of high level policy standards for education leadership:

….it provides guidance to state policymakers as they work to improve education

leadership preparation, licensure, evaluation, and professional development. As adopted

by the National Policy Board for Education Administration (NPBEA), these standards

reflect the wealth of new information and lessons learned about education leadership over

the past decade. (p. 1)

As noted by LaMagdeleine, Maxcy, Pounder, and Reed (2009), the emergence of the

ISLLC standards has been highly contentious (p. 145). ISLLC grew out of the discontent in the

educational landscape (Murphy, 2003) during the mid- to late 1980s. A product of post WWII

reforms in educational administration, the National Commission on Education Excellence in

Educational Administration was formed to galvanize collective action on the challenges,

opportunities, and problems confronting the field of school leadership (p. 2). The efforts of this

organization and its leadership brought into existence the National Policy Board for Educational

Administration (NPBEA). Murphy (2003) and Smallwood and Jazarr (2008) reported:

The NPBEA, under the leadership of its then-Corporate Secretary, Scott Thomson, created ISLLC in 1994 to develop standards to anchor the profession as it headed into the 21st century. At its foundation, ISLLC was comprised of 24 states, most of the members of the NPBEA, and other key stakeholder groups, such as the National Alliance of Business, with an interest in the health of leadership in America's schools and school districts. (p. 3)

The National Policy Board for Educational Administration (NPBEA) adopted revised ISLLC in December, 2007 (Council of Chief State School Officers, www.ccsso.org, 2008). Under revision for approximately two years, the new standards have been used by various states as a framework for the development of their state standards:

Standard 1**:** *An education leader promotes the success of every student by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by all stakeholders.*

Standard 2**:** *An education leader promotes the success of every student by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.*

Standard 3: *An education leader promotes the success of every student by ensuring management of the organization, operation, and resources for a safe, efficient, and effective learning environment.*

Standard 4: *An education leader promotes the success of every student by collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community resources.*

Standard 5: *An education leader promotes the success of every student by acting with integrity, fairness, and in an ethical manner.*

Standard 6: *An education leader promotes the success of every student by understanding, responding to, and influencing the political, social, economic, legal, and cultural context.*

The Alabama State Department of Education revised standards for instructional leadership providing directives for college and university preparation programs in the State of Alabama. Both the State of Alabama and ISLLC have identified specific knowledge and skills that are required of educational leaders and included them into standards.

Seven standards have been identified for instructional leaders in the State of Alabama: (a) planning for continuous improvement; (b) teaching and learning; (c) human resources development; (d) diversity (which is new in this revision); (e) community and stakeholder relationships; (f) technology; (g) management of the learning organization; and (h) ethics (SDE, 2006).

Theory to Practice

An administrator's primary responsibility, in addition to their responsibility for the operation of an educational institution, was to ensure that teachers teach and that students learn (Hanson, 1996). Because administrators are faced with challenges motivated and steered by a politically charged environment, they must be prepared to fuse theory with practice and find a balance so that they are able to function effectively (Hanson, 1996; Leithwood, Seashore -Louis, Anderson, & Wahlstrom, 2004; Murphy, et al., 2002).

Hanson (1996) also described the multitude of outside influences on the infrastructure of the American educational system, the controversy surrounding student performance, and the

inconsistencies of teacher training programs. These are just a few of the problems that influenced school administration and affected the effectiveness of a school leader according to Hanson (1996). The author stated that "today's schools need strong leadership and well-prepared and educated administrators who understand the complexity of the educational system, can solve problems, and have the commitment to raise the benchmark for educational programs and performance in America's schools" (Hanson, 1996, p. 3).

The emergence of a series of education innovations sought to reshape the total content of the curriculum and to introduce a new set of methodologies (Rippa, 1984). Questions were raised about what knowledge is of the most worth and which methodologies are likely to encourage individuals to continue learning after leaving school (Gorton, 1976; Spencer, 1976). These innovations, augmented by the work of academic scholars in colleges and universities, sought to reorganize the conceptual structure of a discipline for presentation to boys and girls (Rippa, 1984).

Internship Experiences to Daily Practice

Research indicated that there was a need to develop and plan more meaningful work and practical experiences for principals in their preparation programs (Adams & Copland, 2005). A 2005 report by these researchers discussed concerns regarding the demands of school leadership in an era of accountability placed upon schools from the various stakeholders. More and more as achievement gaps increased in school districts and within subgroups (gender, race, economic ability), the public looked to their principals (the instructional leader) for school improvement in the area of curriculum, instruction and assessment. School districts will be compelled to hire a highly selective corps of leaders of the learning process and colleges of education must produce a group of leaders who not only have received more practical training closely aligned to new

standards, but are better equipped to handle the paradigm shifts needed to transform schools in

this era of accountability (Adams & Copland, 2005). Musick (2005) believed that the

> responsibility for getting the internship right cannot be laid solely at the door of the
>
> educational leadership department, the university or any of the various state agencies
>
> responsible for higher education, program approval and licensure. The problems are
>
> system problems and they require simultaneous, aligned actions across the leadership
>
> preparation system. (p. 2)

Principal Preparation Programs

The effectiveness of principal preparation programs has come under scrutiny, according

to Murphy (2001), who reported that these programs were out of touch with the reality of what

takes place in schools and what principals need to know in order to be effective leaders. Arthur

Levine (2005), former President of Teacher's College, Columbia University, reported that few

educational programs in the United States provide coherent curricula designed to give principals

and superintendents the preparation they need. Levine further stated that educational preparation

admissions programs and policies were weak due to the fact that these programs were usually

open to anyone who applies and are not discriminating enough in their selection process. At a

time when America's schools face a critical demand for effective principals and superintendents,

Levine asserted that the majority of the programs that prepare school leaders range in quality

from inadequate to poor. This declaration supported the present movement by several states and

universities to redesign curricula and internships for educational leaders, revise certification and

licensure procedures, and review and/or realign standards. The combinations of these reform

efforts provided guidance for the selection and training of educational leaders. The new roles

and increased pressure on principals in this era of standards-based reform was also examined by

Lashway (2003). According to Lashway, states can support improving leadership preparation by integrating clinical experiences with coursework and establishing tiered certification systems. The Southern Regional Education Board (SREB) conducted a survey of 61 university leadership preparation programs within their 16-state region and presented the findings in their report, *The Principal Internship: How Can We Get it Right*? (Fry, Bottoms, & O'Neill, 2005). A summary of their findings showed that "current internship programs are producing many ill-qualified, unprepared principals" (p. 5). Additional findings included:

(1)   preparing school reform leaders is not a high priority;

(2)   principal interns are more likely to follow than to lead;

(3)   leadership departments and school districts are not working together to provide well-structured, well-supervised internships for aspiring principals;

(4)   many aspiring principals are under-supported during their internship experience;

(5)   performance evaluations of principal candidates often lack a high degree of rigor;

(6)   university department heads are overconfident about the effectiveness of their principal preparation programs and the quality of the internships they offer aspiring principals; and

(7)   principal preparation is out of sync with accountability demands (pp. 5–6).

Musick (2005) stated that the responsibility for getting the internship right cannot be laid solely at the door of the educational leadership department, the university or any of the various state agencies responsible for higher education, program approval and licensure. The problems were systemic and require simultaneous, aligned actions across the leadership preparation system. He asserted that:

- States must develop strong policies and procedures on leadership preparation and licensure that make it impossible to continue licensing graduates based on completion of a program inadequately designed for the needs of today's students and schools.

- University presidents must be challenged to make leadership preparation a priority of the institution and to confront the need for new resources required for redesigning programs to incorporate high-quality internships.

- Departments of educational leadership must develop stronger relationships with local school districts that involve working together to select the most promising candidates and design and deliver programs that prepare leaders who can meet district needs for improved student achievement.

- Local school districts must take on new responsibilities for recruiting aspiring leaders and then providing the support and conditions necessary for them to succeed in the preparation program (p. 2).

"What can states, universities, school districts and professional organizations do to improve the quality of internships for aspiring school leaders?" (Musick, 2005, p. 8). Musick explained that "state policymakers can adopt policies to ensure all persons preparing to become school leaders have a quality internship experience that adequately prepares them for the job" (p. 8).

State policymakers in many states have designed instructional leadership standards which lead to curricular restructuring in university preparation programs and state licensure and/or certification. Alabama's Governor, Bob Riley, initiated education reform through the Governor's Congress on the Redesign of Instructional Leaders (http://alex.state.al.us/ showleaderpg.php?lnk=gi). This effort, in concert with State Superintendent of Education Dr. Joseph Morton, provided an avenue of collaboration for systemic change in setting the standards

for instructional leadership, designing sound and demanding curricula, and providing meaningful experiences for upcoming administrators. These collaborative efforts also resulted in the revision of the certification and evaluation programs. Governor Riley created a Task Force to address the issue of standards for instructional leaders. The Task Force, according to Cox (2007), was to:

- Determine what was important for school leaders to know and be able to do;

- Research the best in national leadership standards, the standards of other states, and the most current research; and,

- Create a draft standards document for approval by the State Board of Education. (p. XX)

Once new standards and curriculum expectations were approved, a request for proposal to pilot these redesigned elements was sent to all Alabama colleges and universities with principal preparation program. A total of 13 universities applied to be a part of the pilot program. However, four state universities were chosen as redesign pilot institutions: Auburn University in Auburn; University of South Alabama in Mobile; Montevallo University in Montevallo; and Samford University in Birmingham. Each university partnered with one or more public school systems in their region as part of this redesign effort. The Alabama State Department of Education revised the standards for instructional leadership, providing the directives for college and university preparation programs throughout the state. All colleges and universities were eventually required to redesign their principal preparation programs based on these mandated changes or they would be forced to close their programs (Governor's Congress, 2004). These changes and requirements were based on a belief that if state policymakers demanded more of principals and held them more accountable for student outcomes, then they

must also expect preparation programs to match these demands placed on principals through training and practical experiences unique to the position (Norton, 2003).

Redesign of Principal Preparation Programs

Alabama, like other states, was faced with orchestrating simultaneous, aligned actions across the leadership preparation system through a redesign process. Georgia, Louisiana, Ohio, and Kentucky had already taken on the enormous task of redesigning their state standards and programs for instructional leaders. A review of their program documentation indicates various paths undertaken in their redesign process.

State policymakers in many states designed instructional leadership standards which led to curricular restructuring in university preparation programs and state licensure and/or certification. Murphy, Young, Crow and Ogawa (2009) discussed the response of states to a 1987 NCEA report that called for states to "exercise increased influence in determining the shape and texture of leadership preparation programs" (p. 12). With "funding support of the Wallace Foundation, many states adopted ISLLC standards to guide leadership preparation programs and changed the policy control over preparation programs" (p. 13).

The Alabama State Department of Education, in an effort to support leadership development and meet the requirements of NCLB, revised their instructional leadership standards effective April 2006. These new standards addressed three areas which focused on:

1. Revising selection criteria for admissions policies: Universities are required to employ a more stringent selection process

2. Revising curricular that connects theory to practice: Universities are provided the guidelines that call for a curriculum design that will allow leaders to demonstrate identified areas of knowledge and ability

3. Revising internships: Universities must design meaningful and purposeful "hands on" experience that will prepare students to be effective school leaders.

The three areas listed above were identified in the literature as important elements in the restructuring principal leadership programs.

Alabama's commitment to redesigning instructional leadership preparation programs throughout the state was further reinforced in the guidelines distributed to all Alabama schools (described in Appendix E) which included the purpose, the structure, and a timetable directive for all state universities outlined in the document, Alabama Instructional Leadership University Redesign: Instructional Leadership for all Alabama Schools (See Appendix E). Universities considered Lead Universities (Auburn, Samford, and the University of the South) were to meet approval expectations by 2008 and all other universities by 2009 (See Appendix E).

Sustainability of Alabama Programs

The Southern Regional Education Board (SREB; 2010) conducted a critical review of Alabama's reforms designed to improve school leadership to determine its impact at the various levels of the state's educational system (Bottoms & O'Neill, 2010). This review hailed Alabama as a strong leader in adopting a "cohesive set of policies advocated by SREB to raise the quality of leader preparation and practice" (p ii). However, the report outlined several areas of concern in Alabama's implementation plan in which sustainability is threatened including:

- Districts' willingness to embrace changes made, such as providing release time for aspiring leaders;

- University administrators and faculty's lack of understanding that there is a change in leadership preparation and they can no longer continue to do business as usual;

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- Districts' and universities' perception of each others' change efforts differ; amount of work put in; payoff in better new leaders; continuing work with partnerships and shared expectations and boundaries;

- The decreasing availability of resources to sustain the reforms;

- The State's inability to automatically and systematically connect its serving principals and their records as school leaders with the programs that prepared them.

Summary

It was not until the 20th Century that the role of the federal government entered the scene as a reaction to the Sputnik crisis (McCluskey, 2004). As McCluskey asserts:

Although the Sputnik crisis died out quickly, the federal government's expansion into education continued during the 1960s, this time justified by social rather than national security concerns. Federal education policy became a part of President Lyndon Johnson's Great Society, with policies built, according to the Department of Education, around "the anti-poverty and civil rights laws of the 1960s and 1970s," which brought about the "dramatic emergence of the Department's equal access mission. (p. 4)

It was at this time that the 1965 Elementary and Secondary Education Act (ESEA) passed. ESEA, central to federal education policy, was regarded as the most important piece of education legislation passed (McCluskey, 2004). Over the years, ESEA has been modified in response to the demands of the times. The premise for the modification and transition of the ESEA into NCLB was the government's perception that American students trailed their international counterparts in academic performance, especially in higher-order reasoning and in analytical skills (Bempchat, 1996, TIMMS, 1997). In 2001, the No Child Left Behind Act (NCLB) was enacted as an extension to ESEA. NCLB was the language used during the Bush

Administration; however, the focus on education changed with presidential administrations. Under President Barack Obama's administration, the Elementary and Secondary Education Act was reauthorized and the return to the original language of the Education and Secondary Education Act (ESEA) reset the federal tone for education priorities and funding. It is important to note that NCLB was an important step in closing academic achievement gaps. However, education policy was restructured to reflect the growing consensus for common core standards, improved teacher effectiveness; and a more sophisticated accountability system that can more effectively distinguish between chronically ineffective schools and less troubled schools (Center for American Progress, 2010).

Yet, for all of the federal policy changes, too many students still were not receiving a high quality public education. Years after the historic case of Brown vs. the Board of Education, we find ourselves in the same situation: leaving those schools and students that are most vulnerable due to underfunding in a state of disarray. These schools were still the low achievers with the poorest teachers placed in schools with the poorest students. Reports such as the Coleman Report (1966), the TIMMS Forum (1995), and A Nation at Risk (1983) gave birth to educational policies that highlighted the inequities within the educational system and initiated new ideas and policies designed to improve student achievement within the United States. These warnings of a declining education system in the United States introduced an era of accountability embedded in new legislative acts such as the No Child Left Behind (NCLB) of 2001. As the requirements for accountability continued to become more stringent, strong and effective school leaders will be needed to ensure that all students are not only proficient in reading, math, science and social studies, but that they were prepared to be well rounded and informed citizens. No longer could we simply place the teachers with the best classroom discipline into leadership

training. Leaders must have a multitude of dimensions and abilities in order to lead schools and promote academic success. A data driven educational community will be held accountable for its products and results. ISLLC Standards, State Standards and policies with built-in sanction and reward systems will continue to play a significant role in determining what we look for in potential leaders as we recruit and train effective educational leaders in our nation. Strong leaders will be essential so it is important to carefully address how our schools' principals are prepared.

The State of Alabama started efforts at answering the call for stronger and more effective school leaders and high quality teachers through a cohesive program redesign. Alabama Governor Bob Riley, along with the State Department of Education, initiated education reform through the Governors' Congress on the Redesign of Instructional Leaders and the Alabama Quality Teacher Commission. These efforts were to ensure the collaboration of systemic change in setting the standards for instructional leadership, designing sound and demanding curriculum, and revising certification and evaluation programs. The redesign of principal preparation programs was undertaken in Alabama. It will be important to find ways to not only sustain these efforts, but to continue to improve preparation efforts as school and political contexts change.

CHAPTER III. METHODS

Introduction

The purpose of this study was to examine efforts put in place to sustain Alabama's redesigned principal preparation programs at the state, university/college, and K–12 partner district levels. This study also identified state, university/college, and local district supports in place during and after the redesign process to sustain changes. Three pilot redesign sites in Alabama were chosen for this study (referred to in this study as *3 PRs*). These three universities received a grant from the state to complete the redesign of their principal preparation programs. The remaining 10 colleges and universities in the state with principal preparation programs eventually redesigned their programs based on state mandated changes (Governor's Congress, 2004). These 10 colleges/universities are referred to in this study as the *Remaining 10s (R10s)*.

The outcome of this qualitative study resulted in three case studies based on findings from data collected from surveys and interviews. These data were compiled and the findings from each study were presented in the following three articles:

1. *Factors Facilitating or Hindering the Planning, Implementation, and Sustainability of the Redesigned Principal Preparation Programs in Alabama*;

2. *A Comparison of Differences in Stakeholder Perceptions about the Planning, Implementation, and Sustainability of the Redesigned Principal Preparation Programs in Alabama*; and,

3. *Lessons Learned about the Planning, Implementation, and Sustainability of Redesigned Principal Preparation Programs in Alabama.*

The remainder of this chapter describes the background and setting, research design, role of the researcher, methods, instruments, procedures and data analyses. Reliability and validity are also addressed.

Background and Setting

In 2004, the state of Alabama responded to a request for proposals from the Wallace Foundation to redesign the principal preparation programs in the state's colleges and universities. Although Alabama was not chosen to receive one of these grant awards, Alabama's Governor, Bob Riley, initiated education reform through the Governor's Congress on the Redesign of Instructional Leaders (Governor's Congress, 2004). This effort, in concert with State Superintendent of Education Dr. Joseph Morton, set the stage for collaborative systemic change in standards for instructional leadership, designing sound and demanding curriculum, providing meaningful field experiences for upcoming administrators, and the revision of the certification and evaluation programs (Cox, 2007). Based on this work, the state's Department of Education later revised the standards for instructional leadership which provided the directives for change for college and university preparation programs.

Governor Riley created a task force to address the issue of standards for instructional leaders. Once new standards and curriculum expectations were approved, a request for proposals to pilot these redesign elements was sent to all Alabama colleges and universities with principal preparation programs. Many of the 13 universities applied to be a part of the pilot program. Four state universities were initially chosen as redesign pilot institutions but one later dropped out of the pilot program. Each university was mandated to partner with one or more public school

systems in their region as part of this redesign effort. These three pilot programs as well as the remaining ten (10) programs eventually underwent redesign of their principal preparation programs. All programs were closed and had to undergo a formal approval process before regaining eligibility to offer principal preparation programs (Governor's Congress, 2004). The first cohort class graduated from a redesigned principal preparation program in 2008.

Research Questions

This qualitative study resulted in three case studies that answered the following research questions:

1.   In what ways, if any, were the factors that facilitated or hindered the work of three pilots different from those of the remaining 10 redesign sites during the planning, implementation, and sustainability of the redesigned programs?

2.   What are the differences in perceptions of stakeholder groups (Pilot sites and their partners and remaining 10 sites) about the planning, implementation, and sustainability of the redesigned principal preparation programs?

3.   What are the lessons learned by the stakeholder groups (pilot sites and their partners, and the 10 remaining sties) about the planning, implementation, and sustainability of the redesigned principal preparation programs?

Methods

This study examined the indicators for sustainability of programmatic changes embedded in Alabama's Principal Leadership reform programs, revealed the strategies needed in order to sustain these reform efforts, and investigated the supports in place to sustain current reforms. The investigator also conducted a cross case analysis to determine similarities and differences in the, implementation and sustainability.   When variables are difficult to identify, Creswell

(1989) supports the use of a qualitative study. This investigator reviewed documents from the *3PRs* to identify variables that were indicators of sustainability embedded in redesign project plans. Elements of sustainability, as defined in the literature by the Rand Study (2010) and SREB (2009), were included in the language, practices and policies of three lead sites:

1) institutional support;

2) professional development;

3) resource availability;

4)   opportunities to share ideas; and

5) principal working conditions.

Research Design

A mixed methods case study research design was used to collect and analyze data for this study. This approach was employed to examine efforts put in place to sustain Alabama's redesigned principal preparation programs. Johnson and Onwuegbuzie (2004) assert that the use of mixed methods research does not replace either quantitative or qualitative paradigms, but draws from the strengths and weaknesses of both in a single research study. The data collected were not to seek or explain relationships, make predictions, or get at meanings or implications (Johnson & Onwuegbuzie, 2004; Krathwohl, 1993). Instead, data were used as Kratwohl explained, "….to describe, explain, and validate findings" (p. 1) which fit more in line with the purposes of this research study which was descriptive and exploratory. The investigator believed that using an exploratory research design would help inform the process for more systematic and rigorous testing of hypotheses (Kerlinger, 1973) for future research on the sustainability of reform efforts.

Creswell (2003) asserted that qualitative research can be used as a rationale or justification for a specific reform or change. This study examined three pilot redesign universities, their partner districts, the ten remaining redesign universities and their experiences in the implementation, and sustainability efforts with the redesign of their principal preparation programs. Data were collected from each of these sites in their natural setting where the redesign occurred (Creswell, 1998). The investigator also examined the perceptions of various stakeholder groups about what lessons were learned about the, implementation and sustainability of their redesigned principal preparation programs. Findings for this study were presented utilizing both narrative and tabular form.

Qualitative studies depend on the researcher's ability to generate a description or an understanding of the events (Bodgan & Biklen, 2003). Qualitative methods of investigation were appropriate for use when examining factors that facilitated or hindered the work of the redesign during the planning and implementation phases of the process, as well as examining efforts to sustain the reform of these programs. The investigator attempted to identify strategies embedded in the process that were considered in the literature as elements for sustainability. Finally, this study examined stakeholder perceptions about the redesign efforts and lessons learned about the redesign in its planning, implementation, and efforts at sustainability. It was impossible to identify all of the variables that surfaced from participant responses in this study. This was yet another reason to use qualitative research, as Creswell (1998) suggested, because variables are difficult to define or identify.

In carrying out this research, the investigator utilized a combination of approaches associated with mixed methods case study techniques to collect data. Because the study looked at the perceptions of participants about the factors that hindered or supported the redesign; the

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processes and policies involved in the redesign; and lessons learned about the planning, implementation, and sustainability of the redesign, the necessary data were primarily ascertained through (1) responses from surveys; and (2) transcribed interviews.

Case Study Approach

According to Creswell (1998), there are five traditions that can be used with qualitative methods: biography, phenomenology, grounded theory, ethnography, or case study. In order to understand the impact of sustainability efforts on the redesign of principal preparation programs, a case study approach was utilized. Tesch (1988) explained that the case study has been used in similar settings in education that related to the experiences of educators. This study focused on the shared experiences of educators and the supports received or challenges they faced in the different phases of redesigning a program.

<center>**Data Collection**</center>

The collection of data through these mixed methods provided "multiple forms of evidence to document and inform the research problem" (Creswell, 2003, p 13). The research questions, how they were assessed, and data sources for each question are presented in Table 3.

Table 3

Research Question Data Sources and Assessment

Research Questions	How Assessed	Data Sources
1. In what ways, if any, were the factors that facilitated or hindered the work of three pilots different from those of the remaining 10 redesign sites during the planning, implementation, and sustainability of the redesigned programs?	Survey	--Faculty at 3PRs --LEA Partners of the 3PRs --Faculty at 10Rs
2. What are the differences in perceptions of stakeholder groups (Pilot sites and their partners and remaining 10 sites, policy makers) about the planning, implementation, and sustainability of the redesigned principal preparation programs	Interviews Surveys	--Policy Makers --Faculty and Admin and LEAS @ *3PRs* --Faculty and Admin @ 10Rs
3. What are the lessons learned by the stakeholder groups (pilot sites and their partners, and the 10 remaining sites) about the planning, implementation, and sustainability of the redesigned principal preparation programs?	Surveys Interviews	--Faculty/Admin & LEAS @3PRs --Faculty and Admin @ 10Rs --Policy Makers

This study employed multiple sources for data collection which included interviews, and surveys responses from a purposeful sampling of participants involved in the redesigned principal preparation programs in Alabama. Three surveys using open-ended and closed-ended questions served as instruments that garnered relevant demographic information that only the participants could answer about themselves, and collected further data to answer the research questions. The investigator gathered information from interviews of key policy makers/consultants and from survey responses completed by participants involved with principal preparation programs at selected universities and local education agencies.

Sources of Data

Qualitative data collection included the three participant surveys and interviews with two key policy makers. The surveys incorporated both open and closed-ended questions and were distributed to program participants (professors, deans/department heads, and K–12 partners) from each of the pilot redesign universities. The first survey was distributed to faculty members, deans/department heads of the three pilot universities; the second survey was distributed to faculty members and deans/department heads of the ten remaining redesigned universities. The third survey was sent to central office administrators and principals of the K–12 district partners of the three pilot universities. Interviews were conducted with two key policymakers from the State Department involved with the redesigned principal preparation programs.

Procedures

The principal investigator completed Auburn University's Institutional Review Board's CITI online course September 29, 2010. CITI completion certificates for the principal investigator and committee members were submitted with the IRB Application. An application to conduct research was submitted for approval to the IRB at Auburn University. Included in the application were audio consent forms, authorization letters, and data collection instruments (interview protocol and surveys) used in this research study. IRB Approval was granted on April 5, 2011.

Approved Informed Consent and Information Letters from Auburn University requesting permission to conduct research at their Schools/Colleges of Education and School Systems were mailed to each selection site: the *3Pilot Redesign* universities, their K–12 district partners, and the Remaining 10 Redesign universities as well as to policy makers/consultants for permission to interview. Auburn University Consent and Information Letters and Audio Release Forms

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(Appendix J) included the purpose of the study, its objectives, and timeframe for completion. A self-addressed pre-stamped envelope was included in the University Consent Letters/Forms. Participants were asked to place the University Consent Letters/Forms on their official letterhead, with the date and authorized signature to indicate their agreement to participate in the study and return to the investigator in the pre-stamped, addressed envelope. The investigator did not use flyers, advertisements, or scripts to recruit participants. When University Consent Letters were returned, they were filed with Institutional Review Board of Auburn University. After permission was received from each site, survey packets were sent to the designated contact for dissemination and interviews scheduled with policy makers/consultants.

Participants

The categories of participants were chosen because of their participation, involvement, and knowledge of the redesigned principal preparation programs at their selected university. Participants included the deans, department heads, and faculty members at the 13 universities currently involved in or who had knowledge of the redesign process; district partners of the three pilot universities included central office administrators and principals; and key policy makers/consultants directly involved in the reform of principal preparation programs. These policy makers/consultants included a state department of education administrator who served as the liaison to the Governor's Congress on the Redesign and a program director of the Southern Regional Education Board who had direct involvement in Alabama's efforts to redesign their principal preparation programs.

Instrumentation

The researcher was interested in examining the sustainability of the redesign of principal preparation programs at three pilot universities in Alabama. The data collection

instruments, developed by the researcher, included three separate, color-coded surveys and one interview protocol:

1) Researcher-developed Principal Preparation Redesign Survey Instrument for 3 pilot (3-P) redesign universities;

2) Researcher-developed Principal Preparation Redesign Survey Instrument for 10 remaining (R-10s) redesign universities; and

3) Researcher-developed Principal Preparation Redesign Survey Instrument for local agency partners (LEAs: K–12).

4) Researcher-developed Interview Protocol for policy makers/consultants/

Detailed descriptions of the instruments, their construction, and administration follow.

Surveys

Surveys were developed and administered in order to (1) assess factors that hindered or supported the efforts of the principal preparation redesign programs; (2) identify any differences in perceptions of stakeholder groups about the redesign; and (3) reveal lessons learned by the stakeholder groups. The survey was pilot-tested with educational leadership doctoral cohort students at Auburn University and with graduate students working with the Truman Pierce Institute to determine "words, phrases, terms, sentences, response categories, and definitions that are ambiguously worded, unknown, or irrelevant to the respondents" (Shi, 1997, p. 253). Necessary revisions were made to ensure good results (Shi, 1997) before mailing to participants.

The general format of the questions for each survey was close-ended and open-ended questions in which participants wrote their own thoughts on paper. The demographic questions were grouped to explore variables based on one's positional role including: (a) deans, (b) department heads, (c) education faculty, (d) cohort students, (e) K–12 partners. When

appropriate (e.g. questions on demographics), respondents were able to select all applicable response options. Likert-type scale questions were used to collect data regarding barriers, support, administrative practices, policies and lessons learned. Surveys were pre-coded to allow the investigator to classify the responses into meaningful categories. Descriptive statistics in the form of tables, charts and summarization was used to analyze Liker-type questions. After approval from the IRB to conduct the research, the principal investigator mailed color-coded surveys to respective participants at the locations of the *3Pilots Redesign universities*, their LEA partner districts, and the *Remaining 10 Redesign* universities. Respondents' names were not included on the informed surveys, maintaining confidentiality. The surveys were color-coded for each selection site solely for the purpose of data logistics and documentation for the researcher.

Surveys were mailed to 165 potential participants in the colleges/schools of education at the three pilot universities and their local education agency partners, and the remaining 10 Alabama colleges or universities with principal preparation programs. The estimated time for completion of the survey was 30 minutes. Participants read and answered the open- and closed-ended questions independently at their respective site. Surveys were mailed back to the investigator in a pre-stamped, self-addressed return envelope provided by the investigator. The returned survey indicated the participant's consent for the investigator to use aggregated responses in the study.

The researcher designed three surveys for use in this study: (1) Principal Preparation Redesign Survey – 3 Pilot Universities (see Appendix F); (2) Redesign Universities Principal Preparation Redesign Survey – Remaining 10 Universities (see Appendix G); and (3) Principal Preparation Redesign Survey – Local Education Agency Partners (LEAs) (See Appendix H). Each survey was divided into three sections that included open- and closed-ended questions

specifically designed to garner information that would answer the research questions posed for this study. The surveys included a total of 48 questions. Figure 2 describes the number and type of questions in each section, for each survey instrument. For example, the survey administered to *3Pilots* included 27 closed-ended questions in Part One, and a total of 21 open-ended questions (16 in Part Two and 5 in Part Three). Because there was not a great difference in the types of questions offered in the three sections, a general description of what each section addressed follows:

(1) Part one of each survey consisted of closed-ended questions followed by a group of Likert-type responses ranging from: Strongly Disagree (1), Disagree (2), Strongly Agree (3), Agree (4), to Don't Know (0). The questions in this section focused on the factors that facilitated or hindered the work of the *3Pilots* and *Remaining 10* in their planning and implementation of the redesigned programs.

(2) Part two included open-ended questions that centered on differences in perceptions of stakeholder groups and the lessons learned about the planning, implementation, and sustainability of the redesigned principal preparation programs.

(3) Part three covered demographic information about the respondent such as current involvement with the Redesigned Principal Preparation Program; if the participant was involved in the planning, implementation phase; or if they are actively involved in the sustainability of the program. Questions in this section were answered by checking the appropriate box.

Responses from survey questions were used by the investigator to compare differences in factors that facilitated or hindered the work of the redesign process between the *3Pilot Redesigns* and the *Remaining10 Redesigns*. Responses from surveys also drew comparisons between sites

about the program planning, implementation, and sustainability efforts made during the redesign process from the *3Pilots*, their LEA partner districts, and from the *Remaining 10*.

Principal preparation redesign survey – 3 pilot (3PRs) redesign universities. This survey was used to gather data from the dean, department heads and faculty from the three pilot universities referred to in this study as the *3PRs*. Various categories of participants were chosen because of their participation, involvement, and knowledge of the redesigned principal preparation programs at their selected university. The dean, or other authorized official, of each college/school/district gave permission to the researcher to gather information from participants in the Principal Redesign Programs. After permission was received from each site, survey packets were mailed to the designated contact person for dissemination among participants. Respondents' names were not included on the surveys in order to maintain confidentiality. The surveys were color coded for each school solely for the purpose of data logistics and documentation for the researcher.

The survey was divided into three parts identified as Part One, Part Two, and Part Three. The first section consisted of twenty-seven Likert-type questions that ranged from Strongly Disagree (5), Disagree (4), Strongly Agree (3), Agree (2), to Don't Know (1). These survey questions were designed by the investigator to gain understanding about the collaboration of faculty and administrators within the School/College of Education in the planning stages of the redesign. Specifically, questions centered on the six elements outlined in the RFP as critical areas for change and improvement in the redesign of principal preparation programs: (1) admissions; (2) curriculum; (3) internships; (4) partnerships; (5) evaluation/ assessment; and (6) professional development. Responses to Part One questions provided information about and insight into the process and policies that were initiated in the planning

phase of the redesign. Additionally, responses in this section provided information about factors that facilitated or hindered the work of the redesign at the *3PRs*.

Part Two was designed with open-ended questions requiring the respondent to write in their own words that would best express their thoughts. There were sixteen questions that covered questions about: (1) the differences in stakeholder perceptions about the redesign; (2) factors that facilitated their work or hindered their work in the planning and implementation of the redesign; and, (3) lessons learned about the planning, implementation, and sustainability of the redesigned principal preparation program. Part Three of the survey provides respondents with the opportunity to identify their involvement in and knowledge about the redesign of principal preparation programs. There are five questions in this section.

Principal preparation redesign survey – R10s redesign universities. This survey was administered to deans, department heads, and faculty at the remaining ten universities with principal preparation programs. There were several similarities between this survey and the survey administered to *3PR*s. Again, the survey was divided into three parts identified as Part One, Part Two, and Part Three. Part One consisted of twenty-nine Likert-type questions that ranged from Strongly Disagree, Disagree, Strongly Agree, Agree, to Don't Know. These survey questions were designed by the investigator to gain understanding about the collaboration of faculty and administrators within the School/College of Education in the planning stages of the redesign. Specifically, questions centered on the six elements outlined in the RFP as critical areas for change and improvement in the redesign of principal preparation programs: (1) admissions; (2) curriculum; (3) internships; (4) partnerships; (5) evaluation/ assessment; and (6) professional development.

Part Two was designed with open-ended questions requiring the respondent to express their thoughts in their own words. There were fourteen questions that covered: (1) the differences in stakeholder perceptions about the redesign; (2) factors that facilitated their work or hindered their work in the planning and implementation of the redesign; and, (3) lessons learned about the planning, implementation, and sustainability of the redesigned principal preparation program. There are five questions in Part Three that provide respondents with the opportunity to identify their involvement in and knowledge about the redesign of principal preparation programs.

Principal preparation redesign survey – Local education agency partners (LEAs). The survey was divided into three parts identified as Part One, Part Two, and Part Three. Part One consisted of seventeen Likert-type questions that ranged from Strongly Disagree (5), Disagree (4), Strongly Agree (3), Agree (2), to Don't Know (1). These survey questions were designed by the investigator to gain understanding about the collaboration of faculty and administrators within the School/College of Education in the planning stages of the redesign. Specifically, questions centered on the six elements outlined in the RFP as critical areas for change and improvement in the redesign of principal preparation programs: (1) admissions; (2) curriculum; (3) internships; (4) partnerships; (5) evaluation/assessment; and (6) professional development. Responses to Part One questions provided information about and insight into the process and policies that were initiated in the planning phase of the redesign. Additionally, responses in this section provided information about factors that facilitated or hindered the work of the redesign at the *3PRs*.

Part Two was designed with 20 open-ended questions requiring the respondent to express their thoughts in their own words. There were questions that covered questions about:

(1) the differences in stakeholder perceptions about the redesign; (2) factors that facilitated their work or hindered their work in the planning and implementation of the redesign; and, (3) lessons learned about the planning, implementation, and sustainability of the redesigned principal preparation program. Part Three provided respondents with the opportunity to identify their involvement in and knowledge about the redesign of principal preparation programs.

Interviews

A set of questions were designed to elicit responses that represented a major source of data from which conclusions were drawn. The interviews were conducted with two participants representing views of policy makers/consultants in the redesign of principal preparation programs in Alabama. Before each interview, participants were verbally reminded of their written permission to audio tape the proceedings. The purpose of the study was read, along with the explanation of the interview, and the range of topics to be covered. The questionnaire for the interview was divided into three domains: (1) Redesign of Principal Preparation Programs centered on the efforts of the redesigned principal preparation programs initiated by the Governor's Congress on Instructional Leadership, including initiatives and policies that were developed and implemented to improve school leadership; (2) Barriers Encountered, Support Received, Processes Used covered questions about factors that enable or hinder cohesion and coordination of program implementation at the state, university or district levels; and, (3) Lessons Learned focused on the impact of initiatives, good intentions with unexpected consequences as well as recommendations for building cohesion for the future improvement of school leadership programs. An "open-ended" question was added to allow respondents to

provide additional information not covered in the interview questions. Audio recorded responses and interview notes were transcribed and documented.

Key policy makers/consultants directly involved with the redesign of principal preparation programs were invited to participate in the interview. The wording and sequence of the questions were determined in advance by the investigator. Qualitative data collected consisted of open-ended responses collected through interviews that were audio taped and transcribed. According to Beatty (1993), standardized wording of questions may limit the naturalness and relevance of questions and answers. To overcome this specific type of weakness in the data, the researcher included several open-ended questions that allowed the participant to add their thoughts and ideas to the subject. Interview questions were grouped into three categories that pertained to barriers encountered, supports received, and lessons learned. Interview data were analyzed using theme analysis of text data that emerged from transcribed responses designed to answer research questions (Creswell, 2003).

The Interview Protocol was designed and followed with two key policy makers/ consultants involved with the initial development of the redesign principal preparation programs in Alabama. Interview Protocol questions were divided into three parts: (1) Redesign of Principal Preparation Programs; (2) Barriers Encountered, Support Received, Processes Used; and (3) Lessons Learned. The projected interview time was 60–90 minutes. The letter of informed consent was read to each policy maker/consultant before beginning the interview. Audio release forms were sent to each interview participant for signature, and signed before the interview which gave the researcher permission to record. Interviews with policy makers/ consultants were audio recorded and transcribed. The participants' signature on the documents also gave the researcher permission to use the audio recording(s) for inclusion in the dissertation

and for additional purposes of publication, presentations at professional meetings, conferences, and publication of articles in journals. A statement was included in Audio Release Forms that asserted the audio tapes would be retained until the research was completed.

The investigator received Auburn University Consent and Information Letters and Audio Release Forms from two of the three letters sent to policy makers/consultants for an interview. After the IRB approved this investigator's application to conduct research, the investigator made appointments with those two prospective interviewees and mailed audio release forms to them for permission to conduct and tape their interviews. Upon receipt of audio release forms, the investigator called the appropriate office to schedule a time and place for the interview. Before conducting the interview, the investigator read the Auburn University Audio Release Permission Form out loud to the interviewee to ensure understanding of the procedures before beginning the interview. The investigator also read, orally, the directions of how the interview would be conducted and allowed the interviewee to ask any questions to the investigator before beginning. The investigator conducted the interview by reading each question orally, allowing time for the interviewee to respond (Appendix I: Principal Preparation Redesign – Interview Protocol). Upon completion of an audio taped interview, the investigator thanked the policy maker/consultant and reiterated that the audio taped interview would be transcribed and the results/findings reported in the dissertation document. The investigator also reminded the policy maker/consultant that upon request, a copy of the findings would be sent to them.

Interview Protocol for Policy Makers

The open ended questions in the Interview Protocol instrument addressed three domains: (1) Redesign of Principal Preparation Programs; (2) Barriers Encountered, Support Received, Processes Used; and (3) Lessons Learned. Interviews were conducted and transcribed with three

upper level policy makers/consultants directly involved with the planning and implementation of the redesigned programs. A copy of the Auburn University Consent and Information Letters and Audio Release Forms and a pre-stamped, self-addressed envelope were mailed to participants. Participants were asked to return by regular mail the site participation letter on official letterhead, with a date and signature to indicate their consent. Upon approval from the IRB, two policy makers/consultants were invited to participate in an interview and were provided with a letter of informed consent and audio consent. The consent was read to the two policy makers/consultants before beginning each interview.

Data Analysis

The data were analyzed using the constant comparative method of data analysis which involved constantly comparing the data for themes. Comparisons were made both within and between collected data, which was coded and organized into broad categories and further subdivided into themes (Patton, 2002, 1990; Merriam, 1998). The three research questions focused on factors that facilitated or hindered the work of the three pilots and the ten remaining redesign sites, the differences in perceptions of stakeholder groups, and lessons learned addressed through three different surveys and interviews.

One of the purposes of analyzing data in qualitative research, according to Jacob (1987), is to divide information into as many categories as appropriate. The objective was to identify themes that emerged from the collective responses of the participants and then explain these patterns (Creswell, 2003). Therefore, the data analysis involved the use of coding. Codes were developed from data collected from transcribed responses from interviews and responses from surveys. The examination and re-examination of individual participant responses helped to the investigator create codes for factors that were similar and those that were different in the

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experiences of the cases. These codes were then divided into various categories. For the purpose of analyses, the Likert-type responses were assigned a numerical weight to rank each response: 1–strongly disagree, 2–disagree, 3–agree, 4–strongly agree, and 0– don't know. This process allowed the investigator to explain participant responses reviewed for factors then turned into frequency counts. Facilitating and hindering factors (SDE support; local processes used; barriers/challenges facing school leaders) were used to discuss the quantitative results for the study.

Role of the Researcher

The researcher/investigator is a doctoral program candidate and former administrator in one of the partner districts affiliated with one of the redesign universities. At the time of this study, the investigator was not employed by any of the universities in which the redesign process was being studied. The researcher's role was that of an investigator as to the processes used to redesign internal and external structures. However, the researcher was an active participant as an LEA partner in the redesign at one of the pilot sites.

<div align="center">

Reliability/Validity

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Golafshani (2003) reported that measures of reliability and validity prepare the reader to accept research as trustworthy, rigorous and with high quality. Validity — the accuracy of your measurement — involves the degree to which what is actually measured (Cooke & Campbell, 1979). Cook and Campbell (1979) define it as the "best available approximation to the truth or falsity of a given inference, proposition or conclusion" (p. 37).

Validity

In this study, the researcher attempted to ensure dependability and trustworthiness of the results through triangulation of the data. According to Creswell and Miller (2000),

"triangulation is defined as a validity procedure where researchers search for convergence among multiple and different sources of information to form themes or categories in a study" (p 126). Patton (2002) advocates the use of triangulation, stating "triangulation strengthens a study by combining methods … this can mean using several kinds of methods or data …" (p. 247). Triangulation of the data will be done through the use of multiple participants and multiple methods to provided internal validity to this study.

Researcher bias can occur in gathering and analyzing the data (Creswell, 1994). Because the researcher recognized that there may be personal biases that influence the data collection and analysis, a mixed methods research design was used to reduce bias when data were collected. The researcher used triangulation, one of the tools used to add rigor to the data collection process to help eliminate bias. Data collected by the investigator in this study were triangulated in order to make less biased comparisons of the findings resulting from the different methods utilized by the investigator to interpret the data. Triangulation consisted of the use of convergent themes derived from responses from transcribed interviews, categorical codes developed by the investigator, responses from surveys, and content analysis of documents, surveys and interview transcription. Denzin (1989) asserted the idea of triangulation as an effective tool to overcome personal biases from single methodologies. Data were triangulated through the use of three participant surveys that included open- and closed-ended questions in three sections, and one interview protocol with open-ended questions in three sections.

Reliability

Mehrens and Leyman (1987) define reliability as the degree of consistency between two measures of the same thing. It is also defined as the measure of how stable, dependable, trustworthy, and consistent a test is in measuring the same thing each time (Worthen et al.,

1993). The researcher designed questions for the interview protocols and surveys administered

to three different groups of participants. These instruments measured the same concepts: (1)

practices and policies of the principal redesign program; (2) factors that facilitated or hindered

the process; (3) differences in perceptions from each group about the planning and

implementation of the redesign program; and (4) the lessons learned about the process. The

responses collected from each instrument were input into the computer-based statistical program

SPSS. Internal consistency was assessed using Cronbach's alpha ($\alpha = .087$) to evaluate the

results. The investigator ran a correlation between the three survey groups using the same or

similarly phrased questions to determine if the instrument reliably measured the concepts.

Summary

The redesign of principal preparation programs has been a focus of educational reform

based on the central idea that principals have a direct impact on student achievement (Davis,

Darling-Hammond, et al., 2005). Other researchers have identified three types of issues about

changing leadership programs that would benefit from additional study: (1) organizational

support needed in leadership redesign (Augustine et al., 2009); (2) aligning preparation programs

with national and state standards (Adams & Copland, 2005); and (3) issues related to the

sustainability of redesigned programs (SREB, 2009). This study examined the end product of

the redesigned programs: perceptions of participants about factors that facilitate or hinder

program change, sustainability, and lessons learned about program planning, implementation and

sustainability (Augustine et al., 2009).

The study also explored the mandated need to move from traditional preparation

programs in Alabama to programs redesigned for principal preparation in which course content,

field-based experiences, and practice were aligned with standards that reflected priority issues

affecting the daily practice of school principals. The study produced three manuscripts: (1) *Factors Facilitating or Hindering the Planning, Implementation, and Sustainability of the Redesigned Principal Preparation Programs in Alabama* (Chapter IV); (2) *A Comparison of Differences in Stakeholder Perceptions about the Planning, Implementation, and Sustainability of the Redesigned Principal Preparation Programs in Alabama* (Chapter V); and (3) *Lessons Learned about the Planning, Implementation, and Sustainability of Redesigned Principal Preparation Programs in Alabama"* (Chapter VI).

CHAPTER IV. MANUSCRIPT ONE: FACTORS FACILITATING OR HINDERING THE

IMPLEMENTATION AND SUSTAINABILITY OF ALABAMA'S REDESIGNED

PRINCIPAL PREPARATION PROGRAMS

Abstract

In 2005 the state of Alabama engaged in a comprehensive reform of its instructional

leadership standards and principal preparation program requirements. As part of the process

for identifying these reforms, a multi-constituency group, the Governor's Congress on School

Leadership, was charged with making recommendations on: (1) standards for instructional

leadership, (2) leadership curriculum, (3) internship experiences, (4) certification, (5)

evaluation, and (6) professional development programs. The work of this group was intended to

open an avenue for collaboration and communication from a cross-section of stakeholders to

design systemic change (Alabama State Department of Education, 2005; Cox, 2009). Their work

resulted in recommendations for the revision of Alabama's principal preparation programs.

Eventually, thirteen colleges and universities in the state of Alabama redesigned their

preparation programs to align with the state's new criteria for instructional leadership. Three

of these universities piloted the redesign process for the state. The research presented in this

paper identified the challenges encountered and support received during Alabama's systemic

redesign of principal preparation programs. Further, this research considered the efforts and

support systems put into place that facilitated the progress of the redesigned principal

preparation programs and the barriers that can hinder redesign efforts at the state, university,

and partner district levels. Data collection included three types of participant surveys and interviews with one key policy maker and one consultant heavily involved in the redesign process for the state. Convergent themes were derived from Likert-type responses from surveys, content analysis of documents, open-ended surveys, and transcribed interviews which taken together offered both qualitative and quantitative support. The manuscript concludes with recommendations to support sustainable reform of redesigned principal preparation programs.

Introduction/Background

Since 2004, there have been significant changes in the State of Alabama's education system, resulting from systemic reform efforts affecting both K–12 and higher education. A primary reason for these reforms was a comprehensive focus on improving student achievement by improving the quality of educational leaders in K–12 schools (Alabama State Department of Education, 2005; Cox 2007; SREB, 2010). This manuscript focused on one aspect of the reform—the redesign of principal preparation programs. .

In the fall of 2005, the State of Alabama responded to a Request for Proposals (RFP) from the Wallace Foundation to redesign the principal preparation programs in their state colleges and universities. Although Alabama was not selected to receive one of those funding awards, Alabama's Governor at the time, Bob Riley, initiated education reform through the Governor's Congress on School Leadership (http://alex.state.al.us/showleaderpg.php?lnk=gi). The changes resulting from the Congress became Alabama's policy response to address public outcries at the national and state levels to increase accountability measures with school practitioners and educational leaders in particular (Southern Regional Education Board, 2010). Alabama's principal preparation program reform addressed four components: enhancing or developing partnerships, revising admissions criteria and processes, revising

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curriculum/including the requirement of having an extensive internship), and evaluation of students and programs,. Embedded within these changes were claims that the new standards were connecting theory to practice, revised certification requirements were more rigorous, a new system of evaluation would provide more consistent data, more stringent professional development would be embedded in the recertification process, and ultimately, that there would be a redesigned preparation program at each of the 13 colleges offering principal certification programs (Alabama State Department of Education, 2005; Cox, 2009) Three universities served as pilot redesign sites, receiving scrutiny throughout the redesign process not only from state policy makers, but also from the other ten colleges who would later undertake programmatic redesign themselves.

This manuscript addressed the research question: In what ways, if any, were the factors facilitating or hindering the work of three pilot redesign sites different from those of the 10 remaining redesign sites while planning, implementing, and preparing to sustain the efforts undertaken as part of the redesigned programs?

The theory of action guiding this research was that sustainable reform efforts were largely influenced by the urgency and need for change felt by actors engaging in reform work, coupled with the organizational readiness for change and the cohesiveness of policies and practices that support the reform work. Each of these areas is described below.

Literature Review

In an era of increased accountability standards (NCLB, 2001) leaders were being required to become more results-oriented (Sparks, 2005), and higher education was being asked to be responsive in an environment that consistently changes (Kezar, 2001). Beckhard and Prichard (1992) suggested that "for a change effort to move an organization into the future, the process

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must involve an understanding of the outside forces that require decisions for change …" (p. 397). External forces such as public criticism of poor academic performance, emphasis on standardized documentation by national accreditation bodies and federal educational regulations, and state policy makers writing legislation to develop new program objectives pose challenges for educational leadership programs (Cibulka, 1997; Cuban, 1990; LaMagdeleine, Maxcy, Pounder, & Reed, 2009; Murphy & Forsyth, 1999). The expectations of those imposing these external forces (Sparks, 2005) were far reaching from K–12 into the realm of higher education. Leaders must understand how critical their role is in creating and sustaining change (Fullan, 2003; Kezar, 2001) and be aware that change will not happen just by endorsing a strong vision. Rather, "change is a simultaneous proposition and must take place in the overall system" (Fullan, 2003, p. 4). It is the leader's responsibility to introduce new elements into a situation that will influence better behavior, improve student achievement, and help change the context (Boyd, 1992; Fullan, 2003). However, in order for leaders to change the context, they first need to know what those influences are and their potential impact on principal preparation.

Relevant contextual changes include internal and external forces influencing educational leadership preparation (Kochan & Locke, 2009; LaMagdeleine, Maxcy, Pounder, & Reed, 2009). These researchers identified and described internal and external conditions in university settings that may influence leader preparation programs. Internal influences center on changes in the nature and mission of universities which affect faculty (LaMagdeleine, et al., 2009). Changes and expectations for faculty roles and responsibilities, faculty reward and incentive systems, faculty recruitment and retention, and academic standards can, according to LaMagdeline, et al. (2009), limit or enhance leadership preparation programs.

LaMagdeline, et al. (2009) further explained that education reform has shifted through the years, "from supply-side focus premised on the establishment of a coherent, scientifically grounded approach to educating school leaders … to a market-oriented approach stressing the merits of a demand-side orientation" (p. 142). The following external contextual influences, which grew stronger in the 1980s, have had a critical impact on the effectiveness of educational leadership programs: (1) critique of public education (critical discourse about the ineffectiveness of educational system); (2) the rise of new public management (NPM; movement reflective that government is the problem); (3) an altered operating environment for leader preparation (new accountability laws, outside markets for leadership training and new and improved standards and licensure regulations; and, (4) operating in and responding to current conditions (i.e. public school leaders struggle to gain public trust about their competency and effectiveness) (LaMagdeline, et al., 2009).

Capacity for Change

Leaders must prepare organizations for change in order to accept change or for change to be successful (Green, 2005). Often, ideas for program changes are introduced but they run counter to the beliefs of participants that the changes are not likely to occur without disruption and/or conflict. Disruption and/or conflict can be minimized if the organization has the capacity or is ready for the desired change (Augustine, et al., 2009; Greene, 2005; Schmidt & Finnigan, 1992). Greene (2005) described the steps outlined by Schmidt and Finnigan (1992) for determining capacity for change:

1. The level of dissatisfaction the stakeholders are experiencing with current conditions;

2. The short- and long-term costs;

3. The extent to which individuals understand the vision to be achieved by the change;

4. The consequences of the change; and,

5. The degree of difficulty in making the change (p 184).

Educators in leadership positions should begin to embrace change and assist faculty, staff, and community in building their capacity for change. One way of building leadership capacity, as described by Reed, Adams, and McDaniel (2006), is to build from the inside out, creating situations designed to "foster social change" (p. 6) and "focus on common issues in a spirit of collaboration and fellowship" (p. 7). The need for this type of capacity building was reinforced by Bolman and Deal (2002), who suggested that "successful change requires an ability to frame issues, build coalitions, and establish arenas in which disagreements can be forged into workable pacts" (p. 378). In order to affect change in a system we must prepare stakeholders to accept that change with the least amount of disruption or conflict.

Collaboration, another tool to help foster change, helps to build capacity and shape a new culture (Cavanaugh & Dellar, 1998). A natural step for leaders is to become familiar with the culture of their environment, be sensitive to the culture of the organization and acquire the knowledge and skills needed to intervene in the introduction of change into the environment (Cavanaugh & Dellar, 1998). Collaboration is central to any change effort, and as a collective action, transforms leadership to empower those who participate in the process (Roberts, 1985).

Cohesive Leadership Systems

A report by the Southern Regional Education Board (SREB) provided a review of Alabama's principal preparation reform and its impact at the various levels of the state's educational system (SREB, 2010). This review hailed Alabama as a strong leader in adopting a "cohesive set of policies advocated by SREB to raise the quality of leader preparation and

practice" (p. ii). However, the report outlined several areas of concern about the sustainability of Alabama's implementation plan. SREB suggested that Alabama focus on nine areas of concern:

- Local school districts' willingness to embrace new changes such as providing release time for aspiring leaders;

- A lack of understanding by university administrators and faculty that there has been a change in leadership preparation, and they can no longer continue to do business as usual;

- A perception of differences between districts and universities about the efforts of each group;

- An on-going need to work on relationship-building between universities and district partners about shared expectations and boundaries;

- The decreasing availability of resources to sustain the reforms;

- The State's inability to automatically and systematically connect its serving principals and their records as school leaders with the programs preparing them;

- The vagueness of how a Professional Learning Unit (PLU) system will work. [Note: A PLU is a content driven, long-term unit of professional study for instructional leaders that fully addresses all knowledge and ability indicators under an Alabama Standard for Instructional Leaders. Professional study that constitutes a PLU requires multiple professional development experiences over time and will always be aligned with the Alabama Standards for Professional Development in Rule 290-4-3-.01(3). (Pursuant to the Alabama Administrative Code § 290-3-2-.01(29),)]; and,

- The lack of continuous collection and publication of data on Alabama's school leadership infrastructure (pp. ii, iii).

The achievements of state and district reform efforts were threatened by the isolation of targeted reforms (Augustine, et al., 2009). In order to sustain improvements made in schools, the investments made in reform must include a "cohesive leadership system (CLS), defined as well-coordinated policies and initiatives across state agencies and between the state and its districts" (p. xv). Although Alabama's policies were coordinated and cohesive, individual program redesign efforts varied somewhat by institution.

Cohesion is the term used to describe systems built in concert by a state and its affiliated districts (Augustine et al., 2009). A recent Rand study found that a cohesive leadership system supported the approach to developing school leaders who would be engaged in improving instruction (Augustine et al., 2009). Five characteristics were identified in highly cohesive leadership systems (CLS): (1) comprehensiveness in the scope of their initiatives, (2) alignment of policies and practices, (3) broad stakeholder engagement, (4) agreement on how to improve leadership, and (5) coordination achieved through strong leadership. Alabama's model set out to accomplish many of these goals. The state's multi-reform efforts at the standards, licensure, evaluation, professional development and redesign of their principal preparation programs are comprehensive in their initiatives. Alignment of state policies with national and professional standards, required university and district partnerships, revised curriculum for principal preparation programs, and communication and collaborative efforts built into procedures provide a parallel path for cohesive leadership (Alabama State Department of Education, 2005; Southern Regional Education Board, 2010). As stated in the Augustine et al. (2009) study, "leaders who can connect school leadership reforms with other education initiatives in their states help build sustainability for their efforts and may reduce burdens on districts and schools" (p. xix). Augustine et al. (2009) suggested that contextual factors can promote or hinder efforts to build

cohesion. The 2009 study published by Rand identified these contextual factors as enabling (facilitating) and inhibiting (hindering) which are described below.

Enabling factors. Enabling factors help build efforts to support Cohesive Leadership Systems (CLS). The descriptions below outline strategies that promote system cohesion. According to Augustine et al. (2009):

- **Common structures and policies** form a foundation for ensuring cohesion. In sites governed under separate authority structures, and those under one governing body, state policies affecting all districts (i.e., common academic standards and assessments, and policies) help to facilitate cohesion.

- **A history of collaboration** including collegial relationships across organizations facilitates cohesion.

- **Strong preexisting social networks** result from the same people serving in different roles over time.

- **Participation of nontraditional actors** includes the involvement of actors other than the local education agencies, such as professional associations, universities, state leadership academies, and area education agencies.

- **Funding and technical assistance** provide opportunities to learn from each other through national interest groups and to think more globally.

- **Political support.** Educators found that state actors and organizations share with the same commitment of improving student achievement.

- **Supportive, stable, and aligned superintendents and school boards** are important in enabling districts to participate in building a cohesive leadership system.

Augustine et al. (2009) also identified inhibiting factors found within the sites included in their study that limit cohesion.

Inhibiting factors

- **Limited resources** can mean a lack of finances, time, or staff.

- **Limited State Education Agency (SEA) capacity** both in number of staff and in staff with the knowledge and skills to lead the work. SEAs can become so focused on helping rural districts and did not understand the complexity of the issues facing large urban districts in the state … resulting in limited capacity to support leadership development initiatives (Augustine et al., p. 70);

- **Turnover of key staff** disrupts continuity which impedes the creation of a CLS.

- **Too many organizations, too far apart.** It is difficult to maintain cohesion when organizations are highly dispersed, thereby hindering the direct involvement of working groups in creating standards.

- **Cultures of independence.** In addition to geographic constraints, structures and cultures that promote independence can constrain cohesion (although they may have benefits as well).

- **Discord across organizations.** In some sites, there is fragmentation among and between state organizations and districts. Requiring the district and the state to sit down together and negotiate the budget and other tasks in the grant resolved their differences and aligned their expectation of each other.

- **Reform overload and other external threats.** Districts struggle to balance several externally imposed initiatives and struggle to ensure that their reform efforts were aligned across many different areas as they attempted to mirror the cohesion around

leadership improvement policies and initiatives that were building in their states

(Augustine et al., 2009, p 71).

According to Augustine et al. (2009), sites with the strongest record for building cohesion shared

some of the enabling factors and were less limited by inhibiting factors creating a greater

opportunity for sustaining reform.

Barriers to Change

Change was a key component and at times a reluctant process embedded within the

context of reform (Augustine, et al., 2009; Fullan, 2003; Greene, 2005; Kochan, 2010). Whether

identified as inhibiting factors (Augustine, et al., 2009) or barriers to change within the literature,

both threaten the sustainability of reform efforts if unattended by those in leadership positions

(Fullan, 2003; Kezar, 2001; SREB, 2004). Kochan (2010) identified four issues described by

education deans that hindered change in the redesign of the principal leadership programs in

Alabama universities: (a) resistance to change, (b) lack of administrative support, (c) program

design and requirements, and (d) lack of clarity of expectations. While these barriers appear to

be self-explanatory, the deans' perceived role in educational change became an enabling factor

for the success and future sustainability of programs (Kochan, 2010). Although leadership and

support from deans was important, faculty and K–12 partners were usually the ones engaged in

the planning, design, and implementation of redesign efforts. Similar problematic areas that

surfaced as barriers to Alabama's Redesign of its principal preparation programs including areas

such as insufficient resources, "lack of understanding about what is necessary for

implementation or why implementation is necessary" (SREB, 2004, p. ii).

Sustaining Reform Efforts

Beginning in the early 1990s, the topic of institutional change and transformation became increasingly prevalent within the higher education literature due to: looming fiscal and demographic crises; new institutional opportunities presented by the growth of the learning industry; increased competition from other segments within the knowledge industry; persistent questions regarding the quality of educational services; the need to provide educational services more efficiently; and, the need to accommodate institutional structures to new teaching and learning roles (Center for the Study of Higher and Postsecondary Education, 2001). Calls were made to redefine the type of leadership needed in order to have deeper and more sustainable reform which starts with instructional improvement (Fullan, 2002).

Research supports the theory that having quality principals is second only to the quality of the teacher in affecting student achievement; and, therefore it is critical that preparation programs prepare school leaders to work more diligently to establish their role as the leader of instruction and promote a culture that encourages effective teaching practices (Augustine et al., 2009; Leithwood et al., 2004). School leadership and school leadership program reforms have become a primary focus for policy makers and some researchers in an effort to improve the quality of education and thus student achievement. For example, Orr, Silverberg and LeTendre (2006) assert the primary approach to educational reform and improved student achievement is through leadership preparation.

Researchers agree that change is not an event, but a process that can be planned or unplanned and influenced by internal or external forces (Augustine et al, 2009; Donaldson, 2001; Greene, 2005; Murphy, 2006). The initial step in the change process is to establish a clear sense of purpose, vision, and goals (Greene, 2005). Conceptualization and implementation of vision

are key elements to school, district, or preparation program reform (Fullan, Bertani, & Quinn, 2004) because leaders must build a coalition of leaders who pursue the vision in practice. Second, there must be an "assessment and determination about the state of existing programs, or current reality…their strengths and weaknesses" (pp. 182–183). Finally, in order for a culture to reach the desired goal of change, there has to be an assessment of the difference between the current reality and the stated goal. This is called discrepancy analysis (Schmidt & Finnigan, 1992). Patterson (2000) maintained that

> establishing and maintaining an organizational culture that supports and sustains change requires at least four steps—(1) developing a series of belief statements, (2) determining their implications, (3) putting the implications into practice, and (4) revisiting the belief statements and implications regularly to ensure the culture is being preserved and renewed. (p. 1)

Fullan (2003) wrote that "the context is changing and the leader's job is to help change context—that is, to introduce new elements into situations that are bound to influence behavior for the better" (p. 1). His point was that there are many things you cannot change in a school; however, if you change the context, you may change behavior. Fullan (2003) cited Malcolm Gladwell's (2000) argument, "the power of context is an environmental argument; it says that behavior is a function of social context" (p. 150). Much of the burden of change is placed on the leader with the starting point for change in our immediate situation rather than with the external environment (Fullan, 2003). If the above statements have merit, then it is incumbent upon administration to be very discriminating when selecting leaders. Fullan (2003) reminded us that selecting and supporting good leaders is a crucial starting point for beginning to change the context in powerful, new ways. However, if the achievements gained from the revision of new

policies and procedures, such as those embedded in redesigning programs to prepare school leaders, are inconsistent with state and district policies affecting school leadership, then the desired effect is voided (Augustine et al., 2009).

Data Sources and Research Methods

Data collection for this study included three types of participant surveys. The three Pilot Redesign sites were studied using two surveys: one for faculty and administrators at the university and one for K–12 partners. Participants included faculty, deans, and department heads from each of the three pilot universities and their partner districts.

The findings presented in this manuscript were derived from survey results of the 3 Pilot Redesign Universities, and the 10 Remaining Redesign Universities.   The objective of this question was to identify if there were any significant differences between the efforts of three redesign sites, and the 10 redesign sites with respect to factors that facilitate or hinder the redesign of Principal Preparation Programs, and consequently set the stage for sustainable reform work.

After receiving Human Subjects Research approval (see Appendix K) surveys were administered to college deans, program coordinators, and educational leadership faculty at the 3 Pilot Redesign Universities (3PRs), central office and principals at the Partner Districts (LEAs) of the 3PRs, and to educational leadership administrators and faculty at the 10 Redesign Universities (R10s). Two of the three researcher developed surveys were used to report findings for this paper: (1) Principal Preparation Redesign Survey: 3 Pilot Redesign Universities (3PRs), and (2) Principal Preparation Redesign Survey: 10 Redesign Universities (R10s). A total of 48 closed-ended questions (27 in the 3PR Survey and 29 in the R10 Survey) were created to glean information that would answer the research question posed for this study. Likert-type responses

ranged from: strongly disagree (1), disagree (2), agree (3), strongly agree (4), and don't know (0). Consent forms were mailed to potential participation sites: 3 Pilot Sites, LEA Partner District Sites, and the 10 Remaining University Sites. Consent forms were received from 17 sites. Fifty-two surveys were mailed to the 3 Pilot Redesign Sites of which 10 surveys were completed and returned for a response rate of 19%; and, 48 surveys were mailed to participants of the 10 Redesign Sites of which 4 surveys were completed for a response rate of 8%; and 65 surveys were mailed to participants of the LEA Partner District Sites of which 10 surveys were completed for a response rate of 17%. A total of 165 surveys were mailed to these three groups, 24 surveys were completed and returned producing an an overall response rate of 15%. The respondents from the 3 Pilot Universities and from the remaining 10 Redesign Universities included educational leadership administrators and faculty from the 13 Alabama colleges with state approved educational leadership programs. Respondents from the LEA Partner Districts included central office administrators and principals.

Repeated efforts to raise response rates were made by the investigator. As consent forms were received, surveys were mailed to each participating site. Email reminders were sent on February 11, March 3, April 16, and June 7, 2011 to educational leadership deans, and school district superintendents (or their designees). Some sites requested additional information from the investigator about the proposal, the official clearance letter from the Institutional Review Board, or requested that the investigator send the methods section for the study before granting permission to participate. Each request was fulfilled in order to get a greater response rate for the surveys. Upon receiving consent forms, surveys were mailed to the participating sites based on the number of educational leadership personnel or affected school district personnel listed by

the school on their website. Even with the investigator's additional attempts to contact potential

site participants, the total response rate was still lower than the investigator had expected

The investigator used descriptive statistics to report the findings. Because of the low

response rate, there were no inferences made or generalizable conclusions drawn about results.

Data from the surveys are described using the frequencies and the mean for comparable

questions from the Surveys (see Table 4).

Table 4

Principal Preparation Survey Comparison of Responses

Choose ONE for Each Question	Strongly Disagree (1) %		Disagree (2) %		Agree (3) %		Strongly Agree (4) %		Don't Know (0) %		No Response		Mean	
	3P	R10	3P	R10	3P	R10	3P	R10	3P	R10	3P	R10	3P	R10
1. University and local school districts actively collaborated on *candidate selection before* the program was redesigned.	20	0	40	25	10	0	20	50	10	25	0	0	2.10	2.50
2. University and local school districts actively collaborate on *candidate selection as part of* the **current** program.	0	25	0	0	10	0	80	75	10	0	0	0	3.50	3.25
3. University and local school districts actively collaborated on *candidate internships before* the redesigned program.	20	0	20	0	30	25	20	50	10	25	0	0	2.30	2.75
4. University and local school districts actively collaborate on *candidate internships as part of* the **current** program.	0	0	0	0	0	25	90	75	10	0	0	0	3.60	3.75
5. The field experiences provided through your redesigned preparation program are rigorous and effectively prepare aspiring leaders.	0	0	0	0	0	0	70	100	30	0	0	0	2.80	4.00
6. The field experiences offer candidates numerous opportunities to *participate* and *lead* in meaningful leadership activities.	0	0	0	0	10	50	50	50	40	0	0	0	2.30	3.50
7. The academic requirements for your redesigned leadership program are parallel to the current demands in the field.	0	0	0	25	20	50	60	25	22	0	0	0	3.00	3.00
8. Your university provides adequate Personnel resources to support the policies and procedures of the redesigned program.	0	0	20	0	30	25	50	75	0	0	0	0	3.30	3.75

(table continues)

Choose ONE for Each Question	Strongly Disagree (1) %		Disagree (2) %		Agree (3) %		Strongly Agree (4) %		Don't Know (0) %		No Response		Mean	
	3P	R10	3P	R10	3P	R10	3P	R10	3P	R10	3P	R10	3P	R10
9. Your university provides adequate funding to support the new policies and procedures of the newly redesigned program.	0	0	30	25	40	50	20	25	10	0	0	0	2.60	3.00
10. Your current leadership program needs improvement in order to adequately prepare aspiring principals.	30	0	30	25	10	50	20	0	10	25	0	0	2.00	2.00
11. Your leadership program was effective in preparing candidates for the principalship *before* the redesigned program.	10	25	30	75	40	0	10	0	10	0	0	0	2.30	1.75
12. The requirements for your leadership program are similar to the requirements of the redesigned principal preparation programs at other Alabama universities.	0	0	20	0	30	25	20	75	30	0	0	0	2.10	3.00
13. Your revised admission policies include assessments of multiple dimensions and candidate abilities.	0	0	10	0	10	25	70	75	10	0	0	0	3.30	3.75
14. The leadership program curriculum was revised to include courses that are reflective of current leadership activities and responsibilities.	0	0	0	0	10	50	70	25	20	25	0	0	3.10	2.50
15. The leadership program curriculum was revised to include courses designed around data-informed instruction for school improvement.	0	0	0	0	0	50	80	25	20	25	0	0	3.20	2.50
16. Your program was designed to place more emphasis on leadership practices that promote student achievement.	0	0	10	0	10	50	60	50	20	0	0	0	2.90	3.50
17. Your redesigned leadership program receives support from the Alabama Department of Education.	0	0	10	50	30	25	30	25	20	0	10	0	2.56	4.00
18. Before redesigned, your leadership program received external financial support.	40	0	20	50	10	25	10	25	20	0	0	0	1.50	2.75
19. After being redesigned, your program continued to receive external financial support.	50	25	10	25	10	0	0	0	30	50	0	0	1.00	.75
20. Your university provided initial training for faculty members involved in the redesigned leadership program.	0	0	10	0	40	75	30	25	20	0	0	0	2.60	.75
21. Your university provided ongoing professional development for faculty involved in the redesigned leadership programs.	0	0	0	25	0	25	10	50	90	0	0	0	4.00	3.25
22. Your leadership program continues to collaborate with local school districts to select the most promising candidates.	0	0	0	0	10	25	80	75	10	0	0	0	3.50	3.25

(table continues)

Choose ONE for Each Question	Strongly Disagree (1) %		Disagree (2) %		Agree (3) %		Strongly Agree (4) %		Don't Know (0) %		No Response		Mean	
	3P	R10	3P	R10	3P	R10	3P	R10	3P	R10	3P	R10	3P	R10
23. Your local school partners provide supportive conditions conducive for leadership program candidates to succeed.	0	0	0	0	20	50	70	50	10	0	0	0	3.40	3.75
24 The organization of your university leadership curriculum is sequential and developmental.	0	0	0	0	20	25	60	75	10	0	10	0	3.33	3.50
25. Your university leadership program actively promotes diversity.	0	0	0	0	30	50	40	50	20	0	10	0	2.78	3.75
26. Your university leadership program actively advocates with others to improve learning conditions in K–12 schools.	0	0	0	25	10	25	60	50	20	0	10	0	3.00	3.75
27. Professors and university administrators are knowledgeable about the redesigned principal preparation program policies at your university.	10	0	0	0	30	50	40	50	10	0	10	0	2.89	3.50

The findings described in this manuscript were based on respondents' answers to questions related to the factors that facilitated and hindered the redesign process and were closely aligned with the factors termed enabling and hindering from the 2009 Augustine et al. Study (see Figure 3). The Rand Study (Augustine et al, 2009) found that these were the factors which help build cohesion. To better display and analyze the data, a continuum was developed to illustrate alignment between the Augustine et al study factors (labeled enabling and inhibiting) and the 3PR and 10R Survey factors (labeled facilitating and hindering).

Inhibiting Factors (Rand)	Hindering Factors (3PR/10R)	Facilitating Factors (3PR/10R)	Enabling Factors (Rand)
Limited Resources (Lack of finances, time, or staff)	Financial & Human Capital Resources Q9, 18, 19		*Adequate Funding and Staffing*
Limited State Capacity to Support Innovation/ Reform Overload	State Support (Political Support) Q8		*Technical and Political Support/ Common Structures and Policies*
Turn Over of Key Staff	Faculty & LEA Continuity (Personnel) Qs 8, 20, 26		*Strong, experienced faculty and administrators/ Strong Networks*
Cultures of Independence	Collaboration (State, Universities, LEAs) Qs 1, 3, 17, 20		*History of Collaboration/ Participation of non-traditional actors*

Figure 3. 3PR and 10R Survey Factors Aligned with Rand Study Factors

The constructs described in Figure 3, according to Augustine et al. (2009), can become strategies for sustainability. They were used in this study to support my theory of action and serve as a guide to report the descriptive data from the study. Findings based on the constructs in Figure 3, can be negative when there are limited resources to support redesign initiatives and

adequate if resources are in place. The four constructs are described as: (1) Financial and

Human Capital Resources; (2) State Support (Political); (3) Faculty and LEA Continuity

(Personnel); and, (4) Collaboration (State, Universities, LEAs).   An explanation of each

construct is presented in the following paragraphs along with tables listing the number and mean

for that particular construct on the continuum.

Financial and Human Capital Resources

The funding continuum construct was aligned with Rand's (2009) claim that a lack of

finances can hinder efforts to build the cohesion which is needed to sustain reform efforts

(Augustine et al., 2009). Described in the surveys as internal and external resources to support

the redesign program, three redesign survey questions (9, 18, and 19) were closely aligned with

this construct.

Adequate university funding was the highest ranked item with a mean of 2.6 for the 3PRs

and 3.00 at the 10Rs. The mean for the other two questions in this construct ranged from 1.00 to

1.50 (3PRs) and .75 to 2.75 (10Rs). These data are represented in Table 5.

Table 5

Financial and Human Capital Resources

Financial and Human Capital Resources	N		3 Pilot	R10
	3PR	10R	Mean	Mean
Q9: Adequate University Funding	10	4	2.60	3.00
Q18: External Financial Support	10	4	1.50	2.75
Q19: Continued External Financial Support	10	4	1.00	0.75

An overview of responses to these questions (presented earlier in Table 4) illustrates that 55% of the 3PR respondents answering question 9 agreed that their university provided adequate funding to support the new policies and procedures of the newly redesigned program compared with responses to question 18 in which 44% of respondents strongly disagreed, and 22% disagreed that their leadership program received external financial support before the redesign. Also, 56% disagreed that their program continued to receive external financial support after being redesigned. Most of the 10Rs agreed that they received internal financial support from their universities, but 50% of the 10R respondents disagreed that their redesigned leadership program received support from the Alabama Department of Education. Fifty percent disagree that their leadership program received external funding before the redesign and 50% disagree that after being redesigned, the program continued to receive external financial support.

State Support (Political Support)

This construct was aligned with Augustine et al.'s (2009) claim that educators, state actors, and organizations share the same commitment to improving student leadership by employing common academic standards, assessments, and policies. Survey questions 7, 10, 11, 12, 13 14, 15, 16, 17, and 24 were closely aligned with this construct which focused on curriculum structure, sequential and developmental curriculum, and leadership practices.

The means for these questions ranged from 1.00 to 3.33 (3PRs) and 0.75 to 4.00 (10Rs). State supported funding (Q17) had the highest mean of 4.00 (10R) and the question asking if leadership curriculum is sequential and developmental had a mean of 3.33 (3PRs). These data are represented in Table 6.

Table 6

State Support (Political Support)

State Support (Political Support)	N		3 Pilot Mean	R10 Mean
	3P	R10		
Q7: Field Experiences	10	4	3.00	3.00
Q10: Current Leadership Program Needs Improvement	10	4	2.00	2.00
Q11: Leadership Program Effective Before	10	4	2.30	1.75
Q12: 3P Leadership Program Requirements similar to R10s	10	4	2.10	3.00
Q13: Revised admission policies include assessments of multiple dimensions and candidate abilities	10	4	3.30	3.75
Q14: Revised leadership curriculum reflect current leadership activities and responsibilities	10	4	3.10	2.50
Q15: Revised leadership curriculum designed around data	10	4	3.20	2.50
Q16: Program places more emphasis on leadership practice that promote student achievement	10	4	2.90	3.50
Q17: Program receives support from AL Department of Education	9	4	2.56	4.00
Q24: Organization of leadership curriculum is sequential and developmental.	9	4	3.33	3.50

Eighty percent of 3PRs and 75% of the 10R respondents answering question 7 strongly agreed that academic requirements of the redesign are parallel to current demands of the field. Sixty percent of the (3PRs) and 75% of the (10Rs) respondents disagreed that their current

leadership program needed improvement (question 10). In question 11, respondents from both the 3Ps and the 10Rs strongly agreed (50% and 75% respectively) that their leadership program was effective in preparing candidates for the principalship before the redesigned program. Responses to question 12, indicated that 50% of 3PR respondents agreed that their leadership program requirements are similar to those at other Alabama universities and 100% of the 10R respondents agreed. There were 80% of the 3PRs and 75% of the 10Rs that strongly agreed their admission policies included assessments of multiple dimensions of candidate abilities (question 13). Eighty percent of 3PR and 75% 10R respondents agreed that the curriculum was revised (question 14) to include courses that are reflective of current leadership activities; further, 80% of 3Ps and 100% 10Rs strongly agreed that curriculum was revised to include data-informed instruction for school improvement in courses (question 15). Also, a high percentage of both 3PR (79%) and 10R (100%) respondents agreed that their program curriculum places emphasis on leadership practices that promote student achievement (question 16). Sixty percent of the 3PR respondents agreed but 10% disagreed that they receive support from the Alabama Department of Education (question 17); while even numbers of the 10R respondents disagreed or agreed with this statement (50% and 50%). In question 24, 80% of 3PRs and 100% of 10Rs agreed that their leadership program curriculum is sequential and developmental.

Faculty and LEA Continuity (Personnel)

This continuum construct was aligned with Rand's (2009) claim that turnover of key staff disrupts continuity which impedes the creation of a Cohesive Leadership System (CLS) (Augustine et al., 2009). Described in the redesign surveys as personnel continuity, diversity, training, and knowledge, questions 8, 20, 21, 25, and 27, were closely aligned with this construct.

The means for questions in this construct ranged from 4.00 to 2.60 (3Ps) and 4.00 to .75 (R10s). The three pilot universities had a mean of 4.00 in the area of on-going training. R10s had a mean of 3.75 in both question 8 (internal support) and question 25 (promoting diversity). These data are represented in Table 7.

Table 7

Faculty and LEA Continuity

Faculty & LEA Continuity	N		3 P	R10
(Personnel)	3P	R10	Mean	Mean
Q8: University provides adequate personnel resources to support policies and procedures	10	4	3.30	3.75
Q20: University provided initial training for faculty members involved in redesign	10	4	2.60	.75
Q21: University provides ongoing training for faculty members involved in redesign	1	4	4.00	3.25
Q25: University leadership program actively promotes diversity	10	4	2.78	3.75
Q27: Professors and university administrators are knowledgeable about redesign	10	4	2.89	3.50

Eighty percent of 3PRs and 75% of 10R respondents agreed that there were adequate personnel resources (question 8) to support the policies and procedures of the redesigned program. Both the 3PR and 10R respondents stated that the university provided initial training for faculty members involved in the redesigned leadership program. Both the 3PRs and 10Rs

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strongly agreed (in questions 20 and 21) that initial training and ongoing professional development were provided for faculty. Twenty-two percent of the 3PRs disagreed or did not know if there was initial training; and, an even smaller percent said that there is ongoing training for faculty involved in the redesign. One-hundred percent of 10Rs agreed that there was initial training and 75 % agreed that there is ongoing training. Respondents from the 3PRs and 10Rs agreed that diversity was actively promoted (question 25), and in question 27, 70% of the 3PRs thought that education faculty at their university were knowledgeable about the redesign although 10% strongly disagreed, 10% did not know, and 10% did not respond. Compared to the 10Rs, 50% agreed and 50% strongly agreed with the statement that professors were knowledgeable about the redesigned program.

Collaboration (State, Universities, LEAs)

The collaboration construct was aligned with the study published by Rand (Augustine et al., 2009). Their claim that a history of collaboration, including collegial relationships across organizations, helps to facilitate cohesion; and, participation of nontraditional actors other than LEAs (Augustine et al., 2009) helps to facilitate sustainability. Collaboration in the redesign surveys viewed activities such as candidate selection, internships, field experiences, supportive conditions, and efforts to improve learning conditions in K–12 schools which were closely aligned with this construct.

These areas of collaboration appeared in survey question numbers 1, 2, 3, 4, 22 and 23. The 10Rs ranked rigorous field experiences (Q4) the highest in mean scores (4.00) in the current program; and question 3 was the next highest ranking, with a mean of 3.60 from the 3PRs. These data appear in Table 8.

Table 8

Collaboration (State, Universities, LEAs)

Collaboration	Frequency		3 P	R10
(State, Universities, LEAs)	3P	R10	Mean	Mean
Q1: Univ and LEA actively collaborated on candidate selection before redesign	10	4	2.10	2.50
Q2: Univ and LEAs actively collaborate on candidate selection as part of current program	10	4	3.50	3.25
Q3: Univ and LEAs actively collaborated on candidate internships before the redesign	10	4	2.30	2.75
Q4: Univ and LEAs actively collaborated on candidate internships as part of current program	10	4	3.60	3.75
Q5: Field experiences are rigorous and effectively preparing leaders	10	4	2.80	4.00
Q6: Field experiences offer candidates numerous opportunities to lead	10	4	2.30	3.50
Q22: Leadership program continues to collaborate with LEA on selection	10	4	3.50	3.25
Q23: LEA partners provide supportive conditions conducive for candidates to succeed	10	4	3.40	3.50
Q26: University leadership program actively advocates with others to improve learning conditions in K–12 schools	10	4	3.00	3.25

Data in response to Question 1 revealed that 60% of the 3PR respondents disagreed that their district actively collaborated on candidate selection before the program was redesigned compared to 25% of the 10R respondents who disagreed. However, there was strong agreement among the 3PRs (90%) and 10Rs (75%) when asked about collaboration of candidate selection in the current program (Question 2). Forty percent of 3PR respondents disagreed and 50% agreed that there was active collaboration on candidate internships before the redesign (Question 3); and respondents from the 10Rs (75%) agreed that there was active collaboration on candidate internships before the redesign. There was strong agreement among the 3PRs (90%) and 10Rs (100%) that there has been active collaboration in the current program (Question 4). When asked if their leadership program continues to collaborate with LEAs to select the most promising candidates (Question 22) 90% of 3PRs agreed and 100% of 10Rs agreed. Ninety percent of 3PR respondents agreed and 100% of 10Rs agreed that school partners provide supportive conditions conducive for leadership program candidates to succeed. Respondents were asked in question 26 if leadership programs advocated with others to improve learning conditions in K–12 schools and 70% of 3PRs agreed while and 100% of 10Rs agreed.

Implications

Four constructs served as guideposts to report on findings from surveys: (1) Financial and Capital Resources, (2) Faculty and LEA Continuity (Strong Networks), (3) State Support (Political Support), and (4) Collaboration (State, Universities, and LEAs). These constructs, according to Augustine et al. (2009) are strategies that help build cohesive systems that support and sustain reform. Site participants from the 13 Redesign Universities (3PRs and 10Rs) responded to 27 common questions about the Redesign of Principal Preparation Programs. The data indicating high percentage of responses were analyzed to determine if respondents viewed

these factors as facilitating or hindering the implementation and sustainability of their redesign efforts.

Financial and Capital Resources

The Southern Regional Education Board (2010) in its report on Alabama's Redesign recommended that the State "acknowledge that resource constraints are affecting the reform effort, and that some plans based on best practices in ordinary times may have to be adapted due to reduced revenues in extraordinary times" (p. 27). Analysis of the survey response items suggests that a lack of financial support from the state in the initial stages of the redesign, mandated by the State of Alabama, hindered the efforts of the 10Rs; however, the 3PRs receipt of a grant award to engage in efforts to redesign assisted their work by providing some external funding. There has been no state funding to support redesign efforts since the initial grant awards. This lack of funding may place the sustainability of the reform efforts in jeopardy.

There was no state financial support provided to the 10 Redesign Universities to implement or sustain a state mandate to redesign their principal preparation program. These data suggest that while the mandate was funded during the reform, continuing support for sustaining the reform efforts for the leadership redesign was not evident. There was evidence in the data that internal financial support was received from universities to assist with the Redesign of their Principal Preparation Programs.

3PR faculty had a high confidence level in their university to support their efforts to fulfill a state mandated reform. The 10% don't know responses may account for the fact that some faculty were hired after the Redesign of their Principal Preparation Programs and had no input into the budget or that the budget may be under the auspices of Deans and Department

Heads only. Additionally, 3PR faculty members were familiar with source of finances in order to plan the redesign.

State Support (Political Support)

Augustine et al. (2009) argued that well-coordinated policies and initiatives across state agencies lead to a cohesive system of leadership—a strategy to help sustain reform efforts. Cohesive systems are likely to be able to sustain reform initiatives beyond the period of initial support (2009). Both 3PR and 10R respondents agree that reform initiatives in the area of standards, policies, procedures, and practices are aligned across state levels and agencies. Respondents thought their redesign programs were effective before the state mandate to redesign which implies that they did not see a need to redesign their leadership programs. They also agreed that they were in alignment with other Alabama Universities.

Therefore, respondents agreed that educational leadership programs in Alabama are parallel to each other and following State approved guidelines. Additionally, the high percentages from both 3P and 10Rs respondents that revised admission policies include assessments of multiple dimensions and not just self selection any more. This was a facilitating factor for future sustainability of the reform.

Both 3PRs and 10Rs agree that revised curriculum include data-informed instruction for school improvement in courses; the curricular places more emphasis on leadership practices that promote student achievement; and a high percentage agreed that program curriculum was sequential and developmental.

A low percentage rate of respondents (both 3PRs and 10Rs) agreed that they received support from the Alabama State Department of Education. The implication appeared to be a

perceived notion that there was little support for the mandated change outside and apart from the initial funding. This was a prevalent factor that can hinder the reform effort.

Faculty and LEA Continuity (Strong Networks)

Initial training and continuous training became mixed factors. SREB's (2010) recommended that Alabama convene annual school leadership summits to share information and maintain momentum of the redesign. The need for ongoing training was evident in the data. A majority of respondents (3PR and 10R) agreed that initial training was prevalent from the state; however, training since the redesign has not been extensive. Differences in perception may also come from faculty attrition at the 13 universities since the redesign was initiated. There must be on-going professional development for new faculty, veteran faculty members, and district partners for continuity and sustainability of the redesign.

The 3PRs and the 10Rs agreed that the State provided initial training of stakeholders in the planning stages of the redesign. The differences in faculty who agree that initial training was done and on-going training appear to reflect the knowledge of personnel working at the university pre and post redesign. The percentages of faculty members in 3PRs are widely disbursed indicating that the faculty turnover may contribute to the response that not many of them knew if there was initial training pre-redesign. While initial training of stakeholders in the planning stages is a facilitating factor; the absence of ongoing training and training of new personnel may hinder the sustainability of reform.

Collaboration (State, Universities, LEAs and Participation of Nontraditional Actors)

SREB (2010) recommended to the State of Alabama that they focus on long-term sustainability. This means engaging all stakeholders during the implementation process to

ensure on-going collaboration between the state, universities, partner school districts, and other entities such as reporting agencies and political constituents.

Collaboration was reported as a facilitating factor which is supported by each group of stakeholders. A majority of 3Ps and 10Rs agreed that there was not a great amount of collaboration before redesign. However, in their current programs (after the redesign) the efforts for collaboration have increased in both candidate selection and candidate internships. Since the redesign, University and LEAs have increased their collaboration efforts on providing more rigorous and effective field experiences during the internships.

Limitations/Areas for Further Research

The low response rate, as discussed earlier, was a serious limitation to this study. Therefore, no generalizable conclusions were made.

The Southern Region Education Board (2010) reported on Alabama's redesign of its Principal Preparation Program, commending the efforts in this systemic reform. However, SREB (2010) also questioned Alabama's ability to sustain these reforms in light of changing political and financial climates. While this study investigated the factors that facilitated or hindered sustainability of the redesign, the investigator recommended other areas for future research. One area for future research would be to gather data on the graduates from those 13 universities that redesigned their Principal Preparation Program and document their impact on student achievement. Another possible study would be to compare student improvement in schools with principals who graduated from the traditional program and those principals who graduated from a redesigned program. The state's ability to sustain these new reforms will rely on continuous data collection that will inform the process of sustainability. The improvement of programs, designing a forum for continuous training programs, and establish a system to receive

input from stakeholders about what they need to support and sustain the redesigned principal preparation programs.

<div align="center">**Significance**</div>

The redesign of principal preparation programs in Alabama may be one example of how organizational change can be implemented within the higher education community, although these changes did not occur without prompting from external sources. Universities in the state implemented changes in the way programs provide training for leadership candidates, deliver instruction, initiate programmatic changes, and foster collaborative efforts with community to ensure the implementation of this change after the state mandated these changes. Musick (2005) contended that the responsibility for changing these programs and the specific issues identified with redesign were systemic issues. They were not solely the problem of the educational leadership department, the university or any of the various state agencies responsible for higher education, program approval and licensure. The problems encountered were systemic and required simultaneous, aligned actions across the leadership preparation system with each layer serving a designated role:

- States must develop strong policies and procedures on leadership preparation and licensure that make it impossible to continue licensing graduates based on completion of a program inadequately designed for the needs of today's students and schools.

- University presidents must be challenged to make leadership preparation a priority of the institution and to confront the need for new resources required for redesigning programs to incorporate high-quality internships.

- Departments of educational leadership must develop stronger relationships with local school districts that involve working together to select the most promising candidates

<div align="center">172</div>

and design and deliver programs that prepare leaders who can meet district needs for improved student achievement.

- Local school districts must take on new responsibilities for recruiting aspiring leaders and then providing the support and conditions necessary for them to succeed in the preparation program (Musick, 2005, p. 2).

Alabama acknowledged a multi-system approach to change that aligned reform actions at each of these levels. These efforts were evidenced by the state's commitment to improving student achievement which was reinforced by the revision of its Instructional Leadership Program and the changes K–12 revised for school districts as part of the work of the Governor's Congress. A cohesive effort to improve student achievement was formalized through new standards, professional development, and an improved evaluation system.

As educators examine the current realities and the changes occurring in both K–12 and the higher education communities, they must analyze existing strategies on a continuing basis to determine potential for effectiveness. For education to remain viable and fluid, a seamless transition from K–12 to higher education via student achievement must become a primary goal of policy makers and educators. This shift in focus would require a change in how we deliver instruction, how leaders demonstrate mastery, how leaders engage with inquiry, and how collaboration is promoted (Steeples, 1990). Communication between education leaders and the community and the support of stakeholders within the education community will be important considerations when employing various strategies for implementing and sustaining change (Steeples, 1990).

Summary

The three pilot redesign universities followed the Request for Proposal guidelines from the Governor's Congress (2005) to develop policies and procedures throughout their redesign process. The self-described goal of the pilot universities was to achieve the desired results expressed by the Governor's Congress on School Leadership while adapting how requirements were achieved to meet unique contextual needs. Research supports the pilots' inclusion of six components outlined by Linda Darling-Hammond (2007) as benchmarks of quality in school leadership programs: university-district partnerships, greater selectivity in choosing future leaders, more rigorous course work connected with field-based learning and residency experiences, more rigorous residency experiences, effective mentoring, and cohort structures for all students.

All three pilots incorporated the first four benchmarks listed above although using slight variations in terminology. The redesign efforts of each university incorporated strategies designed to increase collaboration and communication with their partner districts; restructure admissions/selection policies from self-selection to a broader committee-based selectivity process; and commit to increase efforts to align program curriculum and internships with authentic applications of daily practice. Their goals reflected critical assessments in the literature about school accountability, new standards, certification policies, and principal working conditions.

Results from the research instruments revealed a common set of areas identified by site participants as challenges brought on by the newly redesigned program. Grouped as internal and external influences, site participants reported limited finances, stagnant admissions; program implementation and evaluation; personnel attrition; and changing partnerships as unforeseen

internal challenges. On the other hand, some of these same factors, such as partnerships and personnel attrition, were identified as factors enabling the success of the program. Participants viewed external influences such as the alignment of standards to practice; the revision of professional policies; and financial assistance as strong alliances that support both higher education and K–12 systems.

The findings suggest that training, personnel resources and collaboration were facilitating factors in the planning and implementation of the redesign of principal preparation programs. The findings also suggest that lack of funding after the redesign, limited personnel resources, and lack of state support were factors that hindered planning and implementation of the redesign of principal preparation programs in Alabama.

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CHAPTER V. MANUSCRIPT TWO: MULTI-STAKEHOLDER PERCEPTIONS ABOUT THE SUSTAINABILITY OF THE REDESIGNED PRINCIPAL PREPARATION PROGRAMS IN ALABAMA

Abstract

In the fall of 2005, Alabama embarked upon a multi-system reform of its leadership standards, principal preparation program requirements, professional development standards and professional practice evaluation system. Former Governor Bob Riley, in a collaborative effort with the State Superintendent of Education, Dr. Joseph Morton, initiated education reform efforts through the Governor's Congress on School Leadership. The work of this body opened an avenue of collaboration and communications from a cross section of stakeholders to design systemic change. Their work resulted in recommendations for the revision of: (1) instructional leadership standards, (2) curricular in principal preparation programs, (3) internship experiences for upcoming administrators, and (4) certification, evaluation, and professional development programs. Eventually, thirteen colleges and universities in the State of Alabama redesigned their principal preparation programs to align with the state's new criteria for instructional leadership. The three universities that piloted the redesign process for the State and the ten other universities offering educational leadership programs were all mandated to change their programs by 2008.

This manuscript, the second in a series of three, compares perceptual differences about sustainability between the primary stakeholder groups from the 13 redesign universities involved

with the redesign of principal preparation programs, partner school districts, a state-level

policymaker, and a consultant who guided the state's efforts. Comparisons were derived from

open-ended survey responses from the different stakeholder groups (13 universities, K–12

partner school districts, and the policy-maker/consultants) about their perceptions on how the

programs, people, relationships, and structures impacted implementation and sustainability of

the redesigned principal preparation programs. Their perceptions about the inclusionary roles

of the various stakeholder groups during the implementation; and the strategies developed to

help sustain progress. Alabama's redesigned principal preparation programs have been in

operation now for more than two years and have graduated at least two cohort classes.

The purposes of this study were to examine the efforts put in place to sustain the progress

of the redesigned principal preparation programs, identify those supports in place as well as

identify barriers that could undermine or limit sustainability of redesign at the state,

university/college, and partner district levels. This manuscript discusses the findings of the

second research question in a larger study: What are the differences in perceptions of stakeholder

groups (Pilot sites and their partners, remaining 10 sites, the policymaker and consultant) about

the sustainability of redesigned principal preparation programs? This manuscript focused on

differences in perceptions of stakeholder groups: 13 universities with redesigned principal

preparation programs, district partners, and policymakers/consultants who had direct

involvement or knowledge about Alabama's redesigned efforts to affect change in principal

preparation.

Introduction/Background

In an era of increased accountability standards (NCLB, 2001) K–12 leaders were being

required to become more results-oriented and higher education asked to be responsive to a

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constantly changing environment (Kezar, 2001; Sparks, 2005). Beckert and Prichard (1992) believed that "for a change effort to move an organization into the future, the process must involve an understanding of the outside forces that require decisions for change…" (p. 397). Leaders must be aware that change will not happen just by endorsing a strong vision; but must be a simultaneous proposition that takes place in the overall system. Their leadership role was critical in creating and sustaining change (Fullan, 2003; Kezar, 2001). The topic of institutional change and transformation became increasingly prevalent within the higher education literature during the early 1990s. The reasons cited for this interest were fiscal and demographic crises, new institutional opportunities presented by the growth of the learning industry, increased competition from other segments within the knowledge industry, persistent questions regarding the quality of educational services, the need to provide educational services more efficiently and, the need to accommodate institutional structures to new teaching and learning roles (Center for the Study of Higher and Postsecondary Education, 2001). Research supported the idea that in order to have effective change, there must be building blocks to reform that start with instructional improvement, and a definitive process supported by instructional change (Fullan, 2002; Green, 2005). According to Green (2005) planned instructional change led to enhanced student achievement which was a process viewed in three steps: establishing a clear sense of purpose; determining the state of existing programs in the school setting; and, assessing the difference between current reality and the stated goal (Fullan, 2002; Green, 2005; Schmidt & Finnigan, 1992).

Conceptualization of vision was key to school or district reform in which district leaders build a coalition of leaders who pursue the vision in practice (Fullan, Bertani, & Quinn, 2004), "Like distributed leadership at the school level, large-scale reform requires pluralized leadership,

with teams of people creating and driving a clear, coherent strategy" (Fullan et al., 2004, p. 2).

In other words, there must be a clear, coherent strategy and determination made about the

standard of excellence the school staff desires to reach. Patterson (2000), said that "establishing

and maintaining an organizational culture that supports and sustains change requires at least four

steps—developing a series of belief statements, determining their implications, putting the

implications into practice, and revisiting the belief statements and implications regularly to

ensure the culture is being preserved and renewed" (p. 1). Successful school reform was

dependent on the capacity and motivation of local leadership (Leithwood, Seashore, Anderson,

& Wahstrom, 2004). Effective leaders know how to use the key advantages for implementing

their vision and helping their staff conceptualize the vision (Fullan, Bertani, & Quinn, 2004).

Alabama set out their vision of a multi-system reform through the Governor's Congress on

School Leadership (2009). With the completion of the redesign of principal preparation

programs, Alabama joined other Southern Regional Education Board (SREB) states in changing

the terrain for improved leadership in order to enhance student achievement (Darling-Hammond,

et al., 2007; Hess, 2003; Leithwood, Seashore-Louis, Anderson, & Wahlstrom, 2004; McCarthy,

2002), Murphy, 2006; The Wallace Foundation, 2006) across the state.

This study is part of a larger endeavor examining the efforts to implement and sustain

the redesigned principal preparation programs. This manuscript discusses the findings of the

second research question in a larger study: What are the differences in perceptions of

stakeholder groups (Pilot sites and their partners, remaining 10 sites, the policymaker and

consultant) about the sustainability of redesigned principal preparation programs? This

manuscript focused on differences in perceptions of stakeholder groups: 13 universities with

redesigned principal preparation programs, district partners, and policymakers/consultants who

had direct involvement or knowledge about Alabama's redesigned efforts to affect change in principal preparation.

Literature Review

The K–12 through higher education community experienced an increased attention on improving student achievement during the 21st century (Murphy, 2001; Murphy & Forsyth, 1999). Influenced by published evidence of poor reading and math scores across the United States, accountability was embedded in state and federal regulations such as the No Child Left Behind Act of 2001 (NCLB); high stakes testing; standards-based reform and community pressure to attract, recruit and retain leaders who can make a positive impact on student achievement (Murphy, 2001; Murphy & Forsyth, 1999; SREB, 2001). The literature purported that among school-related factors, student achievement was impacted more by teachers and principals (Augustine, et al., 2010; Davis, Darling-Hammond, LaPointe, & Meyerson, 2005; Seashore-Louis, et al., 2010). In a world of ever increasing accountability, and an educational arena of standards-based reform, major changes were needed to equip new leaders with the knowledge and training needed to increase student achievement (Lashway, 2003; Murphy, 2001; SREB, 2001). High stakes accountability changed nearly everything in the world of school leadership (SREB, 2001). Even superintendents demanded more instructional leadership from principals as they worked to close the achievement gap (Adams & Copland, 2005; Hess & Kelly, 2002). Adams and Copland (2005) believed that as achievement gaps persisted and academic results lagged behind accountability expectations, the public looked to their principals for school improvement.

Principal Preparation and Practice-Based Knowledge

We operate in a time when student learning is prized and measured by standardized tests; therefore, the preparation focus of school leadership changed to require alterations in the

knowledge and skills expected of new principals (Adams & Copland, 2005; SREB, 2001).

Public outcry and demand for more accountability at the national, state and local levels ignited

a conversation about the role of the principal in student achievement and challenges those

traditional practices and curriculum in the preparation of principals (Hausman, Crow, & Sperry,

2000). Leadership programs, according to LaMagdeleine, Maxcy, Pounder and Reed (2009),

had a circuitous path that extended beyond the universities. The examination of the field of

leadership preparation, and its relevance to the practical application of leadership initiated an

avenue for change and transformation while opening avenues for collaborative experiences

between K–12 and higher education (LaMagdeleine, et al., 2009; Reed, Adams, & McDaniel,

2006). Roberts (1985) contended that collaboration was central to any change effort, but the

existence of tension between faculty members and school leaders threatened effective change

(Hackmann, Bauer, Cambron-McCabe, & Quinn, 2009). Fullan (2003), however, pointed out

that there were many things you could not change in a school unless you changed the context

which in turn changed behavior. He stated that "the context is changing and the leader's job is

to help change context—that is—to introduce new elements into the situation that are bound to

influence behavior for the better" (p. 1). Gladwell (2000) believed that "the power of context is

an environmental argument; it says that behavior is a function of social context" (p. 150).

Much of the burden of change was placed on the leader with the starting point for change in our

immediate situation rather than with the external environment (Fullan, 2003). If the above

statements have merit, then it was incumbent upon administration to be very discriminating in

selecting leaders. Fullan (2003) pointed to the fact that "selecting and supporting good leaders

is a crucial starting point for beginning to change the context in powerful, new ways" (p. 2).

There was significant change in the education system in the State of Alabama. The reform movement affected both K–12 and higher education in an accumulative effort to improve student achievement. This system change came in the form of the redesign of the principal preparation program in colleges and universities across the state; and through a revision of standards for quality teaching in K–12 education. State policymakers in many states designed instructional leadership standards which led to curricular restructuring in university preparation programs and state licensure and/or certification (Shelton, 2010). In the Fall of 2005, the State of Alabama responded to a Request for Proposals from the Wallace Foundation to redesign the principal preparation programs in their state colleges and universities. Alabama's Governor, Bob Riley, initiated education reform through the Governor's Congress on the Redesign of Instructional Leaders. These efforts, in concert with State Superintendent of Education Dr. Joseph Morton, provided an avenue for collaboration on systemic change in setting the standards for instructional leadership, designing sound and demanding curricular, and providing meaningful experiences for upcoming administrators, and the revision of the certification and evaluation programs.

The redesign of principal preparation programs was an example of how organizational change was implemented within the higher education community. Universities in the state initiated changes in the ways these programs provided training for leadership candidates, changes in the delivery of instruction, programmatic changes, and changes that involved collaborative efforts with community to implement change (Alabama State Department of Education, 2005). Musick (2005), President of the Southern Regional Education Board, stated that the responsibility for changing these programs and the specific issues identified with redesign was a systemic problem. They were not solely the problem "of the educational

leadership department, the university or any of the various state agencies responsible for higher education, program approval and licensure" (p. 2). The problems were systemic and required simultaneous, aligned actions across the leadership preparation system:

- States must develop strong policies and procedures on leadership preparation and licensure that make it impossible to continue licensing graduates based on completion of a program inadequately designed for the needs of today's students and schools.

- University presidents must be challenged to make leadership preparation a priority of the institution and to confront the need for new resources required for redesigning programs to incorporate high-quality internships.

- Departments of educational leadership must develop stronger relationships with local school districts that involve working together to select the most promising candidates and design and deliver programs that prepare leaders who can meet district needs for improved student achievement.

- Local school districts must take on new responsibilities for recruiting aspiring leaders and then providing the support and conditions necessary for them to succeed in the preparation program. (Musick, 2005, p. 2)

Additionally, reform was initiated at the K–12 level through the Governor's Commission on Quality Teaching (ALSDE, 2006). A cohesive effort to improve student achievement was formatted through new teaching standards, professional development, and an improved evaluation system.

For education to remain viable and fluid, a seamless transition from K–12 to higher education via student achievement remained the focus/primary goal of policy makers. This meant a change in how instruction was delivered; how the leader demonstrated mastery; how

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they built inquiry; and how collaboration was promoted. Communication between school leaders and community, support of stakeholders within the education community will be important in employing various strategies for implementing and sustaining change (Steeples, 1990).

Responding to Mandated Changes

The redesign of principal preparation programs in Alabama was an example of how organizational change was implemented within the higher education community in response to mandated change. This state mandated change, as reported by education deans throughout the state, was at times both an obstacle and a vehicle of support (Kochan, 2010). Moreover, in some instances, faculty and school system concerns about these mandated reforms were often viewed as too prescriptive in nature (Reed & Llanes, 2010). Universities in the state initiated changes in the way these programs provided training for leadership candidates, changes in the delivery of instruction, programmatic changes, and changes that involved collaborative efforts with community to ensure the implementation of this change. Musick (2005) contended that the responsibility for changing these programs and the specific issues identified with redesign is a systemic issue. Thus, as noted earlier, they were not solely the problem of the educational leadership department, the university or any of the various state agencies responsible for higher education, program approval and licensure (Augustine et al., 2009).

Kirst (2005) discussed the division between K–12 education and higher education promoted at both the state federal levels. This separation began at the policy level and extended to the academic arena. The disconnect between student achievement in K–12 and preparation and remediation levels in higher education impacted the educational issues critical to the nation and to the states which caused students to remain in the margins of the policy agenda. These issues included inadequate college preparation, high school redesign, career and technical

education, and K–12 school reform itself for expanded college preparation (Kirst, 2005). States, such as Alabama, made efforts to address these issues systemically throughout the educational arena. Changes made in policy and procedure ushered in a reform movement in both K–12 and higher education. The challenges faced by K–12 and higher education in an era of educational reform were addressed through reflective reasoning about what types of strategies or theories will be sustainable. Solutions to challenges will be based on the interrelationships between people, existing and evolving situations, the skills needed, and the environmental forces at work (Murphy & Forsyth, 1999). Murphy and Forsyth (1999) contended that most program changes were the product of individual department and program faculty makings that were feasible within their institution rather than adoption of a reform model, idea, or program design. Senge (2000) suggested that changes impacted an institution on a whole and that "new programs would not just affect the students, but the faculty, and administration, because any change is multi-faceted and complex and affects multiple levels in an institution" (p. 440).

The role of higher education today was no longer looked upon as being a place of transition from high school to life for teenagers, but as Lucas (2000) reminded, a provider of lifelong learning. London (1995) advised administrators to think about ways to focus on change management methods to create a pattern of continuous learning. With these thoughts in mind, we began to assess our current reality about the status of education in both K–12 and higher education. While universities were the primary provider of leadership preparation, school districts became the primary consumer; and, according to McCarthy and Forsyth (2009), sparked a greater interest in the "improvement of school leader preparation, particularly as state and federal accountability audits make school-by-school academic performance public and penalize schools for not reaching legislative levels of annual progress" (p. 108). A growing discontent

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with leadership candidates and applicants for administrative positions fed into a reform effort to include a greater collaborative effort between the university and its leadership preparation program and its K–12 stakeholders/consumer (McCarthy & Forsyth, 2009).

LaMagdeline, et al. (2009) explained that education reform shifted through the years, "from supply-side focus premised on the establishment of a coherent, scientifically grounded approach to educating school leaders … to a market-oriented approach stressing the merits of a demand-side orientation" (p. 142). External contextual influences, which grew stronger in the 1980s, had a critical impact on the effectiveness of educational leadership programs in the following ways: (1) critique of public education (critical discourse about the ineffectiveness of educational system); (2) the rise of new public management (NPM; movement reflective that government is the problem); (3) an altered operating environment for leader preparation (new accountability laws, outside markets for leadership training and new and improved standards and licensure regulations; and, (4) operating in and responding to current conditions (i.e. public school leaders struggle to gain public trust about their competency and effectiveness) (LaMagdeline, et al., 2009). The literature suggested that strategies embedded within the Preparation Redesign framework impacted perceptions of stakeholder groups who bore the responsibility of implementation and sustainability of program reform (Fullan, 1993; Guskin, 1994; Layzell, Lovell & Gill, 1996; Wolverton & Gmelch, 2002). A collaborative effort between stakeholders must be present in order to reach a common purpose (Brooks, Havard, Tatum, & Patrick, 2010). Findings from SREB (2002) outlined Alabama students' poor performance on standardized tests and "problems of leadership were systemic and indicated a need for a strong partnership between the state department, universities, and local school districts for effective and systemic change (SREB, 2002). Young, Peterson and Short (2002) emphasized

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that when stakeholder groups work interdependently through collaborative partnerships there can be effective change. Augustine et al. (2009) also described three other factors in addition to collaboration as strategies that support sustainability in change efforts: (1) Financial and Human Capital Resources; (2) State Support (Political); and (3) Faculty and LEA Continuity (Personnel). These strategies that help sustain reform provide the basis for a discussion on differences in stakeholder perceptions.

Data Sources and Research Methods

Data collection for this study included three types of participant surveys. The three Pilot Redesign sites were studied using two surveys: one for faculty and administrators at the university and one for K–12 partners. Participants included faculty, deans, and department heads from each of the three pilot universities and central office administrators and principals from their partner districts. A survey was also administered to the faculty and administrators at the ten redesign universities. Each survey included a mixture of Likert-type and open response questions. The constant comparative method of data analysis was used to identify themes emerging from open-ended responses from the different stakeholder groups (Patton, 2002; Merriam, 1998). Interviews were conducted with two policy makers/consultants who had direct involvement with the redesign of principal preparation programs in Alabama. The interview protocol was divided into three domains: (1) Redesign of Principal Preparation Programs; (2) Barriers Encountered, Support Received, Processes Used; and (3) Lessons Learned. Responses from domains one and two were analyzed using the constant comparative approach and the findings presented in this manuscript.

Comparisons were made both within and between groups from which data were collected, coded, and organized into broad categories and then subdivided into themes (Patton, 2002; Merriam, 1998). Findings reported in this paper addressed the research question, What are

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the differences in perceptions of stakeholder groups: Local Education Agencies, Policymakers, Pilot sites, and 10 Redesign sites about the implementation, and sustainability efforts of the redesigned principal preparation programs? The findings presented in this paper were based on a compilation of responses from surveys and interviews about stakeholders' perceptions of the implementation and sustainability of the redesigned principal preparation program in Alabama. The open-ended questions on the stakeholder surveys and interviews with policy makers allowed the researcher to analyze responses, identify emerging themes, and then answer research question number two (Creswell, 2003).

The constant comparative approach included comparing incidents found in more than one set of data for the purpose of identifying possible categories (Merriam, 1998). The categories used in this paper were derived from the literature (Augustine et al., 2009): (1) Financial and Human Capital Resources; (2) State Support (Political); (3) Faculty and LEA Continuity (Personnel); and, (4) Collaboration (State, Universities, LEAs). Augustine et al. (2009) described these four comparable elements from the Rand Study as strategies that help sustain reform efforts. The Rand categories were aligned with the Redesign elements and used to provide a framework for discussion and classification of responses. An explanation of each strategy is presented in the following paragraphs along with a table comparing responses of stakeholder perceptions about that particular strategy.

Findings

The Southern Regional Education Board (SREB) (2010) recommended to the State of Alabama that they focus on long-term sustainability by engaging all stakeholders during the implementation process to ensure on-going collaboration between the state, universities, partner school districts, and other entities such as reporting agencies and political constituents. Tables

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10, 11, 12 and 13 reveal stakeholder perceptions about the specific factors of the redesigned principal preparation programs during the implementation phase of redesign. Tables 14, 15 16, 17, 18, 19 and 20 represent stakeholders' perceptions about the efforts made to sustain reform.

Table 10

Synthesis Statements of Stakeholder Perceptions of Financial and Human Resources

13 Redesign Universities	Local Education Agencies	Policymaker/Consultant
Small number of faculty dedicated to Educational Leadership	Our university partner did a great job; however, the SDE could have done a much better job communicating this information and providing training regarding this major change.	Resistance from the university as concern; because this was not only a paradigm shift in what they were doing, but it had implications for monetary reasons.
Other responsibilities such as research and writing.	Not having enough time to plan	
No apparent funding to support a full semester residency	Financial implications. Internship is expensive	
Lack of time; Release time to devote to redesign funding	time/money for PD and activities	

Financial and Capital Resources

Financial and human capital resources defined by Augustine et al. (2009), is the lack of finances, time or staff. The funding continuum construct is aligned with Augustine et al.'s (2009) claim that a lack of finances can hinder efforts to build the cohesion which is needed to sustain reform efforts (2009). Described in the surveys and interviews as internal and external resources to support the redesign program, several redesign survey (open-ended) and interview questions were closely aligned with the resource strategy.

The ability to sustain reform was addressed in the SREB (2010) report on Alabama's principal preparation redesign. While Alabama was commended for the success they made in the Principal Preparation Redesign effort, SREB (2010) warned that "the decreasing availability of resources to sustain the reforms, magnified by a lack of data showing immediate gains in school performance resulting from the changes, threatens continued support for and widespread maturation of the reforms" (p. iii). The lack of adequate funds to support the redesign was a challenge initially for universities and local partner districts.

Initially, the 3 Pilot Redesign Universities received grant funds to redesign their programs; however, there was no funding provided to the 10 Redesign Universities or for partner districts. The lack of funding to implement the reform remains a challenge for all 13 universities and partner districts (see Table 10).

Table 10 reflects a summary of responses from the survey participants and interviewees about their perceptions of resources provided for redesigning principal preparation programs across the state. The researcher inferred from data collected that there were no differences in the perceptions of the 13 redesign universities and that of the LEAs and policy makers in the area of resources. The overall perception about resources—personnel, time, finances—were similar in that each group of stakeholders believed that it would take more money than what was initially budgeted to implement the program effectively. Redesign universities emphasized that there was no funding to provide faculty release time or freedom to work on the redesign. Both universities and district partners highlighted that the lack of sufficient time was a handicap for them during the planning; as was a lack of ongoing training for personnel.

Perceptions differed about personnel involved in the redesign. University personnel indicated that the number of faculty dedicated to educational leadership available to plan or

implement the redesign was too small. Furthermore, they stated that planning for the redesign of

principal preparation programs while trying to maintain an adequate pace for research and

writing expectations for faculty was challenging. The consultant and policymaker were

concerned about the resistance of university faculty who were used to doing things the way they

had always been. LEAs expressed concerned that teachers were resisting the frequent

monitoring in their classrooms as well as meetings to discuss strategies to improve instructional

strategies that would improve student learning.

State (Political) Support

The support strategy is aligned with Augustine et al.'s (2009) claim that educators, state

actors, and organizations share the same commitment of improving student leadership by

employing common academic *standards, assessments,* and *policies.* SREB (2010) reported that

many districts in Alabama have embraced the changes made in the redesign but others have not.

Open-ended survey questions and interview questions that aligned with this construct focused on

coordination of program implementation at the state, university or district level. One area of

contention reported in surveys and the interviews is the resistance to implementing the 10-

consecutive-day residency for leadership candidates. The resistance to providing release time for

candidates displayed by the district administrators and school principals threaten not only fidelity

to policy but to sustainability of reform. However, it was clear that the universities believed that

the leadership internships were strengthened due to the changes brought about from the redesign

planning. The LEAs complained that they did not have clear instructions from the State

Department of Education about requirements or how to meet them. They also warned that all

districts should have to follow the same rules (even though they did not identify a specific rule or

infraction) because it creates problems when different districts do things their way. These data

are represented in Table 11.

Table 11

Synthesis Statements of Stakeholder Perceptions of State (Political) Support

13 Redesign Universities	Local Education Agencies	Policymaker/Consultant
Strengthened internship	Not having clear instruction from the SDE. All districts should have the SAME rules. It creates numerous problems when one system does it one way and some other district does any way.	People saw some of the changes as threatening because of some political undertones.
Not much has been done		
Providing the grants to the first 4 programs to redesign		
After the initial flurry of activity at the state level, little or no attention has been given to instructional leadership preparation		
Focus on leadership Recognition of the importance of leadership.		
Spent time with us -- encouraged		

Faculty and LEA Continuity (Personnel)

Augustine et al. (2009) argue that turnover of key staff disrupts the continuity of reform;

and the continuity of reform is contingent upon the key players involved in the development of

policies is critical to a Cohesive Leadership System (CLS). The SREB report (2010) expressed

concern that "some university administrators and faculty across the state still do not understand

that a change in leadership preparation has occurred and want to continue the old ways of doing

business in spite of clear requirements to the contrary" (p. ii). Described in the redesign surveys

and interviews as personnel continuity, diversity, training, and knowledge, Table 12 reveals the

perceptions of stakeholders about how faculty and LEA personnel are critical to the continuity of

the principal preparation program redesign.

Table 12

Synthesis Statements of Stakeholder Perceptions of Faculty and LEA Continuity (Personnel)

13 Universities	Local Education Agencies	Policymaker/Consultants
New personnel who had not been part of the planning—had a slightly different vision	Leaders make a difference whether they are good or bad. Principals are expected to be instructional leaders more than managers of the facility, monitoring of instruction is also key. Assessment of data to drive instruction is probably key to being a strong instructional leader.	The people that are now going into positions went through redesign programs, and they were beneficiaries of joint district partnerships, it's going to become a natural, it's not going to be an abnormal state for them; so in another decade, I believe the whole thing will flip and you will begin to see that it's much more about people understanding that they have to plan for that eventual pool of people before they leave so they don't have to run out to find someone when someone leaves.
We have kept all original partners and have added new partners based on potential student interest in participating and/or district leadership desire to be involved.	This redesign has an impact on your budget and upon the quality of the administrators	You can only sustain something if there is a competent message about it. With personnel turnover that happens in the state, if we don't constantly go out and continue this dialogue and continue this conversation and support universities, support the LEAs new superintendents coming in, new principals, pretty soon—you got more new people than you got people who went through the process, every time someone else retires who was on the Governor's Congress, there is a concern if they will come back and have this conversation. So that's another sustainability issue.
Provide resources to hire more faculty to support principal prep and other Ed Leadership programs.	Getting information to administration and Ed Leadership candidates 　　　—Timing 　　　—Communication	

Table 12 (continued)

13 Universities	Local Education Agencies	Policymaker/Consultants
Recognize/value partnership work in terms of P&T—especially for junior faculty	Test data was average to below In math and reading (AHSGE). Many teachers were using lecturing as the main form of instruction.	
Some of the initial personnel involved in planning/initial implementation have retired or left for other positions—there is a need for additional PD about the program.	Cooperation among partners	
Be sure newly hired personnel involved with program receive appropriate training on the program vision/components, etc. and why it is important.		

Some universities reported that new personnel had not been part of the planning, and had a different vision about the redesign which supports Augustine et al.'s (2009) premise about disruption of staff continuity. Still other redesign universities reported that some of the initial personnel involved in planning or initial implementation of the redesign have retired or left for other positions and there is a need for additional professional development about the program. They suggested that newly hired personnel involved with these programs receive appropriate training on the program vision and other components, and clarify why this program is important.

LEAs reported (see Table 12) that the level of participation of district partners and their leaders make a difference in terms of program sustainability. SREB (2010) warned,

The sustainability of the early gains of the Governor's Congress on School Leadership is

threatened by a lack of resources and an incomplete understanding among front-line

education leaders of what is necessary for implementation or why implementation is

necessary or desirable. (p. ii)

Findings reveal that LEAs understand that the redesigned preparation programs emphasize that

principals are expected to be instructional leaders more than managers of the facility. They

asserted that the monitoring of instruction and the ability to interpret and understand the power

of data to drive instruction are key elements to being a strong instructional leader. Again, the

lack of financial support is inserted into the findings on personnel continuity. LEAs pointed out

that this redesign has an impact on your budget and upon the quality of the administrators

chosen. Districts believe they get the kind of leader they are able to pay for. Their conclusions

draw a parallel between funding and the ability to recruit personnel trained in redesigned

programs which reveals a lack of understanding about the redesigned principal preparation

program. This point about parallels on funding and quality training is addressed later in this

manuscript (see the Implications section under collaboration). Concerns about a lack of funds to

support the redesign in the future were supported by comments made by the policymaker who is

hopeful that "there will be federal money that is earmarked toward preparation of instructional

leaders. And that money needs to flow to the universities and the LEA partnerships to better

support this redesign which will help sustain it."

Each stakeholder group perceived the partnership as a valuable asset for sustainability.

The future of university/district partnerships may be one of the easiest components of the

redesign to sustain. According to the consultant, candidates who have become instructional

leaders under the redesign "will feel more natural than abnormal" as they implement the redesign

policies, practices, ideas and theories in the day-to-day practices of school leaders. The

consultant stated,

In another decade I believe the whole thing will flip and you will begin to see that it's much more about people understanding that they have to plan for that eventual pool of people before they leave so they don't have to run out to find someone when someone leaves.

Collaboration (State, Universities, LEAs and Participation of Nontraditional Actors)

The collaboration construct is aligned with the study published by Rand (Augustine et al., 2009). Their claim that a history of collaboration, including collegial relationships across organizations, helps to facilitate cohesion; and, participation of nontraditional actors other than LEAs (Augustine et al., 2009) helps to facilitate sustainability. Collaboration in the redesign surveys viewed activities such as candidate selection, internships, field experiences, supportive conditions, and efforts to improve learning conditions in K–12 schools which were closely aligned with this construct. These areas of collaboration appear in open-ended survey question numbers 1, 2, 3, 4, 22 and 23. Interview questions asked of the policymaker and the consultant were organized into 3 topic domains. Questions in the first domain centered on the planning and implementation of the redesign. Questions in the second domain focused on factors that enable or hinder cohesion and coordination of program implementation at the state, university or district level; and, the questions in the third domain highlighted those lessons learned about the redesign. Collaboration appears in interview questions under the first domain about policies and initiative developed to improve school leadership. These data are represented in Table 13.

Table 13

Synthesis Statements of Stakeholder Perceptions of Collaboration

13 Redesign Universities	District Partners	Policy Maker/Consultant
ALSDE support and meetings with other pilot universities	Continuous/on-going relationships and collaboration with university partners	State Superintendent and Governor were in alignment and very supportive
Collaboration with partners on <u>all</u> aspects of programmatic redesign.	Carefully reading the information provided by the SDE	Shared research
Re-accreditation visit provided great feedback which was useful for program implementation.	Getting information to administration and Ed Leadership candidates	Facilitative approach
Clinical position focused on internships/partners	Timing	
Strong partnerships	Communication	
Having a supportive department head	Professional development and on-going training.	
Started a new cohort after "shutting down" the program for one year.	Change factor —poor communication —Working in 2 worlds of old/new	
State Department —K–12 partners		
Belief (our own) that this was important work;		
Our program survival was dependent upon the redesigned program		
Faculty/University leadership		
A culture of efficacy		
We did have full participation from the department and college of education. Administrators participated in the redesign process.		

Each group of stakeholders agreed that collaboration was critical to each phase/aspect of the redesign. Universities perceived the role of the state as a necessary liaison between other universities, between partner districts and the state department. They pointed out that it was important to meet with the state department as well as other universities on all aspects of programmatic redesign. They referred to having a supportive department head, strong partnerships and that developing a position for a clinical faculty person to focus on internships all worked for the good to establish a culture of efficacy. The universities also indicated that it was helpful to have a re-accreditation visit which provided "great feedback which was useful for program implementation." District partners perceived collaboration as having a positive impact through the continuous/on-going relationships with university partners. Their comments further showed that the distribution of information to and from the state to universities to partners and to candidates was critical to the stakeholders "working in 2 worlds of old and new." The policymaker/consultant agreed with district partners and the universities that group meetings, shared research, and a supportive political climate helped to foster collaboration between the entities.

Stakeholder Perceptions of Steps Taken at the State Level to Sustain Progress of the Redesign

When university and partner districts were specifically asked about their perceptions regarding the steps that have been taken at the State level to sustain progress of the redesign, respondents expressed a variety of concerns. The 3 Pilot Universities agreed that providing grants to the first three programs to redesign signaled their support to sustain these new programs. Other than spending time with the universities and providing encouragement, not much has been done since that initial grant. The 3PRs expressed that "After the initial flurry of

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activity at the state level, little or no attention has been given to instructional leadership preparation."

The district partners had mixed perceptions about the State's efforts to sustain the redesign. They perceived the state's efforts to reform these programs placed "highly qualified and motivated leaders in positions to have positive impact on students, faculty and staff in general…this will be motivation to sustain the progress of the redesign program." Additionally, the LEAS believed that the State Depart of Education has worked very hard to ensure that the Principal Preparation Program sustain progress; and, that the state is moving in the right direction and the process will be better for all aspects of education. Yet, still some partner districts responded that "it could have been handled better through a process of providing prescriptive assistance; or that the state has not helped at all." These data are represented in Table 14.

Table 14

Synthesis Statements of Stakeholder Perceptions of Steps Taken at the State Level to Sustain

Progress of the Redesign

3 Redesign Universities (3PRs)	10 Redesign Universities (R10s)	District Partners
Providing the grants to the first 4 programs to redesign.	Unknown	Putting highly qualified and motivated leaders in positions to have positive impact on students, faculty and staff in general will be motivation to sustain the progress of the redesign program
Not much has been done		It could have been handled better through a process of providing prescriptive assistance
After the initial flurry of activity at the state level, little or no attention has been given to instructional leadership preparation		The State Depart of Ed has worked very hard to ensure that the Principal Preparation Program sustain progress.
Focus on leadership		I think the state is moving in the right direction. This process can be better for all aspects of education.
Recognition of the importance of leadership		
Spent time with us		State has not helped
Encouraged us		

Further Efforts Made by the State to Sustain the Redesigned Programs

The universities were asked what further efforts they would like to see the state make to

sustain the redesigned programs. These data are represented in Table 15. Responses suggested

that funding should be provided to support internship/residencies and professional development

on best practices and innovative programming features. In addition to professional development,

the 10Rs suggested an annual conference about what is or is not working. The 3PRs suggest that

the state allow more flexibility in the area of principal certification. This group warns that there

are some potentially strong, experienced leaders whose master's degree was in a different

academic discipline who will take their experience and talent across state lines rather than pursue

a second master's degree in educational leadership. This perceived dilemma, along with the

elimination of self-selection admission procedures into the master's level program, may

temporarily drain the state of its talent pool.

Table 15

Synthesis Statements on Perceptions of Further Efforts to Sustain by the State

3 Redesign Universities (3PRs)	10 Redesign Universities (10Rs)
Provide funding to support professional development & innovative programming features.	Financial support for residency requirements
Allow some flexibility—many potential (& strong) program candidates could be certified if they didn't have to get another master's degree—our state will need them when retirements occur over next 5 years.	
Providing funding to support partnerships and to support internships; perhaps a statewide P.D. meeting on Best Practices	Annual conference. What is working? What is not working?
Funding and assist school partners/LEAs	
To develop/create an agency to disburse funds to support the internship/residency	
Secure permanent funding for the residency experience	
Continue as is	
More faculty development/training;	
Credit in T&P/yearly evaluation for redesign courses	

Stakeholder Perceptions on Sustaining the Redesign at the University/College Level

>   From the beginning of the reform initiative, a major effort has been made to engage
>
>   stakeholders in the leadership redesign process...obtaining stakeholders' support is
>
>   critical to the scalability and sustainability of a complex, multi-faceted initiative such as
>
>   Alabama's school leadership reforms (SREB, 2010, p. 22).

When stakeholders were asked about their perceptions regarding the steps that have been taken at

the university/college level to sustain progress of the redesign, respondents' answers varied.

Respondents from the 3 Pilot Universities seemed to be satisfied with their university's efforts

toward sustainability of their redesigned programs. However, respondents from the 10

remaining redesign universities seemed skeptical about their ability to sustain their redesigned programs. They cited the decline in enrollment in the Educational Leadership Program as a deterrent to sustainability and believe that their program survival will depend on an increase in numbers. Some universities were heavily dependent on enrollment numbers to maintain the program. This is confirmed by the policymaker who stated:

> We knew that in some cases we were going to impact income, in all cases really—we're going to impact student enrollment and, let's face it, student enrollment is pork for every program.

District partners as well as universities believed that communication, collaboration, and data collection were key areas that should be consistent among all stakeholders if sustainability was to occur. These data are represented in Table 16.

Table 16

Synthesis Statements of Stakeholder Perceptions of Steps Taken at the University/College Level

to Sustain Progress of the Redesign

3 Redesign Universities (3PRs)	10 Redesign Universities (R10s)	District Partners
Regular meetings with partners Data collection and decision making	Numbers have declined in classes. They want the numbers to increase for program survival.	The universities redesigning of the administration program from an 18 hour certificate to a two year Master's degree program is producing effective and dedicated leaders. UABs six-course program of 30 hours with one credit-hour of imbedded field experience and the ten day residency will offer the type of success that will allow the program to sustain itself.
Unsure		The ILP staff has been very sensitive to LEA partners and vice versa.
We're satisfied with our redesign and the current program.		The university has made great steps to sustain progress of the redesign program.
Great		Again, the key is communication and consistency. We need great candidates and we need all programs to have a base line that every school can expect to see.
Very good here		We talk often and are working together

Further Efforts Made by the Universities to Sustain the Redesign

The 13 universities were asked about what further efforts they would like to see taken by

the university/colleges to sustain the redesigned programs. Again, finances became a key to

ensuring that suggestions were implemented. Comments such as: (1) provide resources to hire

more faculty to support principal preparation and other educational leadership programs; and (2)

recognize/value partnership work in terms of promotion and tenure—especially for junior

faculty. Faculty have more ownership in a reform if they are involved in the process (Fullan,

2001; Kochan, 2010). This perspective, according to Fullan (2007), helps to build a capacity for

change. However, faculty members from the 3Ps reported that in their planning of the redesign, educational leadership faculty had to divide their time between developing a very intense and complex program and helping students complete the old program. This, according to Reed and Lanes (2010) can make it difficult to "remain actively engaged" with a faculty member's regular teaching and research duties (2010); and in some cases the planning efforts put into the redesign by faculty were not counted much on performance review and tenure decisions. Table 17 data show that there were no suggestions from the 10Rs.

Further Efforts to Sustain Progress of the Redesign at the University/College Level

Table 17

Further Efforts to Sustain Progress of the Redesign at the University/College Level

3 Redesign Universities (3PRs)	10 Redesign Universities (R10s)
Provide resources to hire more faculty to support principal prep and other ed leadership programs.	No suggestions
Recognize/value partnership work in terms of P&T—especially for junior faculty	
We are working with K–12 to become co-teachers	
We just formed a campus-wide center for faculty development	

Stakeholder Perceptions on Sustaining Progress at the Partner District Level

The data represented in Table 18 reflects how respondents regarded the efforts taken by the Partner District level to sustain progress. The 3PRS expressed concern about continuing professional development for new personnel when those initially involved retired. While they were pleased with the school partners who have given so much of their time, energy, and resources to support the redesign, they warned the state that the redesign is not the first priority of school districts. The 10Rs agree with the 3PRs that LEAs have too many problems

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themselves. Initially, LEAs were very involved in the program planning, redesign, and

implementation. However, LEA participation has declined and is more difficult to obtain. The

partner districts believe they did a great job and have accommodated the state's requirements.

They accept interns, provide mentors, and have given employment to graduates of the new

redesign. They see themselves as partners with the universities who are committed to keeping

lines of communication open and participating in advisory meetings. One district stated that the

district has made great strides to ensure that the redesigned program continues to progress.

Table 18

Synthesis Statements of Stakeholder Perceptions of Steps Taken at the Partner/District Level to

Sustain Progress of the Redesign

3 Redesign Universities (3PRs)	10 Redesign Universities (R10s)	District Partners
It varies by district—Some of the initial personnel involved in planning/initial implementation have retired or left for other positions—there is a need for additional PD about the program.	Interest is declining. They have too many LEA problems to work with universities	The district accepts interns and provides mentors as well as employment.
Our school partners have been tremendous, giving time, energy, and financial support. What state officials are quick to forget, however, is that supporting our program is not their first priority	Initially, LEAs were very involved in the program planning, redesign, and implementation. LEA participation has declined and more difficult to obtain.	The partners seem committed & have participated well in advisory meetings
Very helpful		Recruitment of best candidates I believe that we did a great job The district has made great strides to ensure that the redesigned program continues to progress I really believe the partnership is important. One cannot function w/o the other. We talk often and are working together

Further Efforts made by the Partner Districts to Sustain the Redesign Program

Universities were also asked about what additional efforts they would like to see the partner districts make to sustain progress. Table 19 data represent their answers which ranged from the local districts maintaining their commitment to the redesign to training newly hired personnel to providing resources for candidates during their residency.

Table 19

Synthesis Statements of Stakeholder Perceptions of Further Efforts to Sustain by the Partner

Districts

3 Pilot Redesign Universities (3PRs)	10 Redesign Universities (R10s)
Be sure newly hired personnel involved with program receive appropriate training on the program vision/components, etc. and why it is important.	Provide resources for the residency in an attempt to ease the hardship on graduate candidate
Nothing additional, but continue to fund substitute for residents.	
Maintain commitment	

A similar question was asked of the district partners: What important advice would you give to faculty and administrators in other universities going through the redesign process? District partners stated that collaboration among members of the cohorts is vital to the process which allows for extensive growth and support. An open line of communication between university and partner and candidates eliminates confusion, allows for active involvement in areas of recruitment and hiring, and gives serious attention to ways to build capacity for the program. Additionally, early and persistent collaboration between the State Department of Education and the university partners presents a united front to the candidates about the importance of this reform and their commitment to sustain the reform effort.

Stakeholder Efforts to Sustain Progress of the Redesign

When each group was asked how they were sustaining the changes made during the redesign the following responses summarized the viewpoints of each group (Table 20). The 3 Pilot Redesign Universities believed that they have worked hard to implement and maintain the changes made to their redesign of their principal preparation programs. A partnership program advisory council was established to help guide the program; evaluation activities were developed to provide feedback; and hiring a clinical faculty position to work with the redesign provides hopeful insurance for the future of the redesign. Additionally, the 3PRs have received faculty commitment and agreements to work toward gaining financial support for the 10-day residency; and efforts to engage in continuous training. The 10 Redesign Universities established internal accountability initiatives to help sustain their efforts in the redesign. District Partners see the redesign as an asset in strengthening the principal as instructional leader and helping them to monitor and asses the instructional program. They cited that increased attention spent on professional development at the district level will help maintain sustainability of the redesigned program.

Table 20

Synthesis Statement of Stakeholder Perceptions of efforts taken to Sustain Progress of the

Redesign at their Institution

3 Redesign Universities (3PRs)	10 Redesign Universities (R10s)	District Partners
Lots of hard work on the part of those involved	Internal Accountability Initiatives	The principal as instructional leader more and directed to monitor and assess the instructional program
Having a partnership program advisory council to guide the program;	We are tweaking and making minor adjustments and changes.	More attention spent on professional development and on-going training at the district level has allowed the redesigned program sustainability.
Evaluation activities which provide feedback		Actually being in the program and a part of a strong cohort.
Clinical faculty member to work with redesign		Extended the internship hours during the school year. 10 days during summer is difficult on LEAs (to find meaningful opportunities)
Gaining support for funding for a residency experience		I believe the Redesigned Program is better. We have a greater understanding of what it means to be an effective leader
Faculty Commitment		We severely limited the numbers of Interns. We are seriously considering reducing the amount of time the internship will run (currently a full semester).
From a trainer POV [point of view] –continuous workshops –1-1 meetings w/faculty		

Interview Findings about Stakeholder Perceptions

      Interviews were conducted with two policy makers/consultants who had direct

involvement with the redesign of principal preparation programs in Alabama. Responses were

gleaned from the policymaker and consultant's interviews about how stakeholders perceived

their roles in the reform efforts to improve instructional leadership and the efforts of stakeholders to sustain the redesign. Two interview questions, discussed below, were asked of the policymaker and the consultant, helped to frame (or center) this discussion.

The first question was: To what degree do you believe that stakeholders (university professors and LEA partners) agreed with policymakers on the need to improve instructional leadership? If there were differences, what do you think were the primary disagreements and what do you think the reasons were for these disagreements? According to the state policymaker, universities understood and accepted the idea of redesign. However, there were "people who disagreed with elements of it…who questioned why this needed to happen." The policymaker talked about the fortuitous timing of the redesign which coincided with a "great deal of national research coming out at the same time that Alabama was doing this work that said, you are not doing what you need to do." And, university personnel are professional researchers who understand research-based reform. So when the state presented idea of redesign to the universities, they understood the need to improve.

The consultant described stakeholders' perceptions about the need to improve instructional leadership as a "catch 22." The school districts would say they weren't getting the quality of people that they wanted to apply and that they weren't getting people to come to the table. However, they could not "articulate very well what it was they really wanted". On the other hand, "universities know teaching, but do not know necessarily know how to run schools—they needed practical application"…so it was a learning process for the both sides. There was no disagreement between stakeholders that here was a need for better leaders, "they don't understand their role in making that happen. LEAs believe that it's the universities' problem.

They think that the university just has to get better and they don't really have a role in helping to make it get better…which was why the university/district partnerships were so important."

The establishment of university/district partnerships, mandated by the state, helped to open lines of communication and collaboration. Addressing their weakness, universities modified curriculum to include aspects of practical application relevant to the courses; and, they built in a 10-consecutive day internship for candidates with intensive/practical experiences. LEAs began rethinking their dilemma of not having quality people to apply for leadership positions or universities through a system of "succession policy." Building a future leadership policy to recruit teachers and encourage them to become part of the leadership…nurture them by supporting them with a good internship rather than waiting for administrators to leave and then trying to replace them." While universities were required to have partner districts, modify curriculum, and reinforce the internships with more intensive experiences, local education agencies had no mandates or accountability related to the redesign. Consequently, not every school district has been willing to partner with universities in the redesign.

The policymaker and consultant were also asked about their perceptions regarding the efforts that have been taken at the state, university/college and partner district levels to sustain progress and what they wish could have been done differently and why. The consultant was concerned that if the state is unable to conduct follow-up visits/interviews, the reform efforts will not be sustained. "People can easily move back into their old comfort zone, if there's not some kind of accountability…I'm not talking about hitting someone over the head, but if you know someone is going to come and ask you how you're doing, look at what you're doing, your accountability level is much higher and the roles and responsibilities become more directed at making it work." Without sufficient funds to follow-up, there is no way for the state to know if

the policies put in place have been "put on the shelf for five years." These types of situations become prevalent when there is "such mobility and turnover in the staff that they didn't even know we had done a redesign." The consultant made note that the first visit should emphasize that stakeholders must inform new faculty members: "make sure you have your redesign proposal there and everybody can speak to it." The consultant affirmed that it goes back to accountability, "if you don't know that you're going to be held accountable—it doesn't get done."

Although there has been no follow-up visit, the consultant believed "things were moving ok, but they do need a shot in the arm as far as revisiting the proposal and what they put in it and it they're still living what they wrote." Additional concerns were expressed about universities and partner districts having ongoing meetings; institute evaluation programs; piloting an evaluation instrument called VAL-ED; that the professional development group is strong; and that universities are implementing the reform to fidelity. VAL-ED stands for the Vanderbilt Assessment of Leadership in Education, the tool has been developed by a team of leadership and testing experts at Vanderbilt University and the University of Pennsylvania to measure leadership behaviors that research has found are associated with student achievement (Olsen, 2008, p. 1).

SREB (2010) outlined several areas that the Governor's Congress was not able to get approval to move forward on including the principal evaluation system which "still needs to be revised to match the new instructional leadership standards" (p. iii). This report (SREB, 2010) also claimed that "While many districts have embraced the changes, others have not. For example, the universities report that many district administrators and school principals continue to resist providing release time for aspiring leaders to fulfill the requirement for a 10-

consecutive-day residency" (p. iii). The consultant stated that so many parts of the whole plan

[multi-system reform], not just the university redesign,

> are moving forward and working well, and the fact that so many universities were
>
> concerned about the ten days [internship] which means they are living the law, if you
>
> weren't paying attention to it, you wouldn't complain about it, so in that respect there is
>
> evidence that there has been sustainability. But they need to have another visit, they need
>
> to really just have an opportunity for universities and school districts to say what they're
>
> doing and how it's working.

The policymaker believes that each of the participants—all stakeholders—has good intentions

of making the redesign work. As stated by the policymaker, "It was more than a process, I saw

a true change…But you can only change at the limit that you are capable of doing. By that I

mean, with your manpower, your money, your time."

Implications

Augustine et al. (2009) described four comparable elements as strategies that help sustain

reform efforts: (1) Financial and Human Capital Resources; (2) State Support (Political); (3)

Faculty and LEA Continuity (Personnel); and, (4) Collaboration (State, Universities, LEAs).

The Rand categories were aligned with the Redesign elements were used to provide a framework

for discussion and classification of responses to answer the research question: What were the

differences in stakeholder perceptions about the implementation and sustainability of the

redesigned principal preparation programs? The implications discussed below were derived

from findings revealed by 3PRs, 10Rs, partner districts, and transcribed interviews.

Financial and Capital Resources

The lack of funding to implement the reform remains a challenge for all 13 universities and partner districts (see Table 10). The researcher inferred from data collected that there were no differences in the perceptions of the 13 redesign universities and that of the LEAs and Policy makers in the area of resources. This suggests that the State did not support the implementation part of the redesign. The 3PR universities received initial funding during the planning stages of the redesign; but there has been no state funding since that time. The 10R universities have not received state funding for any phase of the redesign. Faculty from both the 3PRs and the 10Rs agreed that it would take more resources than want the State initially budgeted to implement the program effectively such as providing faculty release time to work on the redesign. The Governor's Congress was comprised of practitioners, but it appears from these statements that the faculty represented on the Task Forces did not think this would become a problem, perhaps because the redesign was too new to understand the intensity of the work ahead. Another possibility could be that they knew their funding sources were insufficient to fully support all elements of the redesign and faculty release time was sacrificed with the possibility of each individual university picking up that tab. Further, the lack of understanding about the breadth and depth of university expectations for its faculty may have caused the policy maker/consultant and the LEA partners to underestimate the level of challenge the redesign placed on university faculty members.

State Support (Political Support)

Stakeholders viewed the 10-consecutive day residency for leadership candidates as both strength and a weakness for them. The structure of the internship was improved based on intensive, quality driven experiences. SREB (2010) described the internship as an opportunity

for candidates "to observe exemplary school leadership in a variety of settings, participate in school leadership tasks as part of a team, and then lead instructional activities, under the watchful eye of an experienced mentor, in a working school" (p. 9). Analysis of survey responses and transcribed interviews suggests that stakeholders have resisted this particular policy due to a lack of financial support. Additionally, an apparent lack of consistency in the implementation of the residency across systems poses a threat for sustainability. During the planning phase of the redesign, university and state department committee members favored the idea of a semester internship. The reality of a hardship placed on districts to provide instruction in those classrooms led to a compromise of the 10-consecutive-day residency (SREB, 2010). This issue remains a challenge and stakeholders will have to address the lack of finances and personnel to ensure sustainability of this critical piece of instructional leadership.

The 13 universities reported that since the initial stages of the redesign, the state has given little or no attention to the instructional leadership preparation. A review of one transcribed interview revealed that lack of funding was the primary reason. Although the state has an office charged with the responsibility for the administration of the implementation of the redesign, funding to administer such a large reform is inadequate. The lack of funding implies that it will be more difficult to ensure sustainability. The lack of funding (and even a continual yet inadequate source of funding) threatens sustainability at different layers of the redesign which, if not addressed, will disrupt and disable redesign policies one by one. Because the redesign is a part of a larger multi-system reform, each part is co-dependent on the other. The policymaker confirms that they have been unable to (1) conduct follow-up visits, (2) inform the practice through the collection of data, and (3) ensure a continuous flow of revenue to support the administration of the redesign, or (4) hold stakeholder agencies accountable for

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implementation. Isolated reviews from outside reporting agencies will not be enough to sustain the efforts implemented at the various agency levels.

Faculty and LEA Continuity (Strong Networks)

An analysis of the findings regarding stakeholders' perceptions about personnel implies that there is a fear that the purpose, the plan, and efforts toward sustainability will be lost because of natural attrition and a lack of professional development for new personnel. Respondents reported that the lack of training about the redesign has resulted in a lack of knowledge from new personnel who may have a different view about the redesign. This disruption of staff continuity may be unavoidable; however, it is incumbent upon the state to initiate training that will support this part of the redesign. As a part of the multi-reform plan, Alabama adopted new Standards for Professional Development (Governor's Congress, 2004; SREB, 2010) which included Professional Learning Units (PLUs) for those who hold certification as an instructional leader. The PLU "is a content driven, long-term unit of professional study for instructional leaders that fully addresses all knowledge and ability indicators under an Alabama Standard for Instructional Leaders" (SREB, 2010, p. 12). Professional Development for instructional leaders is critical to the sustainability of the redesigned principal preparation programs. Every five years, instructional leaders must earn five PLUs in order to be recertified. Administrative certification may be the terminal degree for many administrators and continual learning efforts are critical to student and school improvement. The intense training embedded in the PLU addresses new content needed to inform the practice of instructional leaders. A review of literature (Augustine et al., 2009; Darling-Hammond et al., 2007; SREB, 2010) in this study, as well as findings from surveys and interviews reveal that stakeholders agree that ongoing professional development is critical to the

state's sustainability of the redesigned principal preparation program. The lack of adequate

financial support for the reform, as reported throughout these findings, remains a constant

deterrent and threat to reform sustainability. This financial restriction can have an adverse

impact on the quality of initial and ongoing training of existing and new administrators, and

instructional leadership in schools. Some stakeholders believe that re-accreditation visits may

provide some feedback to the programs, yet the absence of long-term, embedded professional

development and a secure stream of finances are again at the center of concerns about continuity

and sustainability. The state would be well served to recognize warning signs that prior

knowledge will be lost if the state is unable to provide background information and rationale for

program and components to new personnel about Alabama's multi-system reform.

Collaboration (State, Universities, LEAs and Participation of Nontraditional Actors)

Stakeholders agree that on-going communication and collaboration between groups is

very important. As mentioned earlier, collaboration as identified in the redesign surveys viewed

candidate selection, internships, field experiences, supportive conditions, and efforts to improve

learning conditions in K–12 schools as activities that were consistently supported with this

construct. A review of the findings revealed some universities were perhaps still working

between two worlds of the old and the new. One prime example is LEAs' perception that there

is a correlation between financial support and the ability to recruit and hire quality administrators

who have had quality training (as it relates the implementation and sustainability of the

redesign). Although there was not a single survey question that specifically addressed this type

of connection, this parallel was revealed in LEA findings. All programs were mandated to

redesign their principal preparation programs which included revising the curriculum,

strengthening the internship with intense monitoring and mentoring. It may have been apparent

to universities, to the state policy maker and consultant, that all candidates graduating from a

totally revised program would receive quality training and be considered, if hired, a quality

administrator; however, it was not readily evident to some LEAs who would hire these

candidates. A communication gap exists about the program and the complex details of the

planning and implementation. This may be the result of only a select few being initially

involved in the planning process. It may be the result of personnel changes within university

departments, changes in superintendents or other leaders at their partner districts, and a lack of

follow-up from the state. The loss of communication and collaboration between universities and

lack of follow up from the state has created a gap that can impede the sustainability of progress

made to date. Solutions to challenges will be based on the interrelationships between people in

existing and evolving situations, the skills needed, and the environmental forces at work

(Murphy & Forsyth, 1999).

Summary

The policymaker interviewed in this study was emphatic that "original ideas bubble up

from the people who are doing the work…people get in their mind that this is the State

Department's redesign, [but] it was the people of Alabama's redesign." Former Governor Riley,

in concert with Former State Superintendent Morton, established the Governor's Congress on

Instructional Leadership. The Congress was comprised of a variety of practitioners from across

the education spectrum including political leaders, educators from K–12 and higher education.

The goal was to include all stakeholders in the planning, implementation and sustainability of the

redesign.

According to the respondents from the R10 Universities, they were involved with the

planning, implementation of the redesigned program. However, about half from the R10

Universities indicated that they were actively engaged with the sustainability of the redesign.

The majority of 3PR respondents were involved in all three levels of the redesign: planning, implementation, and sustainability. LEA representation as partner districts in the redesign was typically provided from the Central Office Level (superintendents and administrators) and from school principals. Throughout the discussion of this study, the investigator used the same categories across the three stages of the redesign: (1) Planning, (2) Implementation, and (3) Sustainability. The categories used in this study were aligned with those strategies described by Augustine et al. (2009) as elements that help sustain reform efforts: (1) Financial and Human Capital. Resources; (2) State Support (Political); (3) Faculty and LEA Continuity (Personnel); and, (4) Collaboration (State, Universities, LEAs). The investigator identified similar responses in the different categories provided by each of the participating groups to provide a synthesis of ideas about how to sustain the redesign program.

A review of the data revealed three predominant themes from each group of participants: resources, personnel and collaboration. Survey respondents (participants from the 13 universities, the partner school districts, and the policymaker/consultant) overwhelmingly identified a lack of funding support, the importance of continuous communication and collaboration between entities, and the need for consistent professional development as vital to the sustainability of the redesigned programs. Even more than funding, professional development was identified as critical to connecting the past to the present and to the future. Hall and Hord (2001), explained that when reforms were extensive and required major changes in how people did their jobs, initial resources and training were only the beginning. The future of Alabama's principal preparation redesign and its efforts for sustainability will depend upon continuous research-based practice to ensure lasting changes in education (Hall & Hord, 2001). We would do well to listen to researchers who studied sustainability of programs. Kirst (2005)

reminded us that challenges faced by K–12 and higher education were addressed through reflective reasoning about what types of strategies or theories were sustainable. Todnem and Warner (1994) cautioned that there was an obligation to provide intensive, ongoing professional development when there was a change to improve performance:

> People can be encouraged to change, but if the structure of the system in which the individuals work does not support them or allow enough flexibility, improvement efforts will fail. Similarly, if the organization's governance, policies, structures, time frames, and resource allocations are changed but the individuals within the organization do not have opportunities to learn how to work within the new system, the improvement effort will fail. (p. 66)

CHAPTER VI. MANUSCRIPT THREE: LESSONS LEARNED ABOUT THE PLANNING,
IMPLEMENTATION, AND SUSTAINABILITY OF REDESIGNED PRINCIPAL
PREPARATION PROGRAMS IN ALABAMA

Abstract

In the fall of 2005, Alabama embarked upon a multi-system reform of its educational leadership standards, principal preparation program requirements, professional development standards and professional practice evaluation system. Former Governor Bob Riley, in a collaborative effort with the State Superintendent of Education, Dr. Joseph Morton, initiated these education reform efforts by creating a Governor's Congress on School Leadership. The work of the Governor's Congress facilitated collaboration and communications from a cross section of stakeholders focused on systemic change for current and future school leaders. Their work resulted in recommendations for the revision of: (1) instructional leadership standards, (2) curriculum in principal preparation programs and professional development for current school leaders, (3) internship experiences and certification requirements for future school leaders, and (4) evaluation of leadership programs, graduates and currently practicing school leaders (Alabama State Department of Education, 2005). Eventually, 13 colleges in the State of Alabama redesigned their principal preparation programs to align with the state's new criteria and mandates for instructional leadership. Three (3) universities that piloted the redesign process for the state and the 10 other universities offering educational leadership programs were

all required to change their programs by 2008 and 2009, respectively(Alabama State

Department of Education , 2005).

This manuscript, the third in a series of three, focuses on the lessons learned about the

redesign of Alabama's principal preparation programs as described by representatives of the 13

universities, K–12 partner-districts, and policy makers/consultants. Alabama's redesigned

principal preparation programs have been in operation now for more than two years and have

graduated two or more instructional leadership cohorts.

Purpose of the Study

This is the third part of a series of studies designed to examine the efforts to sustain the

progress of a redesigned principal preparation program in Alabama, identify the supports in place

to sustain current reforms, and to identify barriers (challenges) that could undermine or limit

sustainability of redesign work at the state, university/college and partner district levels. This

part of the study focused on lessons learned about this reform work and what is needed to sustain

these reforms.

This chapter discusses the findings of the research question in the larger study: What

were the lessons learned by the 3 pilot sites, their K–12 partners, the remaining 10 redesign

sites and policy maker/consultants about implementing and sustaining the redesign of the

principal preparation programs?

Introduction/Background

In an era of increased accountability standards (NCLB, 2001), both K–12 and higher

education leaders are becoming more results-oriented and responsive to a changing policy and

accountability environment (Kezar, 2001; Sparks, 2005). Beckert and Prichard (1992) assert that

"for a change effort to move an organization into the future, the process must involve an

understanding of the outside forces that require decisions for change…" (p. 397). For example, in 2009 President Barack Obama embarked upon a path of educational reform for states to be able to implement innovative and transformational educational programs that often are not implemented or undertaken due to a lack of funding. His funding campaign is rooted in the theme, *Race to the Top*. *Race to the Top* will be distributed as a competitive grant that totals more than $4.35 billion. The *Race to the Top* grant is based on a state's ability to show capacity to support education reform based on efforts to date and how those efforts can be leveraged and taken to scale in the future (American Recovery and Reinvestment Act [ARRA], 2009). The President set out his blueprint for an updated Elementary and Secondary Education Act to overhaul No Child Left Behind. This plan recognizes "that while the federal government can play a leading role in encouraging reforms, the impetus for that change will come from states, and from local schools and school districts (www.whitehouse.gov, 2010). Fullan (2003) and Kezar (2001) caution that leaders must be aware that change will not happen just by endorsing a strong vision, but must be a simultaneous proposition that takes place in the overall system. Their leadership role is critical in creating and sustaining change

The topic of institutional change and transformation became increasingly prevalent within the higher education literature during the early 1990s. The Center for the Study of Higher and Postsecondary Education (2001) cites several reasons for this interest such as fiscal and demographic crises, new institutional opportunities presented by the growth of the learning industry, increased competition from other segments within the knowledge industry, persistent questions regarding the quality of educational services, the need to provide educational services more efficiently, and the need to adapt institutional structures to new teaching and learning roles (2001). Research supports the idea that in order to have effective change, there must be building

blocks to reform that start with instructional improvement, and a definitive process supported by instructional change (Fullan, 2002; Fullan, Bertani, & Quinn, 2004; Green, 2005; Patterson, 2000; Schmidt & Finnigan, 1992). According to Green (2005), planned instructional change can lead to enhanced student achievement which is a process viewed in three steps: 1) establishing a clear sense of purpose, 2) determining the state of existing programs in the school setting, and 3) assessing the difference between current reality and the stated goal (Fullan, 2002; Green, 2005; Schmidt & Finnigan, 1992).

Conceptualization of a vision is central to school or district reform in which district leaders build a coalition of leaders who pursue the vision in practice (Fullan, Bertani, & Quinn, 2004). "Like distributed leadership at the school level, large-scale reform requires pluralized leadership with teams of people creating and driving a clear, coherent strategy" (Fullan, Bertani, & Quinn, 2004, p. 2). In other words, there must be a clear, coherent strategy and determination made about the standard of excellence the school staff desires to reach. Patterson (2000) said

> Establishing and maintaining an organizational culture that supports and sustains change requires at least four steps—developing a series of belief statements, determining their implications, putting the implications into practice, and revisiting the belief statements and implications regularly to ensure the culture is being preserved and renewed. (p. 1)

Successful school reform was dependent on the capacity and motivation of local leadership (Leithwood, Seashore, Anderson, & Wahstrom, 2004). Effective leaders knew how to use the key advantages for implementing their vision and helping their staff conceptualize the vision (Fullan, Bertani, & Quinn, 2004). Leaders in Alabama set out a vision of a multi-system reform through the Governor's Congress on School Leadership (2005). With the completion of the redesign of principal preparation programs, Alabama joined other states working with the

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Southern Regional Education Board (SREB) in changing the terrain for school leadership in order to enhance student achievement across the state (Darling-Hammond, et al., 2007; Hess, 2003; Leithwood, Seashore-Louis, Anderson, & Wahlstrom, 2004; McCarthy, 2002; Murphy, 2006; The Wallace Foundation, 2006).

Literature Review

The ideas of a more traditional role for principals meant being administrators, managers, instructional leaders, and supervisors at the school. The term 'supervision' evokes an image of the typical relationship between the principal and staff. Traditionally, supervising teachers was the primary responsibility of principals which pre-determined superior-subordinate relationships (Downey, Steffy, English, Frase, & Poston, 2004). The days of simplicity for the school principal have been overshadowed with new programs that require a different set of expectations for leaders. Darling-Hammond et al. (2007) stated "they must be educational visionaries and change agents, instructional leaders, curriculum and assessment experts, budget analysts, facility managers, special program administrators, and community builders" (p. 1). In the article, *New Lessons for Districtwide Reform* (Fullan, Bertani, & Quinn, 2004), the authors discuss conceptualization of vision as key to school or district reform. In order to implement their vision, district leaders must build a coalition of leaders who pursue the vision in practice.

However, as new restructuring initiatives led schools into the 21st century, the term 'instructional leadership' (Leithwood, 1992) no longer appears to capture the core of what school administration will become; instead, the term 'transformational leadership' evoked a more appropriate range of practice (Burns, 1978; Hughes, 1993; Kotter, 1990; Leithwood, 1992). Transforming leadership occured when one or more persons engaged with others and when leaders and followers raised one another to higher levels of motivation and morality (Burns,

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1978; Couto, 1993). The relationship of mutual stimulation and elevation opened the possibility

to convert followers into leaders and leaders into moral agents. Transformational leadership

relied on a strong culture within the organization which emphasized participative decision

making. The idea that if existing power relationships were changed (teacher/administrator,

parent/school staff, student/teachers) then reform would be more successful (Leithwood, 1992).

Beckert and Prichard (1992) believed that for a change effort to move an organization into the

future, the process must involve an understanding of the outside forces that require decisions for

change… (p. 397). The role of leadership has been critical in creating and sustaining change

(Fullan, 2003; Kezar, 2001). "Leaders must be aware that change will not happen just by

endorsing a strong vision, but that change is a simultaneous proposition and must take place in

the overall system" (Fullan, 2003, p. 4). State-wide, comprehensive efforts may offer the most

hope for sustainable reforms (Alabama Department of Education, 2005; Cox, 2007; SREB,

2010).

Fullan (2002), captures the idea of leadership as a principled behavior connected to

something greater than us that relate to human and social development (p. 1). . The Preface in

Fullan's *Leadership and Sustainability*, written by John Goodlad (2003), promoted the idea that

education itself was a moral undertaking and that teaching and leadership both were moral

endeavors. The author contended that there were four aspects of leadership required for deeper

and more lasting reform:

1. Leaders that make a difference in the lives of students;

2. Leaders that commit to reducing the gap between high and low performers within the
   school district;

3. Leaders that contribute to reducing the gap in the larger environment; and

4. Leaders that transform the working of others so that growth, commitment, engagement and the constant spawning of leadership in others is being fostered.

When Fullan (2003) discussed moral leadership, he was talking about context. Moral leaders worked to change the context about how schools and people learn. He noted that the leader's job was to help change context—which was to introduce new elements into the situation that were bound to influence behavior for the better (p. 1). Fullan (2003) further supported the idea about leaders' transforming the working of others which was closely tied to the theories on transformational leadership—those who had the ability to adapt to change and build capacity.

Green (2005) wrote that "when the leader attempts to alter the behavior, structure, program, purpose, or output of some unit of the school or district, the leader is attempting to make a change" (p. 182). According to Green (2005), "change is a process, not an event; can be planned or unplanned; and, can be influenced by forces inside and outside of the schoolhouse" (p. 183). So how do we prepare school culture to enable real change in the instructional program? Green (2005) viewed the process of change in three steps. The initial step was to establish a clear sense of purpose—our vision and our goals. The second step was to assess data in order to identify strengths and weakness of an existing instructional program. Finally, one must determine how to reach desired goals which Green (2005) described as the divergence of current reality from the stated goal. Additionally, Patterson (2000) noted,

establishing and maintaining an organizational culture that supports and sustains change requires at least four steps—developing a series of belief statements, determining their implications, putting the implications into practice, and revisiting the belief statements and implications regularly to ensure the culture is being preserved and renewed. (p. 1)

Effective leaders know how to use the key advantages for implementing their vision and helping their staff conceptualize the vision.

Fullan (2003) cites Jim Collins' book, *Good to Great: Why Some Companies Make the Leap...and Others Don't* in which he analyzed why 11 companies experienced sustained economic performance over a minimum of 15 years and compared them to other companies that had short-term growth. Collins distinguished between the Level 4 "Effective Leader" who "catalyzes commitment to and vigorous pursuit of a clear and compelling vision, stimulating higher performance standards" (read "increased achievement scores") with the Level 5 "Executive Leader" who "builds enduring greatness" in the organization (read "transforms the learning conditions for all") (p. 3). This statement led to the second step in effecting change: assessing and determining the state of existing programs in the school setting (Green, 2005). The determination of the program changes we need in order to meet desired goals becomes what Green (2005) described as Discrepancy Analysis.

A determination of what was needed in order to reach the desired goals was the third step: discrepancy analysis. A discrepancy analysis assesses the difference between current reality and the stated goal (Schmidt & Finnigan, 1992). According to the authors, imbedded in the process was the need to assess human potential (skills and attributes of faculty and staff) and draw conclusions about how to remove the discrepancy (decision making about programming) that existed between current reality and the desired goals (Schmidt & Finnigan, 1992).

Fullan (2003), wrote that "the context is changing and the leader's job is to help change context—that is, to introduce new elements into the situation that are bound to influence behavior for the better" (p. 1). His point was that there were many things you could not change in a school; however, if you change the context, you change behavior. Fullan (2003) cited

Malcolm Gladwell's (2000) argument: "The power of context is an environmental argument; it says that behavior is a function of social context" (p. 150). Much of the burden of change was placed on the leader with the starting point for change in our immediate situation rather than with the external environment (Fullan, 2003). If the above statements have merit, then it is incumbent upon administration to be very discriminating in selecting leaders. Fullan (2003) pointed to the fact that "selecting and supporting good leaders is a crucial starting point for beginning to change the context in powerful, new ways" (p. 2).

Capacity for Change

Capacity for change is an important concept that needs to be included as a part of any discussion on meaningful change. Green (2005) purported that change capacity always influenced the success potential of the change. When a school faculty was asked to make program changes, particularly if they ran counter to the beliefs of some members, the changes were not likely to occur without disruption and/or conflict. This disruption and/or conflict could be minimized if the school had the capacity for the desired change (readiness of the school for the change process). "If the leader is desirous of making change that is effective and sustained and produces the least amount of conflict, the school's capacity for that change must first be determined" (Green, 2005, p. 184). Green (2005) agreed with Schmidt and Finnigan (1992) who stated that leaders should consider the following in preparing the school's capacity for change:

1. The level of dissatisfaction the stakeholders are experiencing with current conditions;

2. The short- and long-term costs;

3. The extent to which individuals understand the vision to be achieved by the change;

4. The consequences of the change; and,

5. The degree of difficulty in making the change (Green, p. 184).

Educators in leadership positions must begin to embrace change and assist faculty, staff, and community in building the capacity for change. Green (2005) equated capacity with readiness. In order to affect change the system must prepare its stakeholders to accept that change with the least amount of disruption and/or conflict. How that change is presented and accepted is dependent on the actions of the leader who is building or enhancing individual and organizational capacities (Fullan, 1993, 2003; Green, 2005; Schmidt & Finnigan, 1992; Senge, 2000).

Researchers agree on several methods to build capacity (Green, 2005; Leithwood, 1992; NPBEA, 2002; Riley, 2002). One way to build capacity is by providing more embedded professional development for faculty and staff. In-house training, coaching, and mentoring may have a more profound impact on teaching and learning and allow internalization of the norms, habits and techniques for continuous learning (Greene, 2005).

Teachers' motivation for development was enhanced when they adopted a set of internalized goals for professional growth (Leithwood, 1992). Riley (2002) added that capacity was also built when we utilized best practices to enhance student achievement (2002). According to the National Policy Board for Education Administration (NPBEA, 2002), there were other factors such as planning, organization, communication, interpersonal relations, group processes, problem solving, and implementation of the change process used to build capacity (2002).

Collaboration helped a new culture become an effective tool for improving teaching and learning and assisted in building capacity (Hess, 2003). Cavanaugh and Dellar (1998) held that school leaders who were insensitive to the culture of a school probably were unlikely to have the knowledge and skills to intervene and may also be negatively disposed towards interventions.

An important step for leaders was to become familiar not only with the culture of their

environment, but become familiar with the concept of school culture (Cavanaugh & Dellar,

1998; Raywid, 2001; Senge, 2000). "Building a collaborative environment is key to effective

leadership. By transforming the school into a collaborative environment, the leader empowers

individuals and builds a team that is committed to goal attainment" (Green, 2005, p. 3).

Need for Systemic Change

The need to change and reform our system of education was not a new idea in American

education. The history of education in America was infused with criticism beginning in the early

50s and continues through today (Marzano, 2003; McCluskey, 2004). Many critical reports laid

a foundation of doubt and cynicism about the quality of American education programs and how

they impacted student learning causing the public to question the effectiveness of schools

(Marzano, 2003) which began even before the effective schools research of the 1970s and 1980s

which emphasized the principal's importance in affecting student achievement (Edmonds, 1979;

Goodlad, 1987). Even as we transitioned from the 20th to the 21st century with more stringent

accountability demands from the local, state and national levels (Hausman, Crow, & Sperry,

2000), efforts at reform still did not seem to be enough to spur a movement toward meaningful

comprehensive reforms. Gorton (1976) asserted:

> If the reform movement was to affect permanently the mainstream of American thought,
>
> then it was imperative that the contributions of all participants—scholars in academic
>
> areas, classroom teachers, and professional educators—be unified and closely
>
> coordinated on some permanent basis. (pp. 368–369)

Kirst (2005) discussed the division between K–12 education and higher education

promoted at both the state federal levels. This separation began at the policy level and extended

to the academic arena. Over the years, a disconnect between student achievement in K–12 and higher education has impacted the preparation level and remediation levels. This division between K–12 and colleges and universities had an impact on education issues critical to the nation, the states, and students remain on the margin of the policy agenda. These issues included inadequate college preparation, high school redesign, career and technical education, and K–12 school reform itself for expanded college preparation (Kirst, 2005). States such as Alabama made efforts to address these issues systemically throughout the educational arena. Changes made in policy and procedures have ushered in a reform movement in both K–12 and higher education. The challenges faced by K–12 and higher education in an era of educational reform must be addressed through reflective reasoning about what types of strategies or theories will be sustainable. Rather, solutions to challenges were based on the interrelationships between people, existing and evolving situations, the skills needed, and the environmental forces at work (Murphy & Forsyth, 1999). Murphy and Forsyth (1999) contended that most program changes were the product of individual department and program faculty makings that were feasible within their institution rather than adopt a reform model, idea, or program design. Senge (2000) suggested that changes impact an institution on a whole. He noted that "new programs would not just affect the students, but the faculty and administration, because any change is multi-faceted and complex and affects multiple levels in an institution" (p. 440). Therefore, our current reality about the status of education in both K–12 and higher education must change. Researchers warned that college has become a provider of lifelong learning, not just a transition from high school, and administrators in higher education need to think about ways to focus on change management methods to create a pattern of continuous learning (London, 1995; Lucas, 2000).

Reform in Alabama

States, such as Alabama, addressed these issues systemically throughout the educational arena. Systemic changes made in policy and procedure ushered in Alabama's reform movement in K–12 and higher education programs (Cox, 2007; SREB, 2010). The challenges faced by K–12 and higher education in an era of educational reform were somewhat addressed through reflective reasoning about what types of strategies or theories may be sustainable (Cox, 2007; SREB, 2010). Murphy and Forsyth (1999) asserted that solutions to challenges have been based on the interrelationships between people, existing and evolving situations, the skills needed, and the environmental forces at work. The Southern Regional Education Board (SREB, 2010) acknowledged Alabama's successes in their reform efforts began in the Governor's Congress on School Leadership, which resulted in an "unmistakable statewide paradigm shift to a firm belief that Alabama's principals must be instructional leaders as opposed to school administrators" (p. i). Alabama's reform is discernible in that:

- The Alabama Instructional Leadership Standards succeeded in placing an emphasis on instructional leadership;

- Universities made dramatic advances in the rigor, relevance and authenticity of their school leadership preparation programs;

- The leadership pipeline appears to be changing to better meet the needs of Alabama's schools;

- Universities, districts and other key stakeholders are in general agreement that the changes resulting from the Governor's Congress on School Leadership have Alabama heading in the right direction;

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- Alabama provides all principals with a high degree of autonomy and authority, creating the working conditions that emerging research says principals need if they are to succeed;

- The move from clock-based Continuing Education Units (CEUs) to standards-based Professional Learning Units (PLUs) is consistent with the other leadership reforms designed to improve the recruitment and professional development of instructional leaders in Alabama; and

- Two school systems agreed to continue supporting semester-long residencies for aspiring school leaders, despite significant budget constraints. These districts have seen enough benefit from the improved leadership preparation program at their partner university to continue covering this cost in the face of budget restrictions (p. i).

SREB also highlighted several areas of concern about the sustainability of Alabama's Principal Preparation Redesign Programs (2010):

- While many districts have embraced the changes, others have not;

- Some administrators and faculty across the state still do not understand that a change in leadership preparation has occurred and want to continue the old ways of doing business;

- The reforms remain immature;

- The changes brought about by the Governor's Congress on School Leadership will take time to develop and even more time to bear definitive evidence of their success;

- The decreasing availability of resources to sustain the reforms is magnified by a lack of data showing immediate gains in school performance resulting from the changes;

- The university programs would benefit from increased opportunities to share ideas;

- The PLU system was new in the 2009–2010 school year and still involves a large number of questions about how it will work in practice; and

- The collection and publication of data on Alabama's school leadership infrastructure and pipeline needs further development (SREB, 2010).

Sustainability of Alabama's multi-system reform were impacted through its efforts to combine those factors that helped build capacity with cohesive strategies that aligned with their policies and initiatives on leadership (Augustine et al., 2010; SREB, 2010). A recent Rand study (2010) asserted that coordinated policies and initiatives across state agencies, called Cohesive Leadership Systems, may help to improve school instruction. Augustine et al. (2010) listed five characteristics in highly cohesive leadership systems (CLS): (1) comprehensiveness in the scope of their initiatives, (2) alignment of policies and practices, (3) broad stakeholder engagement, (4) agreement on how to improve leadership, and (5) coordination achieved through strong leadership (see Figures 4 and 5).
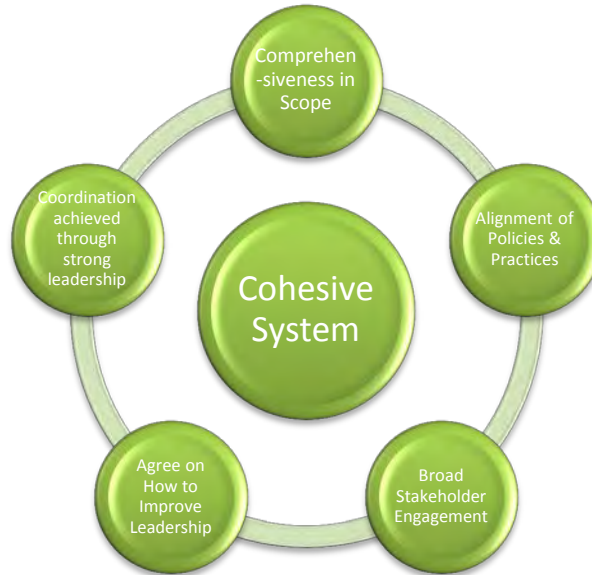
Figure 4. Five Characteristics of a Cohesive Leadership System (Rand, 2010).

Figure 5. Alabama Multi-System Reform (Alabama Governors Congress, 2008).

These factors, which were woven into the redesign process, provided a clear path for cohesive leadership (Alabama State Department of Education, 2005; Southern Regional Education Board, 2010). Each component, as illustrated in Figure 5, is interconnected and dependent upon the others for principal preparation redesign efforts to be sustainable. As stated in the Augustine et al. (2009) study, "leaders who can connect school leadership reforms with other education initiatives in their states help build sustainability for their efforts and may reduce burdens on districts and schools" (p. xix). Reform achievements will not be effective or sustainable if "new policies and initiatives are inconsistent with other state and district policies affecting school leadership" (Augustine, et al., 2010, p. xv).

Darling-Hammond (2003) supported the idea that educational leadership initiatives spurred other reforms, noting that many American states followed a comprehensive approach to enhance multiple aspects of education in their reform efforts to create standards for student learning. Research supported the link between educational leadership and policy coherence as key for the successful implementation of large-scale reforms (Fullan, 2005; Leithwood, Jantzi, Earl, Watson, Levin, & Fullan, 2004; Leithwood, Seashore-Louis, Anderson, & Wahlstrom, 2004; Spillane, 1998). Alabama's instructional leadership reform model set out to accomplish many of these goals. The state's multi-reform efforts at the standards, licensure, evaluation, professional development and the total redesign of their principal preparation programs were comprehensive in their initiatives (see Figure 5). The research presented in this chapter focused on aspects of Alabama's multi-system reform: the redesign of principal preparation programs; the alignment of state policies with national and professional standards; required university and district partnerships; revised curriculum for principal preparation programs; and communication and collaborative efforts. This chapter answered the third research question in

the study: What were the lessons learned by the three pilot sites, their K–12 partners, the remaining 10 redesign sites and policy makers/consultants about implementing and sustaining the redesign of the principal preparation programs?

Data Sources and Research Methods

Data collection for this part of the study included three types of participant surveys and interviews. The three Pilot Redesign sites were studied using two researcher-developed surveys: one for faculty and administrators at the university and one for K–12 partners. Participants included faculty, deans, and department heads from each of the three pilot universities and leaders in their partner districts. A similar survey was administered to the faculty and administrators at the ten redesign universities. Each of these surveys included a mixture of Likert-type and open response questions addressing design, implementation, and sustainability issues related to principal preparation redesign.

Interviews were conducted with two policy makers/consultants who had direct involvement with the redesign of principal preparation programs in Alabama. The interview protocol was created around three domains: (1) Redesign of Principal Preparation Programs; (2) Barriers Encountered, Support Received, and Processes Used; and (3) Lessons Learned. Responses from the third domain of these interviews, Lessons Learned, were examined in this paper along with open-ended responses from the surveys.

. The data were gathered from the 13 Pilot Redesign Universities, Local Education Agencies (3PR District Partners), one state policy maker and one outside consultant who worked closely with the state during the redesign process. The data were analyzed using the constant comparative method which involved constantly comparing the data for themes (Merriam, 1998; Patton, 1990, 2002). This allowed the researcher to gain a better understanding of what these

stakeholders believed were lessons learned about the redesign of Alabama's principal preparation programs as situated within the state's multi-system reform effort.

Data analysis using the constant comparative approach involved comparing incidents found in more than one set of data for the purpose of identifying possible categories (Merriam, 1998). The initial categories used in this chapter were derived from both the literature (Augustine et al., 2009) and from survey and interview responses. For example, Augustine et al. (2009) described four comparable elements as strategies that help sustain reform efforts: (1) Financial and Human Capital Resources; (2) State Support (Political); (3) Faculty and LEA Continuity (Personnel); and, (4) Collaboration (State, Universities, LEAs). These four themes are suggested, according to Augustine et al. (2010), as important strategies employed in Cohesive Leadership Systems (CLS) to help sustain reform efforts.

Targeted reforms cannot withstand isolation (Augustine et al, 2010). Policy connections throughout a system must have clarity so that each performs with cohesiveness. A critical review of the Rand Study (2010) (see Figure 4) and the Alabama Redesign (see Figure 5) was conducted to identify which strategies built capacity and provided cohesion among new policies and initiatives consistent with other state and district policies. The following areas shared common strategies for creating cohesion: (1) Resources, (2) State Support, (3) Personnel, and (4) Collaboration. The investigator then aligned the four redesign themes emerging from the data: (1) Resources; (2) Support; (3) Personnel; and, (4) Collaboration with the corresponding Rand characteristics (2010) to frame the findings on Lessons Learned (see Figure 6). An explanation of each of these areas follows.

Characteristics of Cohesiveness (Rand)	Common Threads for Sustainability	Principal Preparation Redesign (AL Gov Congress)
Comprehensiveness in scope	**Financial & Human Capital Resources** Q9, 18, 19	*Comprehensive initiatives*
Alignment of Policies & Practices	**State Support (Political Support)** Q8	*Alignment of state/national policies with professional standards*
Broad Stakeholder Engagement	**Faculty & LEA Continuity (Personnel)** Qs 8, 20, 26	*Required university and district partnerships*
Agreement on How to Improve Leadership *Coordination achieved through strong leadership*	**Collaboration (State, Universities, LEAs)** Qs 1, 3, 17, 20	*Stakeholder Communication and collaboration*

Figure 6. Common Threads from Rand Study (2009) and Alabama Redesign

Resources

The area of Financial and Human Capital Resources was defined by Augustine, et al (2009) as a contextual factor that can enable or inhibit reform. Resources included the lack of finances, time, or staff and were described in the redesign surveys and interviews as internal and external resources to support the redesign program. Several redesign survey and interview

questions were closely aligned with this strategy (see Appendix F: 3PRs Survey; Appendix G: 10Rs; Appendix I: Interview Protocol).

When policy maker/consultant participants were asked during the interviews: What were the lessons you learned throughout the process of redesigning principal preparation programs in the State?, participants generally agreed that more finances were needed for program implementation. One participant stated that the State Department of Education should have been prepared to provide full disclosure to the State Legislature on the cost of a major reform and secured funding first before beginning the process of changing policies and practices. Another participant agreed that funding for reform was important; however, they were impressed with Alabama's resolve, stating,

> "You can do it and make it work. They did it, and they attracted some attention and got a little revenue, but still, they pretty much accomplished what they have accomplished on their own."

Alabama was commended for moving forward without benefit of a grant to get them started, making the case that reform efforts can be initiated and implemented without huge startup money. As one participant said, "It's just using what you have at your fingertips and that was a powerful lesson." Survey participants did not mention Financial and Human Capital when identifying lessons learned.

State Support (Political Support)

This construct was aligned with Augustine et al.'s (2009) claim that educators, state actors, and organizations share the same commitment of improving student leadership by employing common academic standards, assessments, and policies. This construct was germane with the redesign of principal preparation and the focus on curriculum structure, sequential and

developmental curriculum, and leadership practices. This area was not mentioned by interviewees as an area under lessons learned. However, survey respondents believed the lessons learned centered on state support. Examples of these lessons are highlighted in the following paragraphs.

The 3 Pilot Redesign Sites general discussed the need for school partnerships to be "enhanced and expanded." Research supports the need to develop and plan more meaningful work and practical experiences for principals in their preparation programs (Adams & Copland, 2005). Music (2005) believed that the responsibility for providing and designing an internship is not solely the responsibility of universities, or the state agencies for higher education, nor the program approval and licensure agencies. It is a systemic problem that requires aligned actions across a leadership preparation system (p. 2). All 13 universities were required, if they had not already done so, to establish partnerships in the planning of the redesign of their principal preparation program. When asked about the most important lessons learned from participating in the redesign process, 3PRs expressed the importance of mutually beneficial partnerships and the need to involve LEAs in planning, implementing and evaluating. Another area of state support that was listed under lessons learned includes the importance of having signed memorandums of agreements with local superintendents. The 10 Redesign Sites listed their use of an Organizational Development Model as key to a successful redesign. The LEAs focused on leadership responsibility, capability, monitoring of instruction, and the assessment of data to drive instruction as key elements for an instructional leadership preparation. LEAs also stated that the

… internship was valuable to the interns… It helps them be better prepared… However, students who are left in the classroom while the intern is involved on his/her internship are hurt… They are taught for prolonged periods of time by substitute teachers.

As stated earlier, SREB (2010) expressed concern about the sustainability of some aspects of Alabama's multi-system reform. One such concern was the districts' differences in perception about the ten-day internship and how it could be implemented. LEAs identify the field experience as an important part of the redesign, acknowledging that it helps future leaders to become better prepared. However, they question the lack of finances to support these internships and the extended absence of teachers in the classrooms. These concerns supports SREB's claim "that many district administrators and school principals continue to resist providing release time for aspiring leaders to fulfill the requirement for a 10-consecutive-day residency" (p. ii).

Faculty and LEA Continuity (Personnel)

This Rand (2009) construct was described in the redesign surveys and interview protocol as personnel continuity, diversity, training, and knowledge. The Rand Study (2009) claimed that turnover of key staff disrupted continuity which in turn impeded the creation of a Cohesive Leadership System (CLS) (Augustine et al., 2009) and stifled sustainability.

Another lesson learned during the redesign, according to one interviewee, was that "people have the perception that everybody in the university is resistant to change." As interviewees worked with personnel to plan and implement the redesign, it became clear that it was not resistance but fear of the unknown about the changes that would replace the familiar. One interviewee stated that "it was more about, I don't know how to change and I'm afraid of what change will bring—and not resistance." Research suggests that leaders must prepare

organizations for change in order to accept change or be successful, and help build capacity so that the organization was ready for the desired change minimizing disruption (Augustine, et al., 2009; Green, 2005). An argument can be made that the State of Alabama, through the direction of the Governor's Congress, was able to alleviate some concerns of personnel across the state and begin building capacity through the widespread appointments of K–12 practitioners, university personnel, State Department of Education Liaisons, and an outside consultant to work with the reform through each stage. Ideas and actions to address change were initiated from this group which segued into the next lesson learned. "You have to educate practitioners, too … the belief that if all they have ever seen is one way of doing things, they are not steeped in the research about best practices and new things, then they're looking for what they have always seen." One of the strategies used by the Governor's Congress to alleviate the fear of change was collaboration. Efforts to ensure collaborations included widespread communication throughout the state about plans and actions related to principal preparation redesign.

Collaboration (State, Universities, LEAs and Participation of Nontraditional Actors)

Educators in leadership positions embraced change by building leadership capacity (Reed, Adams, & McDaniel, 2006) through "focus on common issues in a spirit of collaboration and fellowship" (p. 7). Cavanaugh and Dellar (1998) agreed that collaboration was a tool that helped foster change, build capacity, and shape a new culture. Collaboration was an enabling factor that helped build efforts to support a cohesive leadership system which was needed, according to Augustine et al. (2009), to support reform efforts. Cohesion was the term used to describe systems built in concert by a state and its school districts (Augustine et al., 2009). The multi-system reform in the State of Alabama included prescribed communications and

collaborative efforts built into the procedures to provide a parallel path for cohesive leadership (Alabama State Department of Education, 2005; Southern Regional Education Board, 2010).

One interview participant stated, "The first lesson that I would tell everybody is there is no way to over-communicate...that was a very powerful lesson learned." The more involvement you have, the greater your chances of the varying groups having ownership across the board. When university respondents were asked about the lessons learned, the majority of respondents stated that the need for collaboration was the most important lesson learned.

Implications

The research question for this study focused on lessons learned by the 3 pilot redesign universities, their partner school districts, the 10 redesign universities, a state policy maker and a consultant who worked directly with planning the redesign of the Principal Preparation Program. Four constructs served to frame the discussion of the findings from the data: (1) Financial and Human Capital Resources, (2) Faculty and LEA Continuity (Personnel), (3) State Support (Political Support), and (4) Collaboration (State, Universities, and LEAs). These constructs were strategies that helped build cohesive systems that could support and sustain reform efforts. Site participants from the 13 redesign universities (3PRs and 10Rs) responded to open-ended questions about lessons learned about the redesign of principal preparation programs. Implications for each of these four areas are presented on the following pages.

Financial and Human Capital Resources

"The decreasing availability of resources to sustain the reforms, magnified by a lack of data showing immediate gains in school performance resulting from the changes, threatens continued support for and widespread maturation of the reforms" (SREB, 2010, p. iii). The Southern Regional Education Board (2010), in its report on Alabama's Redesign, recommended

that the State "acknowledge that resource constraints are affecting the reform effort, and that some plans based on best practices in ordinary times may have to be adapted due to reduced revenues in extraordinary times" (p. 27). Analysis of the survey response items suggested that a lack of financial support was not necessarily an issue. One interviewee agreed with this perception, stating that Alabama had achieved so much in their reform efforts without any significant funding, suggesting that reform efforts were not totally dependent upon money. None of the district partners or university personnel identified financial support issues when describing lessons learned. University and K–12 partners did, however, identify a lack of financial support as a challenge.

The 10Rs universities did not receive funding from the State to redesign their programs. However, they did not identify finances as a benefit or concern in the open-ended survey question about lessons learned. The 10Rs did indicate in the Likert-type question portion of the survey that they received some internal funding to support their work. The lack of responses about funding in the lessons learned section may indicate that they were unaware of the funding process or that the universities were able to shoulder the initial costs involved. One interview participant commended Alabama for moving forward without benefit of a grant to get them started, making the case that reform efforts can be initiated and implemented without huge startup money. Although finances are important, findings indicate that these respondents did not perceive a lack of funding as making this mandate impossible to implement.

State Support (Political)

Augustine et al. (2009) argued that well-coordinated policies and initiatives across state agencies lead to a cohesive system of leadership, which is a strategy to help sustain reform efforts. Cohesive systems are likely to be able to sustain reform initiatives beyond the period of

initial support. Alabama's redesign efforts included policies and regulations addressing multiple areas related to effective leadership. Alabama used its newly developed Standards for Instructional Leaders as a philosophical framework for the redesign effort. These standards, which correspond to ISLLC standards for school leaders in Alabama, helped to set the direction for the redesign of the 13 university's principal preparation programs (SREB, 2010). Germane with the redesigned principal preparation focus on curriculum structure, sequential and developmental curriculum, and leadership practices, this construct helps to clarify Alabama's efforts to change the leadership context from the managerial style of leadership to more instructional leadership style (SREB, 2010). One of the concerns expressed by SREB (2010) was that many districts have embraced the changes, but others have not. One of the most controversial aspects about Alabama's redesign was the mandatory 10-consecutive-day residency requirement. This rule emerged out of the idea that an hour or two was not enough time for interns to be exposed to the daily routines of the principalship (SREB, 2010). Many university leaders as well as state department leaders wanted a full-semester residency. So the 10-consecutive-day residency "emerged as a compromise "that would ensure some commitment to a meaningful residency" (SREB, 2010, p. 9).

This area was not mentioned by interview participants in the question about lessons learned. The position of both the state participant and the consultant was to help develop policies, procedures and provide guidance in the redesign planning process. They held primary roles in Alabama's multi-system reform beginning with revising standards to changing licensure requirements. Confident that every effort was made to ensure policy and procedural guidelines were disseminated thoroughly, they did not see the need to report this as a lesson learned. Other implications were identified from survey respondents of the 3PRs, 10Rs, and the LEAs:

- The LEAs should have had more involvement in the planning, implementation and evaluation of those partnerships.

- Signed Memorandum of Agreements with local superintendents reduces likelihood of systems reneging on those agreements once the state is no longer active engaged in the reform process.

- State support (policies and organizational structure) are key to reform sustainability. If the state does not monitor and develop regulatory guidelines, and periodic program reform evaluations, universities and their partner districts will perceive a loss of state support for this reform.

- Although finances are important, an unfunded mandate to program reform is not impossible.

- Initiative and implementation efforts are not hindered due to the lack of funding.

- The 10 consecutive day residency places a strain on the teaching and learning process, places the 10-day residency at risk, decreases the likelihood of sustainability, and runs the risk of negating the purpose of leadership reform.

- Interns need and value a newly developed experience; however, without the systems' ability financially to replace a qualified classroom teacher, students suffer for those 2 weeks and the idea of developing a leader better able to improve student achievement is lost in the process.

Faculty and LEA Continuity (Strong Networks)

SREB (2010) recommended that Alabama convene annual school leadership summits to share information and maintain redesign momentum. According to SREB (2010), some university administrators and faculty across the state still do not understand that a change in

leadership preparation has occurred and want to continue the old ways of doing business in spite of clear requirements to the contrary.

The fear of the unknown was more prevalent among university and district personnel than the change factor itself. Resistance to change is often an outgrowth from fear of the unknown and often source that causes resistance to change (Green, 2005; Ryan & Oestreich, 1991). As reported by Green (2005), the capacity for change must be fostered by the leader.

Collaboration (State, Universities, LEAs and Participation of Nontraditional Actors)

University and LEA respondents emphasized collaboration and support as lessons learned whereas interview participants included finances in their discussion of lessons learned. Survey findings from university respondents did not discuss finances as a lesson learned in the open ended questions. The three lead redesign universities (3PRs) received a grant from the State of Alabama to redesign their principal preparation programs. The State of Alabama, through the State Department of Education, required the remaining ten universities (10Rs) to redesign their principal preparation programs as well. All 13 universities (3 funded and 10 unfunded) were mandated to redesign their programs by a targeted date. Funding appeared as a factor in the closed ended portion of the survey in which 3PR respondents indicated they had received both internal and external funding and 10R respondents stated they received internal funding.

Summary of Implications

The interview participants who were interviewed worked with the Governor's Congress in the role of facilitator/consultant and as a State Department administrator. Both represented policy makers and worked to help the Principal Preparation Redesign process for the State of Alabama. Both helped to establish the five task forces put in place to develop standards that

served as the framework for the actual process of redesign. The consultant discussed the actual process of redesign which centered on how candidates would be selected and recruited:

> We worked with them on new licensure and worked with them on task forces on professional development and what that would look like and within professional development there were also some discussions of evaluation; and the last task force was on working conditions. And that had to do with if all this work to do we ended up with these great new leaders who could go into school systems were the systems in a position to give them the right conditions to be successful.

According to this consultant, the work of the task forces helped to open lines of communication and "provided stability in the process since there was one of us at every meeting." The policy maker worked with the Governor's Congress to ensure meetings were held, data collected and the flow of communication was available. This policy maker took on the role of Administrator of the Congress and a liaison to other related departments at the State Department; and worked with the process until recommendations were given to the State Superintendent and the Governor in May of 2005. This policy maker was then appointed to administer the implementation of the recommendations for the redesign in the state.

Interview participants were asked if there any policies or initiatives that should have been eliminated or modified and they reflected on several items they thought could have happened that didn't happen. The Congress pushed for the elimination of a pay step to those who had a leadership license but not a leadership position. The idea was to "stop the flow of just this mass of people that were going for leadership degree because it appeared as though they were very accessible, eager and not much rigor to them". However, that did not happen.

…I think what really balanced that out was that because the guidelines were so rigorous

for the universities to get approval for their programs, that it sort of stopped the flow of

people who were rushing for this easy degree because it wasn't an easy degree anymore.

Another part of the policy that was implemented

…that has caused the most difficulty is the ten days of internship—continuous

internship…and that continuous ten days seems to have, ah, really caused people a

difficulty in scheduling—I'm not sure why, but it seems to be the one sticking point that

everybody wants to complain about.

The 3PRs reported that getting school district partners to commit to release time for

interns and getting financial support for the semester-long residency from superintendents were

the greatest challenges faced in the redesign. LEAS reported that finding the time to do the

things needed to contribute to program success, including time for internships, was a barrier.

Additionally, settling issues associated with employees being told that the district could or

should give freed days to complete the internship presented difficulties. The interview with the

policy maker revealed that "the initial recommendation from the Governor's Congress on the

internship was a full year paid internship for every candidate…it was a very complicated

process." Ultimately, the ten consecutive days were approved. The ten-day consecutive

internship "simply meant that for ten days, back to back, the candidate can understand the life of

an instructional leader--their life over a ten day period." While the State Department financially

supports and requires teacher internships, "we don't do it for those who will lead teachers". This

policy maker indicated that the State Department is discussing that component understanding

that as a profession there should be a "meaningful internship that is carefully laid out with real

experiences for a period of time." The ten-day internship was one of those kinds of decisions

that "bubbled-up" after collective feedback from the people. Because of the economic downturn, the ten-consecutive day internship was modified to become more flexible for deans to negotiate with school districts.

The third element identified by the consultant was to place more accountability on districts. The universities were given the mandate to have partners in order to plan the redesign, select and interview the candidates, and design courses for the whole internship. However,

> "nowhere did the directives include the accountability on the partnerships—the districts
> to be at the table…as I work with states now and I really speak to the plan, I'm very clear
> on the fact that you're going to have to make the districts as accountable as the people at
> the universities."

This interviewee acknowledged Alabama's "excellent progress" in their efforts to redesign their principal preparation programs, but recognized that "what you do is learn from this that things that might have been or may have made the process better" if you could have seen the outcome ahead of time. The interviewee even reiterated that the advanced visit just for information was done really well.

> The team of us went into the universities'/district partnerships with no pressure just for
> them to ask questions about what the process would be, what they would need to have,
> and what was required and it really made the visit must more relaxing, I think, for
> everybody involved.

Three Pilot Redesign university respondents agreed that the university/district partnerships are important in the implementation of the redesign. Lessons learned include what may look good has to be translated into implementation and there are some who find it difficult to let go of the old ways of doing things. These respondents expressed concern about the

important of getting partners to understand what their redesign meant; and they believe that communication plays a key role in helping LEAs understand the need for redesign, the unfolding consequences on student achievement, of implementation.

The consultant interviewee stated they would not have eliminated or modified any of those policies at the time. The policy maker agreed with the assessment on the viability of the process but did express concern that collecting data on the progress of the program has remained on the table and left undone. "The programs have been in existence long enough that we should look at what the data are telling us (one important piece is tracking the graduates):

1. Where are they;

2. Are they taking jobs in Alabama;

3. Are they getting leadership jobs;

4. Do we have enough [graduates] in the pipeline;

5. Are the people in the pipeline better trained that the people who use to come of out of the pipeline?

The SREB (2010) warned that the collection and publication of data on Alabama's school leadership infrastructure and pipeline needs further development. Alabama is not unique in its need for a data collection system, but it currently has no way to automatically and systematically connect its serving principals and their records as school leaders with the programs that prepared them (SREB, 2010). The State Department of Education acknowledges that the data must be collected; however, the discussion is how to do that without "putting any more financial burden on either the LEA or the universities at this time." Currently, there have been some reviews of programs since they were approved which occurred at universities. The state, and those who

were directly involved with the redesign, are keeping a close eye on whether the redesigned programs will

accomplish the goals that were intended and that's to produce better prepared, strong instructional leaders who can stick with the job and who feel good that they have the skills, the knowledge to do what's required to lead children into student achievement.

Both the consultant and policy maker agree that reform work never ends. Finances are needed to support the process and the implementation of the redesign. The Southern Regional Education Association commended the State of Alabama on its efforts to redesign its principal preparation programs with limited finances (SREB, 2010). The policy maker described Former Governor Riley's address to more than 200 practitioners who were part of this redesign:

I do not want you to think and be limited by money…but I do not want you to be limited by the thought that we typically are in Alabama that we couldn't afford to do this. Dream big and design the best possible program for leadership in the State of Alabama, relate it to Alabamians and to our children.

Finances have been a focus of this redesign as highlighted from closed-ended and open-ended responses in survey responses. Although the 3 pilot universities received state funding to initiate their redesign programs, this group of respondents held that it was difficult to redesign and get partner support "on the cheap". They acknowledged that getting school partners to commit to release time, getting financial support for the semester-long residency (whether from the State or from the LEA), and getting funding for travel present challenges in the redesign.

In addition to the money issue that challenged the redesign was the challenge of continuous communication. Both consultant and policy maker agreed that communication was a key lesson learned in the process and implementation of the redesign and can affect sustainability

of the reform. "Communication must be constant to maintain the knowledge base among a high rate of faculty turnover within the redesign communities." One interviewee stated that "the more involvement you have, the greater your chances of ownership being across the board…you can never say enough, never tell enough people, you can never bring too many people to the table." University and LEA respondents reported that collaboration among stakeholders are very important aspects of the process and creates conditions for a more effective program. Musick (2005), in his discussion on aligned actions across the leadership preparation system, cautioned that, "Departments of educational leadership must develop stronger relationships with local school districts that involve working together to select the most promising candidates and design and deliver programs that prepare leaders who can meet district needs for improved student achievement" (p. 2).

The belief that communication and collaboration were important to the reform effort was referred to again when respondents were asked if the initiatives put in place, based on best-practices of the redesign in other states, were germane to the needs of Alabama. In the SREB (2010) report on leadership reform in Alabama, finances, communication, collaboration, and data collection remain critical to the sustainability of Alabama's reform efforts (SREB, 2010). The SREB (2010) reported that Alabama received full points for its systemic process in their redesign which addressed leadership standards, preparation program redesign, field-based experiences for leader candidates and leader licensure. Overall, preparation program ratings placed Alabama in the top three states in the SREB region, with only negligible differences among the three states. The consultant interviewed pointed to Alabama's aggressiveness in making the ISLLC standards a little bit stronger for their own state leadership standards.

Alabama's standards might be called ISLLC based, but they are very much more focused on

student goals achievement and instructional leadership…what we find in states is to take one

piece when other pieces don't fit—you don't have an alignment. So that was a very strong piece

of what we were able to do—which was to align the whole process.

According to SREB (2010), there were three Alabama Standards that matched most frequently

with three ISLLC functions:

1. Develop the instructional and leadership capacity of staff.

2. Nurture and sustain a culture of collaboration, trust, learning and high
   expectations.

3. Obtain, allocate, align and efficiently utilize human, fiscal and technological
   resources (p. 2).

Recommendations

The process of redesign for the State of Alabama has the potential of becoming a model

program to be used for other states working to write policy for the redesign of educational

leadership programs. Alabama has made a concerted effort to bring a more cohesive systemic

reform in its educational arena in order to improve student achievement (SREB, 2010). The

following recommendations are made for the further improvement of student achievement via

instructional leadership, continued viability of collaborative and communication efforts, and

ongoing efforts to sustain progress made in the redesign of principal preparation programs.

Recommendation 1: *The state should provide more financial support to enhance and expand*
the school partnership

The redesign of leadership standards, programs, and practice should ensure alignment of

theory with practice in Alabama. Principals must be able to translate what they learn in the

classroom to the school environment. The redesigned curriculum and internships emphasize instructional leadership; therefore school leaders must support a more collaborative culture, as defined by Green (2005) on teaching and learning, while providing professional development and using data to evaluate performance (Hess, 2003). The redesign of principal preparation programs in universities throughout the state should ensure that leaders will be well versed in ways to improve student achievement.

Recommendation 2: *Initiate annual system for program evaluation and data collection in order to use results for improving principal working conditions and circulating best practices between institutions*

The state should provide more financial support to collect data about gains in student performance resulting from leadership graduates from a redesigned program, collect data on how many LEAs hire their recommended candidates, and collect data for the purpose of ensuring embedded professional development. One of the areas of concern expressed by the Southern Regional Education Board (SREB, 2010) in their assessment of Alabama's redesign of principal preparation programs was the ability to build upon the gains made through the collection of data about their work.

> The collection and publication of data on Alabama's school leadership infrastructure and pipeline needs further development. Alabama is not unique in its need for a data collection system, but it currently has no way to automatically and systematically connect its serving principals and their records as school leaders with the programs that prepared them. (SREB, 2010, p. iii)

The three pilot universities perceived data collection to be integral for those at the university level to sustain the progress made on the redesign.

Recommendation 3: *Design professional development activity, or possibly a PLU credit, for both new university personnel and LEA personnel about the redesign of the principal preparation program for the purpose of continuity conducted by the state office designated to oversee the implementation of the redesign*

One of the recommendations of the Governor's Congress on School Leadership (2004) was to "move from clock-based Continuing Education Units (CEUs) to standards-based Professional Learning Units (PLUs) which was consistent with the other leadership reforms designed to improve the recruitment and professional development of instructional leaders in Alabama" (p. i). Universities and partner districts recognized ongoing professional development as necessary to sustain their reform efforts. Professional development is a "systemic process that considers change over an extended period of time and takes into account all levels of the organization" (Guskey, 1977, p. 20). Any professional development program and PLU learning modules designed should include feedback from stakeholders, or at least representatives, who contributed to the implementation of the intended changes. Best practices designed to inform the practitioner should be relevant to the needs of the practitioner. Additionally, if professional development is to meet the test of relevancy, then it should be informed through data collection based on empirical research. According to the policy maker/consultant, the state needs to put in place a system of data collection for the purpose of informed research, embedded professional development, and ongoing communications and collaborations within the state system. Augustine et al. (2009) believed that common structures and policies help build cohesion. Such structures include common assessments that inform all stakeholders within the system.

Recommendation 4: *Finance the ten-consecutive day internship and mentoring program for leadership candidates or devise an alternative internship/mentoring program that are more financially palatable for school districts*

Each group of stakeholders expressed concerns about the implementation of the 10-consecutive day internship as written. The purpose of an internship "was to have the professional guidance of a mentor or veteran, or a practicing principal who assists candidates in applying course content to daily experiences in schools" (Cox, 2007, p. 26). Dwindling finances, beyond the initial financial support for the lead universities, disallow implementation of such an intensive internship. Also critical to the continuing development of instructional leaders is the ability to provide a safety net of a mentoring culture (Zachary, 2005). The SREB (2010) reported that "the task forces of the Governor's Congress on School Leadership did not all make equal progress" (p. iii) and there were still areas that more attention. One of those areas was the continuing development of statewide support of principal mentoring (SREB, 2010). Zachary (2005) discusses the benefits of education and training in a mentoring culture: "no hallmark directly influences the quality of mentoring relationships more dramatically than education and training" (p 246). While, "all leadership programs were required to include provisions for effective mentoring in their redesign" (SREB, 2010, p. 10), not all are able to support this requirement because of the restraints of money, time, and training.

Recommendation 5: *Consider expanding the administrative office that implements the redesign of the principal preparation program*

This office provides the connection between the past, present, and future. The state should expand the functions of this office to carry out specific functions that will foster sustainability. First, this office should include a professional development arm for continued

learning and training for veteran and new personnel. Secondly, it should include a research arm for data collection that will inform the practice of leadership, and understand what is needed to sustain this reform. Another, it should contain a section designated to finding those funding sources that will help implement and sustain this multi-system reform of which the principal preparation redesign was apart. Finally, this office should have full authority to initiate a process to: reassess the engagement of local partner district's role in supporting internships, the selection process, and involvement at the central office and school levels; and initiate internal and external reviews of the principal preparation programs.

This study focused on facilitating and hindering factors of the redesign, stakeholder perceptions, and lessons learned. This investigator recommends two possible studies for future research.

(1) Gather data on the graduates from those 13 universities that redesigned their Principal Preparation Programs, and document the impact of those candidates on student achievement.

(2) Compare student improvement in schools with principals who graduated from the traditional preparation program and those principals who graduated from a redesigned program.

Summary

The consultant expressed that, "generally, if you don't have a strong leader, strong teachers won't stay in the building…strong teachers want to work for good leaders." This statement is central to the need to redesign principal preparation programs. The State of Alabama understood that in addition to effective teaching in the classroom, they needed to focus on training and hiring leaders whose primary focus was instruction if they were going to impact

and improve student achievement. According to SREB (2010), "The Governor's Congress on School Leadership resulted in an unmistakable statewide paradigm shift to a firm belief that Alabama's principals must be instructional leaders as opposed to school administrators" (SREB, 2011, p. i). This quote demonstrates the extent to which the new Alabama Standards shifted the focus from a view of principals as managers and administrators to a definition of principals as instructional leaders. The policymaker emphasized that:

> The redesign came out of the brains of people in Alabama who did the work. Is that to say that every single university agreed with every single aspect of it—no… There were 13 universities that were asked to redesign their principal preparation programs, each of those 13 universities had made progress from changing from the old administrative focus to the instructional leadership focus. Some were much further along than others. For some universities it was as though this avalanche of change came. For others it was—we're already doing that but maybe we can do it better. But none of them had perhaps been given the focus of the State Board to say that we're behind you, we expect this to happen; and we'll support you—just wish it could have been with a lot more checks, lot more big money, you know.

Fullan, Bertani and Quinn (2004) contended that conceptualization of vision is key to school or district reform in which district leaders build a coalition of leaders who pursue the vision in practice. Alabama set out a vision of a multi-system reform through the Governor's Congress on School Leadership (2005). With the completion of the redesign of principal preparation programs, Alabama joined other states working with the Southern Regional Education Board (SREB) in changing the terrain for school leadership in order to enhance student achievement across the state (Darling-Hammond, et al., 2007; Hess, 2003; Leithwood,

Seashore-Louis, Anderson, & Wahlstrom, 2004; McCarthy, 2002; Murphy, 2006; The Wallace Foundation, 2006). The consultant and the policy maker university and district partners focused their concerns about sustainability related to resources, state support, personnel, and collaboration. These stakeholders believe that these are critical factors that will help sustain the progress made at the state, university and district levels. This investigator proposed six recommendations included in this chapter that address the concerns about sustainability expressed by SREB (2010), expressed by the policymaker and consultant, and concerns gleaned from the universities and district partners who participated in the redesign of principal preparation programs in Alabama.

CHAPTER VII. SUMMARY, CONCLUSIONS, RECOMMENDATIONS

Purpose

The purposes of this study were threefold. The investigator examined the efforts and support systems put in place to sustain the progress of the redesigned principal preparation programs, and identified barriers that can potentially undermine or limit sustainability of redesign efforts at the state, university, and partner district levels. The research study explored the factors influencing Alabama's efforts to effect change in principal preparation at thirteen sites with educational leadership programs, while taking a closer look at the factors that facilitated or hindered the work of three universities piloting the redesign efforts during the planning and implementation phases of their work.

The study also identified the state, university/college and local district supports in place during and after the redesign process to sustain changes made.   This study addressed three types of issues about changing leadership programs that other researchers identified as areas that would benefit from additional study: (1) organizational support needed in leadership redesign (Rand, 2009); (2) aligning preparation programs with national and state standards (Adams & Copland, 2005); and (3) issues related to the sustainability of redesigned programs (SREB, 2009). This study examined the end product of the redesigned programs: perceptions of participants about factors that facilitate or hinder program change, sustainability, and lessons learned about program planning, implementation and sustainability.

The study also explored the mandated need to move from traditional preparation programs in Alabama to programs redesigned for principal preparation in which course content, field-based experiences, and practice were aligned with standards that reflected priority issues affecting the daily practice of school principals. An alternative dissertation format was used to present key findings. The study produced three manuscripts: (1) *Factors Facilitating or Hindering the Planning, Implementation, and Sustainability of the Redesigned Principal Preparation Programs in Alabama* (Chapter IV); (2) *A Comparison of Differences in Stakeholder Perceptions about the Redesigned Principal Preparation Programs in Alabama* (Chapter V); and (3) *Lessons Learned about the Planning, Implementation, and Sustainability of Redesigned Principal Preparation Programs in Alabama* (Chapter VI).

Theoretical Framework

Over the last decade, America's efforts to improve public schools became a critical call across federal, state, and local governments. Saddled with increased accountability standards, poor test scores, and the urgency to replenish a declining leadership populace, the need for a comprehensive, multi-layer reform was necessary to avoid the failure of isolated reforms (Augustine, et al., 2009). The findings from this Rand study conducted by Augustine, et al. (2009) support building policy connections through cohesive leadership systems (CLS) that provide collaborative efforts across state agencies to ensure a sustainable network of "continuous learning and improvement" (p. 92). Alabama's answer to a public outcry at the national and state levels to increase accountability measures with school teachers and educational leaders was addressed through a multi-system education reform to improve student achievement (Fowler, 2004; SREB, 2006). Former Alabama Governor Bob Riley initiated education reform through the Governor's Congress on School Leadership (Alabama State Department of Education, 2005)

which encompassed improved standards, revised certification requirements, redesigned principal

preparation programs, restructured evaluation systems, and revised professional development

activities embedded within the leadership recertification process. Alabama's efforts in

leadership program reform were parallel with other efforts in the 16 Southern Regional

Education Board (SREB) member states whose redesigned instructional leadership standards led

to curricular restructuring in university preparation programs and state licensure and/or

certification (SREB, 2010). This SREB report provided a critical review of Alabama's principal

preparation reform and its impact at the various levels of the state's educational system. The

report also hailed Alabama as a strong leader in adopting a "cohesive set of policies advocated

by SREB to raise the quality of leader preparation and practice" (p. ii) regarding the

sustainability of programmatic changes. Other researchers have expressed concern that efforts to

support the sustainability of reforms rely on political, financial, and human resources determined

by a changing environment (Augustine, Gonzalez, et al., 2009; Marshall & Gerstl-Pepin, 2005;

Shelton, 2009). Reed and Llanes (2010) recognize that numerous issues, including those listed

above, present both challenges and opportunities for leadership programs. Efforts to offset

barriers and support sustainability efforts rely on an institution's infrastructure to offset internal

and external challenges (expected and unexpected) that arise during the redesign process (Reed

& Llanes 2010). Current literature supports the idea that contextual influences, internal and

external, impact educational leadership preparation programs (LaMagdeleine, Maxcy, Pounder,

& Reed, 2009); and, the premise that organizational climates conducive to change also are more

likely to support new ways of preparing school leaders (Glasman & Glasman 1990).

The investigator acknowledges that the sustainability of Alabama's new multi-system

reform will be evidenced by the successful implementation of research-based strategies

embedded within reform policies that enable (or facilitate) sustainability. This multi-system reform is parallel to the development of a cohesive leadership system that embraces coordinated efforts between state agencies, higher education institutions and school districts that ultimately increase the ability of principals to improve instruction (Augustine, Gonzalez et al., 2009). The impact of these initiatives will be judged over a period of time (SREB, 2010).

Three research questions were addressed in this study:

1.   In what ways, if any, were the factors that facilitated or hindered the work of three pilots different from those of the remaining 10 redesign sites during the planning, implementation, and sustainability of the redesigned programs?

2.   What are the differences in perceptions of stakeholder groups (Pilot sites and their partners and remaining 10 sites) about the redesigned principal preparation programs?

3.   What are the lessons learned by the stakeholder groups (pilot sites and their partners, and the 10 remaining sties) about the planning, implementation, and sustainability of the redesigned principal preparation programs?

These questions were addressed through the use of a mixed methods research design to reduce the potential for researcher bias. Data collection included three types of participant surveys and interviews with two people, one key policy maker and one consultant heavily involved in the redesign process for the state. Convergent themes were derived from Likert-type responses from surveys, content analysis of documents, open-ended survey responses, and transcribed interviews which taken together offered both qualitative and quantitative support. Participants included faculty, deans, and department heads from each of the three pilot and ten remaining redesign universities and their partner districts. Survey responses from each instrument were input into the computer-based statistical program SPSS. Internal consistency

was assessed using Cronbach's alpha (α = .087) to evaluate the results. The twenty-seven Likert-type scale indicators of the Redesign Survey had an internal consistency estimate above acceptable standards. The interviews, conducted with two people involved with the redesign of Alabama's educational leadership reform, included questions within three domains: (1) Redesign of Principal Preparation Programs; (2) Barriers Encountered, Support Received, Processes Used; and (3) Lessons Learned. Interviews were transcribed and analyzed using the constant comparative method of data analysis to identify themes. Comparisons were made both within and between groups from which data were collected, coded, and organized into broad categories and then subdivided into themes (Glaser & Strauss, 1967; Merriam, 1998; Patton, 2002).

Three surveys administered to faculty at the three pilot universities, the remaining ten redesign universities, and the district partners of the 3PRs were used to answer question one. The factors that facilitated or hindered the work of the three pilots and how they were different from remaining ten redesign sites during the redesign were identified by looking at two types of assessments: closed-ended surveys and content analysis from initial proposals from the three pilot universities. The investigator analyzed the data by grouping Likert-type survey questions into categories of themes identified from the research and from participant responses. A comparison of the content presented by pilot universities in response to the state's Request for Proposal to receive grant funds for the redesign was conducted.

The investigator addressed research question two by analyzing open-ended survey responses that gleaned insights into stakeholder perceptions. Additionally, the researcher designed an interview protocol which was administered to a state policymaker and a consultant heavily involved in the redesign. The constant comparative method of data analysis was employed to identify themes that emerged from participant responses to the open-ended survey

questions and from transcribed interviews to discuss perceptions of the redesign. To address

research question three, the researcher analyzed survey responses from open-ended questions as

well as responses from the interview protocol framed to reveal lessons learned from stakeholder

groups about the redesign.

Summary of Findings

The three pilot redesign universities followed the Request for Proposal guidelines from

the Governor's Congress (2005) to develop policies and procedures throughout their redesign

process. The self-described goal of the pilot universities was to achieve the desired results

expressed by the Governor's Congress on School Leadership while adapting how requirements

were achieved to meet unique contextual needs. Research supports the pilots' inclusion of six

components outlined by Linda Darling-Hammond (2007) as benchmarks of quality in school

leadership programs: university-district partnerships, greater selectivity in choosing future

leaders, more rigorous coursework connected with field-based learning and residency

experiences, more rigorous residency experiences, effective mentoring, and cohort structures for

all students. All three pilots incorporated the first four benchmarks listed above although using

slight variations in terminology. The redesign efforts of each university incorporated strategies

designed to increase collaboration and communication with their partner districts; restructure

admissions/selection policies from self-selection to a broader committee-based selectivity

process; and increased efforts to align program curriculum and internships with authentic

applications of daily practice. Their goals reflected critical assessments in the literature about

school accountability (Bottoms & O'Neill, 2006; Fowler, 2004; Fullan, 2003; Hess & Kelley,

2005; Lashway, 2003; Murphy, 2001; Murphy & Forsyth, 1999), new standards (Bottoms &

O'Neill, 2006; Fullan, 2003; Lashway, 2003; Rippa, 1984), certification policies (Adams &

Copland, 2005; Darling-Hammond, 2007; McCarthy, 2002; NCLB, 2001; Shelton, 2009), and principal working conditions (Augustine et al., 2009; Hausman, Crow, & Sperry, 2000; SREB, 2010). Results revealed a common set of areas identified by site participants as challenges brought on by the newly redesigned program. Grouped as internal and external influences, site participants reported limited finances and stagnant admissions; program implementation and evaluation; personnel attrition; and changing partnerships as unforeseen internal challenges. Participants viewed external influences such as the alignment of standards to practice; the revision of professional policies; and financial assistance as strong supports for both higher education and K–12 systems.

This study also examined efforts put in place to sustain Alabama's redesigned principal preparation programs at the state, university/college, and partner district levels. Respondents identified three factors, finances, collaboration and professional development, as most crucial to the sustainability of the redesign, and should be reinforced for successful program implementation. However, respondents revealed that while these three factors positively impacted the redesign, they were also limiting to the redesign process at different stages.

Limited resources, according to Augustine et al. (2009), can be an inhibiting factor in reform efforts. The State of Alabama awarded initial funding to the three pilot universities to redesign their principal preparation programs. The remaining ten universities fulfilled the state mandate to redesign without the benefit of state funding. Since that time, there has been no state funding provided to any of the thirteen universities for implementation of the program. It is noted that the lack of funding for the program did not deter the progress made in Alabama to plan and implement the reform (SREB, 2010). Funding or the lack of funding has become a central premise for program implementation of the redesign. Sustainability includes the

capability of supporting collaborative efforts between the state, the universities and the partner districts. Respondents agreed that prior to the redesign, there was little collaboration among these entities; however, post-redesign there was an increase in communication and collaboration between these groups.

Professional development was the other critical area revealed in the findings to be critical to sustainability of the reform. Ongoing professional development activities were critical to sustaining the redesign. However, the lack of funding may serve as a deterrent to a much needed professional development program that respondents believe was key to sustaining the redesign. Both the 3PRs and the 10Rs agreed that initial training of stakeholders in the planning stages was a facilitating factor; however, the absence of ongoing training and training of new personnel may hinder the sustainability of reform.

Collaboration was also revealed as one of the most important factors in the redesign considered to be positive.. Collaboration between the state, universities, and partner district was not prevalent before the redesign; however, the current programs have experienced an increase in collaborative efforts in candidate selection and candidate internships. Additionally, collaborative efforts have increased between the Universities and LEAs as they work to provide rigorous and effective field experiences during the internships.

Implications

The three pilot redesign universities followed the Request for Proposal guidelines from the Governor's Congress (2005) to develop policies and procedures throughout their redesign process. The self-described goal of the pilot universities was to achieve the desired results expressed by the Governor's Congress on School Leadership while adapting how requirements were achieved to meet unique contextual needs. Six components formulated as benchmarks of

quality in school leadership programs (Darling-Hammond, 2007) were used in this study: university-district partnerships, greater selectivity in choosing future leaders, more rigorous course work connected with field-based learning and residency experiences, more rigorous residency experiences, effective mentoring, and cohort structures for all students. Variations of the first four benchmarks listed above were included in proposals submitted by all three pilot universities. The redesign efforts of each university incorporated strategies designed to increase collaboration and communication with their partner districts; restructure admissions/selection policies from self-selection to a broader committee-based selectivity process; and commit to increase efforts to align program curriculum and internships with authentic applications of daily practice. Their goals reflected critical assessments in the literature about school accountability, new standards, certification policies, and principal working conditions. Results from the study revealed a common set of areas identified by site participants as challenges brought on by the newly redesigned program. Grouped as internal and external influences, site participants reported limited finances and stagnant admissions; program implementation and evaluation; personnel attrition; and changing partnerships as unforeseen internal challenges. Participants viewed external influences such as the alignment of standards to practice; the revision of professional policies; and financial assistance as strong alliances that support both higher education and K–12 systems. Data from open ended surveys and transcribed interviews suggest that initial and continuous training, personnel resources and collaboration were facilitating factors in the planning, implementation, and sustainability of the redesign of principal preparation programs. This data also implied that post-redesign, a lack of funding, limited personnel resources, and lack of state support were factors that hinder implementation of the redesigned principal preparation programs in Alabama.

Significance

The educational landscape of the 20th century was spurred by international competition, an increasing achievement gap, economic and financial competiveness, and high stakes accountability. Leadership reform emerged as one of the most critical educational issues of the 21st century (Fullan, 2005) and Alabama, like many other states, embraced a multi-system reform of its leadership programs. Hailed as a strong leader in adopting a cohesive set of policies advocated by SREB (2010), the future of the state's initiatives will depend upon sustainable practices utilized by the 13 redesign universities and their district partners. This research may provide benchmarks for future policy development for leadership training, insights for evaluation studies of graduate school programs, and new knowledge about the role and influence district partnerships have on the admissions process, internships, and program efficacy.

Future Research Directions

The Southern Region Education Board (2010) reported on Alabama's redesign of its Principal Preparation Program, commending the efforts in this systemic reform. However, SREB (2010) also questioned Alabama's ability to sustain these reforms in light of changing political and financial climates. While this study investigated the factors that facilitated or hindered sustainability of the redesign, the investigator recommends other areas for future research. One area for future research would be to gather data on the graduates from those 13 universities that redesigned their principal preparation programs, and document the impact of those candidates on student achievement. Another possible study would be to compare student improvement in schools with principals who graduated from the traditional program and those principals who graduated from a redesigned program.

This investigator raised additional questions not addressed in the study relative to an educational systems' ability to effectively sustain reform efforts. First, why work to reform an educational system without ensuring that there is a financial foundation to support the potential programs that are recommended?

Secondly, why do local education agencies still feel disenfranchised? What is the long-term effect of partner districts not hiring (at a significant rate) those leadership candidates trained by this state reformed system? Other than placing restrictive hiring practices in place for out-of-state leaders, how are we to ensure that Alabama students are receiving the benefit of having an Alabama trained instructional leader at their school? Should some form of accountability be attached to each local education agency who is a partner or to those districts who are not partners? How do we finance the redesign to ensure sustainability of the programs?

Finally, are data collection and assessment tied to future finances to support a multi-system reform? Will the additional recommendations from the Governor's Congress related to working conditions be addressed once financial support is attained? Or, were there other reasons that these recommendations were delayed?

New studies addressing the questions raised above could be built using this study and on the recommendations suggested here as a foundation. If the State has the opportunity to implement some of the recommendations resulting from this study, and those presented by the SREB (2010), such as continued data collection, on-going training, and collaboration within the state system, perhaps issues related to financial constraints can be dealt with much better. The state's ability to sustain these new reforms will rely on continuous data collection that will inform the process of sustainability. The improvement of these new programs will depend upon the state commitment to design a forum for continuous training programs, and establish a system

to receive input from stakeholders about what they need to support and sustain the redesigned principal preparation programs.

Concluding Remarks

In 2004, Former Governor Riley, in concert with Former State Superintendent Morton, created the Governor's Congress on Instructional Leadership to address a muti-system reform. A goal was to improve achievement levels for students in Alabama. Once new standards and curriculum expectations were approved, a request for proposals to pilot these redesigned elements was sent to all Alabama colleges and universities with principal preparation programs. A total of 13 universities applied to be a part of the pilot program. Three Alabama universities became redesign pilot institutions; and, each pilot university partnered with one or more Local Education Agencies in the planning of the redesign. The remaining 10 universities were later mandated to redesign their programs. The purpose of this study was to examine efforts put in place to sustain Alabama's redesigned principal preparation programs at the state, university/college, and partner district levels.

It is likely that the greatest part of an innovation or reform is not the initial idea that was started, but how that idea is supported and fits within a network of other supporting ideas. In other words a single innovation must become a piece of the whole in order to become an embedded idea. There must be connecting pieces relevant to the schemata that allows the idea to become a part of the complexities of the whole. The innovation then has the opportunity to be successful if it is aligned with other pieces of the puzzle that can be positioned in such a way that it becomes a perfect fit. This is when the innovation does what it was intended to do. The redesign of principal preparation programs was a part of a multi-system reform in the State of Alabama but questions remain about the systemic nature and sustainability of these reforms.

Traditionally, reform in American education has followed rather than led the regulatory agencies, state systems, and the federal government in making changes to the educational system (Murphy & Forsyth, 1999). After examination of the policies and practices put in place by the Governor's Congress for the redesign of principal preparation programs, this investigation revealed that Alabama's multi-system reform followed Murphy and Forsyth's (1999) recommendations and addressed a newer approach to reform that precedes rather than follows changes in regulatory agencies:

> Where change in licensure, certification, and accreditation has begun to occur, the most notable trend is the emphasis on authentic standards and assessment. That is, standards for the preparation and development of administrators are closely tied to the nature of administrative work, focusing on the knowledge and skills necessary to perform leadership functions. Similarly, assessment of licensure and certification candidates focuses on performance outcomes that are reflective of administrative work tasks and responsibilities. (p. 137)

The consultant interviewed in this study stated that

> the indicators on the surface were that they [Alabama] are able to sustain their movement; but, to say that that's documented because we haven't been able to revisit you can't really say 'no' for sure. It's just that there are very strong indicators that its being followed through.

This aggressive and multi-level path to leadership reform by the State Alabama, universities, and educational practitioners was critical to sustaining new education reforms seeking to improve student achievement. In that context, Alabama has been successful with the

planning, implementation and efforts toward sustainability of its principal preparation program redesign.

The insurmountable argument about program sustainability again comes back to the availability of funds. If Alabama expects to sustain the progress made in the redesign of principal preparation programs, they must put forth a concerted effort to:

1. Fully fund the implementation and continuation of the reforms;

2. Fully fund, staff, support and enhance the administrative office designated to implement the policies and procedures;

3. Fully fund and support the multi-system reform and recommendations made by the Governor's Congress that in turn supports student improvement through its leadership programs.

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Appendix A

Alabama Standards for Instructional Leadership

Effective March 7, 2006
The Alabama Standards for Instructional Leaders require universities to redesign their educational leadership programs to do the following:

● Establish partnerships between local education agencies (LEAs) and universities in the preparation of school leaders.
● Redesign educational leadership preparation programs to give stronger emphasis on developing the essential competencies for improving schools and increasing student achievement as recommended by the Governor's Congress Selection and Preparation Task Force. (See Governor's Congress Final Plan, pp. 39-42, GOTOBUTTON BM_1_ www.ti.state.al.us/gc.)
● Align educational leadership preparation programs to the newly adopted Alabama Standards for Instructional Leaders. (See enclosed standards in Code of Alabama format as adopted by the State Board of Education on July 12, 2005.)

SUPP. NO. 05-2 In addition to successful completion of regulations for admission to 290-3-3-.48 UNA Graduate Studies, the following are regulations for admission to:

290-3-3-.48 **Instructional Leadership**. The study of instructional leadership shall begin at the fifth-year level.

(1) Admission. In addition to an earned baccalaureate-level Professional Educator Certificate in a teaching field or earned master's-level Professional Educator Certificate in a teaching field or instructional support area, the applicant shall:

(a) Submit evidence of a minimum of three (3) years of successful teaching experience;
(b) Submit an admission portfolio to the Instructional Leadership Department Chair before an interview. The portfolio will contain the following:
　　1. Three (3) letters of recommendation to include the applicant's principal or supervisor. Each local superintendent will establish requirements for recommendations from the principal and/or supervisor.
　　2. Completed copy (all forms) of the most recent performance appraisal to include the professional development component, if available.
　　3. Evidence of ability to improve student achievement.
　　4. Evidence of leadership and management potential, including evidence of most recent accomplishments in the area of educational leadership.
　　5. Summary of candidate's reasons for pursuing instructional leadership certification.
　　6. Summary of what the candidate expects from the preparation program.

(c) After submission of the completed portfolio, an interview will be scheduled prior to the semester for start of Instructional Leadership course work. The candidate must pass an interview conducted by a program admission committee that includes both P-12 instructional leaders and higher education faculty.

Time-line for implementation of requirements

July 12, 2005 - Admission requirements (No Educational Administration Admission after this date.)

July 1, 2007 - Complete implementation of all requirements of Instructional Leadership Program (cessation of Educational Administration Program offerings – MA Degree and 'A' Certification).

Appendix B

Alabama's Plan for Education Reform

Race to the Top	
Alabama's Plan for Education Reform	
Standards and Assessments *Support the transition to enhanced standards and high-quality assessments*	
State Actions To Advance Reforms	**LEA Actions To Advance Reforms**
Adopt Common Core standards in Mathematics and English Language Arts – 2010	Implement Common Core standards in Mathematics and English Language Arts – 2012
Develop pacing and curriculum guides and instructional plans to support the Common Core standards and post to ALEX (the Alabama Learning Exchange)	Assist the SDE in the development of pacing and curriculum guides and instructional plans to support the Common Core standards and post to ALEX (The Alabama Learning Exchange)
Develop professional learning opportunities for teachers and leaders to support the transition to the Common Core standards	Assist the SDE and Regional Centers in the development of professional learning opportunities for teachers and leaders in the transition to the Common Core standards
Participate in a consortium of states to develop a summative assessment to measure the Common Core standards with a goal of college and career readiness	Provide input into the development of a summative assessment of the Common Core standards
Participate in a consortium of states to develop interim assessments (benchmarks) to measure progress toward the summative goal of college and career readiness	Provide input into the development of interim assessments to measure progress toward the summative goal of college and career readiness
Participate in a consortium of states to develop formative assessments to guide instructional decisions (RtI) related to individual student learning goals.	Provide input into the development of formative assessments to guide instructional decisions (RtI) related to individual student learning goals
Develop professional learning opportunities for teachers and leaders to build capacity in assessment literacy	Assist the SDE and Regional Centers in the development of professional learning opportunities for teaches and leaders to build capacity in assessment literacy
Develop, through the longitudinal data system, a progress monitoring process to measure student growth toward the goal of college and career readiness	Implement a progress monitoring system to support the instructional goal of measuring student progress to college and career readiness
Align current state initiatives (ARI/The Alabama Reading Initiative and AMSTI/The Alabama	Collaborate with the SDE in determining the professional learning needs, related to the Common

Mathematics, Science and Technology Initiative) to the Common Core standards and assessment system and scale to meet the individual professional learning and support needs of LEAs	Core Standards and assessments, and the support needed from the state initiatives (ARI/The Alabama Reading Initiative and AMSTI/The Alabama Mathematics, Science and Technology Initiative)
State Actions To Advance Reforms	**LEA Actions To Advance Reforms**
Infuse the Common Core standards and assessment system into university teacher and leader preparation programs	Partner with university teacher and leader preparation programs in developing professional learning opportunities for pre-service teachers and leaders
Develop professional learning opportunities for teachers and leaders to build capacity in assessment literacy	Assist the SDE and Regional Centers in the development of professional learning opportunities for teaches and leaders to build capacity in assessment literacy
Develop, through the longitudinal data system, a progress monitoring process to measure student growth toward the goal of college and career readiness	Implement a progress monitoring system to support the instructional goal of measuring student progress to college and career readiness
Align current state initiatives (ARI/The Alabama Reading Initiative and AMSTI/The Alabama Mathematics, Science and Technology Initiative) to the Common Core standards and assessment system and scale to meet the individual professional learning and support needs of LEAs	Collaborate with the SDE in determining the professional learning needs, related to the Common Core Standards and assessments, and the support needed from the state initiatives (ARI/The Alabama Reading Initiative and AMSTI/The Alabama Mathematics, Science and Technology Initiative)
Infuse the Common Core standards and assessment system into university teacher and leader preparation programs	Partner with university teacher and leader preparation programs in developing professional learning opportunities for pre-service teachers and leaders

Appendix C

Race to the Top: Exhibit I—Preliminary Scope of Work

A.   EXHIBIT I – PRELIMINARY SCOPE OF WORK

LEA hereby agrees to participate in implementing the State Plan in each of the areas identified below.

Elements of State Reform Plans	LEA Participation (Y/N)	Comments from LEA (optional)
B. Standards and Assessments		
(B)(3) Supporting the transition to enhanced standards and high-quality assessments		
C. Data Systems to Support Instruction		
(C)(3) Using data to improve instruction:		
(i) Use of local instructional improvement systems		
(ii) Professional development on use of data		
(iii) Availability and accessibility of data to researchers		
D. Great Teachers and Leaders		
(D)(2) Improving teacher and principal effectiveness based on performance:		
(i) Measure student growth		
(ii) Design and implement evaluation systems		
(iii) Conduct annual evaluations		
(iv)(a) Use evaluations to inform professional development		
(iv)(b) Use evaluations to inform compensation, promotion, and retention		
(iv)(c) Use evaluations to inform tenure and/or full certification		
(iv)(d) Use evaluations to inform removal		
(D)(3) Ensuring equitable distribution of effective teachers and principals:		
(i) High-poverty and/or high-minority schools		
(ii) Hard-to-staff subjects and specialty areas		
(D)(5) Providing effective support to teachers and principals:		
(i) Quality professional development		
(ii) Measure effectiveness of professional development		
E. Turning Around the Lowest-Achieving Schools		
(E)(2) Turning around the lowest-achieving schools		

For the Participating LEA   For the State

_____   _____
Authorized LEA Signature/Date   **Authorized State Signature/Date**

_____   _____
Print Name/Title   **Print Name/Title**

Appendix D

Educational Leadership Policy Standards

Educational Leadership Policy Standards: ISLLC 2008

*as adopted by the
National Policy Board for
Educational Administration
on December 12, 2007*

CCSSO

THE COUNCIL OF CHIEF STATE
SCHOOL OFFICERS

THE COUNCIL OF CHIEF STATE SCHOOL OFFICERS

The Council of Chief State School Officers (CCSSO) is a nonpartisan, nationwide, nonprofit organization of public officials who head departments of elementary and secondary education in the states, the District of Columbia, the Department of Defense Education Activity, and five U.S. extra-state jurisdictions. CCSSO provides leadership, advocacy, and technical assistance on major educational issues. The Council seeks member consensus on major educational issues and expresses their views to civic and professional organizations, federal agencies, Congress, and the public.

NATIONAL POLICY BOARD FOR EDUCATIONAL ADMINISTRATION

The following organizations and councils are members of the National Policy Board for Educational Administration (NPBEA): American Association of Colleges for Teacher Education, American Association of School Administrators, Association for Supervision and Curriculum Development, Council of Chief State School Officers, National Association of Elementary School Principals, National Association of Secondary School Principals, National Council for Accreditation of Teacher Education, National Council of Professors of Educational Administration, National School Boards Association, and University Council for Educational Administration.

Educational Leadership Policy Standards: ISLLC 2008

For the past two years, the NPBEA Interstate School Leaders Licensure Consortium (ISLLC) Steering Committee has been working to revise the ISLLC Standards. This steering committee asked each NPBEA organization to obtain input from their respective constituencies regarding the revision of the ISLLC Standards. The NPBEA/ISLLC Steering Committee also created a national Research Panel that identified the research base for updating the ISLLC Standards. A document, to be released in the spring of 2008 by CCSSO, will present the updated standards, explain the research behind the revisions, and provide other material explaining how the policy standards can be used. This following document is to present the standards and functions that were approved by the NPBEA Executive Board on December 12, 2007.

COUNCIL OF CHIEF STATE SCHOOL OFFICERS

Rick Melmer (South Dakota), President
Elizabeth Burmaster (Wisconsin), Past President
T. Kenneth James (Arkansas), President-Elect

Gene Wilhoit, Executive Director

Council of Chief State School Officers
One Massachusetts Avenue, NW, Suite 700
Washington, DC 20001-1431
Phone (202) 336-7000 • Fax (202) 408-8072
www.ccsso.org

Educational Leadership Policy Standards: ISLLC[1] 2008
*as adopted by the National Policy Board for Educational
Administration on December 12, 2007*

Standard 1: *An education leader promotes the success of every student by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by all stakeholders.*

Functions

   A. Collaboratively develop and implement a shared vision and mission

   B. Collect and use data to identify goals, assess organizational effectiveness, and promote organizational learning

   C. Create and implement plans to achieve goals

   D. Promote continuous and sustainable improvement

   E. Monitor and evaluate progress and revise plans

Standard 2: *An education leader promotes the success of every student by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.*

Functions

   A. Nurture and sustain a culture of collaboration, trust, learning, and high expectations

   B. Create a comprehensive, rigorous, and coherent curricular program

   C. Create a personalized and motivating learning environment for students

   D. Supervise instruction

   E. Develop assessment and accountability systems to monitor student progress

   F. Develop the instructional and leadership capacity of staff

   G. Maximize time spent on quality instruction

   H. Promote the use of the most effective and appropriate technologies to support teaching and learning

   I. Monitor and evaluate the impact of the instructional program

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[1] Interstate School Leaders Licensure Consortium

Standard 3: *An education leader promotes the success of every student by ensuring management of the organization, operation, and resources for a safe, efficient, and effective learning environment.*

<u>Functions</u>

    A. Monitor and evaluate the management and operational systems

    B. Obtain, allocate, align, and efficiently utilize human, fiscal, and technological resources

    C. Promote and protect the welfare and safety of students and staff

    D. Develop the capacity for distributed leadership

    E. Ensure teacher and organizational time is focused to support quality instruction and student learning

Standard 4: *An education leader promotes the success of every student by collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community resources.*

<u>Functions</u>

    A. Collect and analyze data and information pertinent to the educational environment

    B. Promote understanding, appreciation, and use of the community's diverse cultural, social, and intellectual resources

    C. Build and sustain positive relationships with families and caregivers

    D. Build and sustain productive relationships with community partners

Standard 5: *An education leader promotes the success of every student by acting with integrity, fairness, and in an ethical manner.*

<u>Functions</u>

    A. Ensure a system of accountability for every student's academic and social success

    B. Model principles of self-awareness, reflective practice, transparency, and ethical behavior

    C. Safeguard the values of democracy, equity, and diversity

D. Consider and evaluate the potential moral and legal consequences of decision-making

E. Promote social justice and ensure that individual student needs inform all aspects of schooling

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Standard 6: *An education leader promotes the success of every student by understanding, responding to, and influencing the political, social, economic, legal, and cultural context.*

<u>Functions</u>

A. Advocate for children, families, and caregivers

B. Act to influence local, district, state, and national decisions affecting student learning

C. Assess, analyze, and anticipate emerging trends and initiatives in order to adapt leadership strategies

Appendix E

Alabama Instructional Leadership University Redesign: Instructional Leadership for All

Alabama Schools

Alabama Instructional Leadership
University Redesign

Instructional Leadership for All Alabama Schools

Purpose

Instructional leaders play a critical role in improving the achievement of all students. It is not enough for university instructional leadership preparation programs to provide courses in the areas of school law, school finances, and organizational management. Universities must provide real life problem-based learning experiences that directly impact improvement in schools and districts.

Structure

Through collaborative K12-University partnerships, all universities in Alabama should work with local school districts to redesign their instructional leadership programs to address new state requirements. Alabama's Standards for Instructional Leaders require school leaders to be high-performing in all aspects of leadership. All new instructional leadership programs must now provide opportunities for candidates to demonstrate knowledge and abilities outlined in the Alabama Standards for Instructional Leaders while being involved in innovative site-based learning activities. Some of those expectations include:

- Apply research-based knowledge to address real-life problems and improve practices in classrooms, schools, and districts;
- Use data to inform decisions about students, teachers, schools, and/or districts;
- Create professional learning communities in which leadership teams successfully address classroom, school, and/or district needs;
- Engage parents and community members in supporting school improvement goals and higher student achievement.

Alabama's redesign of preparation programs requires universities to meet approval expectations by 2008 for Lead Universities, 2009 for all other universities. The working timetable below has been distributed to all university programs.

September 2006	*SREB two-day training based on lessons learned from redesign efforts in other states. All 13 Alabama institutions will be invited to send a two-person team (one IHE and one LEA member). Registration and meals will be provided. (Note that additional SREB training opportunities will be added to this list when they are confirmed.)*
October 1, 2006	**Lead institutions submit draft copies of Performance Assessment Templates (to document compliance with SBE standards) and checklists indicating all courses required for program completion**
January 1, 2007	**(Spring Semester) All candidates admitted to Instructional Leadership Programs (ILPs) at the four lead institutions will have satisfied the**

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collaborative admission criteria specified in the SBE standards (three years of experience, portfolio, etc.)

January 2007	*Four lead institutions share what they have learned with the other nine institutions (implementing collaborative program admission procedures and the practical elements of their redesign). Other opportunities for cross-institutional sharing will be provided whenever deemed appropriate.*
March 1, 2007	**Lead institutions will submit revised templates (if problems were identified in the drafts submitted by October 1) and draft designs of the field components embedded in required courses and the internship**
July 1, 2007	**Lead institutions will submit all documents necessary (PAT, checklist, syllabi, etc.) to document full compliance with SBE standards**
	Other institutions will submit documentation of compliance with SBE collaborative admission criteria so that all candidates beginning programs fall 2007 and thereafter will have been admitted under the new criteria
August 2007	**SDE and SREB will provide training for on-site review team members selected from a list of potential team members provided by the two agencies**
Early fall 2007	**On-site reviews will be conducted at the four lead institutions by teams composed of both out-of-state and Alabama educators**
Fall 2007	*Assistance will be provided to institutions that were not successful in documenting compliance with all SBE standards*
Spring 2008	**Lead institutions documenting compliance with all SBE standards (both on paper and during the on-site reviews) will implement their SBE-approved programs**
July 1, 2008	**Other institutions will submit all documents necessary (PAT, checklist, etc.) to document full compliance with SBE standards**
Early fall 2008	**On-site reviews will be conducted at the other institutions by teams composed of both out-of-state and Alabama educators**
Fall 2008	*Assistance will be provided to institutions that were not successful in documenting compliance with all SBE standards*
Spring 2009	**Other institutions that documented compliance with all SBE standards (both on paper and during the on-site reviews) will implement their new, SBE-approved programs**

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All universities should be working with local school districts to jointly identify potential candidates that the school districts would like to move into instructional leadership positions. Universities are urged to have candidates move through the programs as a cohort as they work together completing a series of courses that allow candidates to build upon knowledge and skills acquired in previous courses.

Process Used by Alabama to Redesign All Instructional Leadership Preparation Program

Alabama has used a very specific process to redesign all university instructional leadership programs. The following identifies the steps that are being taken to redesign all instructional leadership preparation programs and the general time periods when each has, or is to occur.

Step One: The Governor's Congress on School Leadership (2004)

Governor Bob Riley and State Superintendent Joseph B. Morton convened the Governor's Congress on School Leadership in Montgomery on November 30, 2004. Over 200 delegates from education, government, and business were in attendance. One hundred selected delegates were invited to participate in five task forces to address the development of strong leadership in Alabama schools. Task force members include participants from K-12, higher education, State Department of Education, education foundations and agencies, professional associations, business, and other community leaders.

Step Two: Creation of New Instructional Leadership Policies (2005)

As a result of the recommendations of the Governor's Congress on School Leadership, it was necessary to develop and attain approval of new policies to address the recommendations. Governor Riley and Dr. Morton appointed an Implementation Committee composed of stakeholders. This Implementation Committee was divided into subcommittees and given the charge to develop needed policies to address the recommendations of the Governor's Congress on School Leadership. The subcommittee responsible for university redesign identified the contents of a new policy that changed the instructional leadership preparation structure from one granting separate certification to supervisors and principals to a certification for Instructional Leaders. In addition, the structure changed from one requiring candidates to complete a set of courses pertaining just to supervision, administration, and/or "the principalship" to candidates completing a program that addressed all of the Alabama Standards for Instructional Leaders. Requirements address knowledge & abilities, dispositions, and performances for the following eight areas: Planning for Continuous Improvement, Teaching and Learning, Human Resource Development, Diversity, Community and Stakeholder Relationships, Technology, Management of the Learning Organization, and Ethics. A copy of the standards can be found at (http://www.alsde.edu/html/SpecialLinks).

Step Three: Creation of Guidelines and Expectations for the Redesign of the Instructional leadership Programs (2005-2006)

The State Board of Education adopted a set of guidelines for university instructional leadership programs that was disseminated to all campuses during 2005. The guidelines are embedded in the Alabama Instructional Leadership Standards in the Code of Alabama **SUPP. NO. 05-02 290-3-3-.48**

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The guidelines provide an overview of the redesign and evaluation process and communicate the fact that universities and school districts are expected to work together to redesign the programs and all redesigned programs should look different than existing programs. The following statement is provided to help campuses understand the difference.

"A recent report from the Southern Regional Education Board indicates that educational leaders must be prepared to 'understand school and classroom practices that raise student achievement and work with faculty to implement continuous school improvement'. The report clearly demonstrates that how universities deliver instruction must change if candidates are to be provided real life problem-based learning experiences that directly impact improvement in schools and districts. Preparing a New Breed of Principals: Leadership from The University President's Office, SREB, July, 2004.

During the external review process, the primary focus of the external evaluators will be upon the degree to which the redesigned instructional leadership programs create educational leaders who possess the knowledge and skills to create school environments in which improved student achievement and continuous school improvement occurs. In that the old certification requirements for principals and administrators lack requirements to fully address this focus, redesigned programs will not be recommended for approval if institutions simply align existing courses with the Alabama Standards for Instructional Leaders. More significant changes must be made to both program content and program delivery."

The University Redesign Evaluation Process will provide additional information about campuses using current research and state standards to develop the new programs and the Process will provide a format that campuses are required to use when submitting their redesign documents to the state for review by a visiting team. The University Redesign Evaluation Process will be developed by a committee consisting of university, State Department of Education and outside experts.

"It is expected that university and school district personnel will:

- *Work collaboratively during all stages of the redesign process (program structure, curriculum, delivery, and evaluation);*
- *Jointly establish criteria for selection of candidates for the instructional leadership programs;*
- *Jointly identify instructional leadership candidates who meet the criteria and exhibit leadership characteristics;*
- *Jointly create a curriculum in which courses focus upon instruction and the improvement of student achievement. It is assumed that at least 1/3 of the curriculum will address student achievement.*
- *Jointly identify competencies that require all instructional leaders to possess knowledge and skills pertaining to literacy and numeracy;*
- *Jointly create learning activities that focus upon problem-based learning while addressing state and national instructional leadership standards;*
- *Jointly develop relevant site-based experiences and internships that allow candidates to demonstrate leadership competencies in real-life situations."*

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Step Four: Review of All Redesigned Instructional Leadership Programs (2008-2009)

To ensure a level of quality across all redesigned instructional leadership programs, the state will conduct an audit of all redesigned instructional leadership programs. The new evaluation process calls for the visiting team to be 50% in-state evaluators and 50% outside expert evaluators. The process that will be used includes the following stages:

Stage 1: Submission of Redesign Proposals

All universities will submit proposals that meet specifications identified within the Alabama Standards for Instructional Leaders. All universities are required to submit their documentation according to the timetable included in this document. Further details about submission will be sent to universities from the State Department of Education as due dates approach.

Stage 2: Review of Redesign Proposals

The review process will be the first step to help create high quality programs across the state. The evaluators will use a two-stage review process to (1) assess support documents and (2) conduct face-to-face interviews with key university administrators, faculty, and school/district partners during a site visit. Prior to their arrival, the external evaluators will be provided copies of the support documents to read in advance. In addition, they will be provided copies of the guidelines, state expectations for the redesigned programs, Alabama Standards for Instructional Leaders, state certification structure, and other documents used by the campuses. The evaluators will review the proposals based upon the state expectations and jointly identify questions to ask during the interviews.

Teams composed of state personnel and evaluators will conduct interviews with university/district representatives including key university administrators, university faculty, and K-12 school partners. At the conclusion of the interviews, redesigned programs will be evaluated based upon documents and responses during the interviews. The evaluators will meet to discuss their findings to ensure that consistency exists across evaluators and across programs. Consensus will be reached by the evaluators to prepare their final report.

Stage 2: Review of Redesign Proposals (Cont'd.)

The three types of recommendations made by the evaluators will be the following:

- *Recommended for Approval*: Programs aligned to the Alabama Standards for Instructional Leaders, exhibited many strengths, and had no stipulations.

- *Reevaluation Required After Further Redesign*: Programs that exhibit some strengths, are partially aligned with the Alabama Standards for Instructional Leaders but have weaknesses that can be addressed within a reasonable timetable. (will require reevaluation and another review)

- *Not Recommended for Approval*: Programs that are in need of major program redesign and can not be redesigned within a reasonable time frame to admit new students.

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Although the Alabama Standards for Instructional Leaders will be the basis for approval, the team may make suggestions for further program improvement. Based upon information generated by the evaluators, written program reviews will be developed that provide specific feedback from the evaluators about each program. The Program Reviews will contain feedback from the evaluators in the following three areas:

A.   *Program Recommendations*

Standards-based recommendations that must be met for program approval

B.   *Program Suggestions*

Any suggestions that team might have. These are not binding.

C.   *Commendations*

Stage 3: Evaluation of Certification Requirements

Staff from the Alabama Department of Education will examine all redesigned programs to determine if they meet new requirements regarding program admission and completion. Section II of the Program Reviews will indicate if all certification requirements are met for the redesigned programs. If certification requirements are not met, areas that need to be addressed for program approval will be identified.

Stage 4: Evaluation Reports

Final reports will be submitted to the State Superintendent of Education to make final recommendations to the State Board of Education.

Step Six: Final Approval of All Redesigned Instructional Leadership Programs

The final approval process will ensure that campuses have addressed the stipulations of the review team and that high quality programs exist across the state. All programs recommended for approval without stipulations and found to have no program admission or completion problems will be recommended to the State Superintendent of Education to present for approval to the State Board of Education

All universities that have programs that are not recommended for approval will be required to determine if they will or will not continue to pursue program approval. If they decided to pursue program approval, they will be required to have their redesign team continue to meet and make major changes to the instructional leadership proposal as recommended by the review team. Campuses will not be allowed to submit the new proposal until the next evaluation cycle during the following spring or fall and will be required to undergo the full evaluation with the visiting team.

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If programs are required to meet stipulations or are found to have certification problems, universities will be required to address the areas cited and submit a program response to the State Department of Education. The State Department of Education will review the response and determined if it fully addresses the stipulations. If the response appears to meet expectations, a program review committee appointed by the State Superintendent of Education will visit the campus to ensure that the program addresses certification requirements and evaluation stipulations. If the university has addressed the stipulations required by the initial visiting team, its programs will be recommended for approval. If the university fails to address the evaluators' stipulations, campuses will be notified that are not allowed to admit students to instructional leadership programs. Universities may continue to redesign, ask for technical assistance from the State Department of Education and apply for approval in the next approval cycle.

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Appendix F

Principal Preparation Redesign Survey — 3 Pilot Universities

Principal Preparation Redesign Survey

3 Pilot Redesign Universities

Date: _____

University: _____   Program Name: _____

Please note your position during redesign process by checking the box below:
___Administrator ___Faculty ___K-12 Partner ___ Student ___Other __Yrs in Position

Directions: Thank you for taking the time to complete this survey. Please respond to the following questions by placing an **"X"** in one of the appropriate boxes below.

Part One

Choose ONE for Each Question	*Strongly Disagree (1)*	*Disagree (2)*	*Agree (3)*	*Strongly Agree (4)*	*Don't Know (0)*
1. University and local school districts actively collaborated on *candidate selection before* the program was redesigned.					
2. University and local school districts actively collaborate on *candidate selection as part of* the **current** program.					
3. University and local school districts actively collaborated on *candidate internships before* the redesigned program.					
4. University and local school districts actively collaborate on *candidate internships as part of* the **current** program.					
5. The field experiences provided through your redesigned preparation program are rigorous and effectively prepare aspiring leaders.					
6. The field experiences offer candidates numerous opportunities to *participate* and *lead* in meaningful leadership activities.					
7. The academic requirements for your redesigned leadership program are parallel to the current demands in the field.					
8. Your university provides adequate personnel resources to support the policies and procedures of the redesigned program.					

Choose ONE for Each Question	Strongly Disagree (1)	Disagree (2)	Agree (3)	Strongly Agree (4)	Don't Know (0)
9. Your university provides adequate funding to support the new policies and procedures of the newly redesigned program.					
10. Your current leadership program needs improvement in order to adequately prepare aspiring principals.					
11. Your leadership program was effective in preparing candidates for the principalship *before* the redesigned program.					
12. The requirements for your leadership program are similar to the requirements of the redesigned principal preparation programs at other Alabama universities.					
13. Your revised admission policies include assessments of multiple dimensions and candidate abilities.					
14. The leadership program curriculum was revised to include courses that are reflective of current leadership activities and responsibilities.					
15. The leadership program curriculum was revised to include courses designed around data-informed instruction for school improvement.					
16. Your program was designed to place more emphasis on leadership practices that promote student achievement.					
17. Your redesigned leadership program receives support from the Alabama Department of Education.					
18. Before redesigned, your leadership program received external financial support.					
19. After being redesigned, your program continued to receive external financial support.					
20. Your university provided initial training for faculty members involved in the redesigned leadership program.					
21. Your university provided on-going professional development for faculty members involved in the redesigned leadership program.					

Choose ONE for Each Question	Strongly Disagree (1)	Disagree (2)	Agree (3)	Strongly Agree (4)	Don't Know (0)
22. Your leadership program continues to collaborate with local school districts to select the most promising candidates.					
23. Your local school partners provide supportive conditions conducive for leadership program candidates to succeed.					
24. The organization of your university leadership curriculum is sequential and developmental.					
25. Your university leadership program actively promotes diversity.					
26. Your university leadership program actively advocates with others to improve learning conditions in K-12 schools.					
27. Professors and university administrators are knowledgeable about the redesigned principal preparation program policies at your university.					

Part Two: *Please express your thoughts below. You may use additional space on the back of this page if needed.*

1. What were the most important lessons you learned from participating in the redesign process?

   a. What were the greatest challenges that you faced when redesigning your program?

   b. How were these challenges overcome?

2. What important advice would you give to faculty and administrators in other universities going through the redesign process?

3. What factors facilitated your work while planning the program redesign?

4. In what ways, if any, has the culture of your organization changed as a result of the redesign?

   a. In what ways, if any, have your job responsibilities changed as a result of the redesign?

5. What factors facilitated your work on while implementing the redesigned program?

6. How are you sustaining the changes made during the redesign?

   a. What factors facilitated your work on trying to sustain the program redesign?

7. What factors hindered your work while planning the program redesign?

8. What factors facilitated your work while implementing the program redesign?

9. What factors hinder your efforts to sustain the redesigned program?

10. What changes, if any, were made to your redesigned program when it was implemented?

11. Who or what caused these changes to be made?

    a. How has your program made adjustments?

    b. What adjustments has your program made to ensure you are still meeting all state requirements?

12. What changes have occurred in terms of adding/ losing partners?

13. After two years of program implementation, what do you wish you could have done differently regarding your redesign?

14. In your opinion, what have been the most important efforts taken on the state level to sustain redesigned programming?

15. What further efforts would you like to see the state make to sustain the redesigned programs?

16. What are your perceptions regarding the steps that have been taken at the university/college level to sustain progress?

17. What additional steps would you like to see the university/college make to sustain progress?

18. What are your perceptions regarding the efforts that have been taken at the Partner District level to sustain progress?

19. What additional efforts would you like to see the Partner District make to sustain progress?

Part Three

20. Please check the box below that best reflects your current involvement with the Redesigned

    Principal Preparation Program at your current place of employment (University or Local

    Education Agency).

    ☐ Faculty Member

    ☐ Dean/Department Head

    ☐ External Consultant/Advisor

    ☐ Student

    ☐ LEA Partner Representative

    ☐ Other Position: _____

21. Please check all that apply.

    ☐ I was involved in planning

    ☐ I was involved in implementation

    ☐ I am actively involved in sustainability of programming

22. Funding for your principal preparation program redesign was provided through: (Check all that apply)

☐ Alabama State Department of Education

☐ External Funding Sources

☐ Internal Funding Sources

☐ There was no funding

23. Are original memorandums of agreements (MOAS) for the principal preparation program still in effect at your university?

☐ Yes

☐ No

If no, please explain what changes were made and why.

Appendix G

Redesign Universities Principal Preparation Redesign Survey — Remaining 10 Universities

Principal Preparation Redesign Survey

10-Remaining Redesign Universities

Date: _____

University: _____   Program Name: _____

Please note your position during redesign process by checking the box below:
___Administrator ___Faculty ___K-12 Partner ___ Student ___Other __Yrs in Position

Directions: Thank you for taking the time to complete this survey. Please respond to the following questions by placing an **"X"** in one of the appropriate boxes below.

Part One

Choose ONE for Each Question	*Strongly Disagree (1)*	*Disagree (2)*	*Agree (3)*	*Strongly Agree (4)*	*Don't Know (0)*
1. University and local school districts actively collaborated on *candidate selection before* the program was redesigned.					
2. University and local school districts actively collaborate on *candidate selection as part of* the **current** program.					
3. University and local school districts actively collaborated on *candidate internships before* the redesigned program.					
4. University and local school districts actively collaborate on *candidate internships as part of* the **current** program.					
5. Your program's field experiences for aspiring leaders are significantly different after the redesign than they were before.					
6. The field experiences provided through your redesigned preparation program are rigorous and effectively prepare aspiring leaders.					
7. The field experiences offer candidates numerous opportunities to *participate* and *lead* in meaningful leadership activities.					
8. The academic requirements for your redesigned leadership program are parallel to the current demands in the field.					

Choose ONE for Each Question	Strongly Disagree (1)	Disagree (2)	Agree (3)	Strongly Agree (4)	Don't Know (0)
9. Your university provides adequate personnel resources to support the policies and procedures of the redesigned program.					
10. Your university provides adequate funding to support the new policies and procedures of the newly redesigned program.					
11. Your current leadership program needs improvement in order to adequately prepare aspiring principals.					
12. Your leadership program was effective in preparing candidates for the principalship *before* the redesigned program.					
13. The requirements for your leadership program are similar to the requirements of the redesigned principal preparation programs at other Alabama universities.					
14. Your revised admission policies include assessments of multiple dimensions and candidate abilities.					
15. The leadership program curriculum was revised to include courses that are reflective of current leadership activities and responsibilities.					
16. The leadership program curriculum was revised to include courses designed around data-informed instruction for school improvement.					
17. Your program was designed to place more emphasis on leadership practices that promote student achievement.					
18. Your redesigned leadership program receives support from the Alabama Department of Education.					
19. Before redesigned, your leadership program received external financial support.					
20. After being redesigned, your program continued to receive external financial support.					
21. Your university provided initial training for faculty members involved in the redesigned leadership program.					

Choose ONE for Each Question	Strongly Disagree (1)	Disagree (2)	Agree (3)	Strongly Agree (4)	Don't Know (0)
22. Your university provided on-going professional development for faculty members involved in the redesigned leadership program.					
23. Your leadership program continues to collaborate with local school districts to select the most promising candidates.					
24. Your local school partners provide supportive conditions conducive for leadership program candidates to succeed.					
25. Your leadership program was redesigned to reflect current certification policies of the Alabama State Department of Education.					
26. The organization of your university leadership curriculum is sequential and developmental.					
27. Your university leadership program actively promotes diversity.					
28. Your university leadership program actively advocates with others to improve learning conditions in K-12 schools.					
29. Professors and university administrators are knowledgeable about the redesigned principal preparation program policies at your university.					

Part Two: *Please express your thoughts below. You may use additional space on the back of this page if needed.*

24. What were the most important lessons you learned from participating in the redesign process?

   a. What were the greatest challenges that you faced when redesigning your program?

   b. How were these challenges overcome?

25. What important advice would you give to faculty and administrators in other universities going through the redesign process?

26. What factors facilitated your work while planning the program redesign?

27. In what ways, if any, has the culture of your organization changed as a result of the redesign?

    a. In what ways, if any, have your job responsibilities changed as a result of the redesign?

28. What factors facilitated your work on while implementing the redesigned program?

29. How are you sustaining the changes made during the redesign?

    a. What factors facilitated your work on trying to sustain the program redesign?

30. What factors hindered your work while planning the program redesign?

31. What factors facilitated your work while implementing the program redesign?

32. What factors hinder your efforts to sustain the redesigned program?

33. What changes, if any, were made to your redesigned program when it was implemented?

34. Who or what caused these changes to be made?

    a. How has your program made adjustments?

    b. What adjustments has your program made to ensure you are still meeting all state requirements?

35. What changes have occurred in terms of adding/ losing partners?

36. After two years of program implementation, what do you wish you could have done differently regarding your redesign?

37. In your opinion, what have been the most important efforts taken on the state level to sustain redesigned programming?

38. What further efforts would you like to see the state make to sustain the redesigned programs?

39. What are your perceptions regarding the steps that have been taken at the university/college level to sustain progress?

40. What additional steps would you like to see the university/college make to sustain progress?

41. What are your perceptions regarding the efforts that have been taken at the Partner District level to sustain progress?

42. What additional efforts would you like to see the Partner District make to sustain progress?

Part Three

43. Please check the box below that best reflects your current involvement with the Redesigned Principal Preparation Program at your current place of employment (University or Local Education Agency).

☐ Faculty Member

☐ Dean/Department Head

☐ External Consultant/Advisor

☐ Student

☐ LEA Partner Representative

☐ Other Position: _____

44. Please check all that apply.

☐ I was involved in planning

☐ I was involved in implementation

☐ I am actively involved in sustainability of programming

45. Funding for your principal preparation program redesign was provided through: (Check all that apply)

☐ Alabama State Department of Education

☐ External Funding Sources

☐ Internal Funding Sources

☐ There was no funding

46. Are original memorandums of agreements (MOAS) for the principal preparation program still in effect at your university?

☐ Yes

☐ No

If no, please explain what changes were made and why.

Appendix H

Principal Preparation Redesign Survey — Local Education Agency Partners (LEAs)

Principal Preparation Redesign Survey

Local Education Agency Partners (LEAs)

Date: _____

University: _____   Program Name: _____

Please note your position during redesign process by checking the box below:
___Administrator ___Faculty ___K-12 Partner ___ Student ___Other __Yrs in Position

Directions: Thank you for taking the time to complete this survey. Please respond to the following questions by placing an **"X"** in one of the appropriate boxes below.

Part One

Choose ONE for Each Question	*Strongly Disagree (1)*	*Disagree (2)*	*Agree (3)*	*Strongly Agree (4)*	*Don't Know (0)*
1. University and local school districts actively collaborated on *candidate selection before* the program was redesigned.					
2. University and local school districts actively collaborate on *candidate selection as part of* the **current** program.					
3. University and local school districts actively collaborated on *candidate internships before* the redesigned program.					
4. University and local school districts actively collaborate on *candidate internships as part of* the **current** program.					
5. Your university-partner provides professional development activities in implementing the redesigned preparation program for program faculty and LEA partner- district personnel					
6. The field experiences provided through your redesigned preparation program are rigorous and effectively prepare aspiring leaders.					
7. The field experiences offer candidates numerous opportunities to *participate* and *lead* in meaningful leadership activities.					
8. Recruitment practices and policies for potential candidates at partner universities reflect the needs of Local Education Agencies.					

Choose ONE for Each Question	Strongly Disagree (1)	Disagree (2)	Agree (3)	Strongly Agree (4)	Don't Know (0)
9. The leadership program curricular at partner universities was revised to include courses designed around data-informed instruction for school improvement.					
10. Your university provided initial training and on-going professional development for LEA partners (administrators and principal-mentors) involved in the redesigned leadership program.					
11. Your school district works in partnership with your partner university to select the most promising candidates for its leadership program.					
12. Your school district provides support and working conditions conducive for leadership program candidates to succeed.					
13. Leadership preparation candidates are ensured access to schools and personnel in the partner district.					
14. Your partner university's leadership program provides avenues for the promotion of diversity in leadership					
15. Partner district administrators and school personnel are knowledgeable about the redesigned principal preparation program policies at partner universities?					

Part Two: _Please express your thoughts below. You may use additional space on the back of this page if needed._

47. As LEA Partners, what were the most important lessons that you learned from the redesign process?

a. What were the greatest challenges that you faced in the redesign process

b. How were these challenges overcome?

48. What important advice would you give to other LEA Partners going through the process?

49. What were the factors that facilitated your work while **planning** the redesigned program?

50. What were the factors that facilitated your work while **implementing** the redesigned program?

51. What were the factors that facilitated your work while trying to **sustain** the redesigned program?

52. What were the factors that hindered your work while **planning** the redesigned program?

53. What were the factors that hindered your work while **implementing** the redesigned program?

54. What were the factors that hindered your work while trying to **sustain** the redesigned program?

55. What changes, if any, have occurred since the redesigned program in your district that might have an impact on sustainability of the program?

56. After two years of program implementation, what do you wish you could have done differently in your participation on the redesign?

57. What changes have occurred in terms of making changes to the Memorandum of Agreements (MOAS) with university partners about the redesigned leadership program?

58. What are your perceptions regarding the steps that have been taken at the State level to sustain progress of the redesign?

59. What are your perceptions regarding the steps that have been taken at the University/college level to sustain progress of the redesign?

60. What are your perceptions regarding the efforts that have been taken at the Partner District level to sustain progress?

Part Three

61. Please check the box below that best reflects your current involvement with the Redesigned Principal Preparation Program at your current place of employment (University or Local Education Agency).

☐ Faculty Member

☐ Building Level Administrator

☐ Central Office Administrator

☐ External Consultant/Advisor

☐ Student

☐ Other Position: _____

62. Are original memorandums of agreements (MOAS) for the principal preparation program still in effect with your partner university?

    ☐ Yes

    ☐ No

63. If no, please explain what changes were made and why.

64. Did your local district provide release time for candidates chosen to participate in the partner universities redesigned principal preparation program?

    ☐ Yes

    ☐ No

Appendix I

Interview Questions Read Orally by Researcher

Interview Protocol for Policy Makers

Project: Lessons Learned About Planning, Implementing and Sustaining Principal Preparation Programs in Alabama

Time of Interview:
Date:
Place:
Interviewee:

Purpose

The purpose of this study is to examine the efforts put in place to sustain Alabama's redesigned principal preparation programs at the State, University/College, and Partner District levels. The study also identifies the state, university/college, and local district supports that were put in place during and after the redesign process to sustain changes made.

Greetings

Good morning/afternoon. Thank you so much for taking the time to meet with me to talk about your perceptions of efforts to sustain the progress of Alabama's Redesigned Principal Preparation Programs at the State Level, University/College Level and Partner District Level.

Explanation of the interview

I am collecting data concerning planning, implementation and sustainability of the redesigned principal preparation programs in colleges and universities in Alabama. I would like to audio record this session so that I can accurately capture your comments. Here is a form for you to read and sign as to your agreement or disagreement. Please take a few minutes to read the form. Please note that your agreement or refusal to participate will not affect your current or future relations with Auburn University, the Department of Educational Foundations, Leadership, and Technology, or the Truman Pierce Institute.

Warm up (set tone and climate of interview)

I am going to ask you questions concerning your participation in and knowledge of the redesigned principal preparation program in colleges and universities in the State of Alabama.

The range of topics will cover strategies put in place to sustain reform efforts; supports in place to sustain current reforms as well as barriers (challenges) that could undermine or limit sustainability of the work of the colleges and universities. Please speak freely, and take as much time as you wish.

Part One

First Topic Domain: Redesign of Principal Preparation Programs

The first topic centers on the efforts of the redesigned principal preparation programs initiated by the Governor's Congress on Instructional Leadership, including initiatives and policies that were developed and implemented to improve school leadership.

1. Describe your role in the reform efforts initiated by the Governor's Congress on Instructional Leadership.

2. Describe your role in the redesign of principal preparation programs in the State of Alabama.

3. In your opinion, how comprehensive was the set of new policies and initiatives developed by the State? Were there any policies or initiatives that were not included that you wish could have been? As you reflect back, are there any policies or initiatives that should have been eliminated or modified?

4. To what degree do you believe that the initiatives put in place, based on best-practices of the redesign in other states, were germane to the needs of Alabama?

5. What steps were taken by policy leaders to prepare colleges and universities and partner districts to understand the need for change in instructional leadership in the State of Alabama?

6. To what degree do you believe that stakeholders (university professors and LEA partners) agreed with policymakers on the need to improve instructional leadership? If there were differences, what do you think were the primary disagreements and what do you think the reasons were for these disagreements?

7. What are your perceptions regarding the efforts that have been taken at the State, University/College and Partner District levels to sustain progress? What do you wish could have been done differently? Why?

8. What types of resources were provided to Universities/Colleges in the redesign process?

9. What type of background research was done by the policy makers prior to undertaking the redesign of principal preparation programs in the State of Alabama? Who was involved in conducting that research?

10. In what ways, if any, were the efforts and actions of those involved with the pilot redesign programs different from the efforts and actions of those in programs that later underwent redesign?

11. How did reform policies developed by the state and implemented to improve school leadership influence the redesign of Alabama's principal preparation programs as it relates to:

    a. Standards

    b. Certification

    c. Professional Development

    d. Evaluation

12. To what degree did state guidelines and instructions sent to the universities for the redesign address the following issues:

    a. Alignment of policies to daily practice of principals?

    b. Engagement of stakeholders involved in the redesign?

    c. Building relationships/coalitions with the state, partner districts and other universities?

Part Two

Second Topic Domain: Barriers Encountered, Support Received, Processes Used

This topic will cover questions about factors that enable or hinder cohesion and coordination of program implementation at the state, university or district level.

65. What were the factors that facilitated your work on program redesign?

66. What were the factors that hindered your work on program redesign?

67. What changes, if any, have occurred since the programs were redesigned?

68. Have any universities/colleges or districts officially or unofficially shared with you any contextual factors (i.e. limited resources, personnel changes, politics) that inhibited their efforts continuing implementation of the redesigned principal preparation programs?

69. If the answer is yes, what (if any) penalties or sanctions will be placed on that school?

70. What are your perceptions regarding the efforts that have been taken at the State level to sustain progress?

Part Three

Third Topic Domain: Lessons Learned

The third topic covers lessons learned, impact of initiatives, and good intentions with unexpected consequences as well as recommendations for building cohesion for the future improvement of school leadership programs.

1) What were the lessons you learned throughout the process of redesigning principal preparation programs in the State?

2) What impact did this new multi-system restructuring have on instructional leadership as it relates to new standards?

3) What impact did this new multi-system restructuring have on instructional leadership as it relates to certification requirements?

4) What impact did this new multi-system restructuring have on instructional leadership as it relates to professional development?

5) What important advice would you give to other states going through a similar reform process?

6) What recommendations do you have for building cohesion for future improvement of school leadership programs?

7) Have any programs shared with you any unintended consequences that resulted from implementation of the redesigned program?

End Interview:

We are at the end of the interview. Would you like to add anything else? Thank you for taking the time to meet with me today. This concludes our session.

Appendix J

Auburn University Informed Consent and Information Letters/Audio Release Forms

AUBURN
UNIVERSITY

COLLEGE OF EDUCATION

Truman Pierce Institute

NOTE: DO NOT SIGN THIS DOCUMENT UNLESS AN IRB APPROVAL STAMP WITH CURRENT DATES HAS BEEN APPLIED TO THIS DOCUMENT.

INFORMED CONSENT
for a Research Study entitled

"Lessons Learned About Planning, Implementing and Sustaining Principal Preparation Programs in Alabama"

Dear Policy Maker/Consultant:

You are invited to participate in a research study to investigate the planning, implementation, and ability to sustain the recently redesigned principal preparation programs in selected Alabama universities. The study is being conducted by Karen M. Tatum, a Graduate Student, under the direction of Dr. Cynthia Reed, Director of Truman Pierce Institute and Professor in the Department of Educational Foundations, Leadership, and Technology at Auburn University. You were selected as a possible interviewee because you are directly or indirectly involved or have knowledge of the redesigned principal preparation program in universities and colleges in Alabama and are age 19 or older.

If you decide to participate in this research study, you will be asked for an interview. Your total time commitment will be approximately 60 to 90 minutes.

There are minimal risks and discomforts associated with participating in this interview. The primary risk is breach of confidentiality. However, completing the interview will be sincerely appreciated. There is no cost to you as a participant in this research study. Participants will be provided a copy of the results of this study upon their request.

No guarantees can be made that interview data will remain confidential. Your interview will be recorded. Data will be stored on the researcher's computer which is password protected. Information obtained through your participation will be used to fulfill a doctoral dissertation requirement, and may also be used in presentations at professional meetings, and in articles for professional journals.

_____
Participant's Initials

kmt

Page 1 of 2

108 Ramsay Hall
Auburn, AL 36849-5228

Telephone
334-844-4460

Fax
334-844-0468

If you change your mind about participating, you can withdraw at any time during the study. Your participation is completely voluntary. If you choose to withdraw, your data can be withdrawn as long as it is identifiable. Your decision about whether or not to participate or to stop participating will not jeopardize your current or future relations with Auburn University, the Department of Educational Foundations, Leadership, and Technology, or the Truman Pierce Institute.

If you have questions about your rights as a research participant, you may contact the Auburn University Office of Human Subjects Research or the Institutional Review Board by phone (334)-844-5966 or e-mail at hsubjec@auburn.edu or IRBChair@auburn.edu.

HAVING READ THE INFORMATION PROVIDED, YOU MUST DECIDE WHETHER OR NOT YOU WANT TO PARTICIPATE IN THIS RESEARCH STUDY. YOUR SIGNATURE INDICATES YOUR WILLINGNESS TO PARTICIPATE.

Best regards,

Karen M. Tatum
Karen M. Tatum
Investigator obtaining consent

_____
Date

_____   _____   _____
Participant's Signature   Date   Participant's Printed Name

kmt

Page 2 of 2

COLLEGE OF EDUCATION

Truman Pierce Institute

NOTE: DO NOT SIGN THIS DOCUMENT UNLESS AN IRB APPROVAL STAMP WITH CURRENT DATES HAS BEEN APPLIED TO THIS DOCUMENT.

INFORMATION LETTER
for a Research Study entitled

"Lessons Learned About Planning, Implementing and Sustaining Principal Preparation Programs in Alabama"

Dear Participant:

You are invited to participate in a research study to investigate the planning, implementation, and ability to sustain the recently redesigned principal preparation programs in selected Alabama universities. The study is being conducted by Karen M. Tatum, a Graduate Student, under the direction of Dr. Cynthia Reed, Director of Truman Pierce Institute and Professor in the Department of Educational Foundations, Leadership, and Technology at Auburn University. You were selected as a possible participant because you are directly or indirectly involved or have knowledge of the redesigned principal preparation program at your university and are age 19 or older.

If you decide to participate in this research study, you will be asked to complete and submit a survey form. Your total time commitment will be approximately 30 minutes.

There are minimal risks and discomforts associated with participating in this study. The primary risk is breach of confidentiality because indirect identifiers will allow for deductive identification. However, completing and submitting the survey will be sincerely appreciated. There is no cost to you as a participant in this research study.

If you choose to participate in this study, you can request a copy of the results. These results could aid your university and/or district partners by gaining valuable information for research and study about lessons learned regarding the planning, implementation and sustainability of the redesigned principal preparation program. If you would like a copy of these findings, please indicate that on the participation form.

108 Ramsay Hall

Auburn, AL 36849-4228

Telephone:

334-844-4468

Fax:

334-844-0028

_____
Participant's Initials

kmt

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www.auburn.edu

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If you choose not to participate, you can do so by not returning the survey form provided in this letter. Your decision about whether or not to participate or to stop participating will not jeopardize your current or future relations with Auburn University, the Department of Educational Foundations, Leadership, and Technology, or the Truman Pierce Institute.

If you decide to participate in this research study, you are asked to complete and return the enclosed survey within **10 school days. Please mail your completed survey form to:**

> Karen M. Tatum
> 1213 Bibb Street
> Tuskegee Inst., AL 36088

A self-addressed envelope is provided for you to return the survey form.

If you have questions about your rights as a research participant, you may contact the Auburn University Office of Human Subjects Research or the Institutional Review Board by phone (334)-844-5966 or e-mail at hsubjec@auburn.edu or IRBChair@auburn.edu.

HAVING READ THE INFORMATION PROVIDED, YOU MUST DECIDE WHETHER OR NOT YOU WANT TO PARTICIPATE IN THIS RESEARCH PROJECT. IF YOU DECIDE TO PARTICIPATE, THE DATA YOU PROVIDE WILL SERVE AS YOUR AGREEMENT TO DO SO. THIS LETTER IS YOURS TO KEEP.

Best regards,

Karen M. Tatum
Investigator obtaining consent

_____
Date

_____   _____   _____
Participant's Signature   Date   Participant's Printed Name

kmt

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AUDIO RELEASE

During your participation in this research study, "*Lessons Learned About Planning, Implementing and Sustaining Principal Preparation Programs in Alabama*", you will be audio recorded. Your signature on the Informed Consent gives us permission to do so.

Your signature on this document gives us permission to use transcripts produced from audio recording(s) for the additional purposes of presentations at professional meetings, conferences, and publication of articles in professional journals beyond the immediate needs of this study. These audio tapes will be destroyed at the end of this research.

Your permission:

I give my permission for audio recordings produced in the study, "*Lessons Learned About Planning, Implementing and Sustaining Principal Preparation Programs in Alabama*," to be used for the purposes listed above, and to also be retained.

Participant's Signature	Date	Participant's Printed Name

| | 01-20-2011 | Karen M. Tatum |
| Investigator's Signature | Date | Investigator's Printed Name |

kmt

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Appendix K

Auburn University Human Subjects Research Approval Letter

Dear Ms. Tatum,

As you know, your revisions to your protocol entitled "Lessons Learned About Planning, Implementing and Sustaining Principal Preparation Programs in Alabama" were reviewed. The protocol received final approval as "Expedited" under federal regulation 45 CFR 46.110(6, 7).

This e-mail serves as official notice that your protocol has been approved. A formal approval letter will not be sent unless you notify us that you need one. By accepting this approval, you also accept your responsibilities associated with this approval. Details of your responsibilities are attached. Please print and retain.

Please note that you must use copies of stamped, approved consent documents when you consent participants, and provide a copy (signed or unsigned) for them to keep.

Your protocol will expire on April 4, 2012.. Put that date on your calendar now. About three weeks before that time you will need to submit a final report or renewal request. (You might send yourself a delayed e-mail reminder for next March.)

If you have any questions, please let us know.

Best wishes for success with your research!

Office of Research Compliance
115 Ramsay Hall, basement ***NOTE NEW ADDRESS - MAP ATTACHED***
Auburn University, AL 36849
(334) 844-5966
hsubjec@auburn.edu