A POLICY ANALYSIS OF NEW PRINCIPAL INDUCTION PROGRAMS RELATED TO STATE AND DISTRICT POLICIES

Kristel Barr, B.S., M.A., Ed.S. Corinne Arens, B.S., M.A., Ed.S. Patrick Neal Layden, B.A., M.E.D., Ed.S.

A Project Presented to the Graduate Faculty of Saint Louis University in Partial Fulfillment of the Requirements for the Degree of Doctor of Education UMI Number: 3715753

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2015

COMMITTEE IN CHARGE OF CANDIDACY:

Associate Professor Jody Wood, Chairperson and Advisor

Associate Professor Dennis Lea

Associate Professor Gary Wright

Dedication

Kristel Barr

I dedicate my project work to my husband, a man who has always been a constant source of encouragement and support. He knew when we married I was determined to earn by doctorate and he has never been anything but supportive. This meant he had to take on additional responsibilities, including watching our children as I attended classes, studied for comps and worked on the project. He never complained, never was anything less than supportive. This is reflective of how he has been my entire career. He is an amazing man who has always been there for me no matter what direction my career took. I am in awe of his support and dedication and I love him with everything that I possess. He is my very best friend, my partner and my foundation.

I also dedicate my work to my children, Madison and Austin. There were many days when I couldn't be there, many nights when I had to study. They never complained and never asked why. They knew Mom was working on her next degree and they never once complained. In my heart, I hope they have learned to value education to the degree which I have.

I would like to thank my parents. They have always encouraged me to be the very best that I can be. I decided at the age of eighteen I would earn my doctorate, some day, and this is in part due to them. They always told me I should value my education and how I could be whatever I wanted to be. They worked hard to open the door to my first step—acceptance into the University of Missouri (Columbia) and they gave me the confidence to pursue education beyond a bachelor's degree. I became a strong, confident woman because of them.

I want to thank my partners, Corinne and Patrick. It was a long, convoluted road but we made it. I appreciate the teamwork, the hard work and the dedication. There were times when I thought we might not make it, but we did. I appreciate the journey; I have become a better person because of it and because of my time with them.

Finally, last but not least, I thank God. He is central in my life and has blessed me beyond measure. He has given me gifts that played part in the completion of this project. Most importantly, He gave me a passion for education that will never die. I hope that I am able to fulfill the mission He has prepared for me; to accomplish the work I am destined to complete.

Dedication

Corinne Arens

It is an impossible task to put into words the level of gratitude I have for so many who played a role in helping me accomplish this life-long dream. I would like to thank my loving and supportive husband, Jeremy, who never complained as I left for hours on end to attend classes, research or revise paper after paper. Thank you for believing in me and cheering me on when I thought it was impossible to continue. I love you.

To our two beautiful children, Jude and Calista, I hope you always know any dream of yours is attainable and to always shoot for the moon. To my sister Lea and her family as well as my in-laws, Chris and Harold for being on hand and being cheerleaders at the swimming pool or the soccer field in my absence. I am grateful for each sacrifice you made.

To my teammates, Kristel and Patrick, thank you for being a source of inspiration, comfort and leadership throughout this journey. I value our friendships and I am so happy we were placed together to work together on this project. I have learned so much from each of you and I wish each of you nothing but the best. I look forward to hearing of your accomplishments throughout the rest of your careers.

Lastly, I would like to thank my parents, Andy and Sandy. The ones who ignited the fire within me so long ago to reach for any star. The ones who were, and always will be, my biggest supporters. I owe them for my work ethic, my perseverance and my ability to obtain this degree. Thank you all for your endless support and encouragement. This is shared celebration of our entire family.

Dedication

Patrick Layden

The completion of this project is yet another milestone reached on a long journey. That journey would not have been possible without the unwavering support of many people. With the encouragement of family, friends, students, colleagues, and many more, this endeavor has not only been endurable, but quite an adventure. Those dear to me in my life have endured the loss of time along with the shortness of temper that only pursuing a doctorate can bring. Thank you for tolerating me through journey.

To my two partners on this particular project, Kristel and Corinne, I give to each of you my sincerest thanks for being talented and dedicated while having a strong ability to persevere my own peculiarities and flaws. Three very different personalities came together over the past two years, working through our various deadlines and difficulties with grace and agility. Each of you taught me to become a better listener, a better team player, and, most importantly, a better person. Thank you.

Acknowledgements

The project team would like to voice our appreciation to the College of Education and Public Service at Saint Louis University. Our professors' background knowledge was invaluable in helping us grow as learners and leaders. The body of work expected of us throughout the program challenged each of us on a regular basis and better prepared us for our forthcoming aspirations and goals. What we have learned influenced not only us, but also those we will lead in the future.

We would like to give special thanks to Dr. Jody Wood for her undying support and guidance as we completed our coursework and this project. She was consistently available to listen to our concerns, motivate us to keep moving forward and support us during tough times. Although she was officially our advisor, she became so much more to us, including a friend and mentor. Without her, we would not have completed our program and project in three years. We would also like to thank Dr. Lea for the time and guidance he gave us on our project. He provided a new perspective, which was much needed and aided us in refining our project.

Finally, we would like to thank our families and friends for their constant support. Their sacrifices allowed us to achieve our personal and professional goals. Without them, this could not have happened.

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Section One: Identification of the Problem

This project is a policy analysis of new principal induction programs in Missouri and twelve school districts in the Kansas City Missouri metropolitan area and its surrounding districts. Team members developed researched-based criteria and indicators to create a tool to analyze state and district policies. Findings from the policy analysis were used to develop recommendations to state education officials as well as state legislators and district administration on implementing principal induction policies.

There are eight sections of the paper with the first section addressing the rationale for the policy analysis itself. In particular, section one speaks to the significance of the issue, the problem statement and the guiding questions. Section two describes each phase of the project. The third section provides a summary of the research regarding principal effectiveness and components of quality induction programs. The research reviewed was used to build foundational knowledge of what makes an effective principal and the components of successful induction programs. The standards and subsequent indicators emerged from a study of the literature. In section four, the standards are explained along with the indicator, the process by which expert panelists were chosen and the process used to validate the scoring guide used to evaluate principal induction policies. Section five provides information for how the districts were selected and how the team members agreed upon the interpretation of each content standards and process standard prior to conducting the analysis of district information. Section six contains the team's analysis of induction policies at state and district levels. In section seven, the team reveals the findings of the policy analysis and provides an overarching analysis of the project, answering the guiding questions first posed in section one. Section eight, the final section, contains the team's recommendations and conclusions.

Significance of the Project

Team members began by discussing the importance of the principal in regards to student achievement and, subsequently, the qualities of effective principals. The team was familiar with adages speaking to the general connection between principal effectiveness and student achievement but could not speak directly to the research behind those thoughts. Members began to read and reread authors Robert Marzano, Kenneth Leithwood, Michael Fullan, Kathleen Cotton and others. Each author spoke to the importance of the role of the principal and to the traits of effective leaders in education. In particular, Whitaker (2003) went so far as to suggest every action the principal takes makes a difference.

The team continued to read related articles, further solidifying the belief the principal is key to student achievement. Grossman (2011b) insisted, "Principal effectiveness is second only to teacher effectiveness in terms of the school-based factors that influence student learning," (p. 2). Rises in student achievement cannot succeed without effective principal leadership (Institute for Educational Leadership, 2000). What became apparent was formal induction programs for principals seemed to be lacking. Most articles suggested 'trial by fire' was the method most districts used to train their principals.

In addition, the role of the principal has changed in the last two decades and districts have neglected to prepare principals for these new demands (Fullan, 2003). Instead of being a manager, school leaders must be instructional leaders who are able to provide meaningful feedback to teachers which leads to increased student achievement (Marzano Center, 2013). Yet, instructional leadership is not the only role of principals in today's educational environment (Marzano Center, 2013).

Principals are expected to be educational visionaries, instructional and curriculum leaders, assessment experts, disciplinarians, community builders, public

relations/communication experts, budget analysis, facility managers, special program administrators, as well as guardians of various legal, contractual, and policy mandates and initiatives. In addition, principals are expected to serve the often conflicting needs and interests of many stakeholders, including students, parents, teachers, district office officials, unions, state and federal agencies. As a result, many scholars and practitioners argue that the job requirements far exceed the reasonable capacities of any one person. The demands of the job have changed so that traditional methods of preparing administrators are no longer adequate to meet the leadership challenges posed by public schools. (Davis, Darling-Hammond, LaPointe, Meyerson, 2005, p. 4)

Research regarding the importance of the principalship on student achievement and the need for instructional leadership is abundant. "Evidence suggests that, second only to the influences of classroom instruction, school leadership strongly affects student learning. Principals' abilities are central to the task of building schools that promote powerful teaching and learning for all students," (Davis, et al., 2005, p. 4). Team members wanted to know what was being done to support and further train principals once hired for their first head administration position along with how training aligned to what was needed to be an effective principal. While time and energy has been spent developing and sustaining new teacher induction programs, the team questioned what was being done in regards to new principal induction programs.

To further guide and focus the research, the team developed a set of questions centered on the context of qualities of effective principals and components of effective induction programs. Team members decided states and local school districts must identify the qualities of effective principals as well as the components of effective induction programs in order to best prepare principals for their job. The team chose to create an instrument to measure their skills and components as a guideline to districts on how to create highly effective, quality induction programs for incoming principals.

Problem Statement

Leadership has a profound impact on student achievement because principals play a key role in setting the vision along with selecting, hiring and developing teaching staff, allocating resources and establishing the instructional tone of a building (Burkhart, Hough, McDonald, 2007; Owings, Kaplan, Chappell, 2011; Peterson, 1986; Wallace Foundation, 2013). Burkhart, et al. (2013) maintained school leaders receive minimal guidance and support through induction programs. State and local education agencies, through policies and practices, have been slow to fill this gap to ensure new principals receive adequate training in order to successfully lead (Burkhart, et al., 2013).

Under the Elementary and Secondary Education Act of 2001 - No Child Left Behind and the Obama Administration's Race to the Top program of competitive grants, public schools are expected to ensure all students are at a proficient level in order to maintain accreditation. In order to do this, principals must provide leadership to promote success for both teachers and students. Despite this reality, principals receive very little, if any, formal induction into the principalship beyond their graduate coursework. Therefore, the problem is lack of adequate induction for principals as they begin their career as head principal of a school.

This policy analysis project assessed what current policies and practices exist at the state and local levels in regard to principal induction programming. The gap between the policies districts have in place surrounding principal induction along with the actual programs conducted was investigated. A central purpose was to determine if district induction policies lead to the implementation of induction programming which develops principals who exhibit proficiency in the dimensions of high quality leadership.

The problem resides in the human resources frame (Bolman and Deal, 2003) because states and districts do not often have effective induction programs for new principals. In a cursory examination of state and local policies along with a review of literature concerning effective building administration in K-12 education, there was a lack of policy, protocols and supports to develop and retain building principals during their first three years of leadership. Due to the critical need for an effective principal in place to ensure increasing rates of student achievement in an era of high accountability, state and local agencies must close the gap between state and local policies and the dimensions exhibited by high quality building leaders.

Guiding Questions

The development of the policy used the following guiding questions:

- 1. What dimensions constitute an effective principal?
- 2. How does the state of Missouri's principal induction system emphasize the identified dimensions?
- 3. How do local school district induction systems within a regional area emphasize the identified dimensions and components?
- 4. What gaps exist between current, local and state new principal induction programs and the dimensions and components of highly effective new principal induction programs?

 Research is abundant regarding the traits and actions of effective principals. However,

action taken to develop these traits in principals beyond university training is sparse. In considering the principal's crucial role in affecting student achievement, it is paramount state and local agencies consider and construct policy, programs and procedures to meet the needs of what novice principals must have in order to effectively lead. There are several dimensions to

effective leadership, including setting the vision for the school, effective selecting, hiring and development of teaching staff, effective allocation of resources and the ability to establish the instructional tone of a building (Stronge, Richard & Catano, 2008).

In this policy analysis, the direct focus will be on identifying the dimensions constituting the effective capacity of a principal and evaluating state and district policies for principal induction programming. A discrepancy analysis will be conducted between what a review of literature states are the dimensions of an effective principal and what Missouri's policy and district policies emphasize within existing new principal induction programs.

The team created a list of undertakings as a way to provide structure for the research and analysis the project required.

- 1. Research the skills necessary for a principal to be effective and synthesize this research into major dimensions of principal effectiveness.
- Develop a set of criteria and indicators to identify the content standards necessary to be an effective building-level principals.
- 3. Research the components of effective induction programs and synthesize this research into major components of effective induction programs.
- 4. Develop a set of criteria and indicators to identify the process standards necessary for effective induction programs.
- Research the status of the state of Missouri in regard to policies and procedures for new principal induction.
- Collect the policies from randomly selected school districts across the Kansas City regional professional development center.

- Analyze the state and district policies and procedures regarding new principal induction programs.
- 8. Develop recommendations to state and district policy makers to further develop and enhance the principal induction programs.

Implications of the Project

The project's objective at the onset was to analyze and synthesize the most recent research on the dimensions of effective principalship and the most effective practices regarding induction. Based on this research the team developed a set of research-based criteria designed to analyze current principal induction policies. Team members analyzed the policies, programs and procedures using the scoring guide, and then made recommendations to improve principal induction programs on the state and local level.

At the conclusion of the report, the team made recommendations for policy makers at the state and local levels. There are multiple districts not possessing formal principal induction policies, programs or procedures. Though this analysis is focused on the state of Missouri, other states and local school districts can use the recommendations provided in this project to aid in the development of a principal induction program focused on the dimensions of effective principalship. For those states implementing a policy on principal induction programs, the recommendations provided may serve as a tool to measure and refine current practices.

The project recommendations provide guidance at the local level as well. School districts with a desire to improve or refine current principal induction programs or wishing to create new induction programs may use the criteria and indicators provided as a measuring tool to evaluate implemented practices. Since the criteria for effective principals and effective induction programs are research-based, they are applicable to any specific district situation.

Approach to the Problem

As stated earlier, the team reviewed current literature in order to establish criteria and indicators by which to evaluate state and local induction policies. In the process of conducting the research, it became obvious there were several common dimensions in regard to principal effectiveness. Upon synthesizing this research, five dimensions and subsequent indicators were developed for the content piece of the scoring guide used in the policy analysis. The dimensions are: establishing vision, mission and goals; instructional leadership; hiring, developing and retaining teachers; resource management; and, communication and community relations.

Research regarding effective principal induction programs was sparse, thereby indicating this was not a deeply-researched area. However, there was an abundance of research regarding effective teacher induction programs. Therefore, the team researched teacher induction programs in order to establish the criteria for effective induction programs, believing the components could be universal. Five components and subsequent indicators were developed for the process piece of the scoring guide used in the policy analysis. The components are: administrative support; professional development and networking; instructional leadership and collaboration; mentoring; and, evaluation.

Upon identifying the criteria and indicators for both the dimensions and components, the team requested review from an expert panel. Panel members were familiar with current research regarding principal effectiveness and high-quality induction programs. After receiving feedback from the panel members, the team made the necessary adjustments to the scoring guide used to examine policies at the state and district levels.

Team members created a methodology to conduct an analysis of policies regarding new principal induction programs. The team began with a rather broad review of the state of

Missouri and noted it did have an expectation for districts to implement a principal induction program. Additionally, the team collected principal induction policies from twelve randomly selected school districts in the Kansas City regional professional development center area. Of these twelve districts, five were classified as large districts, four were classified as medium districts and three were classified as small districts. The size of the district was based on student population. The policy analysis consisted of a review of the state of Missouri, and local school district policies, programs, and procedures.

All conclusions and recommendations are based on the review of current policies and procedures. Subsequent sections of this project focus on the research, the policy trends in Missouri and local school districts in the Kansas City area and the proposed recommendations to aid states and districts in creating more effective policies regarding new principal induction programming.

Summary

The role of the principal in increasing student achievement is well-researched and well documented (Marzano et al., 2005). Knowing this, team members focused on analyzing state and district policies regarding principal induction programming. This section provided the background for the project itself. It provided the significance, the problem statement, the guiding questions, implications and approach to the problem. The next section, Section 2, will provide the phases of the project.