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THE UNIVERSITY OF SAN FRANCISCO

A QUALITATIVE EXPLORATION OF PROFESSIONAL DEVELOPMENT FOR
BEGINNING PRINCIPALS IN K-8 CATHOLIC EDUCATION IN THE
SAN FRANCISCO BAY AREA

A Dissertation Presented

to

The Faculty of the School of Education
Department of Leadership Studies
Catholic Educational Leadership Program

In Partial Fulfillment
of the Requirements for the Degree
Doctor of Education

by
Sandra Elizabeth Jewett-Ramirez
San Francisco
May 2009

DISSERTATION ABSTRACT

A QUALITATIVE EXPLORATION OF PROFESSIONAL DEVELOPMENT FOR BEGINNING PRINCIPALS IN K-8 CATHOLIC EDUCATION IN THE SAN FRANCISCO BAY AREA

Both public and Catholic schools are plagued by severe principal shortages and rely on candidates who lack adequate teaching and administrative experience to successfully lead their schools. Thus, this study investigated the perceptions of Catholic elementary school principals, in regard to their daily role as faith, managerial, and instructional leaders, and the aspects of professional development in these areas that were helpful in addressing their leadership challenges.

Adult learning theory or andragogy was used as the theoretical rationale for this study. Adult learners are autonomous and self-directed; they are goal and relevancy oriented driven by a desire to apply in practice what they have learned.

This study used a qualitative research interview design, whereby interviews were conducted according to guided questions that focused on the theme of professional development in the areas of faith, managerial, and instructional leadership. The participants were six female Catholic school principals with more than 10 years of administrative experience in a diocese in the San Francisco Bay Area.

The findings from this study supported the research relevant to professional development, reflective practice, and mentoring relationships, as it pertains to the three areas of faith, managerial, and instructional leadership and how principals' success as leaders supports student achievement goals.

Because there is a dearth of literature regarding principal retention, recruitment and mentorship in the Catholic school, this research is noteworthy because it has the potential to influence three aspects of the Catholic educational landscape, namely, theory, policy, and practice. Further, the results indicated that a well-designed professional development program, grounded in practice, based on adult learning theory, and focused toward specific strategies, is essential in supporting principals during their first three years on the job. Moreover, important characteristics of mentoring relationships for professional development were identified to provide clarity and understanding of this complex process.

These guideposts for effectiveness can assist superintendents, school board members, and policy decision-makers in their efforts to shape and lead a comprehensive professional development program, as a means for effective principal leadership preparation and retention, while also enriching the professional growth of veteran principals. Thus, school systems will benefit from principals who will have acquired the necessary qualities, proficiencies, and leadership skills to positively impact all the members of their school communities.

Sandra E. Jewett-Ramirez

Virginia T. Shimabakuro
Chairperson, Dissertation Committee

This dissertation, written under the direction of the candidate's dissertation committee and approved by the members of the committee, has been presented to and accepted by the Faculty of the School of Education in partial fulfillment of the requirements for the degree of Doctor of Education. The content and research methodologies presented in this work represent the work of the candidate alone.

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DEDICATION

I dedicate this dissertation to the two most important women in my life, my mother Irma Ramirez-Jewett and to my daughter, Ashley Bodnar-Jewett.

My mother, my first mentor and unconditional friend, who through her hard work and example, encouraged me to begin and complete this journey; because of you, the dream of accomplishing anything I set my mind to do was born. Thank you for instilling in me a love for learning, a strong sense of confidence, perseverance, and service. I always want you to be proud of me.

My daughter Ashley who is the reason for my being, my driving force and inspiration in everything I do and undertake. I have always believed that children are our best teachers, and Ashley has been mine! Ashley, you are my pride and joy, and forever will be. I only want the very best for you. May you achieve as much and even more, in all you do and love. Keep those “chocolate chip eyes” on the prize! I love you, Ash.

I also dedicate this work to my wonderful husband Fernando Silva, who has unconditionally supported my efforts and has given me strength and energy, when at many times, mine had dissipated. I simply could not have completed this journey without his love, understanding, and patience. He has enriched my life with his presence and serenity, despite the challenges and transitions we faced during these three years of doctoral work. Thank you, darling for believing in my dreams and being in my life.

I too dedicated this dissertation to Lea Vlastelica, a second Mom, and to her late husband, Ron, who opened their home and shared their hearts with a newly arrived college girl from Mexico. Through your example you have taught me to be true to my goals and to take a stand on what is right and just.

Equally, I dedicate this work to my extended family and most loving friends, Daniel Kendall, SJ, Jeff LaBelle, SJ, and John Koeplin, SJ, who without hesitation have always lend me a helping hand, regardless of their time constraints or hectic schedules. Dan, my adopted uncle, is not only a close friend and a caring mentor, but he has been my #1 cheerleader, always reminding me about the rainbow after every storm! Jeff who always thinks of his little sister and patiently hears my ideas and somehow helps me sift through the better ones; and to John, my “compadre” for always reminding me about the importance of balance and humor; but most of all, for always saying “yes” to our family. Dan, Jeff and John, I could have not completed this work without your encouragement and loving support. Thank you!

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“I thank my God, wherever I think of you:
and every time I pray for all of you,
I pray with joy, remembering how
you have helped me...
right up to the present.”
Philippians, 1:3-5

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CHAPTER I

THE RESEARCH PROBLEM

Statement of the Problem

The literature about potential administrator shortages is replete with alarms based upon estimates that as many as one-half of all public school principals will retire within the next 10 years and there are many reasons to believe that the number of highly capable applicants may be dwindling (Berry, 2004; Cannon, 2004; Pounder, Galvin, & Shepherd, 2003). The United States Bureau of Labor Statistics (2001) projected a 13% increase in job openings for education administrators between 2000 and 2010. Relatively few teachers have expressed an interest in becoming principals (Ryan, 2006; Whaley, 2002). This lack of interest, due to a number of factors, such as long working hours, financial concerns, job dissatisfaction, combined with United States Department of Labor projections that 40% of the country's 93,000 principals are nearing retirement, highlights the need to call on the graying generation of school leaders to become mentors to those who will be entrusted with our schools (Blackman & Fenwick, 2000).

Most job openings, particularly for principals and assistant principals, are likely to result from the need to replace administrators who retire. According to the National Association of Elementary School Principals, elementary enrollment both in public and private schools rose by 21% between 1984 and 2002. Moreover, 1.3 million elementary students are expected in public schools by 2012, reflecting a 4% increase compared with fall of 2007 (NAESP, 2007). In the West, states such as California are expected to show an increase of 4% by 2012. Further, as school enrollments increase between now and 2014 (Trotter, 2004), job opportunities for assistant principals are projected to grow as

districts hire additional assistant principals to help with the increased workload in larger schools rather than opening new schools (Sink, 2008). However, even as the need for principals is increasing, the pool of qualified candidates is decreasing, particularly in rural and urban districts (Howley & Pendarvis, 2002; Trotter, 1999). This downturn in the number of candidates is primarily due to the challenging aspects of leading school improvement in low-performing urban schools (Trotter, 1999).

Although this study will not explore an urban setting, this is significant because the study is focused in the San Francisco Bay Area. Conflict with pastors was reported as an issue in Catholic school principal retention in a study by Brock and Fraser (2001), who reported that principals viewed a harmonious working relationship with the pastor or governing body as a critical factor in job satisfaction. As a result, both public and Catholic schools are plagued by severe principal shortages and rely on candidates who lack adequate teaching and administrative experience to successfully lead their schools (Byrne-Jimenez, 2003; Cusick, 2003; Fenwick, 2002).

The shortage of principals in United States public and nonpublic schools has raised nationwide concern (NAESP, 2005). An Educational Research Service (1998) survey of 403 school districts revealed that 50% of the districts had shortages of qualified applicants for principal positions. The typical public school principal in the United States had a median age of 50 and planned to retire by age 57.

In anticipation for a potential principal shortage, the Educational Research Service (1998) found that, among reformers and national groups, including the National Commission on Excellence in Educational Administration and the National Policy Board for Educational Administration, reform initiatives in principal recruitment and

preparation were needed in order to ameliorate potential shortages of high-quality candidates. Catholic schools around the country, not only mirror their public school counterparts in student demographics, but also face the challenging task of recruitment and retention of principals (Brock & Fraser, 2001; Fraser & Brock, 2006; NAESP, 1998; Traviss, 2001). In the case of Catholic education, Cannon (2004) found that because most prospective educational leaders are self-selected, they lack a structured leader recruitment program that is linked to a mentorship program that supports the retention of school administrators.

Contributing factors for the lack of interest and the principal attrition rate include long working hours, role overload, financial concerns, high-stakes accountability, lack of recognition, and mandates for educational renewal, all of which result in burnout and job dissatisfaction linked to a lack of managerial skills (Brock & Fraser, 2001; Cusick, 2003; Gronn & Rawlings-Sanaei, 2003; NAESP, 2005; National Association of State Boards of Education, (NASBE) 1999; Pounder, Galvin, & Shepherd, 2003; Thomson, Blackmore, Sachs, & Tregenza, 2003). In 1998, the average new principal worked 9-hour days, 52 weeks per year, for a salary approximately 10% more than veteran teachers (NAESP, 2005).

Additionally, accountability for factors out of their control, fragmentation of their time, and focus on management issues rather than curricular or instructional leadership all contributed to principals' job-related stress (Holdaway, 1999; Moos, 1999; Mulford, 2003; Whitaker, 2003). A study by Rayfield and Diamantes (2004) reported principals' dissatisfaction with the level of time commitment required to become an expert across many disciplines. Principals have little time for the real work of educating students.

According to Queen and Shumacher (2006), as many as 75% of principals experience stress-related symptoms; this job-related stress is exacerbated by often episodic and uncoordinated professional development (Petzko, Clark, Valentine, & Hackmann, 2002).

In a study conducted by Lashway (2003), he identified the continuation of trends noticed in 1998, in which stress was linked to a complicated set of interrelated variables including a fast-moving environment, feelings of personal inadequacy, the isolation created by the role, and the demands of diverse constituents. This latter expectation may be particularly challenging to beginning principals in the San Francisco Bay Area because this urban setting is represented with individuals from over 200 national origins, scores of languages, and 40% of whom do not believe that their family income adequately meets their basic needs (Survey Policy and Research Institute at San José State University, 2006).

Hansford, Tennent and Ehlich (2002) found that public school districts across the United States are becoming more focused in supporting the recruitment and retention of new principals by career-staged professional development, in which developmental needs are reflected in first, second and third year principal programs. For example, in 1998 the NAESP reported that approximately one-fourth of the school districts in the United States accounted for the existence of a principal induction program focused on the recruitment and preparation of new principal candidates; in 2002, more than half the nation's states required that all beginning principals receive at least a year of mentor support when they assumed their first administrative post (Daresh, 2001). In 2007, the Wallace Foundation expanded its efforts by funding an educational leadership initiative in 22 states, where

professional development curriculum was focused on the beginning principal (Spiro, Mattis, & Mitgang, 2007).

Although there is no data relating to Catholic education, clearly Catholic schooling mirrors its public school counterparts. With this in mind, Fenwick and Pierce (2002) and Peterson (2002) illustrated that beginning principals need to be supported not only through a high-quality preparation program, but through participation in ongoing professional development programs that exhibit clear focus and purpose, curriculum coherence, instructional strategies, linkage to state initiatives and program policies, and linkage to organizational history, values, mission and community.

Purpose of the Study

The purpose of this study was to investigate the perceptions of six Catholic elementary school principals, who have more than 10 years of administrative experience in a Catholic diocese in the San Francisco Bay Area. These veteran principals shared their perspectives in regard to their daily role as faith, managerial, and instructional leaders, as well as the aspects of professional development in these areas that were helpful in addressing their leadership challenges.

Background and Need for the Study

Since their beginning, from the early 1800s until the mid-1960s, Catholic schools in the United States were staffed primarily by vowed religious men and women, who shared their values, personal dedication, and disciplined life with their students (McCormick, 1985). At their enrollment peak (1965 to 1966), there were over 13,000 parochial, diocesan, and religious order schools (Kraushaar, 1976). However, over the past 40 years, the principalship of Catholic schools in the United States has passed

gradually but steadily into the hands of lay people (Traviss, 2001). In 1999, the National Catholic Education Association (NCEA) data revealed that laypersons constituted 92% of the faculty in Catholic schools, compared to 14% in 1950 (Helm, 2000). This change from religious to lay leadership in Catholic schools may be considered a historically significant by-product of the Second Vatican Ecumenical Council (1962-1965), (Flannery, 1992; Hines, 1998; Pendola, 1996), hereafter referred to as Vatican II.

According to Davidson (2006), the effective principalship of Catholic schools depends on the continuing availability of committed, faith-mature educators who are able to maintain and lead schools in terms of both academic excellence and good Catholic education. These individuals must operate from the assumption that the religious and spiritual dimensions of their leadership are essential aspects of headship in Catholic schools (Davidson, 2006).

Today, lay administrators face a world entirely different from that of their vowed religious predecessors (Cannon, 2004); yet, the Catholic educational system has not adapted to its lay leadership by ensuring for the ongoing professional development needed to support and retain new lay principals in today's Church (Davidson, 2006). Moreover, today's principal is expected to manage an increasingly complex organization (Pierce, 2000). Principals today are expected to create a team relationship among staff members, acquire and allocate resources, promote teacher development, improve students' performance on standardized tests, and build effective community linkages (Drake & Roe, 2003; Pierce, 2000).

According to foundational leadership research in education, the principal has the greatest potential for maintaining and improving the quality of school life (Sergiovanni,

1991). Sergiovanni claimed that providing “purposing” to a school or focusing the attention of others on matters of importance to the school is a major responsibility of symbolic leadership. In other words, symbolic leadership is accomplished by modeling and emphasizing the important goals and behaviors of what is important and valuable to a school (Jacobs, 1996). In the case of Catholic schools, the purposing element of effective leadership of its schools is dependent on the principal’s ability to establish a three-fold climate that is distinctly Catholic (Ciriello, 1996; Hunt, Oldenski, & Wallace, 2000; Muccigrosso, 1996), managerially sound (Ciriello, 1998), and academically excellent (Ciriello, 1993).

In *To Teach As Jesus Did*, the National Conference of Catholic Bishops (1972) declared that the “educational mission of the Church is an integrated ministry embracing three interlocking dimensions: the message revealed by God (didache) which the Church proclaims; fellowship in the life of the Holy Spirit (koinonia); service to the Christian community and the entire human community (diakonia) (§14). As a result, the basic purpose of a Catholic school is to prepare its student body to “proclaim the Good News and to translate this proclamation into action” (§7). Therefore, the principal of a Catholic school, as its symbolic leader, bears the primary responsibility for establishing the strong base upon which to build the Catholic identity of the school. In addition to being the faith leader of the school, the principal is expected to be an instructional leader and an effective manager, with knowledge in curricula, skills in organization, management, fundraising and development, and school law. Knowledge and expertise in these areas, coupled with the understanding of Catholic educational philosophy and the principles and

practice of Christian stewardship, can assure the smooth running and effective management of the school (Manno, 1985).

According to the Vatican II document on Catholic schools, the *Declaration on Christian Education*, Pope Paul VI (1965) explained that the purpose of the Catholic school is to develop a special environment imbued with the Gospel spirit of charity and freedom, to aid young people in the development of the new person they became at Baptism, and to bring the news of salvation to them so that their view of the world will be enlightened by faith. He proposed that teachers in Catholic schools be well-prepared in both secular and religious knowledge because the success of the school and its goals depend on them. Similarly, in *The Catholic School*, the Sacred Congregation for Catholic Education (1977) stated that the school is to be a part of the mission of the Church and is particularly charged with the education of the faith. This same document declared that Christ is to be the very foundation of the entire educational mission of the school. Therefore, the essential work of a Catholic school is to promote a faith relationship with Christ in all of its members.

Thus, when writing about the role of the Catholic school principal, Buetow (1988), referred to the principal as the “master teacher”, the person who leads the entire school community, who is both faith-filled and academically competent. He wrote:

The Principal sets the spirit of the Catholic school, establishes its patterns of discipline and inspires in the school community a vision of what it can become. She or he is at once the exemplar and the facilitator. In the Catholic school, the Principal cannot have any doubts about the school’s exact identity. It is the Christian vision that must orchestrate the whole. Principals and other Catholic school administrators must never lose a mental vision of Christ’s face, or their hearts’ hearing of his word. (p. 259)

Ciriello and Robinson (1996) posited that an important task for the Catholic school principal is to orient the members of the school community toward a relationship with Christ and to help each member view the institutional church as being in the service of bringing God and people together. Moreover, through education the Church seeks to prepare its members to proclaim the Good News and to translate this proclamation into action (NCCSB, 1972), principals, as faith leaders, are expected to understand and adjust the insights of the experts and the Spirit-led movement of the Church to the everyday activities of the school (Hennessy, 1983).

However, lay Catholic elementary school principals have not traditionally received the same faith preparation that their pre-Vatican II counterparts did (Helm, 2000). Consequently, for the most part, they do not have extensive knowledge in theology, Church documents, or Church history that their vowed religious counterparts received. Their familiarity and knowledge have only been derived from their daily practice of Catholicism (Davidson, 2006) and the preparation of Catholic school lay principals appears to have been neglected (Traviss, 2001).

Further, exacerbating this lack of faith preparation for Catholic school lay principals, Petzko, Clark, Valentine and Hackmann (2002) showed that beginning principals' turnover rate is due to their lack of managerial success and often episodic and uncoordinated professional development. Thus, the aim of this study was to investigate through the perceptions of veteran principals, the professional development needs of beginning lay Catholic school principals in their daily role as faith, managerial and instructional leaders, and the aspects of professional development in these areas that were helpful in addressing their leadership challenges.

Theoretical Rationale

Adult learning theory or andragogy (Knowles, 1984) assert that adults learn in a different manner than children. According to adult learning theory, adults are autonomous and self-directed. They need to be free to direct themselves. They need to connect learning to their life experience. Adults are goal and relevancy oriented. They are driven by a desire to apply in practice what they have learned (Knowles, 1990). Additionally, adult learners need to participate in small-group activities during the learning to move them beyond understanding to application, analysis, synthesis, and evaluation (Bloom, 1956; Speck, 1996). Coaching, mentoring, and other kinds of follow-up support are needed to help adult learners transfer learning into daily practice so that it is sustained (Cohen, 1995; Speck, 1996).

Similarly, Zepeda (1999) supported Cohen's (1995) behavioral functions argument that an organization that promotes adult learning should become familiar with the needs of its learners, and should focus on practical learning applications as a strategy for an effective professional development program. In short, adult learners need real life situations that address the "what ifs," the "whys", the "whats" and the "hows". Figure 1 illustrates how each of these assumptions for learning is related to each other.

Research Questions

This study investigated, from the perspectives of six Catholic school principals with more than 10 years of administrative experience, the following research questions:

1. What aspects of faith leadership do diocesan Catholic school principals perceive that beginning elementary school lay principals need in order to support their professional development as faith leaders?

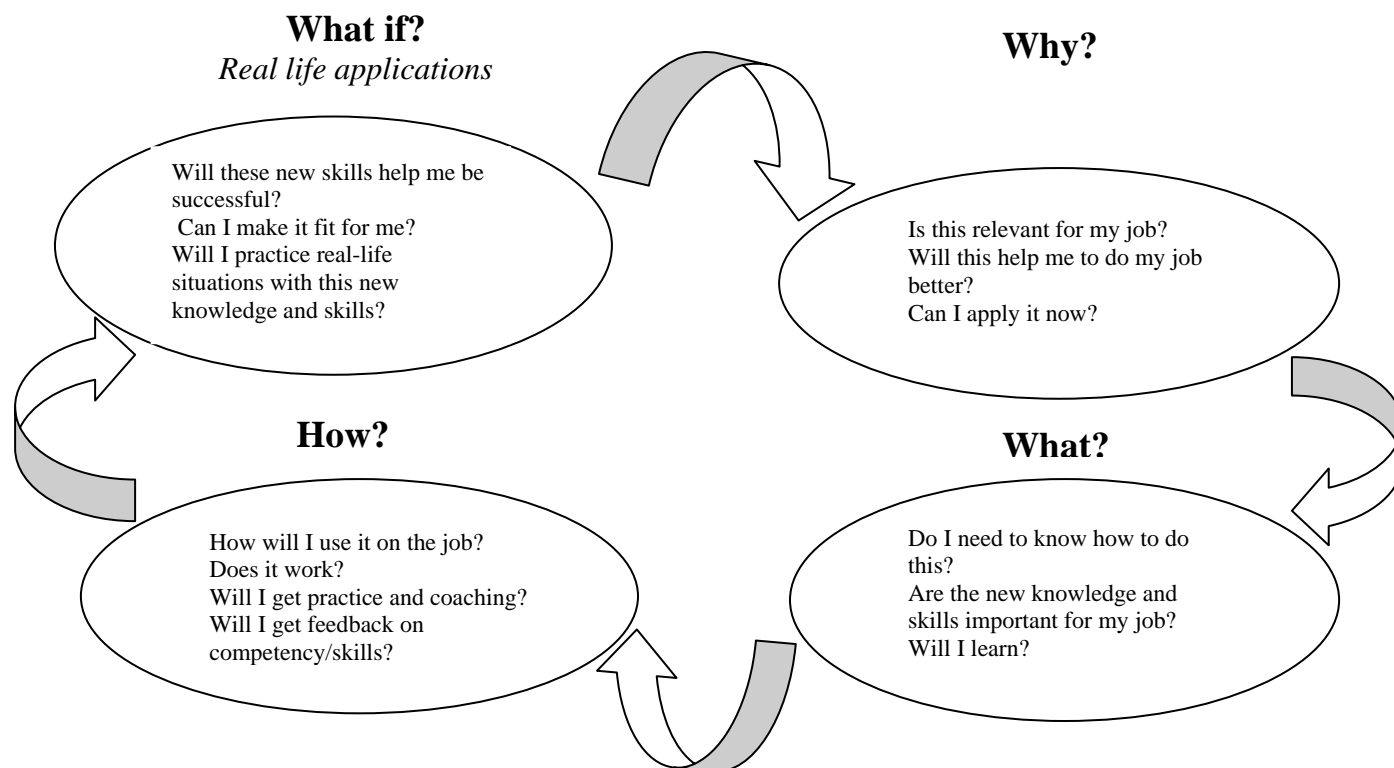


Figure 1. Adult learning in real life situations.

From: Zepeda (1999, p. 45)

- a. What aspects of professional development in faith leadership did participants find most helpful?
 - b. How did these aspects of professional development address the challenges that participants encountered as faith leaders?
2. What aspects of managerial leadership do diocesan Catholic school principals perceive that beginning elementary school lay principals need in order to support their professional development as managerial leaders?
 - a. What aspects of professional development in managerial leadership did participants find most helpful?

- b. How did these aspects of professional development address the challenges that participants encountered as managerial leaders?
3. What aspects of instructional leadership do diocesan Catholic school principals perceive that beginning elementary school lay principals need in order to support their professional development as instructional leaders?
 - a. What aspects of professional development in instructional leadership did participants find most helpful?
 - b. How did these aspects of professional development address the challenges that participants encountered as instructional leaders?

Limitations

This study was limited in scope to the Catholic population of one diocese in the San Francisco Bay Area. The study was further limited to six Catholic veteran school principals. Generalizations to other dioceses in other counties or states may or may not apply (Creswell, 1994). Qualitative research is not conducted to be generalized to a larger population (Kvale & Brinkmann, 2008). The researcher looked “to the specific, both to understand it in particular and to understand something of the world in general. From the positivist’s point of view, the respondent pool in qualitative research is too limited for development of generalizations” (Glesne, 1999, p. 153).

Another limitation is that the researcher is employed by this diocese. Therefore, it could be possible that participants may not be as forthcoming due to our mutual employment affiliation. To offset this limitation, it is important to note that the researcher does not work directly with any of the participants. Finally, it will be up to the reader to determine the transferability of the study’s findings and conclusions.

Significance of the Study

There appears to be a dearth of literature regarding principal retention, recruitment and mentorship in the Catholic school setting (Fraser & Brock, 2006; Helm, 2000). Hence, this research is noteworthy because it has the potential to influence three aspects of the Catholic educational landscape, namely, theory, policy, and practice. The literature review in Chapter II provided a theoretical rationale for any Catholic school or diocese wishing to explore the challenges impacting the principalship, as well as possible responses to those challenges.

The findings from this study will be worthy of mention because they are intended to inform and influence policy decisions about the structures, practices, and processes for the recruitment and retention of Catholic school principals. The data gathered could be used to introduce policies that challenge existing practices and support adult learning vis à vis effective professional development programs.

The research attests to the seriousness of establishing sound profession development programs for beginning school principals (Clark & Shields, 2006). As discussed previously, the pool of available candidates willing to consider the principal's role as a career choice appears to be shrinking (Berry, 2004; Cannon, 2004; Pounder, Galvin & Shepherd, 2003). At the same time, a dramatically increasing number of principals are retiring or not returning to their administrative responsibilities (Blackman & Fenwick, 2000). Likewise, incumbents are feeling overwhelmed by the expectations on the principal and the way the role of the principal has changed over recent years (Helm, 2000; Hunt, Oldenski, & Wallace, 2000). This study will contribute insights on how to effectively provide professional development programs that reflect the

professional development needs of today's Catholic school principals (Levine, 2005; Young, 2002). Therefore, the findings of this research are noteworthy because they could lead superintendents, pastors, search committees, and aspiring candidates to the understanding of what new principals need to ensure their success in effectively leading a Catholic school.

Definition of Terms

<i>Andragogy</i>	The art and practice of helping adult learners (Knowles, 1990).
<i>Faith</i>	The making, maintenance, and transformation of human meaning. Faith most often comes to expression and accountability through the symbols, rituals, and beliefs of particular religions (Fowler, 1981).
<i>Faith Leader</i>	A school principal who is responsible in building a faith community and fostering the spiritual growth of the faculty and students in his or her school. The instruction and education in a Catholic school must be grounded in the principles of Catholic doctrine; teachers [principals] are to be outstanding in correct doctrine and integrity of life (Canon Law Society of America, 1983)
<i>Formal Mentoring</i>	A structured and coordinated approach to mentoring where individuals (usually novices – mentees (also referred to as protégés) and more experienced persons – mentors) agree to engage in a personal and coordinated relationship that aims to provide professional development, growth and varying degrees of personal support (Hansford & Ehrich, 2006).
<i>Mentee</i>	A person dependent on the guidance and support of a more experienced colleague to master skills required in a particular position (Daresh & Playko, 1989; Wright, 1998).
<i>Mentor</i>	An experienced, skillful, and expert person who accepts the responsibility of creating opportunities that will enable less experienced people to grow personally and to develop professionally (Daresh & Playko, 1989; Wright, 1998).

Mentors have been described as individuals who take less experienced persons under their wings, grooming them to progress to their professional goals at any point of their careers (Thompson, 1998).

Mentoring Programs A mentoring program stipulates how a mentoring system functions within a specific institution and normally has a starting phase and a conclusion phase (Westhuizen & Erasmus, 1994).

Mentoring Systems An interactive process of bringing together experienced, competent administrators with beginning colleagues as a way to help them transition to the world of administration (Daresh & Playko, 1989; Wright, 1998).

Professional Development

All those activities which focus on the personal growth and development of an individual, which enable him or her to comprehend the nature of the new post and to comply with the requirements of that position. Professional development is, therefore, directed at the ongoing provision of support activities and feedback mechanisms to enable an individual to reflect with another on how the task is being performed (Westhuizen & Erasmus 1994).

This concept defines the ways in which educational administrators are provided learning opportunities while on the job (Daresh & Playko, 1992). The professional development function is focused on the development of knowledge, skills, behaviors, and values for dynamic school leadership (Crow & Matthews, 1998).

Protégé A protégé is described as a less experienced adult (newly appointed principal) who accepts the responsibility for his or her own professional development by depending on a mentor (experienced principal) to help him or her to acquire the necessary skills, in order to handle the post effectively (Westhuizen & Erasmus 1994).

Reflection The ability to reflect on one's thinking while acting (Senge, 1990).

Reflective Interview A technique that allows an interviewer to prepare in advance questions for the protégé in an effort for the

protégé to gain clarity of specific behavioral events that were observed. Questions are formulated in neutral phrases without being judgmental. Roles may be reversed. If roles are reversed, actions of both participants can be compared (Westhuizen & Erasmus, 1994).

Shadowing

A technique that allows protégé and mentor to observe each other's management behavior and actions, and to discuss these observations with each other. During shadowing, the events taking place are recorded in their sequence, every 10 minutes (Westhuizen & Erasmus, 1994).

Vatican II

Vatican II refers to the Second Vatican Council or the 21st Ecumenical Council of the Roman Catholic Church, which was convened by Pope John XXIII in Rome in 1962 and met until 1965 (Flannery, 1992).

CHAPTER II

REVIEW OF THE LITERATURE

Restatement of the Problem

The expectations of a school principal are complex and varied (Helm, 2000), which leads to overall job dissatisfaction and turnover rate (NASBE, 1999; Pounder, Galvin, & Shepherd, 2003; Thomas, Blackmore, Sachs, & Tregenza, 2003). These expectations create an overload of managerial challenges (Mulford, 2003; Roberts 1993). Additionally, the often episodic and uncoordinated professional development (Petzko, Clark, Valentine & Hackmann, 2002) does not adequately establish a professional development program, which can support the lay Catholic school principals in faith, managerial, and educational leadership (Ciriello, 1993, 1996, 1998; Helm, 2000; Mulford 2003; Jacobs, 2005). With this in mind, it is clear that new principal training, support, and professional development will be a by-product of sustaining and retaining early career principals (Educational Research Service, 2000; Levine, 2005; Young, 2002). Thus, the aim of this study was to investigate what is known about the professional development for beginning principals and how to support new Catholic lay school leaders, through professional development in the areas of faith, managerial, and instructional leadership.

Overview

The literature review focused on best practices for the implementation of professional development programs, including the socialization dimension, proficiencies and models. Further, it examined faith, managerial and instructional leadership, as it pertains to the role of the Catholic school principal. In addition, it looked at the

mentorship systems, as well as how Adult Learning Theory can support effective professional development programs.

Professional Development

As the school leader, the principal has been found to be a major factor in facilitating, improving and promoting change within the school setting (Daresh, 1997; Fullan 2001; Hallinger & Heck, 1998; Institute for Educational Leadership, 2000; Waters, Marzano, & McNulty, 2003). Hence, the findings of the early Effective Schools Research were affirmed through the years by researchers who noted that the leadership of the school's principal was imperative to improving the instructional program of a school (Fink & Resnick, 2001; Hord, 1992; Keller, 1998; Scott, 2003; Waters, Marzano, & McNulty, 2003; United States Department of Education, 2008). Hord (1992) in her synthesis of research on facilitative leadership, she concluded that the principal is most frequently recognized as the facilitator of change. Correspondingly, Fullan (2001) noted that the school leader can either act as a change agent by creating the conditions to develop the learning capacity within an organization or as the gatekeeper of the school. Leithwood, Louis, Anderson, and Wahlstorm (2004) concluded that effective leadership has the greatest impact in classroom instruction and that effort to improve the recruitment, training, evaluation and ongoing development of educational leaders should be considered highly cost-effective approaches to successful school improvement.

The role of the principal has evolved from the manager of the school building to the instructional leader and the change agent within that building and finally to the leader of instructional improvement within that building (Hessel & Holloway, 2002). Hessel and Holloway noted that instructional improvement is directly related to the standards

movement which forces instruction to be student centered rather than the traditional teacher centered format (p. 15). Today's principal no longer performs only what Elmore (2000) called "the ritualistic tasks of organizing, budgeting, managing and dealing with the disruptions inside and outside the system" (p. 6). According to the Annenberg Institute for School Reform, (2003) recent mandates for higher standards and greater accountability in schools have added yet more responsibilities to the traditional principal duties of establishing order and safety, managing the schedule, overseeing the budget, and keeping the overall running of the school on time. Today's school leaders, according to Elmore (2000), must also be skilled in coaching, teaching, developing their faculties. They must be able to supervise a continuous improvement process that tracks student performance, which means they must be knowledgeable of curriculum, instructional and assessment. Additionally, Elmore contended that principals must be skilled in interpersonal relationships so that they can successfully build learning communities within the school and within the school community. Driscoll and Goldring (2003) noted that the concept of instructional leader has to be expanded to include the community and the school as contexts of student learning. The increasingly complex environment of today's schools makes schools more challenging and leadership more essential (Engelking, 2007; Leithwood & Riehl, 2003). Davis, Darling-Hammond, LaPointe, & Meyerson (2005) summed up the increasing demands on the principal when they said, "the role of the principal has swelled to include a staggering array of professional tasks and competencies" (p.4).

With this daunting task and change in scope of responsibilities, one can understand Daresh's (1997) findings as to why beginning principals indicate frustration

over not understanding as much as they should know about basic managerial skills. In his work, Daresh found that early career principals also indicate the difficulties in becoming socialized to their new roles and responsibilities. Daresh asserted that beginning principals struggle in establishing personal values and ethics, which stem from the school's purpose, vision, and mission. Thus, he argued that in order for a new principal to be an effective leader, the principal must not only have a sense of self, but must be able to articulate personal values in a manner that establishes cohesion and direction within the school. Daresh concluded that principals must learn when and how to use their authority while learning to establish a positive rapport with colleagues, and learning to be attentive to the culture and norms of the organization.

Gergens (1998) reported that some of the greatest challenges experienced by principals included learning the intricacies of the position, establishing routines, building a culture, and clarifying their role and authority. The intricacies of the principalship involved (1) planning, (2) organizing, (3) leading, and (4) controlling. Planning refers to setting goals and objectives for the school and developing strategies to implement them. Organizing focuses on bringing together the necessary resources to accomplish the goals in an efficient manner. Leading emphasizes guiding and supervising subordinates and creating an environment where individuals maximize their potential. Controlling refers to the principals' evaluation responsibilities that include reviewing teacher performance, providing feedback and clarifying expectations.

Consequently, the principalship is a fast-pace on-the-move management experience (Engelking, 2007), which may contribute to stress, feelings of isolation and self-doubt. As a result, Daresh (1997) argued that mentoring programs and the

relationships that evolve from such programs can greatly decrease anxiety and allow for a smooth transition during the initial years of a principal. Hence, professional development programs should be career-staged, with specialized training for aspiring, new, and experienced principals (Fenwick & Pierce, 2002) and allow for networking and socialization (Zepeda, 1999).

Similarly, Darling-Hammond, LaPointe, Meyerson, Orr & Cohen (2007), Dussault (1995), Ehrich, Hansford and Tennent (2004) and Spiro, Mattis and Mitgang, (2007) revealed that exemplary programs have developed a comprehensive approach to developing practice-in-practice, through a well-connected set of learning opportunities that are informed by a coherent view of teaching and learning and are grounded in theory and practice. Rather than offering an array of disparate and ever-changing one-shot workshops, systems with effective in-services organized a continuous learning program aimed at the development and implementation of specific professional practices required of principals.

Professional Development and Socialization

Despite existing consensus for professional development programs, empirical evidence for the impact is currently minimal (Allen, Eby & Lentz, 2006; Baugh & Fagenson-Eland, 2007; Davis, Darling-Hammond, LaPointe, & Meyerson, 2005; Wanberg, Welsh, & Hezlett, 2003). Though little systematic research (Howley, Chadwick, & Howley, 2002) has been conducted to explore the nature, quality, and outcomes of the professional development offered to (or required of) school administrators, the literature points out the importance of networking and the value of efforts that bridge the distance among isolated school administrators (Hale & Moorman,

2003; Institute for Educational Leadership (IEL), 2000; Mann, 1998; National Association of School Boards of Education (NASBE), 1999; National Staff Development of Council (NSDC), 2000; Neel, 2007). These studies have pointed out that professional development must be long-term, job-embedded, focused on student learning, supportive of reflective practice, and provide opportunities for peers to work, discuss, and solve problems together.

Networking is enabled in some initiatives through inter-district collaborations, distance learning technologies, and summer institutes (Peterson & Kelley, 2001). According to Daresh (1988), beginning principals should be supported in the isolated environment in which they perform their task. Similarly, Mullen and Cairns (2001) argued that beginning principals experience particular problems regarding their role clarification, management skills, and their ability to adapt to the social environment of their new schools. Because these aspects are not addressed in traditional administrative training programs, new principals experience uncoordinated approaches upon their entry into a school system (Garet, Porter, Desimone, Birman & Yoon, 2001; Hilcox, 2002; Petzko, Clark, Valentine & Hackman, 2002).

Moreover, the use of networking for professional development of principals is based on the belief that collegial support is needed in order to be an effective school leader (Howley, Chadwick & Howley, 2002; Lashway, 2002; Walker & Qian, 2006). Owens (2000) stated that organizational effectiveness is indicated by the presence of norms of mutual support and collegiality which results in greater leadership, longevity, and productivity. Similarly, Crow (2006, 2007) and Daresh (2001, 2006) argued that networking involves linking principals for the purpose of sharing concerns and effective

practices on an ongoing basis. Networks tend to be informal arrangements that emerge when principals seek out colleagues who share similar concerns and potential solutions to problems. However, rather than being periodic social gatherings, true networking is regular engagement in activities that have been deliberately planned by the principals themselves, as a way to encourage collective movement toward enhanced professional performance (Garet, Porter, Desimone, Birman & Yoon, 2001; Neufeld, 1997). In other words, networking is not only a form of socialization where new principals learn about their new roles (Crow, 2007; Williamson & Hudson, 2002) but it is also a reciprocal process (Braun & Carlson, 2008; Crow & Matthews, 1998) where all participants learn from each other.

Professional Development Proficiencies

In 1996, the Council of the Chief State School Officers (CCSSO) approved national standards for educational leadership policy, known as the Interstate School Leaders Licensure Consortium (ISLLC). The ISLLC standards have helped guide leadership policy and practice in more than 40 states, including California. The purpose of the Standards was to give policymakers and education leaders a common vision and goals for how to improve student achievement through better educational leadership (CCSSO, 1996). The original 24 member states of the Consortium joined with 11 major professional associations representing the practitioners and the university, spanning the K-20 educational continuum.

Today, the ISLLC Standards have been revised and adopted by the National Policy Board for Educational Administration (NPBEA), (CCSSO, 2008). These standards have retained the original structure of the six original ISLLC Standards, but

they are written for new purposes and audiences. The ISLLC (2008) reinforces the proposition that leaders' primary responsibility is to improve teaching and learning for all student. However, the 2008 revision represents 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 (Darling-Hammond, LaPointe, Meyerson, Orr & Cohen, 2007; Sanders & Simpson, 2005; Toye, Blank, Sanders & Williams, 2006).

In short, these standards reflect the wealth of new information and lessons learned about education leadership over the past decade (CCSSO, 2008). Hence, the Consortium relied heavily upon the research of linkages between educational leadership and effective schools, especially the successful academic achievement of students (Darling-Hammond, LaPointe, Meyerson, Orr & Cohen, 2007; Kearney, 2003; The Wallace Foundation, 2006, 2007). The report of the Consortium's work (CCSSO, 1996) noted that strong school leaders focus their work on the learning environment that is conducive to school improvement. These school leaders also function as moral agents and social advocates for their students and their communities and are effecting in building strong connections with the members of their internal and external communities (Daresh, 2001). The qualities, proficiencies, and leadership skills that form the foundation of the ISLLC initiative are consistent with the findings of Leithwood, Louis, Anderson, & Wahlstorm (2004) and Leithwood and Riehl (2003).

The National Association of Elementary School Principals (NAESP) has devised Proficiencies for Principals that provide guidance and direction for the preparation and professional development of K-8 school principals. The Proficiencies are based on both

research concerning effective principals and the experience of practicing administrators. These Proficiencies are divided into two main categories: (a) Leadership Proficiencies and (b) Administrative or Management Proficiencies (NASBE, 1999). Accordingly, effective principals who emulate Leadership Proficiencies demonstrate that they are leaders of leaders, who place their highest priority on the teaching and learning in their schools. They focus on sustaining a quality environment that is both moral and ethical in their everyday encounters. Successful principals who display effective Administrative or Management Proficiencies possess strong organizational skills, effectively manage fiscal resources, and deal with political pressures (NASBE, 1999).

Thus, with the ever increasing additional responsibilities that principals are expected to meet, these individuals are faced with acquiring qualities, proficiencies, and leadership skills they may not possess (Davis, Darling-Hammond, LaPointe, & Meyerson, 2006; Elmore, 2000; Institute for Educational Leadership (IEL), 2000; Keller, 1998). According to NASBE (1999), the principal of today is in the position of becoming the life-long learner that is advocated within education literature. For mere survival, the principal must become a student again because “current principals find very little in the professional preparation or ongoing professional development to equip them for this new role” (IEL, 2000, p. 2). Not only may the principal’s personal survival be dependent upon having the qualities, proficiencies and leadership skills necessary to perform the challenging role of leading a school to instructional improvement, but also the academic success of the students is dependent upon the principal’s possessing and regularly demonstrating qualities, proficiencies, and leadership skills required to meet the demands

at hand (Fink & Resnick, 2001; Hallinger & Heck, 1998; IEL, 2000; Leithwood & Riehl, 2003; Waters, Marzano, & McNulty, 2003).

Professional Development Models and In-Services

Professional development is increasingly cited as a key mechanism for improving schools (Elmore, 2002; Frechtling, 2001; Newmann, King, & Youngs, 2000). McCough (2003) noted that professional development is one of the three common methods employed to revitalize principals' practices. Additionally, Achilles and Tienken (2005) contended that the constant renewing of knowledge and skills can be accomplished by addressing the change and demands of the principals' role through professional development. As a result, over the years, three philosophical orientations have guided the education and professional development of school administrators: traditional/scientific management, craft, and reflective inquiry. The traditional model is characteristic of preparation programs at universities. The craft model trainers are primarily practitioners in their fields. In the reflective inquiry model, the principal is encouraged to generate knowledge through a process of systematic inquiry (Daresh, 2001; Fenwick & Pierce, 2002; Lieberman & Wilkins, 2006; Sparks, & Loucks-Horsley, 1989).

The Traditional Model

The traditional model exposes the principal to the research base on management and the behavioral sciences (Farkas, Johnson, Duffett, Foleno, & Public Agenda Foundation, 2001). However, research indicates that successful leadership preparation programs are modeled and organized around clear goals for system-wide values and learning (Darling-Hammond, LaPointe, Meyerson, Orr & Cohen, 2007; Orr, 2003). Darling-Hammond, et al. found that exemplary pre- and in-service development programs for principals have common components, including a coherent and

comprehensive curriculum that is aligned to state and professional standards, in particularly the ISLLC 2008 standards, which emphasize instructional leadership.

According to leadership for *Learning Making the Connections Among State, District and School Policies and Practices* (2006), adequate training, clear expectations, and the right mix of incentives and conditions are needed to help facilitate strong leadership. In the case of Catholic education, a number of universities have created programs that support the development of principals for faith-based urban schools, such as the Notre Dame's Alliance for Catholic Education (ACE), (United States Department of Education, 2008) or the Institute of Catholic Educational Leadership (ICEL) at the University of San Francisco. These universities serve in challenging inner-city locations, including Los Angeles, Washington, D.C., Dallas, Kansas City, and San Francisco. Principals learn the general principles of administrative behavior and rules that can be followed to ensure organizational effectiveness and efficiency (Chirichello, 2001; United States Department of Education, 2008).

Though institutions of higher education contribute to faith-based schools by providing assistance with curriculum development, strategic planning, fundraising, accounting, and recruitment, the participants are often the passive recipients of knowledge at a university setting. Therefore, learning activities are defined by the institution and are not generally tailored to the specific learning needs or reflective of the principals' school context (Cunningham & Sherman, 2008; Farkas, Johnson, Duffett, Foleno, & Public Agenda Foundation, 2001; Fenwick & Pierce, 2002; Murphy, 2001; Norton, 2002; United States Department of Education, 2008; Young & Petersen, 2002).

Craft Model

In addition to university training, many school systems, professional associations, and other education agencies have created in-service academies and workshops. These series have course delivery systems similar to universities. Content is changed periodically, usually on the basis of needs assessments administered to potential academy participants. This approach is distinct from other in-service models because of its short-term duration and because it tends to deal with a narrow range of topics, or highly focused topics (Browne-Ferrigno & Shoho, 2002; Daresh, 2002). Unlike university-based programs, academies and seminars are more learner-driven. Attendance and participation in these types of learning activities stem from a principal's personal motivation and desire to learn and grow professionally, not from a need to meet certification or degree requirements (Daresh, 2001; Young & Petersen, 2002).

Hence, the increasing emphasis on standards has created a shift in how school districts deliver professional development (American Federation of Teachers, 2002; Lewis, 2002; Peel, 1998; Porter, Garet, Desimone, & Birman, 2003; United States Department of Education, 2008; Zimmerman & Jackson, 2003). Many school districts nationwide are collaborating with universities in designing and delivering professional development for their participants; at the same time, some school districts are designing and implementing their own programs. The shift has led to a significant increase in the number of district offices specifically designated to design and implement professional development, as well as to provide standards-based evaluation (CCSSO, 2008).

In the San Francisco Bay Area, Aspire Public Schools, based in Oakland, California offers a principal-preparation program in cooperation with San Jose State

University. The charter-management organization provides faculty members for the two-year program, with candidates earning an administrative credential and a master's degree (Robelen, 2008). In this report, Robelen also indicated that through the efforts of the Charter Schools Development Center, charter school leaders are provided support and training on topics such as school finance, facilities, labor relations, governance matters, and charter school law. In the meantime, a recent report by the National Alliance for Public Charter Schools (Perry, 2008), urged the creation of "charter executives" rather than the traditional principalship for charters that would be provided by a variety of local, state, and regional institutions, rather than traditional colleges of education.

In *Preserving a Critical National Asset: America's Disadvantaged Students and the Crisis in Faith-Based Urban Schools* (2008), the United States Department of Education, 2008 posited that because a wide array of innovative organizations have been created to support education reform effort, faith-based urban schools should open a dialogue with the educational organizations and entrepreneurs that serve similar student demographics, needs, and challenges in an effort to replicate successful models present in public and charter school systems. According to this national report, the lessons learned from a craft model, coupled with the leveraging of creative energies from outside partners, could provide invaluable assistance to the struggling faith-based urban school sector.

Thus, in the craft model, the principal is the recipient of knowledge from seasoned administrators whom she or he shadows in internships and field experiences. The purpose of shadowing is for the principal-observer to examine how other principals interact with school personnel and the public, deal with problems, and respond to crises.

The observer learns other ways of handling school concerns. In the craft approach, the source of professional knowledge is the practical wisdom of experienced practitioners and the context for learning is a real school setting (Daresh, 2001; Fenwick & Pierce, 2002). However, as with traditional programs, there is little evidence that connect preparation practices to principals' on-the-job performance or to student achievement (Browne-Ferrigno & Shoho, 2002; Farkas, Johnson, Duffett, Foleno, & Public Agenda Foundation, 2001; Norton, 2002), unless clear expectations of what leaders need to know and what they need to do to improve instruction and learning (CCSSO, 2008; Kearney, 2003; Leithwood, Louis, & Anderson, 2004).

Reflective Inquiry Approach

The reflective inquiry approach to professional development focuses on creating opportunities in which principals are able to make informed, reflective and self-critical judgments about their professional practice (Chirichello, 2001; Hall, 2008). By using this approach, principals are active participants in their learning and the source of knowledge is in self-reflection and engagement (Butler, 2008; Byrne-Jimenez & Orr, 2007; Kolb, 1984). The goal is to encourage principals to reflect on their values and beliefs about their roles as school leaders, take risks and explore new skills and concepts, and apply their new knowledge and skills in real school contexts (Baker & Doran, 2006; Eun, 2008; Hanuscin & Lee, 2008). Networking, mentoring, and reflective reading and writing are key components of this approach (Browne-Ferrigno & Muth, 2004; Daresh, 2001; Darling-Hammond, LaPointe, Meyerson, Orr & Cohen, 2007; Fenwick & Pierce, 2002).

Clearly, the ISLLC standards have served as a catalyst for research efforts to study the implementation of preparation programs with established performance

expectations. Moreover, Darling-Hammond, LaPointe, Meyerson, Orr & Cohen, (2007) found that exemplary pre- and in-service principal development programs were aligned to state and professional standards, specifically ISLLC. Thus, as a national standards document, CCSSO (2008) through the Educational Leadership Policy Standards: ISLLC 2008, provides a common language when discussing expectations for education leaders. Equally important, this document can set parameters for developing professional development and evaluation systems that can support performance growth for educators (CCSSO, 2008).

Case in point, the Southern Regional Education Board (SREB) developed Leadership Curriculum Modules to support leadership preparation design efforts for universities, academies, and school districts, which are used in principal preparation or professional development programs in 48 states (SREB, 2008). The purpose of the SREB's Leadership Curriculum Modules is to address topics that would facilitate school practices and changes processes necessary to improve the school as a system and its curriculum and instruction.

As a result, SREB offers 19 training modules for school leaders. These 19 modules fall under three overarching strands: Improving the school as a system; improving curriculum and instruction; and improving leadership preparation. Topics under these module strands include using data to focus improvement; prioritizing mapping and monitoring the curriculum; designing assessment to improve student learning; student work to rigorous standards; and leading school-wide literacy initiatives.

The SREB Leadership Curriculum Modules are available to universities, state leadership, academies, school systems and non-profit entities that provide preparation or

professional development for education leaders. Districts or organizations using these modules are required to assign leadership teams to become fully certified module instructors. Table 1 illustrates how each of these modules is specifically targeted for a specific audience.

Table 1
SREB Leadership Module Strands

Strand	Audience
Improving the School as a System	Aspiring Leaders and School Leadership Teams
Improving Curriculum and Instruction	Aspiring Leaders and School Leadership Teams
Improving Leadership Preparation	University-District Teams

Note: From *SREB Leadership Curriculum Modules: Professional Learning Framework and Module Summaries*, (2008), p. 6.

New Principal Professional Development

Roberts (1993) examined the concerns of professional development of beginning principals who participated in the Leadership Enhancement and Development Program (LEAD), which was collaboratively developed and delivered by the University of Georgia in Gwinnett County Schools. The methodology involved a survey of 53 program aspiring principal participants from four cohorts in a three-year study (1988-1991) and interviews with 16 fourth-year participants who held leadership positions. Findings indicated that the cohort-prepared principals shared typical concerns and related developmental stages. The professional focus for new administrators moved from

administrative and management problems to people and pathology-of-schools issues and to finally instruction and planning issues, over a three-year period. Roberts (1993) observed that the new principals' time expenditures and mental focus developed within three years. Table 2 illustrates the following stages: survival, control, routinization, educational leadership, and professional actualization and their respective foci.

Table 2

Summary of the Most Significant Leadership Concerns of a Beginning Principal, During Their First Three Years, in the Leadership Enhancement and Development Program

Year	Observed Behavior	Leadership Concern
Year 1	Survival	Interpersonal demands due to working with different constituents and administrative issues
Year 2	Control and Routinization	Focus on student concerns and needs, while still working through legal and personnel issues, and managing daily routines
Year 3	Educational Leadership and Professional Actualization	Increased attention on instructional matters, including strategic planning for school improvement, and the handling of probation and remediation of weak teachers

Note: From *Concerns and Development of Cohort Administrators: Foci and Stages*, by J. Roberts, 1993. Paper presented at the annual meeting of the American Educational Research Association, Atlanta, GA.

Hence, during the first year, over half of the participants cited their most significant leadership concern to be the interpersonal demands of working with so many

different constituents. During their second year, they began to focus on student concerns and needs, as well as staff development, but these matters were still overshadowed by legal issues, group and personnel issues, and managing daily routines. During the third year, administrative and organizational matters still proved to be annoying, but received much less focus and attention than instructional matters. During this year, concerns and crises were mentioned less frequently, but included developing a leadership team, handling probation or remediation of weak teachers and strategic or broad-based planning (Roberts, 1993).

In general, the focus of concerns moved from interpersonal relationships, overload, survival, and administrative issues (year 1), to concerns about students and personnel issues, especially in dealing with serious student problems, diversity, and students of varied backgrounds (year 2), and finally to more in-depth issues pertaining to school improvement and instruction (year 3). Hence, Roberts' (1993) study presented what cohort leaders in this preparation program and their participants perceived as professional concerns and professional growth and development for leadership. The study concluded with a list of recommendations for both administrator preparation and mentorship programs that would increase awareness of the early career concern patterns for beginning principals, and to structure programs that take advantage of professional linkages. Similarly, Daresh (2007) conducted a study of mentoring programs in two different urban school districts. The study investigated the mentorship of novice principals in the area of instructional leadership. The study demonstrated that, for the most part, new principals were mostly focused on the need to gain confidence and a personal sense of competence related to their abilities to perform managerial duties

before devoting time and energy toward instructional goals; thus concentrating their first year as principals in their mastery of managerial skills.

In 2002, Hansford, Tennent and Ehrich found that public school districts across the country were becoming more focused in supporting the recruitment and retention of new principals by career-staged professional development, in which developmental needs were reflected in the first, second, and third year principal program. Thus, considering the responsibilities which principals are expected to assume, coupled with the amount of time needed to understand and manage this increasingly complex work environment, it is logical to conclude that effective leadership training must be part of a professional development program for beginning principals (Bottoms, O'Neill, Fry, B., & Hill, 2003; Clark & Shields, 2006; Crow & Matthews, 1998; Fenwick & Pierce, 2002; Foster, Loving & Shumate, 2000; Yeatts, 2005). As a result, of these major areas of principal leadership, specifically faith, managerial and instructional leadership, will follow.

Faith Leadership

Leadership studies have focused upon values and moral purpose (Sergiovanni, 1992); the roles of leaders creating learning communities (Senge, 1990); the capacities of leaders “to make a difference” through their ability to “transform” (Sergiovanni, 1995); and the notion that leadership is influence and influence is leadership (Maxwell, 2002). Sergiovanni (1995) suggested that when transformative leadership is practiced successfully that “purposes which may have initially seemed to be separate, become fused” (p. 119).

Implicit in the idea of moral leadership is stewardship whereby people and institutions entrust a leader with certain obligations and duties to fulfill and perform on

their behalf (Sergiovanni, 1992). Servant leadership is premised upon providing purpose for others (Greenleaf, 1970, 1977) and in giving certainty and direction to those who may have difficulty achieving it for themselves (Bolman & Deal, 1995). Likewise, Grace (1995) suggested the link between moral authority and servant leadership as being primarily concerned with the service of others and the service of ideals:

Leadership in general must maintain an ethical focus which is oriented towards democratic values within a community. This has to do with the meaning of ethics historically, as a search for the good life of a community....Ethics here refers to a more comprehensive construct than just individual behavior; rather it implicates us and how we as a moral community live our communal lives. (p. 55)

Fullan (2001) contended that moral purpose is about both “ends” and “means”.

At its “loftiest”, moral purpose is about how humans evolve over time, especially in relation to how they relate to each other” (p. 14). According to Fullan, the best leaders tend to be those who create powerful learning communities and are able to integrate the intellectual, emotional and spiritual into their leadership decision-making. They recognize the importance of core values and that organizational performance is largely dependent on the beliefs people hold and how they work together.

Similarly, Starratt and Guare (1995) stated that spiritually centered leaders’ actions reflect deeply on their held spiritual values and beliefs. Starratt and Guare explained, “Spirituality is a way of living. . . . Spiritual persons tend to bring that depth and sensitivity and reverence to all or most of what they do . . . respond to other people and [respond] to situations with an openness, acceptance, and reverence” (p. 193). As opposed to servant leadership, in which the leader’s decisions and motivation could be construed as patriarchal or paternalistic, spiritually centered leadership elicit in others the belief in one’s power for goodness. Spiritually guided leadership focuses on three

relational dimensions: the leader's relationship with self, considering the respect for self as "the gateway to all knowledge" (Moffett, 1994, p. 28); the leader's relationship with their God or a higher power; and the leader's relationship with others. Briskin (1996) argued that the catalytic nature of leadership was born from "honest reflection [into one's] soul" (p. 207) and therefore, self-reflection is a critical ingredient in spiritually centered leadership. Although leadership based on one's spirituality centers on self-examination and critique, it is mirrored through the leader's relationship with self and others. Therefore, Starratt and Guare (1995) suggested that "educational leaders should be most attuned to their own spirituality. Educators, of all people in our society, ought to be in touch with the best that humans have thought and written about the nobility and sacredness of human life" (p. 196). Bennis (1984) and Bennis and Nanus (1985) contended that a respect for human life, especially for children, enables the spiritual dimension of leadership to become transformative as the leader reaches out in support to others' personal growth. Thus, leadership is about inspiring rather than ordering, and about rewarding progress rather than manipulating.

In *Leading With Soul*, Bolman and Deal (1995) described a leadership that "returns us to ancient spiritual basics—reclaiming the enduring human capacity that gives our lives passion and purpose" (p. 6) and directly connecting leadership and spirituality. Their case for spiritually centered leadership is strengthened by "the current images of leaders as heroes or skilled analysts" (p. 2). These images of leaders emphasize the need "for a language of moral discourse that permits discussions of ethical and spiritual issues, connecting them to images of leadership" (pp. 2-3). Bolman and Deal suggested four ways to reclaim the soul of leadership: (1) reclaim your soul, (2) lean into your fear, (3)

express your spirit, and (4) follow the cycle of the spirit. They proposed that leaders willing to lean into their fears would need to “use life’s wounds to discover their own spiritual centers, [they would] be able to conquer [their] demons within, [and therefore] achieve the inner peace and bedrock confidence that [would] enable them to inspire and inspire others” (p. 57).

In this sense, leadership supports the development of others. As part of developing the role of the principal as the faith leader of the school, Whitehead and Whitehead (1991) discussed that helping people find meaning in their lives is the most demanding task of faith leadership because these leaders must be present to their communities in a human and spiritual way. For this to happen, they must be willing to be companions in faith, fellow disciples, and familiar with hope and doubt, having been strengthened by the experience of crisis and consolation in their own lives. Likewise, Nouwen (1991) began his reflections on Christian leadership with a focus on the collective. His wisdom was grounded in the foundation that people are “called”. He acknowledged that it is the real presence of the Holy Spirit who motivates us toward a life that is lived not merely “with” but “for” others. Nouwen's and Palmer's (1998) understanding of leadership is other-centered as opposed to self-centered; it is communal as opposed to individual. Skills are not what “build me up” as a good leader, but what “build us up” as a community. Consequently, the principals’ ability to establish a climate that is distinctly Catholic (Ciriello, 1996; Davidson, 2006; Hunt, Oldenski, & Wallace, 2000; Jacobs, 2005) and their ability to engage in contemplative moments (Gray, 2000; Hennessy, 1983; Schuttloffel, 1999) is dependent on the principals’ abilities to recognize faith development as central to the identity of a Catholic school (Carr, 2000; Cook, 2001;

Muccigrosso, 1996). Hence, the principal is the community leader, who gives courage to and comforts the afflicted (Curran, 1996; Merrick, 1983; Palmer, 1998).

Managerial Leadership

Burns (1978) wrote that the characteristic that distinguishes leadership from management is purpose. That is, leaders act on the basis of group purpose and their intention is to enact real change. Burke and Day (1986) applied meta-analysis to available managerial training and development studies to determine the types of management training that were effective, to what degree they were effective, and the relative effectiveness of the different training methods in improving learning or the acquisition of skills.

Burke and Day's meta-analysis (1986) included 70 published and unpublished studies spanning from 1951-1982. Studies included in their meta-analysis involved managerial or supervisory personnel, evaluated the effectiveness of more than one training program, and included at least one control or comparison group. Burke and Day captured a variety of information regarding each case, including the training content area, training method, outcome variable, managerial level, years of work experience and sex of participants, type and length of training program, time between training and the evaluation process, and the assignment of subjects. Burke and Day's (1986) concluded "that managerial training is, on the average, moderately effective" (p. 232). Their study clarified the breadth of managerial training, but they indicated that more empirical research was needed before conclusive statements could be made. They found that managerial training was pervasive and primarily focused on improving individual managerial skills and on-the-job performance. But, the lack of evaluative research caused

Burke and Day to believe that organizations were unaware of the effectiveness of management training programs in improving job performance.

Rost's (1991) leadership paradigm argued that there is a need for inclusive and empowering leadership. Rost recognized the shift from the industrial concept of leadership (leader-centered view) to a paradigm he called the post-industrial concept of leadership. In *Leadership for the Twenty-First Century* (1991), Rost explained that because leadership is an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes, four basic components must be present if a particular relationship is to be called leadership.

These four components can be broken down as influence, relationship, commitment towards change, and mutually desired outcomes. First and foremost, the relationship is based on influence, not coercion. This influence is multidirectional, meaning that influence can go any which way (not necessarily top-down). Therefore, the relationship is not based on authority, but rather on persuasion. Secondly, both leaders and followers act as leaders. Though the relationship between individuals is not equal, Rost argued that all people within this relationship practice influence. Typically there is more than one follower and more than one leader in this arrangement. Thirdly, both leaders and followers intend to seek real changes, with substantial outcomes. Lastly, the changes intended by both the leaders and the followers must not only reflect the wishes of the leader; but also the desires of the followers (Rost, 1991). In short, Rost pointed out that leadership is not what leaders do; but rather what leaders and followers do together for the collective good.

Burke and Litwin (1992) distinguished between leadership and management practices. The leadership role was defined as one of providing direction and acting as a role model. Management practices, on the other hand, was described as the routine behaviors exhibited by managers as they utilize human and material resources to enact the organizational strategy in order to achieve goals. Katz and Kahn (1978) suggested that leadership was the “influential increment over and above the mechanical compliance with routine directives of the organization” (p. 302). Katz and Kahn also believed that leadership involved the use of influence, while management involved the use of authority.

Yukl (1994) clarified the distinction between leadership and management with the belief that leaders were oriented toward innovation and managers oriented toward stability. Yukl used the term “managerial leadership” in describing the overlap in the literature between management and leadership. House and Aditya (1997) indicated that leadership was articulating an organizational vision, introducing major organizational change, providing inspiration, and dealing with high profile aspects of the external environment. House and Aditya believed that management was the implementation of the leaders’ vision and changes introduced by leaders, and the maintenance and administration of organizational infrastructures. Obviously one can be a leader without being a manager, but it is more difficult to conceive of managers where leadership is completely absent (Sourcie, 1994). However, commonalties do exist between the concepts of management and leadership. Both are concerned with goal accomplishment, require working with people, and involve influencing others (Northouse, 1997).

In today's society, leaders must embrace collaboration, diversity and pluralism in structures and participation, civic virtues, client orientation, and consensus-oriented policymaking processes. Like Rost (1991), Mellow (1996), argued that rigid hierarchical structures cannot provide adequate leadership for this era of increased information technology and new knowledge requires organizations to change continuously. Given these dynamic conditions, school leaders are advised to adopt a new structural model that will facilitate learning and transformation at the organizational level. Mellow believed that the role of school leaders is to inspire faculty to change by encouraging communication and by allowing their institutions to evolve. Table 3 illustrates the concept of inclusive leadership.

Table 3

Components for Inclusive and Empowering Leadership

Component	Required Behavior
Influence	Multi-directional, not necessarily top-down
Relationship	Leaders and followers exercise leadership roles
Commitment towards change	Leaders and followers intend real changes
Mutually desired outcomes	Intended changes reflect mutual purposes

Note. From *Leadership for the Twenty-First Century* by J. Rost (1991).

The literature documents a variety of macro school-level functions that characterize successful, well-run schools. For example, Purkey and Smith (1983) noted that school-site management, planned curriculum coordination and organization, linking staff development to the expressed concerns of the staff, and a strong sense of order and

discipline, are some key characteristics of effective school communities. Firestone (1996) explained that managerial tasks, which are designed to produce stability, may differ substantially from leadership tasks designed to promote change. Without attention to stability and maintenance of organizational structures and routines, it may be very difficult to understand the significance of particular leadership tasks. Lockcock (2007) stated that the principal, as the managerial leader, is expected to embrace the managerial activity related to structures and practices concerning what is educationally achievable at a pragmatic level, in order to support the development of teaching and learning.

According to Farahbakhsh (2007), all schools, regardless of size, must have objectives to be achieved, for both the well-being of the school and of society at-large. However, achieving these objectives depends significantly on the effectiveness of the principal. In *Good Practice in the Leadership and Management of Primary Schools in Wales*, (2001), Estyn reported that effective school heads manage their daily schools by creating the right atmosphere for success, by recognizing and rewarding achievement, and acting incisively where performance is not good enough. The report continued to assert that good leaders set a personal example of commitment and enthusiasm.

Similarly, Yamasaki (1999) contended that effective leaders promote a culture in which all partners are not afraid to be self-critical. In schools with effective leaders, there is honest, open debate; leaders value contributions and respond to suggestions. Where there seem to be barriers, good leaders encourage staff to consider other ways of working and share their difficulties, skills and experience with others. To succeed, according to Yamasaki, managerial leaders will need to observe, reflect, assess, and respond to their changing organizational contexts continuously. This responsibility includes budgets,

course scheduling, conflict mediation, personnel issues, curricular changes, and countless other administrative duties. He asserted that the outcomes of empowering staff and colleagues to be part of a leadership team, one responsible for daily operations as well as long-term visioning, might include the opportunity to delegate more of these managerial tasks.

Additional managerial responsibilities include daily paperwork and meeting governmental and district deadlines (Lashway, 2002). Thus, training needs to be focused on how to foster constructive relationships with stakeholders and agencies that affect the working of the school (Sheehan, 1998). As a result, learning how to establish effective public relations programs in schools (Konzen, 1998) is an important element in managerial leadership. In brief, the research suggests that principals are regarded as central to promoting powerful teaching and learning for all students (National Policy Board for Educational Administration, 2001); they influence and shape life within schools in ways that no other single role, personality, or office can (Jacobs 2005b; Peterson, 2002); and, they cultivate the school's vision and climate (Williams, Kirst, & Haertel, 2005).

Thus, managerial responsibility must include delegation and learning of long- and short-term tasks, to ensure that new principals are not overwhelmed by those tasks. Davies (2007) suggested that managerial responsibilities be learned strategically, by moving from shallow learning where basic replication and information takes place, to complex learning where understanding and knowledge must be used to manage a task, to finally developing deep learning that will support the principal in making decision that would impact the vision and mission of the school. Figure 2 illustrates how learning

begins with replicating information, to understanding complex ideas, to finally acquiring deep learning and wisdom.

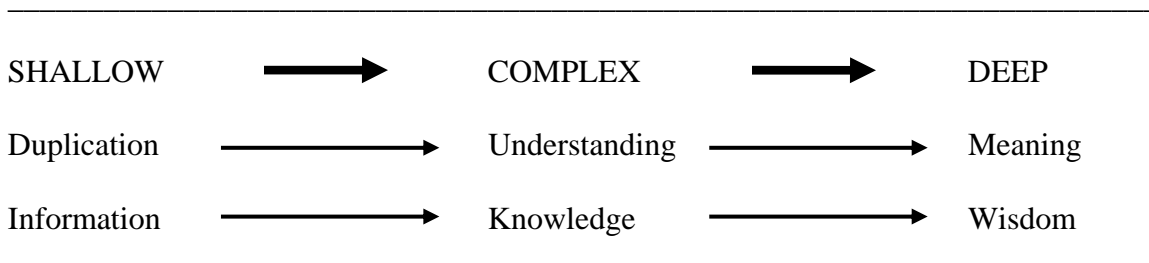


Figure 2. Learning moves from shallow to complex to deep.

From: Based on Davis, B.J., (2007)

McCall (1998) presented a strategic framework for identifying and developing future executives. In addition, McCall believed that real leaders of the future are those who have the ability to learn from their experiences and remain open to continuous learning. McCall's claim was that "leadership ability can be learned, that creating a context that supports the development of talent can become a source of competitive advantage, and that the development of leaders is itself a leadership responsibility ... and that the primary classroom for the development of leadership skills is on-the job experience" (p. xii). According to McCall three assertions can be made about managerial leadership development. First, challenging experiences are the primary vehicle for development. Second, the experiences that are most important are a function of the business strategy and organizational values. Third, the people who should get the experiences are those who are best able to learn from them. However, no universal theory of managerial leadership development has emerged (Lynham, 2000).

Instructional Leadership

According to Sergiovanni (1998), instructional leadership is a form of pedagogical leadership because it places an emphasis on the development of the school through the development of others. Sergiovanni described pedagogical leadership as a form of leadership which invests in capacity-building by developing social and academic capital for students and intellectual and professional capital for teachers.

In many respects, the demands on principals mirror those on teachers, who are attempting to become facilitators of children's learning and are rethinking their notions of content, pedagogy, and assessment (Neufeld, 1997). Hence, it is as much about developing self as it is about capacity-building in others (Starratt, 1993). Thus, Barth (1990, 1996) called upon heads to become "head learners" in their schools, thereby creating a community of curriculum leaders, maintaining high expectations for staff and students, and exercising authority through quality control (Zepeda, 2007).

According to Starratt (1993), effective leaders aim to build "learning-enriched" schools for staff and students through pedagogical leadership, which is "fuelled by a vision of possibilities" (p. 57). This vision leads to a sense of the drama being played out every day in the school. It is a drama of becoming a people, learning how to participate, how to negotiate, how to forgive, and how to celebrate heroic ideals.

Elmore (2000) suggested that the "skills and knowledge that mattered in leadership are those that can be connected to, or lead directly to, the improvement of instruction or student performance" (p. 14). Similarly, Harris (2001) indicated that where leadership is instructional it is dispersed to those who have the most influence over

teaching and learning. Moreover, according to Fullan (2001), “deep and sustained reform depends on many of us, not just the very few who are destined to be extraordinary” (p. 2).

Marzano, Waters, and McNulty (2005) conducted a meta-analysis of 69 studies that conducted from 1978 to 2001. The studies used in the meta-analysis involved 2802 schools with grades ranging from kindergarten through 12. As a result of their meta-analysis, Marzano, et al. identified 21 categories of behaviors or responsibilities related to leadership provided by principals. The 21 responsibilities were used to design a survey that was administered by Marzano, Waters and McNulty to more than 650 school principals to provide further guidance related to specific situations. Factor analysis of their responses revealed two factors or traits that allowed further categorization of the 21 responsibilities. First-order change and second-order change were the two factors or traits. While the responsibilities themselves were not new, further categorization of the responsibilities using the traits of first-order change and second-order change was new.

Marzano, et al. (2005) described first order change as “incremental” or “the next most obvious step” (p. 66). “First-order change requires attention to all 21 responsibilities” (p. 115) and can be viewed as “standard operating procedures in a school” (p. 70). The leadership responsibilities included: culture, order, discipline, resources, implementation of curriculum, instruction and assessment, focus, knowledge of curriculum, instruction and assessment, visibility, contingent rewards, communication, outreach, input, affirmation, relationship, change agent role, optimizer role, ideals and beliefs, monitoring and evaluation, flexibility, situational awareness, and intellectual stimulation (Table 4). Second-order change was described as involving “dramatic departures from the expected, both in defining a given problem and in finding a solution”

(p. 66). They identified seven responsibilities that would create a “deep change” (p. 66). Second order change or “deep change” (p. 66) results in dramatic changes that require new ways of thinking, new strategies, and an expanded view of things. These are: (1) knowledge of curriculum, instruction, and assessment; (2) optimizer role; (3) intellectual stimulation; (4) change agent role; (5) monitoring and evaluation; (6) flexibility; and (7) ideals and beliefs. (p. 70)

Table 4

First and Second Order Change Requirements. (Second order is defined with an asterisk *.)

Condition	Description
<i>Culture</i>	Fosters shared beliefs and a sense of community and cooperation
<i>Order</i>	Establishes a set of standard operating procedures and routines
<i>Discipline</i>	Protects teachers from issues and influences that would detract from their teaching time or focus
<i>Resources</i>	Provides teachers with the materials and professional development necessary for the successful execution of their jobs
<i>Curriculum, instruction, and assessment</i>	Leader is directly involved in the design and implementation of curriculum, instruction, and assessment practices
<i>*Knowledge of curriculum, instruction, and assessment</i>	Leader is knowledgeable about current practices
<i>Focus</i>	Establishes clear goals and keeps these goals at the forefront of the school's attention
<i>Visibility</i>	Leader has high-quality contact and interactions with teachers and students

Table 4 (continued).

First and Second Order Change Requirements. (Second order is defined with an asterisk *.)

Condition	Description
<i>Contingent reward:</i>	Recognizes and rewards individual accomplishments
<i>Communication</i>	Establishes strong lines, of communication with teachers and students
<i>Outreach</i>	Is an advocate and spokesperson for the school to all stakeholders
<i>Input</i>	Involves teachers in the design and implementation of important decisions and policies
<i>Affirmation</i>	Recognizes and celebrates school accomplishments and acknowledges failures
<i>Relationship</i>	Demonstrates empathy with teachers and staff on a personal level
<i>*Change agent role</i>	Is willing and prepared to actively challenge the status quo
<i>*Optimizer role</i>	Inspires and leads new and challenging innovations
<i>*Ideals and beliefs</i>	Communicates and operates from strong ideals and beliefs about schooling
<i>*Monitoring and evaluation</i>	Monitors the effectiveness of school practices and their impact on student learning
<i>*Flexibility</i>	Adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent
<i>Situational awareness</i>	Is aware of the details and undercurrents in the running of the school and uses this information to address current and potential problems

 Table 4 (continued).

First and Second Order Change Requirements. (Second order is defined with an asterisk *.)

Condition	Description
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**Intellectual stimulation*

Ensures that faculty and staff are aware of the most current theories and practices in education and makes the discussion of these practices integral to the school's culture

Note: From Marzano, Waters, and McNulty (2005), pp. 42, 66, 70 and 115.

Marzano, McNulty and Waters (2005) asserted that factors such as safe and orderly environment, parent and community involvement, and instructional strategies, in a successful school, can be grouped according to school-level, teacher-level, and student-level. Further, they indicated that “the school leader’s ability to select the right work is a critical aspect of effective leadership” (p. 97). It is important to note that the factor analysis conducted by Marzano, et al. (2005) also revealed that four of the 21 responsibilities, culture, communication, order and input, are “negatively affected by second-order change” (p. 73). School principals need to be aware that staff perceptions may be one of “deterioration” in these areas, rather than progress toward desired results, when there is heavy emphasis on second order change traits.

In terms of student outcomes, Marzano et al. (2005) contended that instructional leaders who desire to achieve drastically different results in student achievement will need to focus more heavily on the seven responsibilities that are traits of second order change. Moreover, they pointed out that administrators and teachers in low-performing

schools are working hard but not necessarily intelligently in the selection of interventions that increase student achievement. Their work further proposed a five-step plan for effective school leadership. The steps were as follow: (1) develop a strong leadership team; (2) distribute some responsibilities throughout the leadership team; (3) select the right work; (4) identify the order of magnitude implied by the selected work; and, (5) match the management style to the order of magnitude of the change initiative (p. 123).

According to Marzano et al. (2005) these five steps can be implemented by both experienced and beginning school leaders and can be useful tools for strong and thoughtful leadership teams. The findings of Marzano, et al. support earlier assumptions presented by McDowelle and Buckner (2002) who indicated that:

1. All school leaders must deal with change
2. Change is a difficult process for individuals and organizations
3. Effective leaders understand the change process and plan carefully when changes are made
4. Key skills enable leaders to bring about change in their schools successfully
5. Change does not generally lead to immediate improvement. (p. 107)

In addition to the above, McDowelle and Buckner (2002) also addressed the emotional side of change. They reminded the reader that, “Schools are notoriously resistant to change” (p. 96). This resistance is tied to the realities constructed by individuals in the organization and their comfort level of their role and their positioning in the organization. As a result, one of the many factors that affect change is the powerful emotions of those involved. These emotions result from the fact that “old realities and old identities must die before new realities and new identities can be established (p. 97).

Thus, school leaders must help participants cope with the emotions in order to progress through the change process. This line of thinking is aligned to the negative effect on culture, communication, order, and input as noted previously by Marzano, et al. (2005).

The Educational Research Service (ERS, 2007) urged school leaders to understand the “big ideas” that should be taught in the core curriculum. Though they are not expected to be experts, they are expected to know enough to determine whether students are being taught the body of knowledge, the understandings and the skills that they are expected to learn in the core curriculum. Further, the ERS contended that principals must have a grasp of the knowledge, skills and understandings that students need to gain from career or technical courses and electives. Moreover, the ERS affirmed that instructional leaders should know enough about state and national standards in academic courses and elective fields of study (such as fine arts and practical arts) to help teachers identify the most important standards and assist teachers in identifying skills that students need to master.

Similarly, Leithwood, Louis, Anderson, and Wahlstrom (2004) pointed out that school leadership is second only to classroom instruction among school-related factors that influence student outcomes. In their report, *How Leadership Influences Student Learning*, they indicated that effective principals set the organizational direction and culture that influences how their teachers perform. They contended that because principals set the direction of the school, they have the greatest impact, as the goals and sense of purpose they provide strengthens the entire staff. As a result, strong education leaders attract, retain and get the most out of talented teachers.

Consequently, the ISLLC (2008) policy standards were updated to provide a framework for policy creation, training program performance, life-long career development, and system support. Given their broad nature, they can influence and support instructional leadership that positively impacts student achievement. Table 5 illustrates how the standards can influence and drive change within the system of principal preparation, professional development and through the career continuum. Appendix G includes the six national standards with each of their respective functions.

Mentorship Systems

According to Weingartner (2001) and Gravois, Knotek, and Babinski (2002), a mentoring system enables beginning school principals to experience management practice and to analyze and reflect on their behaviors. This section will focus on two areas: (1) mentoring as professional development, and (2) mentoring new principals.

Table 5

Educational Leadership Policy Standards: ISLLC 2008 for Principal Preparation, Professional Development and Throughout the Career Continuum

Function	Focus
Training programs with established performance expectations	High-quality accredited preparation programs with explicit performance expectations
Licensing and induction	ensure that new leaders can demonstrate adequate professional knowledge

Table 5 (continued).

Educational Leadership Policy Standards: ISLLC 2008 for Principal Preparation, Professional Development and Throughout the Career Continuum

Function	Focus
Evaluating performance	High-quality annual performance evaluation with improvement planning provided
Supporting ongoing training and professional development throughout the career continuum	Continuous professional improvement through quality career planning and development
Improving working conditions	System-wide changes to help leaders accomplish their goals

Note: From: *Educational Leadership Policy Standards: ISLLC 2008*, by CCSSO (2008, p. 18)

Mentoring as Professional Development

As established above, the principal is the most critical part of school improvement. Thus, it is logical to conclude that beginning new principals need support and training to become effective leaders. Mentoring is a design of professional development that can assist new principals in gaining the qualities, proficiencies, and leadership skills they need for the principalship. Mentoring, according to the Annenberg Institute, “helps principals focus on instruction, make the best use of school-based resources, and nurture teacher leadership” (p. 3). More specifically, Daresh (1987) found that beginning principals’ concerns are focused in three distinct areas: problems with role clarification, organizational socialization, and feelings of isolation. Duke (1988)

reported similar findings, that new administrators experienced frustration over the fact that they did not fully understand the nature of their leadership responsibilities. In order to support and retain school leaders, principals need continuous professional development opportunities to support their efforts toward school improvement and revitalize their commitment to creating and sustaining positive learning communities (Evans & Mohr, 1999; Foster, Loving & Shumate, 2000; Hale & Moorman, 2003; Institute for Educational Leadership, 2000; Neufeld, 1997; National Staff Development Council, 2000; Yeatts, 2005). The design of professional development is complex and requires flexibility in adapting different approaches to training school leaders (Achilles & Tienken, 2005; Elmore, 2000; Hessel & Holloway, 2002; Peterson, 2002; McCough, 2003).

Evidence indicates (Bush & Jackson, 2002; Darling-Hammond, LaPointe, Meyerson, Orr, & Cohen, 2007; Mitgang, 2007; Olson, 2007) that effective professional development programs are research-based, have curricular coherence, provide experience in authentic contexts, use cohort groupings and mentors, and are structured to enable collaborative activity between the program and area schools. According to Fenwick and Pierce (2002) and Daresh (2001), mentoring is one of the most powerful approaches to professional development.

Research studies (Crow & Matthews, 1998; Daresh & Playko, 1990, 1992; Dussault, 1995; Hale & Moorman, 2003; Howley, Chadwick, & Howley, 2002; Malone, 2002, Roberts, 1993; Westhuizen & Erasmus, 1994) concluded that participants in a mentorship program found value in working together, exchanging ideas, and developing a common trust among each other. These participants derived benefits in their

professional practice from having supported each other during the challenging times of their early training and entry into leadership.

Although mentoring is a most effective process for professional development, (Crow & Matthews, 1998; Daresh & Playko, 1990, 1992; Dussault, 1995; Howley, Chadwick, & Howley, 2002; Malone, 2002; Roberts, 1993; Westhuizen & Erasmus, 1994), the personal dimension makes it very resource-intensive. For example, a comprehensive professional development program for the mentoring of early career principals requires experienced principals to have available to them a range of learning opportunities from which selection can be made in accordance with specific needs (Daresh, 2001; Darling-Hammond, LaPointe, Meyerson, Orr & Cohen, 2007; Davis, Darling-Hammond, LaPointe, & Meyerson, 2005; Muse, Wasden & Thomas, 1998). These learning experiences may include: principals' networks, study groups, mentoring that offer protégés ongoing support for problem solving, advanced seminars, reading and discussion groups, presentations by current thinkers or experts practitioners, attendance at national academies or conferences, and opportunities to become coaches, facilitators or trainers themselves (Braun, & Carlson, 2008; Darling-Hammond, et al., 2007; Mitgang, 2007). Their learning should not be haphazard or fragmented (Crocker & Harris, 2002; Holdaway, 1999; Moos, 1999; Mulford, 2003; Whitaker, 2003).

Rather, according to the research (Daresh & Palyko, 1992; Darling-Hammond, LaPointe, Meyerson, Orr, & Cohen, 2007; Fenwick & Pierce, 2002; Mitgang, 2007; Peterson, 2002), the curriculum should be carefully designed with attention to prior learning and coordination and alignment across all learning providers and activities. In addition, curriculum should provide core skills and knowledge that will not only enhance

leadership, but provide knowledge and skills related to the specific administrative procedures, contractual requirements, including civil and canon law, and community characteristics of their working environment, development and fundraising, public relations and marketing (Ciriello, 1998). Consequently, mentoring should be seen as only one stage in a continuum of professional development of principals that is more likely to be effective when it is developed as an integral part of a seamless professional development program, rather than an isolated event or add-on program (Daresh & Palyko, 1992; Darling-Hammond, LaPointe, Meyerson, Orr & Cohen, 2007; Fenwick & Pierce, 2002; Hale & Moorman, 2003; Peterson, 2002; Spiro, Mattis, & Mitgang, 2007).

Mentoring New Principals

While a large body of literature exists on mentoring new school principals, there appears to be a lack of effort to identify and isolate specific outcomes of the mentoring of principals from empirical research (Allen, Eby & Lentz, 2006; Baugh & Fagenson-Eland, 2007; Darling-Hammond, LaPointe, Meyerson, Orr, & Cohen, 2007; Davis, Darling-Hammond, LaPointe, & Meyerson, 2005; Hansford & Ehrich, 2006; Spiro, Mattis, & Mitgang, 2007; Mitgang, 2007; Wanberg, Welsh, & Hezlett, 2003). Thus, there is little empirical evidence on how specific program components influence leadership behaviors, on-the-job performance, or student outcomes. Instead, much of the empirical support for the most popular program components consists of self-reported candidate perceptions and experiences; thus, the development of principal knowledge, skills and dispositions lack a strong and coherent research base (Murphy & Vriesenga, 2004).

However, there is some promising research seeking to understand the outcomes of preparation as a number of mentor programs are experimenting with various

combinations of curriculum, methods, and program structures seeking to enhance principal practice without the solid base of empirical research to inform their design (Allen, Eby & Lentz, 2006; Baugh & Fagenson-Eland, 2007; Davis, Darling-Hammond, LaPointe, & Meyerson, 2005; Wanberg, Welsh, & Hezlett, 2003). Moreover, according to Peterson (2002), one theme that has begun to shape the dialogue on program design is the idea that professional development activities should be ongoing, career-staged, and seamless (Spiro, Mattis, & Mitgang, 2007). That is, training activities should build on prior learning experiences and continue throughout the stages of a principal's career (Clark & Shields, 2006; Crow & Matthews, 1998; Fenwick & Pierce, 2002; Foster, Loving & Shumate, 2000; Hansford, Tennent & Ehrich, 2002; Roberts, 1993; Yeatts, 2005). Mentoring programs usually include orientation on official and implicit policies and procedures, consistent contact with experienced principals, as well as contact with other novice principals, time for new principals to reflect upon their work, and formative feedback for performance (Bloom & Krovetz, 2001; Braun, & Carlson, 2008; Costa & Garmston, 2002).

The literature pointed out that a key component to the retention of quality principals was their participation in a mentorship program. Research (Hilcox, 2002; Holdaway, 1999; Moos, 1999; Mulford, 2003; Whitaker, 2003) revealed several reasons why principals feel overwhelmed during their first year. These are feelings of isolation, technical and logistic problems, unfamiliarity with the school culture, lack of feedback, and the lack of time to cultivate relationships with colleagues from other schools (Lashway, 2003; Yeatts, 2005). Additionally, new principals often spend considerable time struggling through new paperwork, schedules and assemblies, including

understanding the culture that is unique to their new schools (Brock & Fraser, 2001; Cusick, 2003; Gronn & Rawlings-Sanaei, 2003; Hilcox, 2002).

Mentoring has been found to be a most valuable strategy for providing newly appointed school leaders with support (Bush & Chew, 1999; Crow, 2006; Daresh 2001; 2003). Entry year programs might include the development of mentoring relationships by joining early career principals with experienced principals through on-line discussions, collaborative inquiry, participation in networked learning communities, coaching, inter-visitations, and engagement in seminars and other learning activities relevant to their own needs and the needs of their schools (Bloom, Castagna & Warren, 2003; Browne-Ferrigno & Muth, 2004; Chapman, 1999).

Hence, Westhuizen and Erasmus (1994) discussed the importance of “shadowing” and the “reflective interview” as part of an effective mentorship program. According to Westhuizen and Erasmus, these two techniques allow for partners to observe each other’s management behavior and actions, and to discuss these observations with one another. As an example, during “shadowing”, the events taking place are recorded in their sequence, every 10 minutes. During the “reflective interview” questions, which the interviewer prepares in advance, the protégé gains clarity of the specific behavioral manifestations during the discussion. In this regard, their dialogue revolves around the actual events that were observed. Questions are then formulated in neutral phrases without being judgmental. If roles are reversed, the actions of both participants can be compared.

According to adult learning theorist, Norman Cohen (1995), this interactive dialogue allows for the protégé and a mentor to deepen their understanding about the

nature and essence of the specific work situation, which would prove to be of immeasurable value to both of them. Further, with this end in mind, in a well-structured mentoring program, the mentor and protégé make a mutual commitment to work collaboratively and toward the accomplishment of an individually tailored professional development plan (Braun & Carlson, 2008; Daresh, 2001; Dukes, 2001).

In light of this discussion, the relationship between the two parties must be of a two-way, interactive nature in a risk-free environment, in which both mentor and the protégé feel free to encourage each other to share their thoughts, feelings, and concerns about their professional roles. Likewise, according to Westhuizen and Erasmus (1994), because of this unique relationship, the mentor must accept responsibility for the teaching-learning activity within the mentorship relationship. Equally important, the mentor must recognize and develop the protégé's talents and skills and create opportunities for professional development. As a result, an effective mentoring system is based on the principle of practice-oriented learning experiences, particularly in the acquisition of technical management skills (Cohen, 1995; Knowles, Holton & Swanson, 1998; Kolb, 1984). Finally, Parise and Forret (2008) and Sullivan-Brown (2002) suggested that before implementing a mentoring program, planners should take into full consideration the cost and time that will need to be devoted to a coherent and successful program.

Criteria for Effective Mentors

In this regard, Daresh's (1988, 1997, 2001) groundwork in the area of mentorship pointed out to four elements necessary in the selection of mentors: personal reflection, professional conviction, interpersonal style, and personal professional development.

Hence, mentors must possess an interpersonal style that enables them to work with others enthusiastically, with sincerity, and who are able to communicate with others a clear picture of personal attitudes, values and ethical standards. They must believe that mentoring is a mutually enhancing personal professional development opportunity in which both partners will achieve satisfaction from the relationship (Daresh, 1988, 2001; Hall, 2008).

Similarly, Crow and Matthews (1998) identified four characteristics of effective mentors: well-regarded leaders who are both successful and have strong character reputations; committed leaders who believe in the mentoring process and in their own development as a mentor; leaders who are committed to being learners themselves; and leaders with time to mentor. In recent studies, (Davis, Darling-Hammond, LaPointe, Meyerson; 2005; Parise & Forret, 2008; Spiro, Mattis & Mitgang, 2007) supported the aforementioned findings. They too discussed that effective mentors should demonstrate the following professional characteristics: exhibit strengths in areas of communication, problem solving, educational leadership, and human relations skills. Mentors should be able to ask the right questions more than provide the correct answers.

Likewise, Clark and Shields (2006) maintained that effective mentors should foster self-directed and continuous learning and self-reflection; demonstrate a willingness to commit time and energy into the professional development of their colleagues; believe that a mentor partnership is beneficial to both the mentor and the protégé (Daresh, 2001); be able to listen and respond sensitively to the protégé's ideas, doubts, challenges and successes; and understand the political structures within the organization and know how decisions are made and actions occur (Hall, 2008).

Selection of Mentors

The use of mentors in educational administration training programs has become increasingly popular in recent years (Daresh, 2001; Hall, 2008; Muse, Wasden & Thomas, 1998). However, the research has continued to demonstrate that not all experienced and successful principals make good mentors (Parise & Forret, 2008; Spiro, Mattis & Mitgang, 2007). Daresh and Playko (1990) believed that a person's ability to act as a mentor has nothing to do with his success or his effectiveness as a school principal, but that he should have a number of personal characteristics that will make him an ideal mentor. In this regard, Spiro et al. (2007) argued that it is precisely the complex skills which mentors have to possess that makes it difficult to find suitable mentors.

Expectations for Mentors

The primary role of the mentor is to guide the learner in his or her search for strategies to resolve dilemmas, to boost self-confidence, and to construct a broad repertoire of leadership skills (Crocker & Harris, 2002; Hall, 2008). This is accomplished through modeling, coaching, self-reflection and problem solving, and providing feedback and counsel (Cohen, 1995). Thus, mentors are responsible for challenging their protégés to new roles, as well as to assist them in learning how to handle ambiguity. Mentors are expected to demonstrate that there is no right way to be a successful leader (Daresh, 2001). Through their example, they coach the mentee that uncertainty and ambiguity are intrinsic to the role and acknowledge the limitations of knowledge and power (Crow, 2006). Further, mentors are expected to provide constructive feedback to that their protégés so that they can better navigate through the complexity, ambiguity, and uncertainty of their new roles (Bloom, Castagna & Warren, 2003).

Similarly, Southworth (1995) maintained that if mentoring is all about supporting and not about challenging, there will be no development of critical, educative leaders. The same is true if mentors constantly shield their protégés from difficult or embarrassing situations; by doing so, they reduce learning opportunities for them (Crow, 2006). Crow contended that mentors must model open and honest reflection with their protégés in order to encourage self-reflection in their protégés; and mentors must use their best judgment to know when to intervene and when to allow learning from mistakes to occur. Researchers (Walker, Choy & Low, 1993) discovered that mentors should clearly communicate their expectations with their mentees, that mentoring relationships move through developmental and interpersonal stages, and that the benefits of the relationship are reciprocal for the mentor, protégé, the organization, and the system.

Training of Mentors and Protégés

Walker and Stott (1993) argued that the mentor training is probably more important to the success of the mentoring program than selection. The training of mentors is key to the success of mentorship programs (Bush & Chew, 1999; Clark & Shields, 2006; Hall, 2008) and the preparation of mentors should be planned and emphasized (Coleman, Low, Bush & Chew, 1996; Crocker & Harris, 2002). Through this training, both mentors and protégés are given the opportunities to learn about their roles and responsibilities (Daresh, 2001; Parise & Forret, 2008). Important topics include: relationship building, goal setting skills, coaching strategies and active listening skills, problem solving, decision making strategies, challenging and motivating, informing and facilitating, and job shadowing processes (Clark & Shields, 2006; Dukes, 2001; Hall, 2008). Hence, training must be tied to identifying and addressing individual needs and realizing

standards that support learning goals. Otherwise, inadequate training can lead to the creation of “buddies”, rather than committed mentors (Spiro, Mattis, & Mitgang, 2007).

According to Crow and Matthews (1998), Dukes, (2001), Hall (2008), and Sullivan-Brown (2002), mentor training should include the content, methods, and assessment of mentoring, which should focus on the purpose of the mentoring program. The methods of mentoring should concentrate on the teaching, coaching, reflecting and sponsoring techniques. In addition, as an important outcome, mentors should be able to assess the quality of the protégé’s experience and use that assessment to create more effective learning opportunities for those individuals (Knowles, Holton & Swanson, 1998).

Matching of Mentors and Protégés

Typically, mentors are practicing administrators within the school system in which the candidate is employed. The literature highlights the need to be vigilant in the matching process of mentors and mentees so that cultural, racial, and gender factors are taken into account (Chapman, 1999; Parise & Forret, 2008). In addition, other factors such as similar size of school, geographic proximity, and type of school should be considered when matching mentors and protégés (Daresh, 2001; Haberman & Dill, 1999). The dimensions of personality and professional ideology are critical in the matching process of mentors and protégés (Dukes, 2001; Parise & Forret, 2008). Matching is considered one of the key challenges facing administrators charged with the responsibility of successfully implementing formal mentoring programs (Clark & Shields, 2006). Thus, the selection and matching of mentors and mentees should be an

intentional process (Crocker & Harris, 2002; Davis, Darling-Hammond, LaPointe, Meyerson, 2006; Hall, 2008).

One tool that can help in the selection of star urban principals and the subsequent pairing with mentors is the Haberman Urban Principal Selection Interview. The instrument operates on the belief that the most successful principals are doers and thinkers, and that their career objectives are built on core beliefs. With this in mind, the instrument attempts to identify those persons who can bring a combination of ideology and action to the principalship by asking candidates to explain how they would respond to critical events. According to Haberman & Dill (1999), these explanations reflect both the candidates' predispositions to act and the specific actions they would take. The interview focuses on: leadership; commitment to student learning; theory into practice; the role of the school serving children in poverty; curriculum and instructional leader; fighting burnout, evaluation, decision-making; fallibility; administrative style; and administrative relations with parents and community.

In sum, the purpose of the instrument is to identify successful urban school leaders who have exhibited behaviors and attributes by a value-laden system of beliefs that is based on life experiences rather than on university courses. These star principals are screened and selected before they can benefit from training. Thus this training is not limited to formal college course work but must emphasize on-the-job internships in which the mentee is coached weekly by a star principal. Star principals must empower teachers and students to succeed in school regardless of any urban challenge or constraint; hence also serving as a role model to the new principal.

Daresh and Playko (1992) and Spiro, Mattis and Mitgang (2007) contended that the ideal composition of a mentoring relationship is based on an analysis of professional activities, interpersonal management styles and the learning needs of both parties. Since the above ideal is difficult to achieve, mutual trust, respect, openness and positive interaction is necessary in a mentoring relationship (Malone, 2002). Further, the voluntary participation of both mentors and protégés is essential for a successful mentorship (Hall, 2008; Mitgang, 2007; Parise & Forret, 2008; Westhuizen & Erasmus, 1994).

Parise and Forret (2008) concluded that though mentors may not be financially compensated, they may be more willing to become mentors because they view the mentoring program as an important initiative for developing employees and supported by their senior managers. As a result, participants may be recognized as contributing to the effort. Nonetheless, they argued that the success of mentorship programs stems from the voluntary participation by mentors. However, they recommended future research to investigate the utility of different methods to encourage voluntary participation.

Blackman and Fenwick (2000) discovered that race and gender issues further complicate the formation of mentor-protégé relationships because new candidates traditionally seek role models of their own race and gender. According to their findings, 13% of public school principals belong to minority groups and 35% of principals are women. The National Center for Education Statistics (2007b) reported that 7% of all principals belonged to minority groups in Catholic schools and though no statistics have been collected on the number of female principals, it is reasonable to assume that the number of women principals in K-8 Catholic education is equal to or greater than 35%,

given that these positions were previously held predominately by female religious.

Trenta, Beebe, Cosiano, and Eastridge (2001) took notice of these gender and racial gaps and recommended that efforts be made to recruit a diverse and highly qualified cadre of mentors for entry year principals.

Benefits of a Mentoring System

Daresh and Playko (1990) and Hansford and Ehrich (2006) revealed that a mentoring program has a positive influence on the professional growth of the protégé. Protégés who participated in a mentorship program manifested a more purposeful approach in their management tasks, a more serious approach to finer detail, and a greater awareness of what their educational leadership entails. Based on this perspective, the mentorship system forms an anchor for the professional formation dimension during the induction phase (Parise & Forret, 2008).

Crow and Matthews (1998) identified six major benefits of a mentoring system to early career participants: exposure to new ideas and creativity; visibility with key personnel; protection from damaging situations; opportunities for challenging and risk-taking activities; increased confidence and competence; and improved reflection. Crow and Matthews found that these six elements are critical in fostering leaders who are creative risk-takers who can lead with competence, confidence, and who possess reflective skills that will be a positive influence to their schools.

Similarly, Crow (2006), found that mentoring is a powerful tool for socialization that benefits both the mentors and their protégés. Crow discussed that the first year on the job, principals are often trying to fit into their new environment, learn the ropes, make

connections and apply what has been learned in daily job situation, and this offers mentors an opportunity to influence the behaviors of its new leaders (Roberts, 1993).

Moreover, because mentoring is an active and reciprocal learning process, its mentors benefit, as well. Lashway (2003), Mullen and Cairns (2001), and Spiro, Mattis & Mitgang (2007) suggested that mentoring can help mentors learn new skills and critically evaluate their own processes. Daresh and Playko (1990, 1993) further emphasized that mentors renew their interest in teaching as they help their protégés too learn, resulting in an increase in their own career networks and their importance to the larger educational system. Daresh and Playko (1992) and Crocker and Harris (2002) were of the opinion that mentors derive as much, if not more, job satisfaction from their involvement in the mentoring systems as their protégés. Furthermore, Daresh and Playko (1990, 1993) and Hargrove (1995) discovered that personal reflection plays an important role within the mentoring relationship because mentors' willingness to share their professional conviction is reflected on their investment of time and energy in the professional development of their colleagues.

Disadvantages of a Mentoring System

Despite the many advantages of a mentoring system, there are a number of disadvantages that are evident in the research. Hansford and Ehrich (1996), Hall (2008) and Mitgang (2007) revealed that a lack of time to perform the role of mentor, coupled with a possible mismatch between mentor and mentee, were identified most frequently as negative outcomes. Time, additional responsibilities, lack of understanding of roles, lack of training, were listed as obstacles for mentors (Ehrich, Hansford, & Tennent, 2004; Spiro, Mattis and Mitgang, 2007). Crow (2006) pointed out the further challenge that can

be created when the mentee is fully dependent on the mentor, creating an over-reliance on the mentor and a reduction in learning. Muse, Wasden and Thomas (1998) cautioned that mentors may have their own agendas that may not necessarily include the best interests of their protégés. Hay (1995) discovered that some mentors attempt to clone their protégés by assuming that their leadership style is the only way to lead. Southworth (1995) warned of the risk of perpetuating the status quo with mentees instead of encouraging creative, reflective leaders.

Sullivan-Brown (2002) warned that there is a danger of mentoring becoming a superficial effort. Likewise, Kelehear (2003) cautioned that it can take as long as six months to see any growth in the relationship and that systemic change is a three-to-five year effort. These findings reflect the importance of not only supporting protégés, but in utilizing the mentoring process as a powerful tool to develop critically reflective leaders who challenge others to exert leadership and build cultures that support school-wide learning. Since the mentoring system entails an interactive and dynamic process, one in which both the mentor and the protégé bind themselves to the strengthening of the mentoring relationship to the advantage of both.

Lessons Learned from Mentorship Programs

Reynolds (1999) indicated that mentors should be available as soon as a principal is appointed. As discussed in the above section on mentoring, the literature abounds with suggestions as to the how and why of mentoring for principals (Daresh, 2002; Darling-Hammond, LaPointe, Meyerson, Orr, & Cohen, 2007; Hall, 2008; Hansford, Tennent, & Ehrich, 2003; Male & Male, 2001; Reynolds, 1999; Spiro, Mattis & Mitgang, 2007; Young, Sheets, Knight, & NAESP, 2005). Mentoring programs have been established as

a developmental tool to improve the quality of principal preparation and performance (Hansford & Ehrich, 2006; Mitgang, 2007).

For example, in New York, in partnership with Bank Street College, various New York City school districts participated in a program in which newly assigned principals received support from retired principals (NASBE, 1999; Spiro, Mattis, & Mitgang, 2007). Evaluation of the program involved a survey of all elementary school principals who participated, focus group interviews with selected participants, and some in-depth interviews. Results showed that most principals found the program helpful, indicating that they particularly appreciated what they learned about the school system, administration and supervision, and communication. Principals thought the program reduced their sense of isolation and helped them to establish networks. As a result, upon completion of the Leadership Preparation Institute at Bank Street College of Education, 80% of the aspiring principals were offered administrative positions (Spiro, Mattis & Mitgang, 2007).

In contrast to New York City's mentoring system that relies heavily on retirees to support beginning administrators, mentors in Kentucky are, for the most part, active principals with at least five years of administrative experience. They are expected to complete 12 hours of mandatory training; however, their training is focused more on the logistics of how to manage the administrative tasks that are required, such as paperwork and school visits. Mentors are expected to spend at least 50 contact hours with their protégés, in addition to attending meetings, attending to extensive paperwork and being available for advice beyond the minimum hours. Though the one-year mentorship program is tied to state licensure, the mentoring process seems more of a compliance

exercise than a meaningful quality screen (Spiro, Mattis & Mitgang, 2007). Overall, funding issues are a concern between state-funded mentoring systems and the design of district programs. However, Kentucky was a pioneer in requiring and funding mentoring statewide. Nevertheless, it faced the challenge of developing a uniformed system that would allow enough latitude to innovate and shape their programs to fit each district's particular leadership needs. As an added tension, Kentucky included a judgmental dimension to mentoring with the purpose of identifying and removing weak leaders as early in their careers as possible (Spiro et al., 2007).

Another example is the New Leaders for New Schools (NLNS). NLNS prepares accomplished educators to become principals to high-need communities. Aspiring principal candidates are selected and trained to become leaders in one of the program's partner districts, such as Baltimore, Chicago, New Orleans, Milwaukee and the San Francisco Bay Area. The NLNS participants are required to attend a five-week summer training institute program taught educators and business leaders. The program focuses on developing instructional and organizational leadership skills. After completing this training institute, leaders begin a year-long, full-time, paid residency in an urban public school working alongside a mentor principal. With the support of a veteran mentor principal, aspiring school administrators are full members of school leadership teams and directly responsible for raising student achievement and leading teachers. The year also includes intensive academic studies that further develop leadership skills. In addition to the five-week summer training a four one-week-long seminars are scheduled throughout the school year (United States Department of Education, 2006).

The NLNS curriculum is organized into three strands, aligned to the NLNS's Principal Leadership Competencies. The Principal Leadership Competencies are based on research from 90-90-90 schools (schools where at least 90% of students are students of color, 90% are on free or reduced lunch, and at least 90% are achieving at or above proficiency). These curriculum strands also incorporate the common themes that impact urban school leadership: family involvement, diversity, and education policy and reform (United States Department of Education, 2006).

A similar program is Building Excellent Schools (BES), which prepares individuals to lead charter schools in underserved communities. The BES yearlong fellowship provides a six-week residency program in high-performing charter schools. While in resident, fellows receive ongoing coaching and mentorship with the purpose to acquire a broad range of charter school business practices (United States Department of Education, 2008).

Clark and Shields (2006) studied the Vancouver School Board (VSB) Mentoring Program. The VSB program focused on one-to-one mentoring between experienced principals and new principals and experienced vice-principals and new vice-principals. In this program, the VSB committee was cautious about having principal mentors from another school provide advice to a vice-principal, who was already working with his or her own principal. They found that the creation of a formal mentorship program supported the development of "learning partners" and, through their ongoing learning conversations; it enabled a move toward organizational learning. For the mentors, the program provided opportunities to strategically reflect and improve their own practice, which ultimately led to great personal and professional satisfaction. For the protégés, the

program increased their level of self-confidence, provided practical knowledge about how to carry out their jobs, enabled them to self-reflect on their values and behaviors, supported them in their understanding of the organizational context, provided socialization into their roles as school administrators, and offered them encouragement and emotional support.

A somewhat different approach to mentoring is Leadership Coaching (Bloom, Castagna, & Warren, 2003). The New Teacher Center (NTC) at the University of California Santa Cruz, in collaboration with the Association of California School Administrators, jointly addressed the mentoring issue through their professional development program for leadership coaches: Coaching Leaders to Attain Student Success (CLASS). The purpose of CLASS was to prepare individuals to coach new and experienced school principals, and to support the establishment of programs for principal induction and ongoing professional development (Bloom, Castagna, & Warren, 2003). CLASS made a distinction between coaching (by outsiders who, while professional experts, did leadership coaching as their primary work) and mentoring (carried out by senior insiders in job-alike positions). In this model, principals are encouraged to have a mentor as a source of advice and information regarding district matters. Additionally, this program recommends that all principals secure an external coach as a source of confidential and expert support around the wide-ranging, problematic issues that surround their first days on the job. The CLASS coaching model is based upon the following precepts:

1. The coach is an observer who can see both circumstances and possibilities that the “coachee” can’t.

2. The coaching relationship is based upon trust and permission.
3. The coach moves between instructional and facilitative coaching strategies based upon assessment of the “coachee’s” needs and in pursuit of agreed-upon goals.
4. The coach’s fundamental commitment is to student success, and the coach will appropriately push the “coachee” to that end.
5. Professional standards of Interstate School Leaders Licensure Consortium (ISLLC) and California Professional Standards for Educational Leaders (CaPSELs) are a framework for goal-setting and ongoing formative assessment.
(p. 23)

In the CLASS model, coaching does not refer to training. Training conveys a particular curriculum, while coaching addresses the needs of the individual. Because the goal of CLASS participants is to master the elements of the principalship outlined in the Interstate School Leaders Licensure Consortium (ISLLC) standards, so that they directly impact student achievement through their leadership, it is the “coachee” who determines the focus of the coaching session. CLASS advocates that effective coaches move between instructional and facilitative coaching strategies based upon assessment of the “coachee’s” needs and in pursuit of agreed goals. The coach’s fundamental commitment is to student success. The program specifically addresses the principals’ needs, designed around the challenges that principals face (Bloom, Castagna, & Warren, 2003; Chapman 1999).

The CLASS model advocates that blended coaching strategies allow coaches to draw upon a number of coaching disciplines, including cognitive coaching (Costa &

Garmston, 2002) and transformational coaching (Hargrove, 1995), as coaches decide when it is appropriate to take an instructional approach or a facilitative approach. In applying blended coaching strategies, the coach is a fully-present listener who moves skillfully between instructional and facilitative strategies (Spiro, Mattis, & Mitgang, 2007).

While there is little empirical evidence on how specific program components influence leadership behaviors, on-the-job performance, or student outcomes (Allen, Eby & Lentz, 2006; Baugh & Fagenson-Eland, 2007; Darling-Hammond, LaPointe, Meyerson, Orr, & Cohen, 2007; Davis, Darling-Hammond, LaPointe, & Meyerson, 2005; Hansford & Ehrich, 2006; Spiro, Mattis, & Mitgang, 2007; Mitgang, 2007; Wanberg, Welsh, & Hezlett, 2003), a study of the Interstate School Leaders Licensure Consortium (ISLLC) conducted by Valentine (2001) revealed promising research seeking to understand the outcomes of principal preparation. Valentine gathered evidence from a three-year principal preparation redesign project that when a program is restructured to be concept driven, cohort based, carefully mentored, and with a year-long, full-time, intensive experience at the school site, prospective leaders scored higher on the new ISLLC performance assessments. They received higher evaluations by prospective employers and performed at higher levels in the day-to-day operations of the principalship, and were perceived by teachers as being more effective in managing their schools. As a result, professional development activities should be ongoing, career-staged, and seamless and not the traditional one-shot workshops often criticized for their limited impact (Peterson, 2002).

In their final report submitted to the Wallace Foundation, Darling-Hammond, LaPointe, Meyerson, Orr and Cohen (2007), examined eight exemplary pre- and in-service principal professional development programs. The programs were chosen both because they provided evidence of strong outcomes in preparing school leaders and because, in combination, they represented a variety of approaches with respect to their designs, policy contexts, and the nature of partnerships between universities and school districts. Pre-service preparation programs were sponsored by four universities: Bank Street College, Delta State University, the University of Connecticut, and the University of San Diego working with San Diego City Schools. In-service programs were sponsored by the Hartford Connecticut School District, Jefferson County Public Schools in Kentucky, (which included a pre-service component), Region 1 in New York City, and the San Diego City Schools.

Researchers (Darling-Hammond, LaPointe, Meyerson, Orr & Cohen, 2007) conducted interviews, observed meetings, courses and workshops, interviewed and surveyed participants, and examined data on school practices and achievement trends to understand the strategies and outcomes of the districts' work. Additionally, they conducted policy case studies in the states of California, Connecticut, Kentucky, Mississippi, and New York; these were augmented by three additional states that had enacted innovative leadership policies: Delaware, Georgia and North Carolina. Thus providing a broader perspective on how state policy and financing structures influence program financing, design, and professional development programs.

Darling-Hammond, LaPointe, Meyerson, Orr and Cohen (2007) confirmed Peterson's (2001) findings that ongoing leadership support and development, like

leadership preparation, should combine theory and practice. Thus, it should provide scaffold learning experiences under the guidance of experienced mentors, offer opportunities to actively reflect on leadership experiences, and foster peer networking. In their final analysis, Darling-Hammond, et al. concluded that most existing mentoring programs are falling short of their potential. Too often, existing state and district-level programs result in “buddy systems” or check-lists exercises that do not adequately support principals to become knowledgeable and courageous leaders of better teaching and learning in their schools. To that end, the researchers (Darling-Hammond, et al.) proposed the following “quality guidelines” for states and districts that are considering adopting new mentoring programs or improving existing ones:

1. High-quality training for mentors should be a requirement and should be provided by any stated or district with mentoring.
2. States or districts that require mentoring should gather meaningful information about its efficacy, especially how mentoring is or is not contributing to the development of leadership behaviors and dispositions that are needed to change the culture of schools toward improved teaching and learning.
3. New principals need to be supported as they move from novices to self-assured leaders of change, mentoring should be provided for at least a year, and ideally two or more years.
4. State and local funding for principal mentoring should be made sufficient to provide quality training, stipends commensurate with the importance and time requirements of the task, and a lengthy enough period of mentoring to provide new principals a meaningful professional induction.

5. The primary goal of mentoring should be clear and unambiguous: to provide new principals with the knowledge, skills and courage to become leaders of change who put teaching and learning first in their schools. (p. 4)

Adult Learning Theory

According to adult learning theory or andragogy, adults are autonomous and self-directed. They need to be free to direct themselves. Adults need to connect learning to their life experience and are goal and relevancy oriented. They are driven by a desire to apply in practice what they have learned. However, as Figure 3 indicates, before learning can take place, adults must experience, process, generalize and apply the concepts learned (Knowles, 1990). Similarly, Speck (1996) discussed that adult learners need to participate in small-group activities during the learning to move them beyond understanding to application, analysis, synthesis, and evaluation (Bloom, 1956). Coaching and other kinds of follow-up support are needed to help adult learners transfer learning into daily practice so that it is sustained (Cohen, 1995; Kolb, 1984; Speck, 1996). As a result, professional development forms the bridge between academic training and growth in practice (Knowles, 1996). In keeping with growth in practice, an understanding of adult learning theory is important toward developing relevant, engaging and timely training for beginning school principals.

Knowles (1996) argued that there are six assumptions that adult trainers must maintain: (1) adult development occurs along multiple paths and dimensions; (2) motivation and readiness to learn will vary primarily according to stage of life-span development; (3) as they mature, adults tend to prefer self-direction; (4) adults' experiences are a rich resource for learning. Adults learn more effectively through

experiential techniques, such as discussion or problem solving than they do through passive techniques; (5) adults are aware of specific learning needs generated by real-life events; and (6) adults are competency-based learners. They want to learn a skill or acquire knowledge that they can apply pragmatically to their immediate circumstances.

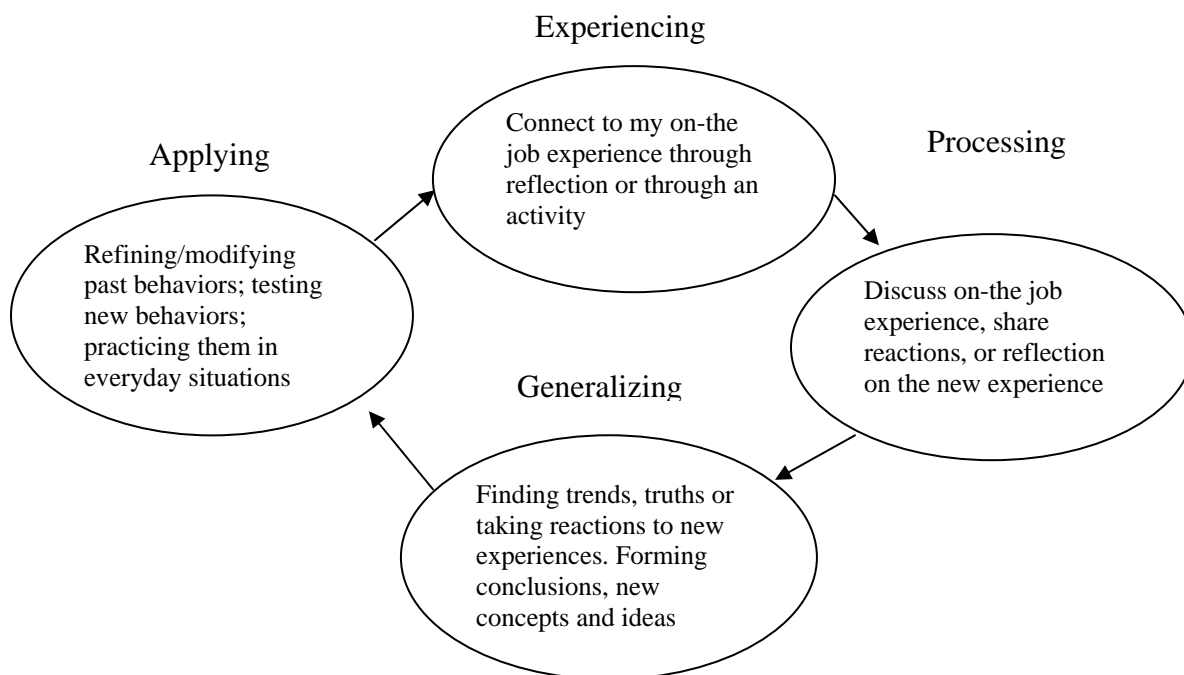


Figure 3. Knowles' requirements for adult learning.

From: Knowles (1990, pp. 51-65)

Zepeda (1999) contended that adult learners have different learning needs, backgrounds and levels of development and experience throughout their careers. The literature indicated that the efficacy of adult learning can be achieved throughout all career stages through the practice of andragogy (Knowles, 1990). A close examination of Knowles' adult learning theory suggests the following assumptions:

1. Adult learning is inextricably intertwined with adult development.
2. Adult development occurs along multiple paths and dimensions.
3. Adult learning will vary primarily with stages of cognitive development.

4. Motivation and readiness to learn will vary primarily according to stage of life-span development.
5. Adult learning facilitators must be attentive to learners' stages of development, and tailor learning experiences to fit each developmental stage.
(pp. 84-90)

Similarly, the findings of Zemke and Zemke (1995) are consistent with the principles of andragogy. Zemke and Zemke concluded that as adults mature, they tend to prefer self-direction. Because adults bring a rich resource for learning, they learn more effectively through experiential techniques, such as group discussion or problem solving, rather than through passive techniques. Additionally, adults are aware of specific learning needs generated by real-life events. Hence, they are competency-based learners; they want to learn a skill or acquire knowledge that they can apply pragmatically to their immediate circumstances. In essence, adults focus on success that can be achieved by applying problem-centered approaches to the issues faced on the job (Cantor, 1992).

While Knowles (1995) and Zemke and Zemke (1995) focused on adult learning, Cohen's (1995) work concentrated on effective mentorship principles that would create a climate for growth and dialogue. According to Cohen, adult learners require a mentor willing to provide modeling, information and support. Cohen found that not only is the behavioral role of a mentor vital to the mentor-mentee relationship, but that the mentee is responsible for assuming personal involvement in that development process. According to Cohen's theory, the mentor role is comprised of six behavioral functions: Relationship Emphasis, Information Emphasis, Formative Focus, Confrontive Focus, Mentor Model,

and Mentee Vision. Each of these functions has a specific purpose which facilitates a climate for reflection, discussion, and growth.

The Relationship Emphasis behavioral function's primary purpose is to create a psychological climate of trust that allows protégés to honestly share and reflect upon their personal experiences, both negative and positive, with their mentors. In exchange, mentor behaviors consist of responsive listening, descriptive feedback, perception of comprehension and accompanied feelings, and assistance in clarifying emotional states of mind. Effective listening verifies the mentor's understanding and responsive listening allows the mentor to empathetically acknowledge the protégé's concerns and emotions without making assumptions or judgments (Cohen, 1995).

The Information Emphasis behavioral function must ensure that the advice that is being offered is based on accurate and sufficient knowledge of individual protégés. In other words, mentors directly requests detailed information from and offers specific suggestions to mentees about their current plans and progress in achieving personal, educational, and career goals. As a result, the mentor asks probing questions that require concrete answers and rely on facts as an integral component of the decision-making process for personal, educational, and career advancement (Cohen, 1995).

The Facilitative Focus behavioral function is to primarily guide protégés through a reasonably in-depth review and exploration of their interests, abilities, ideas, and belief system. The mentor facilitates learning by causing their protégés to analyze multiple viewpoints which expand knowledge and understanding of issues, leading to prudent decision-making regarding personal, academic and career-related goals (Cohen, 1995).

The Confrontive Focus behavioral function's purpose is to respectfully challenge the protégés' explanations for, or avoidance of, decisions and thus attain insight into unproductive strategies and behaviors, as well as to evaluate their need and capacity to change. Respectful challenge of decisions and behaviors, while reinforcing belief in their potential growth, promotes safe learning and the understanding of all sides of an issue before they take a position, in which that understanding is relevant to their development as adult learners (Cohen, 1995).

The Mentor Model's behavioral function's is to share life experiences and feelings as a "role model" in order to motivate mentees to take risks and to overcome difficulties in their journeys toward educational and career goals. Mentor behaviors include offering personal thoughts and genuine feelings to emphasize the value from different experiences, such as learning from unsuccessful or difficult experiences and not view these experiences as growth-limiting or as failures. By providing related personal examples, the relationship is not only strengthened, but it allows mentees to gain valuable knowledge about their profession that serves as building blocks toward a successful future (Cohen, 1995).

Finally, the Mentee Vision's behavioral function's purpose is to encourage mentees to manage personal changes and take initiatives in their transitions through life events as independent adult learners. Mentors provide vision by modeling what the protégé wants to become. Through actions, reflections and advice, the mentor provides a roadmap that leads the mentee toward a successful future. Mentors provide encouragement by fostering reflective practice with the mentee. Reflection enables their

protégés to focus on the big picture and assists them to create a vision of what might be if they were to develop their talents and pursue their goals (Cohen, 1995).

Consequently, Cohen's (1995) behavioral functions support Zepeda's (1999) argument that an organization that promotes adult learning should become familiar with basic human needs. With this in mind, Zepeda's work on practices that promote meaningful staff development identifies the following professional development needs for adult learners: (1) assessing adult learner needs, (2) climate conducive to learning, (3) participatory planning, (4) specific goals and objectives, (5) varied learning activities, (6) implementing new or refined practices, (7) feedback and support, and (8) evaluation and support (p. 45)

According to andragogy principles, adults need a learning environment that is both informal and action oriented with desired outcomes and learning tasks (Cohen, 1995; Knowles, 1990; Zemke & Zemke, 1995; Zepeda, 1999). With this in mind, Cohen's behavioral functions emphasize a learner-centered approach that focuses on a learning relationship where both the mentor and the protégé are engaged in a partnership. Through this partnership, they gain a greater understanding of the world in which they work. As the learning relationship evolves, they both share accountability and responsibility for achieving the mentee's learning goals (Cohen, 1995). Cohen's six behavioral functions are critical to the success of the mentoring relationship within a purposeful and goal-oriented professional development program for beginning principals. Through these functions the formalized partnership is aimed to focus on the needs of the protégés by creating a supportive relationship (Darling-Hammond, LaPointe, Meyerson, Orr, & Cohen, 2007). In turn, this will enable them to develop to their fullest potential

with their own vision to become independent leaders during the mentoring process (Clark & Shields, 2006). Table 6 illustrates how the relationship between the mentor and mentee is symbiotic. Their behaviors allow for specific desirable outcomes to surface within the relationship.

Table 6

Cohen's Behavioral Functions and Mentorship Outcomes

Function	Outcome
Relationship Emphasis	Establish <i>Trust</i>
Information Emphasis	Offer Tailored <i>Advice</i>
Facilitative Focus	Introduce <i>Alternatives</i>
Confrontive Focus	To <i>Challenge</i> Constructively
Mentor Model	To <i>Motivate</i>
Mentee Vision	To <i>Encourage</i> Initiative

Note: Cohen (1995, p. 3)

Final Summary

A review of the literature supports that the principal is the primary change agent within a school and that this individual must lead school improvement initiatives that result in supporting the goals of the student and the school community. Moreover, school principals generally enter a challenging environment. The role of the principal is demanding and complex. It is these very complexities that point to the need for a well-designed professional development program that is grounded in practice and adult learning theory, and that is focused toward specific strategies that will developmentally support beginning principals during their first three years in their careers. Through this

support, new principals will acquire the necessary qualities, proficiencies, and leadership skills to lead with confidence.

Isolation and a lack of a comprehensive professional development program have led to principal job dissatisfaction, burnout and high turnover. The socialization of principals, along with a relevant and cohesive professional development program, is key to the retention and recruitment of principals. As a result, over the past couple of decades, professional development and mentoring programs have been established as a developmental tool to improve the quality of principal preparation and performance. These programs aim at field-based learning to allow practitioners to increase their technical expertise, to support role clarification, and to develop a new set of skills and professional behaviors that are unique to their positions as principals.

Studies have indicated that successful professional development and mentorship programs for new principals must reflect the principles of adult learning theory, which contain integrated and articulated strategies of professional support, guidance and development. Such professional development programs foster an approach in which leaders model a preparedness to face and manage the challenges of change, a capacity to exercise critical and creative intelligence in the solving of problems, and a belief in the complex, shared, and incremental process of learning how to lead.

Moreover, the image of leadership is one of mobilizing people to understand the problems they face and to tackle these problems together. Implicit with this interpretation is a need to develop, foster, and enhance relationships among people within an organization. The literature points towards a reconceptualization of leadership practice

that is fundamentally concerned with building relationships and harnessing the capacity of those within the school to create the conditions for sustained school improvement.

Though there is a notable absence of empirical studies on the mentoring of Catholic school principals, the literature indicated that self-reflection is crucial in their roles as faith, managerial, and instructional leaders in their respective school sites. Reflective practices in professional development provide principals with opportunities to engage in contemplative moments, whether in mundane or faith-filled moments. Hence, through contemplative practice and cohesive professional development, Catholic school lay principals respond daily to the grace of God that is present in their souls and that builds up the Body of Christ. In this way, introspection, coupled with grounded theory and practice, are crucial in the effectiveness of the Catholic school principal.

To date, the approach of using mentoring as ongoing professional development is varied across the United States. The aim of mentorship is to provide mentors who can help their protégés achieve their full potential as school principals throughout all the various phases of their careers, including guiding them in their continuous professional development as their careers progress. Research studies have indicated that mentoring programs are an important type of professional development activity for enhancing the learning and growth potential of new and more experienced principals.

Mentoring is purported to reduce professional isolation, provide principals with continuous feedback, increase the skill levels of new principals, and provide a model of educational excellence and leadership and supportive relationships during the critical early stages of administrator development. Thus, the mentoring of principals creates a climate of professional community among the mentor and the protégé that focuses on

effective communication, problem-solving, and risk-taking. Further, it provides mentees the opportunities for self-examination and candid feedback within a safe environment. Likewise, it enables the partners to plan professional learning opportunities to experience together and reflect on broader issues of effective leadership.

While the majority of the reviewed studies revealed that mentoring provides a range of positive outcomes for both mentors and their protégés, the review showed a number of drawbacks. Perennial problems, such as insufficient time for mentoring, personality and expertise mismatches, can undermine the fostering of important conditions required for such a highly interpersonal and developmental relationship. Other negative aspects of mentoring, including time for reflective development, mentoring and gender issues have been discussed.

Successful professional development takes time. Principals benefit from professional development that examines best practices, provides coaching support, encourages risk-taking designed to improve student learning, cultivates team relationships and provides quality time for reflection and renewal. In the end, principals should leave these experiences with a renewed sense of faith in the transformative power of schools in the learning communities they serve. The following section will describe the methodology for this study, which will examine the effect of professional development and leadership training in the areas of faith, managerial, and instructional leadership for beginning Catholic school principals. The investigation will report the perceptions of veteran principals in regard to their daily roles as school leaders.

CHAPTER III

METHODOLOGY

Restatement of the Purpose

The purpose of this study was to investigate the perceptions of six Catholic elementary school principals, who have more than 10 years of administrative experience in a Catholic diocese in the San Francisco Bay Area. These veteran principals shared their perspectives in regard to their daily role as faith, managerial, and instructional leaders, as well as the aspects of professional development in these areas that were helpful in addressing their leadership challenges, through the following research questions:

1. What aspects of faith leadership do diocesan Catholic school principals perceive that beginning elementary school lay principals need in order to support their professional development as faith leaders?
 - a. What aspects of professional development in faith leadership did participants find most helpful?
 - b. How did these aspects of professional development address the challenges that participants encountered as faith leaders?
2. What aspects of managerial leadership do diocesan Catholic school principals perceive that beginning elementary school lay principals need in order to support their professional development as managerial leaders?
 - a. What aspects of professional development in managerial leadership did participants find most helpful?

- b. How did these aspects of professional development address the challenges that participants encountered as managerial leaders?
3. What aspects of instructional leadership do diocesan Catholic school principals perceive that beginning elementary school lay principals need in order to support their professional development as instructional leaders?
 - a. What aspects of professional development in instructional leadership did participants find most helpful?
 - b. How did these aspects of professional development address the challenges that participants encountered as instructional leaders?

Research Design

This study used a qualitative research interview design. The purpose of the interviews was to understand themes of the lived daily world from the subjects' perspectives. The structure was similar to everyday conversations, but as professional interviews, they involved the phenomenological method (Kvale & Brickmann, 2008). This method was semi-structured, that is, neither an open every day conversation nor a closed questionnaire. The interviews were conducted according to guided questions that focused on the theme of professional development in the areas of faith, managerial, and instructional leadership. The interviews were tape recorded, transcribed and then coded accordingly.

Participants

The study focused on six participants. The participants were Catholic school principals with more than 10 years of administrative Catholic school experience in the San Francisco Bay Area. Since there are a large percentage of female principals in K-8

Catholic education, the researcher sought to interview specifically female participants. Additionally, in an effort to capture the experience and hindsight of a central office administrator, the researcher sought to interview a former Catholic school principal, with more than 10 years of administrative Catholic school experience, who directly supported the Office of Catholic Schools in the Chancery Office. Chapter IV contains a profile of each participant. The Institutional Review Board for the Protection of Human Subjects (IRBPHS) approved this study (Appendix A).

Research Setting

The study was conducted in a Catholic diocese in the San Francisco Bay Area. At the time of this investigation, this diocese was the 32nd largest diocese in the United States and the 4th largest in California, with 45 elementary schools, one regional school, and nine high schools. Twenty percent of students are African-American, 63% are Latino, 14% are Asians and 3% are Euro-Americans. Twenty percent are non-Catholic students. Overall, school enrollment in the Diocese has been relatively stable, except for schools in the inner city, where approximately an enrollment decrease of 33% has been experienced from 2002-2003 to 2007-2008. (personal communication, November 25, 2008)

Selection Process

The researcher received permission to conduct the study from the Superintendent of Schools' office (Appendix B). Following, the Superintendent and the Human Resources Director offered the names of 10 possible participants. The researcher contacted these individuals personally and asked for their participation until she secured six participants (Appendix C).

Once the Institutional Review Board for the Protection of Human Subjects (IRBHS) (Appendix A) authorized conducting the study, the researcher contacted the prospective individuals by phone or email in an effort to set-up appointments for interviews. A follow-up letter via email was sent to confirm their participation, along with a copy of the research subjects' Bill of Rights (Appendix D). Interviews were arranged at the convenience of the participants. In an effort to show courtesy and respect toward their personal calendars and professional deadlines, both time and location was decided by them.

In the initial contact with subjects, the researcher explained that all data would remain confidential and located in a locked safe, and that names would not be revealed in this study. Participants were free to decline to answer any questions that may have caused emotional discomfort. The published results do not identify the individuals or their respective schools.

Validity

According to Kvale and Brickmann (2008), validity refers to the correctness, generalizability of the interview findings, and the strength of a statement. Thus validation is not some final verification or product control, but rather it is built into the entire research process with continual checks on the credibility, plausibility, and trustworthiness of the findings. In other words, validation was not a separate stage of this investigation; it permeated the entire research process. As a result, the emphasis on validation occurred throughout the investigation, on continually checking, questioning, and theoretically interpreting the findings.

Reliability

According to Kvale and Brickmann (2008), reliability pertains to the consistency and trustworthiness of the research findings. It is often treated in relation to whether or not a finding is reproducible at other times and by other researchers. Consequently, the researcher asked the same questions to each of the participants and did not ask any leading questions. The recording, transcription, and categorization of the interviews were conducted solely by the researcher. The participants were asked to review the transcription of the interview for any errors made. The researcher received feedback from 100% of the participant, where they each proofread the transcriptions and made any necessary changes or clarifications.

Ethical Considerations

The researcher was cognizant of not using discriminatory language, as well as being mindful of any cultural, gender, or other important differences within the research population in the planning, execution, and reporting of the research. Hence, participants were informed of the purpose, the goals of the study, how the results were used, and the professional consequences the study could have on their lives. They were informed that they had the right to refuse to participate or to withdraw from the study at any time. Moreover, the researcher assured them that their names and information would be kept confidential. Further, participants were offered to receive a copy of the study upon its completion.

Collection of Data

Participants who agreed to participate in the study were contacted by email in the form of a letter (Appendix C). Upon agreeing to participate in the study, the participants

responded via email. Upon receipt of consent, the participants were contacted by email to schedule the interview. Once the interview was scheduled, the participants received a copy of the Participant's Bill of Rights (Appendix D). Data collection took place at a convenient location and time for participants. Interviews per subject ranged between 50 to 80 minutes.

Open-ended questions were used to prompt for relevant professional information and background (Appendix E). Further, interviews attempted to address all of the research questions by determining the perceptions of each principal of their experiences and training in the areas of faith, managerial, and instructional leadership. The interviews addressed how each principal managed their role and provided insights as to the types of professional development could best support the beginning Catholic lay school principal in their role as faith, managerial and instructional leader. Interviews were held privately at a mutually agreed upon time and place so participants could focus on answering the questions thoughtfully and carefully without unnecessary distractions and interruptions.

The questions emerged from an interview protocol using a semi-structured format. The semi-structured approach provided focus and consistency to the interviews, while at the same time allowed the freedom to follow any ideas and perceptions of professional development needed to assist new principals in their understandings of their work, as faith, managerial and instructional leaders.

The interview protocols were influenced by the definitions in the literature of what constitutes effective professional development for beginning principals in the areas of faith, managerial and instructional leadership. The researcher asked permission to audio tape interviews and take written notes. Once permission was obtained, from each

of the six participants, the interview proceeded. Note taking served as a partial backup and cross check to the audio taping. Observations by the researcher were noted in writing and were used during data analysis.

The interviews were transcribed verbatim, by the researcher, with identifying information omitted. During the interview no leading questions were asked, and all findings were reported honestly and accurately. Copies of the transcripts were sent to each of the participants and were reviewed for accuracy. Any additions, corrections or clarifications otherwise known as member checks, were made. After the review of the original transcripts, second interviews were not needed.

Confidentiality was achieved by assigning fictitious names to the participants and generically describing the location of the host diocese. Equally, during the data collection process, the researcher did not share any information about her findings with others outside the project, including other participants. All participants who initially agreed to be part of the study participated in it. Before the interviews, consent was obtained in writing from each interviewee. Participants were thanked for participating and were asked if they would like a copy of the study, upon its completion.

Data Analysis

Data was analyzed using the constant comparative method of analysis (Dey, 1993). The constant comparative method involves continuous looping back through data to identify examples, patterns and themes and to review changes, trends and new ideas as the study progresses. Hence, the typed transcriptions were used to find common themes among the interviewees' thoughts, suggestions and concerns. Due to a computer glitch with AnSWR©, Version 6.5, interview data from the transcripts was manually analyzed

and compared to how each principal responded to each of the research questions. The researcher incorporated the following steps.

Coding the Data

The researcher transcribed and read the entire recorded interview. The interviewer looked for information that was pertinent to the answering of the research questions. Hence, the questions suggested what pieces needed to be coded for meaning, as they were expressed by the participants. Once this information was identified, the researcher coded a paraphrase, phrase, heading, or label that described what was being seen in those passages or quotes that were most relevant. These codes were used as the general indicators. The researcher labeled the coded material with labels that were not exclusively from the literature review or the research questions. Instead, new observations and insights emerged to produce new analyses that were focused on meaning as participants shared their experiences. Thus, through this coding process, analyses that were focused on meaning co-created a story, rather than the discovery of a story (Kvale & Brinkmann, 2008).

Developing Themes From the Data

Throughout the manual coding process, the researcher retrieved the transcript, with the option of recoding and of combining codes. The researcher reviewed the sorted data according to topics. Data-driven coding was developed as the researcher read the material. Following, these, coded memos were used to label each data category with a word or phrase that captured the general idea of emerging themes.

The researcher reviewed the coded memos by asking questions, such as: Does everything in each category relate to the label given to the category? Can some categories

be combined? Can some categories be deleted because they are insignificant, do not relate to the research question, or have very few pieces of data in them?

Developing a Conceptual Schema From the Data

The conceptual schema tied the data together, answered the research question and ensured for coherence. Thus, the researcher identified non-redundant themes of the interview that tied together into a descriptive statement and recognized an emerging narrative with the themes.

Writing the Analysis

Based on this process, the researcher was able to interpret common themes and thoughts around the central phenomenon. According to Kvale and Brinkmann (2008), the interviewee's statements are co-authored by the interviewer, because "the interview is an inter-subjective enterprise of two persons talking about common themes of interest" (p. 192) and "the transcripts of the interview are a continuation of the conversation that started in the interview situation, unfolding its horizon of possible meanings" (p. 193). Subsequently, the researcher wrote the narrative analysis so that it was driven by her conceptual schema; theory and literature was used to support a coherent narrative.

Background of the Researcher

I began my full-time teaching experience in a K-12 public school setting where I benefited from a three-year teacher mentorship program. My teaching experience encompassed teaching in bilingual elementary education. I also taught middle and high school students.

Soon after completing the teaching mentoring program, I was recruited to join a potential administrative pool. Part of that experience was to attend a one-year induction

program that included training on time management, managerial tasks such as conducting meetings and setting agendas, and stress management. While I attended that program, I was recruited to be part of the new administrator mentorship program in which I was expected to pursue and complete a Master's degree in school administration, coupled with the California state administrative services credential. During my mentorship experience, I was given the opportunity to shadow and work with two accomplished elementary school principals.

Once I completed the California state administrative services credential program, I was part of the administrative pool and was given the opportunity to apply for a K-12 administrative position. My first position began as dean of discipline in a middle school and gradually I began to move up the administrative ladder. Among my administrative positions, I have served as a high school vice principal for instruction and curriculum, elementary principal, program director for a consortium of nine school districts, (comprised of 130 schools), assistant superintendent for curriculum, instruction, and technology, and executive director for a consortium of inner city schools. I have managed budgets ranging from \$1M to 105M and have been directly responsible for the hiring, training, mentoring and firing of K-12 faculty. Additionally, I have taken a proactive role in publishing both curriculum materials and hands-on materials that can easily be replicated by busy or inexperienced K-12 school principals.

Though my administrative mentorship experience was only for one year, my mentors were part of my career for nearly 15 years. As my mentors began to retire, they introduced me to other possible mentors whom I could establish a relationship. They took

great pride in all of their protégés and ensured that we were never placed in a “sink or swim” situation.

When I joined the Catholic school system, I realized that although I had been in school administration for many years, I was not familiar with the culture of the Catholic school. In order to find my way around this new structure, I had to first get to know my peers before I would be able to know who and what to ask. Additionally, I realized that my love for my faith was not enough to help me with the awesome role of being the faith leader of my school. Hence, I decided to pursue a theology degree in an effort to help me understand how to assist in the faith development of the members of my school community. Moreover, while the religious and faith education of children are well resourced in terms of classroom materials, it has not been my observation that principals and other leaders in Catholic schools have had the opportunity to fully develop a professional development program that fully addresses the need to recruit, support and retain new and upcoming Catholic school principals. With this end in mind, my study is an attempt to help articulate a program that can provide both the blend of a qualitative study and the richness of research to create and support cohesive professional development programs for beginning principals that are developmental, timely, and seamless. It is my hope that this study will be assist diocesan offices in developing a successful roadmap in the preparation of beginning principals, so that new school principals may experience success as faith, managerial and instructional leaders.

CHAPTER IV

FINDINGS

The purpose of this study was to investigate the perceptions of six Catholic elementary school principals, with more than 10 years of administrative experience in a Catholic diocese in the San Francisco Bay Area. These veteran principals shared their perspectives in regard to their daily role as faith, managerial, and instructional leaders, as well as the aspects of professional development in these areas that were helpful in addressing their leadership challenges. The participants shared their insight about what kind of professional development new principals should receive to support their daily leadership challenges in their roles as faith, managerial, and instructional leaders.

After presenting a profile of each of the six participants of the study, the researcher will delineate the findings presented in response to each of the research questions in the following order: (1) perceptions of the aspects of professional development new candidates should receive to support their role as faith leaders; the aspects of professional development in faith leadership they found most helpful; and how these aspects of professional development addressed the challenges that participants encountered as faith leaders, (2) perceptions of the aspects of professional development new candidates should receive to support their role as managerial leaders; the aspects of professional development in managerial leadership they found most helpful; and how these aspects of professional development addressed the challenges that participants encountered as managerial leaders, (3) perceptions of the aspects of professional development new candidates should receive to support their role as instructional leaders; the aspects of professional development in instructional leadership they found most

helpful; and how these aspects of professional development addressed the challenges that participants encountered as instructional leaders. Three additional themes arose during the interviews. These revolved around networking, mentorship, and the recruitment and retention of principals.

The following profiles arose from the interviews of the participants. Each of the participants shared their background and preparation prior to becoming a Catholic school principal.

Profiles of the Participants

Anne

Anne began her teaching career as a Catholic high school teacher, which she undertook for nine years. While working at the Catholic high school, she served in a number of administrative positions, such as Activities Director and Campus Minister. She decided to interview for an elementary principal position after she was invited to apply by a former colleague who had made the change into elementary school administration, and immediately after she acquired her Tier I Administrative Services Credential. She completed her Tier II credential during her first year as principal. Anne worked at her first site for seven years and is currently starting her eighth year at her second site. She has been a principal for a total of 15 years and has worked in Catholic education for 24 years (personal communication, November 24, 2008).

Bertha

Bertha began her career as a Catholic school teacher. She became principal after three years of teaching. Through the encouragement of her principal and the superintendent she became an elementary school principal. She received her teaching

credential after her third year as principal; however, after a year on the job, she began the Masters program in Private School Administration at the University of San Francisco. She served as principal at her first site for seven years, eight years at her second school, a mid-term vacant principalship for a few months, and central office administrator for two years. Bertha has been employed in Catholic education for nearly 21 years (personal communication, December 1, 2008).

Carla

Carla served as an elementary teacher for eight years prior to obtaining an administrative credential. She received both her teaching and administrative life credentials from San Jose State University. She was principal at her first site for eight years and has been principal at her current site for 20 years. She attended Santa Clara University's summer program for Catholic school principals, over a span of 10 years, as well as participated in the SummerWest program at the University of San Francisco for a few years. She has worked as a Catholic school principal for 28 years and has devoted 36 years to Catholic education (personal communication December 1, 2008).

Daisy

Daisy comes from a family of educators. She was attending Dominican University when she decided to become a teacher and obtained her teaching and administrative credentials at San Francisco State University. She taught every grade level except for Kindergarten over a span of 10 years. Prior to becoming a principal, she served as a vice principal for one year. Daisy was a principal at her first school for 16 years and nine years at her second site. She is now completing her first year at her third

school site. She has dedicated 36 years to the Catholic school system, 26 of which have been in a school leadership role (personal communication, December 2, 2008).

Emma

Emma received her undergraduate degree from Dominican University and her Master's in Religious Studies from the Catholic University of America in Washington, D.C. She began her doctoral work at the Graduate Theological Union in Berkeley, but did not complete her coursework due to her election to the Governing Council of her religious order. She became a principal after three years of teaching experience.

According to her, her administrative experience began when her superior informed her that she “would be the acting principal; she would do all the things a principal does, but her superior would get both the praises and blame” (*Interviews*, p. 57). She served in that capacity for two years, followed by her first principalship for a period of four years. Her second elementary principal position was for four years, followed by a high school principalship of three years. She then worked one year as assistant superintendent before becoming superintendent, where upon she devoted 15 years to that leadership position. Following, she then served as Major Superior for her congregation for 10 years. Emma is on her third year as elementary principal. She has dedicated 35 years to Catholic education (personal communication, December 2, 2008).

Florence

Florence attended Catholic schools from kindergarten through graduate school. However, she received her administrative credential from California State University, Hayward. She perceives herself as a “Catholic school person”, though she had the opportunity to teach in public schools for two years prior to becoming a Catholic school

teacher. She served as an elementary teacher for 14 years but, during on her ninth year, her principal encouraged her to moderate the Student Council and there she realized that she loved administration. The following year, her principal offered her the position of vice principal, in which she became immersed in leadership duties. With her principal's encouragement and two children in Catholic colleges, she thought that being a principal would allow her more financial security. She worked as principal at her first site for 12 years and she is entering her fourth year at her second site. She has devoted a total of 29 years to Catholic education (personal communication, December 5, 2008).

The following section will address the participants' perceived professional development needs for beginning principals. It will further delineate the challenges that are faced in each of the three area of faith, managerial and instructional leadership for beginning principals.

Results of the Study

Faith Leadership

Research Question 1: What aspects of faith leadership do diocesan Catholic school principals perceive that beginning elementary school lay principals need in order to support their professional development as faith leaders?

Emma embraced the notion that leadership is based on a leader's ability to make a difference through her ability to influence others. In other words, Emma described the aspects of transformative leadership, in which leadership is influence and influence is leadership. These ideas are reflected as she shared her views about how a mentor can influence her mentee:

That is a hard one; it is a hard one. First of all, because they have to have an active faith life and everybody is at a different place in that, you cannot begin by

saying, “Now, this is what you do: you read this, you act like that...” It is not like that; this is what takes the time. It is the faith, the practice, the values, the opportunities. You can’t do it by saying: “This is what we do here”. Anybody could do that, but it is not coming from your own faith life. It’s got to come from one’s own faith life. And that is why I think the mentee must have an active faith life. The mentee has to have the desire for an active faith life.

And then, how do you do it? Well, you pray, you talk, you read, you give people articles to read. The faith life has to do with resources; it has to do with grace, but building on grace. It’s got to do with nature, the grace built-in nature, and it’s got to do with the resources that we put together and how we challenge. If you are the mentor, how do we challenge the values of what we are doing? What is this really valuable for? ... I don’t think you can do it with professional development. Well, I think you could do it and spark a little bit here, but it is more information, as oppose to *formation*. We are really talking about continuing formation. (*Interviews*, 2008, p. 63)

Carla extended this idea further and suggested that the link between moral authority and servant leadership as being primarily concerned with the service of others and the service of ideals.

You have to help the principal understand how to determine the feel of the community, and what it is to be Catholic. I think a lot of younger principals coming in don't quite have that background.... I think that Catholic identity is important if you are going to keep it as a priority in a school. New principals have to feel that themselves. They need to live that out with their colleagues. (*Interviews*, 2008, p. 35)

Daisy, on the other hand, focused primarily on the notion of assuring direction and purposing for beginning principals who may not have the theological preparation necessary to be effective faith leaders:

Because many of our new principals are coming to us without a firm foundation, we need to catechize them. Maybe they have not gone to Catholic schools, or maybe they have only gone to four years of Catholic education. I just think that the foundation is not there anymore. I do think that they are coming to us without a background. (p. 50)

Florence conveyed that spiritually centered leaders’ actions reflect deeply on their held spiritual beliefs. She explained that spirituality was a way of living, one that is

immersed in everything a leader does and how she responds to people and situations, who want to express and share their spirituality:

I guess that I had been in a faith-filled school and having lived in an environment at home where there were no qualms about us going to church every Sunday and doing anything we could to help in our own parish; that was not so hard. I guess, when I went to my first school as principal, I asked, “What could we do better to be faith-filled?” We need to ask, “How can we really be connected to the parish?, so that the parish becomes an asset not a liability, not a drain, but a link to the community. I guess we just kept on doing it; whatever we thought was right, whether it was a retreat, or whatever it was that as a faculty member thought should be first, so that we would model that for our children. And for teachers and parents who had some horrible disease or tragedy, we would do something that would pull us all together, even charitable work. (*Interviews*, p. 74)

In contrast to servant leadership, in which the leader’s decisions and motivation could be construed as patriarchal or paternalistic, Daisy’s reflection conveyed her desire to share her experience with her students, “I used part of my background to be a faith leader in my school. I have been Catholic my whole life, my whole family is very Catholic. This just brought peace to me, and I wanted to give this to the students (*Interviews*, 2008, p. 49).

Carla described that spiritually guided leadership was a relational dimension needed in today’s principals:

It is important for the principal to know that they are spiritual leaders, and what that means...It means making sure that the teachers understand the Catholic faith and they keep themselves up on the teaching of the Catholic faith. It also helps us with the pastoral part of the job, particularly since the abuse issues of the church. People come often to the principals for support and counseling. (*Interviews*, 2008, p. 34)

Similarly, Anne explained her perceptions about how a principal’s relationship would affect those around her. In her opinion, she argued that leadership is about self, self-examination, and about the background of the faith leaders’ understanding of their individual faith journeys. She stated:

An important aspect is who you are and how you lead.... I think it would depend on the background that they come from. Like my pastor says, it is important to get people who are Catholic to start. But I think it depends on your understanding of what your faith is. How involved are you in your faith? Just because you say you are Catholic, are you actually practicing? Do you know your faith? (p. 5).

Unlike Anne, Bertha explained that she was grateful for nurturing a strong faith life because of the demands of the principal's role. She conveyed:

I am sure that I wasn't the only one who found other ways to build upon my own faith, and therefore influence the environment of my school. There was more time for that. Now, I am glad to see the diocese has a Catholic identity piece because the principals' time has to be structured to grow in that area. Or you forget about Catholic identity when you have \$100,000 in the red on the budget, or you have teachers who need constant accountability. (*Interviews*, 2008, p. 23)

Daisy described that respect for all individuals enables the spiritual dimension of leadership to become transformative as the leader reaches out in support to other's personal growth. She related this experience in an encounter she had with a child's parent who was a gang member. In her interaction with this individual, she realized that part of her job was to do pastoral work with her parents, as she explained,

I find that I have to be a really good listener. These kids just need to have someone to talk to. The other day, I had a father, who is a gang member, come in to talk. We started talking and everything, he was very nice. At the end, he gives me a big hug and he says, "Thank you for listening to me." And that is all I had to do. So, I think being a good listener is part of faith leadership. (p. 56)

Most Helpful Aspects of Professional Development

Research Question 1a: What aspects of professional development in faith leadership did participants find most helpful?

In this section, participants discussed that effective leadership is contingent upon the leader's ability to create powerful learning communities, in which the leader is able to integrate the intellectual, emotional and spiritual dimensions into her leadership decision-making. Emma recognized that the importance of core values and organizational

performance are largely dependent on the beliefs people hold and how they work together. She shared these beliefs when she shared her memory about a pastor, at an inner city neighborhood, after Vatican II:

On the Myers-Briggs I am a “P”. I keep on moving and looking for new avenues in Church. I had the benefit, the great benefit of being in this diocese during Post Vatican II. I was here from 1968-74. I was involved in everything. This is where community organizing was founded—in this parish, in this school! I was here. Not that I had anything to do with it, other than I welcomed them. I had a pastor that was a saint, God rest his soul. I sat on his funeral and I looked at the people who were there, coming from my time, beginning school board, beginning parish council, real prophets of decision-making they were then, and I thought, “This is where I was born.” I was born to this parish, with his leadership; we had a diocesan council that started. We had a guy in our parish who wanted it to happen and the Bishop wrote a letter and said, “Cease to exist and take your \$75.00 from here” and the pastor said, “No, we will continue.” And we had two pastoral conventions and the Bishop said, “No.” But it was *alive*. I was here at the right time! (*Interviews*, 2008, p. 71)

Similarly, Bertha reflected that spiritual leadership must focus on the collective, in which a leader’s role is to be present to her community in a human and spiritual way, as companions in faith, during times of crisis and hope. Additionally, Bertha shared her experience and desire to ensure that she was able to establish a climate that was distinctly Catholic at each of her school sites. She reflected that her faith journey was as important as the foundation she built in her schools, and the opportunities she provided her faculty in faith formation.

When I was a new principal, there wasn't any formal training on Catholic identity. There was a lot on being communities of prayer, certainly making certain that in walking into your school, it was obvious that it was a Catholic school, and that was translated to bulletin boards, statues and symbols, all reflected in the classrooms... But I always kept an eye on ways to grow in my faith journey. I am sure that I wasn't the only one who found other ways to build upon my own faith, and therefore influence the environment of my school.

I lump catechetical and Catholic identity together because it is part of the same thing. How does Catholic identity get structured and built upon in your schools? It comes from being catechized. A part has to be part of the person and

that is catechesis, to take something and experience something. So I took some wonderful courses, again through ICEL [Institute of Catholic Educational Leadership] and also through the diocese. At that time, we had a couple of series that were fabulous! I remember one that was in four sessions. We met once a month for four months; it was not a one-shot deal. (*Interviews*, 2008, p. 23)

Likewise, Anne shared a similar observation about faith formation as she reflected on her own faith development:

I was a child of the 70s and 80s, I was a collage Catholic. We had to do a lot of “feel good things”. In college, I was a Religious Studies major, and for me, that is where I did a lot of my catechetical learning, which was wonderful, and I loved it all. But do our principals have that kind of training? I don’t know. And if you don’t, how do you help them get that sense of who you are, and I just don’t know. Part of it is a time thing. There is just no time to do all the things you need to do to be well-prepared.

We have our catechetical in-services and those kinds of things, but those are one-shot types of things, it is not like they have a large impact. What had a big impact to me was taking a semester long course in college, where you can really be in-depth everyday and all those things you can’t do when you are a principal. (*Interviews*, 2008, p. 5)

With this in mind, Daisy viewed her upbringing as the pillar that has supported her in her role as the spiritual leader of her school.

I used part of my background. I have been Catholic my whole life, my whole family is very Catholic. This just brought peace to me, and I wanted to give this to the students. I went to Catholic schools my whole life, from K to college. And it was part of my life and background” (p. 49).

Similarly, Florence retrospectively responded, “What training did I have? I think that whatever training we received as beginning principals... hmmm, I think that the real training came from my mom and dad. I really have to give credit to my mom and dad” (p. 75).

Carla discussed both the importance of professional development in supporting the principal’s understanding of her role as a spiritual leader, as well as how this role has expanded into pastoral counseling.

It is important for the principal to know that they are spiritual leaders, and what that means. What I liked about the Santa Clara program is that they provided this as an essential part of any program for a Catholic school principal. It helps us set the tone for the school, the Catholic climate of a school, and the Catholic identity of the school. It means making sure that the teachers understand the Catholic faith and they keep themselves up on the teaching of the Catholic faith. I also think it helps us with the pastoral part of the job, particularly since the abuse issues of the church. People come often to the principals for support and counseling. (*Interviews*, p. 34)

Professional Development to Meet Professional Challenges in Faith Leadership

Research Question 1b: How did these aspects of professional development address the challenges that participants encountered as faith leaders?

According to Carla, an important aspect to her professional development was to empower others through the delegation of responsibilities, while maintaining her role as principal, and recognizing that contemplative moments are dependent on her ability to recognize faith development to the Catholicity of the school:

I just believe that this is what makes us different. But you can't do it all; and there are people who keep the faith in your community and if you can tap that person that is something you can do as a faith leader, but you do it from a different perspective. I write the letters when something catastrophic is happening in the school, area, country or in the world. There are other ways I can be a spiritual leader. With my staff, we talk about keep the faith alive, for the parents and children, and they also take turns leading prayer at faculty meetings. It can be scriptural or contemplative. It's a great experience. I feel that I am still responsible to get them catechized, so either providing that myself or going to something in the diocese, or through our network. (*Interviews*, 2008, p. 45)

Emma conveyed her observations of the modern church. She shared that Church was completely different to her growing-up years. As a result, she saw her role as a faith leader, as someone who helps people find meaning in their lives, regardless of their background or starting point.

The Catholic thing is really hard right now because the modern Catholic is not like a Catholic that belongs to a parish.... I think of the young people I have here, they are teachers – they are beautiful souls. They are caring, they are truthful, they

are not competitive, they are helpful ... Do you go to church on Sundays? No. Well, I don't ask, but you know, there is a culture about going to church on Sundays. Do they foster faith in the kids, do they actively participate in school, share their experiences, and do they come to family masses? Yeah, they do this, but they are not institution people. It's the millennium group, they are just not institutional. Maybe they are coming back – that is what they say, but I don't know. I will believe it when I see. But, they are really good people, so how do you nurture that faith life? It is a long journey.

So how do we call forth new administrators? I think we have to be committed to nurturing their faith life and not expect it to be practiced. Today's young people are about nature, eat healthy, exercise; it's not a cult of the body, but a reverence for the body and all those things that go in it, and a reverence to the universe.

I think the scary thing is: What happens to church? These people consider themselves Catholics, and they would be shocked that I would even question. But I don't think that their parents are church people either. These are all Catholic school graduates, and most of all Catholic college graduates. So I ask, what is it in a 25-year-old newly married, newly master degreed, 18 years of Catholic school that is drawn here into this security that she has? I don't know; but isn't that interesting? Oh, there are many paths to God, many! I think the faith formation is the challenge (p. 65).

Similarly, Daisy asserted that in order for spiritual leaders to become transformative, they must not only pay close attention to the personal growth of others, but support their journey. She explained,

I have sent my faculty to all the catechetical in-services... all those were very important and good. I am not sure that all of them wanted to go all the time (chuckle); but I thought those were good.... I think that a lot of our young teachers today do not have the [catechetical] background that you and I have (*Interviews*, 2008, p. 50).

Florence credited her spouse and her background for her ability to assume the role of spiritual leader. She expressed frustration over the added job responsibilities in her role as principal:

I think that with my background and the kind of husband I have, I was very lucky. I think today, there is so much that is expected, as a faith leader, an academic

leader, a disciplinarian, a carpool person, filing, and a safety person, that it is a lot... (p. 77).

Anne conveyed her frustration over random workshops she attended, rather than more reflective theological experiences. "I believe that you can profit more from the college experience rather than the catechetical one-month workshops" (*Interviews*, p. 6).

Bertha reflected that she lacked support in this area. "It was trial by fire. And I would bet that people who started in 1991, I would bet, that all 12 of us, who came out of the classroom, we knew the Catholic culture, but beyond that, we learned it by doing it" (p. 27).

Managerial Leadership

Research Question 2: What aspects of managerial leadership do diocesan Catholic school principals perceive that beginning elementary school lay principals need in order to support their professional development as managerial leaders?

Carla suggested that managerial responsibilities must be learned in order to fully develop the deep learning necessary to ultimately support the vision and mission of the school, when she stated, "I think you first need to teach them how to manage; then all the other information can be learned" (*Interviews*, 2008, p. 34). On a similar note, Anne indicated that in order for the leader's vision and subsequent changes to be implemented, they must be introduced by the principal, along with the maintenance and administration of organizational infrastructures. However, though she expressed this expectation, Anne found herself frustrated by the lack of time and the job demands. She mentioned, "You really have to put your time and effort into studying [what you have to do]. And again, it is that time factor. You are overwhelmed by your job, and who has time to handle one more thing? There are so many levels to the job" (p. 6). Likewise, Florence explained

similar dissatisfaction, when she discussed the demands for her time and unreasonable parent requests:

I think for new principals, it is hard to set boundaries on our parents and teachers. And new principals do need help in setting those boundaries. I still have the "May I see you for a minute?" which turns into a 45-minute meeting of a parent lying or crying, or "You are not doing enough, type of situation". Or my latest one, "How dare I let a teacher move to be with her husband!" It is foolishness! (p. 79)

Anne proposed that one of the reasons why new principals are overwhelmed with their managerial tasks is because they neglect to breakdown the delegation and learning of long- and short-term tasks into small segments. She advised,

So the first year, you focus on networking and on the second year you focus on training. If you could keep them in the first year, and in the second year, then they will be able to wait and watch and learn. When I came into the second year, it helped me make those needed changes for my schools. (Interviews, p. 20)

Emma shared the notion that learning should be gradual and methodical:

I think the managerial piece is really hard to do when you are a new principal... to determine what is really important. What is really important for your teachers to hear? What do they need to know? What things should be done about it? New principals may be in charge of the plant, but they are not electricians. Principals have to know that they cannot have cords for people to fall on, but they do not have to be electricians. My mentor once said to me, "Don't go beyond with what you can't handle." And I thought, "That is the best learning I had". So today, I am not going to get all fussed up about something. I am not going to worry about everything tonight! So, on their first year, a new principal needs to get the keys and find the doors that she needs to open. On the second year, you open all those doors and you find the people who are inside those rooms. On the third year, you get your place too. Don't try to do all this at once. (p. 70)

Anne, Bertha, and Carla shared specific ideas on how to best ensure the learning of new principals by promoting in-services that were ongoing, seamless, and directed toward specific learning needs of beginning principals. They echoed the following thoughts respectively.

Anne:

I think training has to be ongoing, weekly. But maybe looking at what we are doing with the BTSA [California Beginning Teacher Support and Assessment Induction] Program, where teachers have to get online and talk to each other. They have to go to certain workshops at St. Mary's and attend six Saturdays of training. They need to meet with their mentors once a week or bi-monthly. I think something really formal like that for a principal would be a really excellent way to help. It is hard for our new principals to get trained on a balance sheet, for example, when they have to go back to their sites, they forget how to do it. Or even a year later, thinking, "Oh gosh, this is something I should know, but I really don't know." So, why not come back to it, for four weeks in a row, until you really have it down? And right in the midst of when you are doing it; not previous to it, but when you are in the midst of working on it, so that it makes sense! So, if you are getting to the end of the year, and you are working on the hiring and firing, and the contracts, and all that kind of stuff, you could have four weeks in a row, to see how it works and how to work through all the glitches, and how does it look like. And also type the contracts, and have them ready. You know - all those kinds of practical things. (*Interviews*, 2008, p. 8)

Bertha:

I remember when I first was principal, we would have one or maybe two presentations put together by our accountant, on financial statements, on how to do this or that. For me, it came at a bad time. I believe it happened in August. Well, there were so many things to do; I didn't get it until later in the year, until I had to plan the budget. Prior to that, you don't have any time. So maybe that could have happened in August, but we could have revisited it again in October or December. (p. 26)

Carla:

I think training for all new principals should be done monthly and at the same time. I think you could probably do a day or two, in the summer where you give out things timed properly. What are you doing first? You are hiring employees. What do you have to know? You have to know about benefits. You need to know about interviewing. So, that would go together. Then in September, in a morning, you could have a "how to read an income statement". "What is a balance sheet? How do you put a budget together?" All those things would go together. Then, I would do one on firing. "How do you document? What do you need to know for that?" And a light-hearted workshop, "How do you build community with your staff? How do you pray with your staff? How do you celebrate with your staff their accomplishments without having favorites?" (p. 44)

The principal, as the managerial leader, is expected to embrace the managerial activity related to structures and practices concerning the fostering of relationships with

an array of stakeholders and agencies that affect the working of the school. Bertha reported these views when she shared,

Our schools are more and more like businesses all the time. Business does not run efficiently with one person pulling all the strings. You have to have information gathered and synthesized and put back out in a different way. One person cannot do all that, in all areas that a principal has to manage. (*Interviews*, 2008, p. 25)

Likewise, Carla explained the importance of time management while maintaining a positive rapport with her constituents.

There is a managerial part of the job that is essential. How to manage your time? How to manage people? Because the job is a relational job, on every level. It is how you interact with your teachers, your children, your parents, your co-workers, your pastor, your colleagues in the business, with school departments. I think there are lots of management issues that are very, very important. There are many people who drop by and ask, "Do you have a minute?" and you need to know how to listen to them. (p. 35)

Moreover, Daisy conveyed,

New principals should try to get a development team - a group of parents or outside group of people from the parish, who are willing to take the marketing piece, who are going to take the alumni piece - and those two are huge. Principals cannot do it themselves. (p. 53)

As noted by these comments, participants echoed that delegation and relationship-building are central to becoming effective managerial leaders.

Most Helpful Aspects of Professional Development

Research Question 1a: What aspects of professional development in managerial leadership did participants find most helpful?

Carla and Emma expressed that effective leaders promote a culture in which all partners are not afraid to be self-critical. In other words, good leaders encourage staff to consider other ways of solving issues by empowering them to observe, reflect, assess, and

respond to their changing organizational context continuously, as well as by delegating managerial tasks. Carla embraced this leadership style. She shared,

I had taught three years when I was told, "You are going to be the acting principal. You are going to do all the things a principal does . . . , but the principal is going to be the front person." So I did that for two years, and it was wonderful! (*Interviews*, 2008, p. 57)

Emma's notion of leadership style was very similar. She explained,

I watched my staff for a year or two, and picked a person that could support me in an area. And when I need to step-in to help them, I can do that. My theory is that if you know how to be with people, and talk to people, and lead people, and pick out the best skills in other people, I think that those are the things a professional development person can teach. I have gone to in-services from the public and Catholic sector - every walk of life can give something to our jobs because if you take out Catholicity out of it, it is solely about managing people. It is an interpersonal position; it is all about relationships. (p. 45)

Anne reiterated her hands-on experience that she shared during her second tier in her administrative credential program as her most helpful professional development experience.

That is one thing I liked about my program. Everything we did was practical. You never did a project that you couldn't turn around and use. You never did stupid stuff. Like you never did a "pretend" budget; you worked on your own budget. It was all very practical, based on your own thing. (*Interviews*, 2008, p. 8)

Bertha, Daisy and Florence shared similar experiences during their early years as principals:

Bertha:

Well, let me tell you what I had, mine was "trial by fire". That is a really good question. I am looking at, not personally, but at principals who are new to the position in our diocese and I ask that – how do they learn to manage? I think for me, my biggest challenge has been in the finance department. I was very blessed, at both of my schools; I had people who could help me with the finance piece of that.

The principal needs to surround himself or herself with some competent people, whom they can rely on. Like Obama who is surrounding himself or

herself with people who have that experience and with people whom you can depend on and trust to help with that. (p. 24)

Daisy:

You know I did not receive any training in budget and finance until I actually took over the job. That was scary, but I was fortunate to have good parents around me, who were very supportive. And that is another thing, once a person becomes a principal, they have to have a good trusting group of parents like on your board and your committees who are committed and who are going to guide the new principal and help her. And not be overbearing. And that is important because sometimes when a new principal is coming in, they are too shy to say, “back-off”. (p. 52)

Florence:

I think that one of the persons who did that was especially my own husband, because he knows me and he knows how uptight and anal I can be about everything. And we talk it out. Then, eventually, I had the best school board president. He got to know me and I got to know him. And he became a confidant. I would think of things about what I should do about a certain situation and I would run it by both him and my husband. And it was so funny, they’d both come up with the same answer or say “yes” or say “no”. And I would tease and say, “Did you guys talk while I was driving in the car?”, because they knew me well enough to know what was good and what was not good. So, I call it coaching. Because when I became a principal at this site, I started in November, this one dad came by and said, “What do you need?” And I said, “I need coaching, I have a great coach at home, but I need coaching within this community who would be able to be objective and faith-filled. He got it, and he is still helps me. I love my coaches! (p. 78)

Professional Development to Meet Professional Challenges in Managerial Leadership

Research Question 1b: How did these aspects of professional development address the challenges that participants encountered as managerial leaders?

Emma expressed her belief that real leaders are those who have the ability to learn from their experiences and remain open to continuous learning by expressing her observations as to why principals struggle during their first year on the job. She stated:

The management part is what is really important. For example, the first year principals don't show up at everything. They don't show up! And that is how you get to know people; you miss out on information, you miss what makes sense for your school and what doesn't. They are too busy - they are too busy - because they don't know how to create new avenues for a response. (*Interviews*, 2008, p. 69)

Anne asserted the opposite view. In her case, her internal drive and willingness to learn and succeed motivated her to overcome the challenges she faced as an early principal:

At my first site, they thought I was too young, and the bookkeeper and the secretary for a full year, they didn't give me anything. They didn't tell me anything, they were going to see whether I was going to sink or swim. I was just very lucky that I had a finance gentleman who really sat down with me and taught me how it worked. I think becoming a principal is a self-learned process; you have to be self-motivated. I think that is why some people make it and some people don't. The ones that don't make it, don't have that internal desire to be life-long learners, and that is what you have to be. For me, because I was interested, I wanted to give up the day at school to go to a workshop. I was willing to get a principal mentor who was willing to listen and I was willing to hear what they said and thought about and how I could apply it to my school. I was willing to battle my faculty and say, "Okay, we are going to do this now." Part of it is the person who you are and how motivated you are. It goes back to the person who you are. So, I think that in any kind of mentoring or workshop, your willingness to engage must come internally. You got to take what you hear and do something with it. (p. 14)

Though Bertha was not sabotaged by her front office staff, she indicated that her beginning years as principal were quite difficult. However, she credited her success to her openness to surrounding herself with people who could support her, as well as her willingness to delegate responsibilities and seek assistance.

Bertha:

I think for me, my biggest challenge has been in the finance department. I can add and subtract and I know when I am in the black or the red, but reading the statement and being able to have a good way of shaping the budget for the following year – that is what a new principal needs. On site to be sure that your school board has competent people in the finance area, someone that can shape the budget, someone that is in that business. (*Interviews*, 2008, p. 24)

Despite the fact that Carla did not believe she had many challenges as a beginning principal, her advice focused on the importance of communication as a vital element to ensure that the school runs effectively within its structure. In addition, she argued for the

importance of training beginning principals in the legal aspects of running a school. She shared,

I didn't have a lot of challenges when I first became a principal... but today, I have a larger extended care staff and I have a whole enrichment staff. And it is very different to communicate with all those people because you don't have all come to faculty meetings. Then, of course, again ... your exempt employees have different expectations from your non-exempt people and, legally, what you can do for each group. (*Interviews*, 2008, p. 37)

Hence, new court rulings have increased the requirements for principals to ensure that all constituents remain safe and that the schools are not financially impacted by law suits. These challenges have raised the demands to create safe and orderly environments and effective public relations programs in schools as important elements in managerial leadership. Along these lines, Daisy mentioned that she often reminds her faculty that when dealing with parents, she expects them to keep a record of all communication and agreements made. She shared, "I tell my teachers, "document, document, document". (*Interviews*, 2008, p. 56) Similarly, Carla described how she has changed in response to societal expectations:

There were not all the legal pieces when I first started in 1983. It was friendly; you took care of each other. You didn't have all the legal things that you have to know in order to protect your employees and yourself. I drove kids in my car; I didn't have seatbelts; I was alone with the boys taking them to basketball practice. You just never worried about those kinds of things. Now you have to think of those things all the time, as principal or teacher! I think that that is a huge piece of your job as principal; it is to protect all your people. Your job is to make sure that you have created the safest environment for them. ... There are the legal ramifications of everything to be concerned with. Years ago, my teachers would have never thought of asking me, "I want to go rock climbing with a couple of kids", or "I want to take them to the waterslides". Now, they come to me first and say, "Can we do this?" "What do I need to think about this?" Those are the things you have to be on top of, in order to keep your children and your teachers safe. (p. 38)

Principals are regarded as central to influencing and shaping the life within schools in ways that no other single role, personality, or office can, and they cultivate the schools' vision and climate. Carla articulated these ideas, when she proceeded to explain,

I think that the legal piece, the development piece, and technology are the three biggest shifts in my 28 years that totally changed the face of the job. Because the principal has to be the face of the school, because when she goes out to ask for money or grants or cultivating a relationship with your alumni - that is time consuming! It is huge! (*Interviews*, 2008, p. 38)

Florence discussed the importance of identifying the challenges and soliciting help from the outside. She said,

I brought experts to the school. I talked to all my friends, which were not necessarily principals. New principals need to network to help them overcome their problems. They need to talk and find out who are the experts in the area they need to do. (p. 77)

Instructional Leadership

Research Question 3: What aspects of instructional leadership do diocesan Catholic school principals perceive that beginning elementary school lay principals need in order to support their professional development as instructional leaders?

Participants in this study reflected on the importance of beginning principals becoming facilitators of children's learning and rethinking their notions of content, pedagogy and assessment. Hence, they viewed instructional leadership as much about developing self as it is about capacity-building in others, thereby creating a community of curriculum leaders, maintaining high expectations for staff and students, and exercising authority through quality control.

Anne identified these same views as she discussed the importance of defining instructional priorities and ensuring that both teacher and principal create a community of leaders that will support student learning.

We first need to define what we think are the most important parts of instructional leadership. I think it would be nice to know what is expected from each teacher and, then, as an instructional leader, that could be made very clear to you. It seems as if every school is expected to be excellent, but it is not clear what that means for each teacher and instructional leader. It seems that the diocese needs to come up with what we want of instruction. Does that mean “good assessment” or good classrooms that reach out to particular needs? As a new principal, you need to know what our diocese is asking your teachers to be. It is great to say that we all want excellence, because we do; but how do we get there? ... I don't think it is really clear to the principals, and I don't think it is necessarily clear to the teachers because the principal does not send the message down. (*Interviews*, p. 10)

Likewise, Bertha discussed the need to focus on excellence and accountability:

I think the accountability piece is very important and challenging. How do you do that? How do you look at your school from K-8th? How do you know that the very best of teaching and excellent learning is taking place? So, you look at the curriculum. What lens do you use? That is a full-time job, really. All the rest of your principal job stuff is also a full-time job. So then, how do you do that? How do you make sure that excellence is happening in your school? I don't care if the principal has been there for 20 years. Every principal needs help in that area. Everyone needs a refresher. The principal is not only accountable as the administrator, but making your teachers accountable (p. 28).

The participants in this study pointed out that professional development must be long-term, job-embedded, focused on student learning, supportive of reflective practice, timely, and provide opportunities for peers to work, discuss, and problem solve together. They viewed professional development as the bridge between academic training and growth in practice. These principles were echoed by Anne, who shared, “I think that you start to learn by sitting and doing it over time. I think that is how I learned those particular things” (*Interviews*, 2008, p. 7). On a similar note, Bertha, stated, “I learned [being a principal] by doing it (p. 27).” Daisy echoed these sentiments when she expressed, “New principals need a hands-on, watching, and seeing a principal model ...” (p. 50).

Carla and Daisy suggested that the skills and knowledge that mattered in leadership are those that can be connected to, or lead directly to, the improvement of instruction of student performance. In this manner, they both discussed the importance of principals being connected to content standards and ensuring that students are academically and technologically prepared for the future. Carla stated, "The instructional piece is important to understand. ... How to do an in-depth study? As a new principal, you need to see if your curriculum is meeting the needs of your children... and you certainly have to keep up with technology" (*Interviews*, 2008, p. 34). Likewise, Daisy mentioned the same concern: "New principals need to know what is current in today's world, especially for the young children. They have to be very capable in the latest technology. It is very, very important" (p. 53).

Carla, Emma and Florence realized that principals need to understand the big ideas that should be taught in the core curriculum, but that they are not expected to be experts. They are expected to know enough to determine whether students are being taught the body of knowledge, the understandings and the skills necessary to learn the core curriculum.

Carla realized the importance of recognizing the overarching skills needed to be an effective instructional leader in order to be able to understand the learning needs of all students. Thus, she understood the importance of staying current with research without having to be involved in everyday details of the instructional day.

I think another big thing that is happening [that] impacts our schools are students with special needs. So, I have a tech person and a special needs person, who are great; but I still have to know what they are talking about. I still need to have them keep me up with what is happening. When I have opportunities to take a class on a certain special need, I attend. Then I'd know what the newest thing is coming up the pike. Will I go to just a special needs conference? No, I will send

my special needs person to that; but, if I go to a principal conference, and they are offering it, I will take it because I want to know what the brain research is because I am going to need to know it. (*Interviews*, 2008, p. 39)

Likewise, Emma indicated that because she was the instructional leader of the school, she was responsible to ensure that children were learning; however, she was not well-versed in all aspects of curriculum development. Nevertheless, her desire to ensure student success enabled her to ask for support among her faculty:

The instructional piece is hard for me because I am too much of an “out there” person; so you need to know your strengths. My vice principal is a curriculum person; she works, works, works on curriculum. I can help her with relationships; she helps me with curriculum. So you need to know your strengths, where you go for help... and [be willing] to learn from the other. (p. 69)

Florence also encountered this realization while she was being interviewed as principal for her first school assignment:

Well, in my interview for the job, I remember that math was their problem, and I didn't even teach math! (chuckle) But I got it! This is a problem and you got to do something to improve [math]. So then I said, “Okay, this is the problem.” So I got everyone's ideas on what to do to fix it, and we did fix it. And to the point that when I left, I knew that besides our spirituality in our school, our religion curriculum, our strongest area was math! (chuckle). Because everybody did something; we brought the experts in and we, as a faculty, recognized that that was what parents were worried about, because when the kids were graduating from high school, evidently the kids were hitting the walls... so we needed to figure out what we were doing for them as they were getting ready to leave us and go to high school. (p. 76)

Most Helpful Aspects of Professional Development

Research Question 1a: What aspects of professional development in instructional leadership did participants find most helpful?

Similar to Sergiovanni's (1998) description that instructional leadership is a form of pedagogical leadership because it places an emphasis on the development of the school through the development of others and, thus, it invests in capacity-building by developing

social and academic capital for students and intellectual and professional capital for teachers, Carla and Daisy reiterated the importance for capacity-building. Carla brought to the surface that, before building capacity, clarity of goals must not only be established, but leaders must be mindful that interpersonal relationships are key: “People can’t grow if they don’t know or they need to have the conversation of sharing of where they think they need to go, and have somebody say, ‘Okay, how can I help you?’ Again, it’s interpersonal” (*Interviews*, 2008, p. 40) Daisy characterized these ideas:

I would look at the information that would be sent to me and I would see what would be the most appropriate training to attend. So, at whatever school I have been at, I have tailored the needs of my school to the workshops that I and we attend. I would go to workshops with my teachers on, for example, "Best Reading Practices." Recently, we attended a wonderful workshop on how to deal with families, kids, gangs, and home situations... I have had a lot of outside resources come to school, as well as outside speakers. People would come over to talk to my teachers, including textbook reps. I brought people in to help with the most important thing that we were doing for that year. (p. 54)

Anne and Bertha conveyed that clear goals need to be understood by principals before they are able to build capacity within their faculties.

Anne:

I think it would be nice to know what is expected from each teacher and, then, as an instructional leader, that could be made very clear to you. You are expected to do _____ with your teachers. [You are expected to] observe cooperative grouping, hands-on science, whatever it is, it does not matter. But [though] we know that in our diocese we do these things, it is too open-ended. And it seems like every school is out there for itself (chuckle). But that is the hard part, we are not really clear as a diocese, so we are not very clear, and it is not very clear to the principals, as well. (*Interviews*, 2008, p. 10)

Bertha:

I think you just learn it from experience. You see a hole [in Language Arts] and you say, “Something needs to be done in this particular area in the curriculum. Let’s look and see what is happening in the grade below and in the grade above.” That is how I learned. Maybe I learn differently than other people; maybe the information was out there, but it wasn’t for me. And when the school department began to publish outcomes and talk about curriculum alignment and, then, as a principal, I began to look at my own site in light of that perspective, because it

was more clearly articulated. But as a brand new principal I didn't have any of that. (p. 27)

Emma focused on knowing your strengths and weaknesses in order to build capacity within the school setting.

So, you need to know one's strengths. Let me go back to my mentee. She is a curriculum person; she works, works, works on curriculum. I can help her with relationships; she helps me with curriculum. So, you need to know your strengths, and where you go for help. I just spent the Thanksgiving reading the test results, discouraged, disappointed... [reflecting] I can't believe it, I am a terrible educational leader; I am terrible on curriculum, oh forget it! Get out there and plan the [presidential] inauguration day! (chuckle) So, you [need to] know yourself [before you can] get help and [before you can] learn from [an]other. (*Interviews*, 2008, p. 69)

Florence's experience with professional development focused more on people than on training. She shared,

I did not have one[a mentor] and I really needed it. [While I was a vice principal] my principal really tried to help me with it. But my style, my being, so different from hers that the couple of times I did what she had suggested, Oh God!, it backfired on me, because I am not the same personality. So, then, [when I became a principal] I ended up finding a personality that was more in keeping with mine, one that also could be adjusted. And I think that one of the persons who did that was especially my own husband, because he knows me and he knows how uptight and anal I can be about everything. And we talk it out. Then, eventually, I had the best school board president. He got to know me and I got to know him. And he became a confidant. (*Interviews*, 2008, pp. 77-78)

Professional Development to Meet Professional Challenges in Instructional Leadership

Research Question 1b: How did these aspects of professional development address the challenges that participants encountered as instructional leaders?

In this section, participants encapsulated the importance of promoting a school culture in which all partners are not afraid to be self-critical, honest, opened to delegation, while valuing contributions of colleagues and responding to suggestions. In

regard to barriers, Florence summarized that good leaders encourage staff to consider other ways of working and sharing their difficulties, skills and experience with others.

Since I am not a math person, I brought experts to the school. We agreed to bring a math teacher, an expert in the field, to come to our school. So, this person met with all the math teachers and he gave an assessment of what we did and what we needed to do. And, then, we brought national math experts to teach the teachers how to be good math teachers. More importantly, such action made it more important. And because of this, it brought the K-8th grades a sequence for mastery of math. (*Interviews*, 2008, p. 76)

Bertha discussed her desire to ensure that a high level of accountability and student success be evident across her school. She stated:

I think the accountability piece is very important and challenging. How do you do that? How do you look at your school from K-8th? How do you know that the very best of teaching and excellent learning is taking place? So, you look at the curriculum. What lens to you use? So, then, how do you work with your teachers to do that? How do you make sure that that excellence is happening in your school? I don't care if the principal has been there for 20 years. Every principal needs help in that area. Everyone needs a refresher course. The principal is not only accountable as the administrator, but making your teachers accountable (p. 28).

Anne and Bertha recognized that effective leaders are those who have the ability to learn from their experiences and remain open to continuous learning and that challenging experiences are the primary vehicle for development. They conveyed their early challenges and how they became stronger curricular leaders, as a result of these challenges:

Anne:

For me, it took me a full year to ask myself: "What curriculum guidelines? What are you talking about?" And, then, training myself over time and figuring out what those were and how to utilize them. It helped me at the time that my children were young, so as they went through each grade, it helped me to become familiar with the curriculum; fortunately, it happened at the same time. (*Interviews*, p. 5)

Bertha:

When I first went in to being a principal, I did not have any idea, or maybe at that time, there weren't any learning outcomes published for curricular areas.... I think

you just learn[ed] it from experience. You see a hole and you say, "Something needs to be done in this particular area in the curriculum. Let's see what is happening in the grade below and in the grade above." (p. 26)

Daisy reflected on the importance of celebrating her school's successes and being mindful of dialogue as a way of building capacity. She shared:

Being open that you don't know every answer, and it is okay. And it is okay to ask for help. Celebrate successes! It is so important. I started a bulletin board at my first school, where my kids see pictures of themselves. And we celebrate their successes! (*Interviews*, 2008, p. 54)

Upon reflecting on the aspects of her professional development and how these aspects addressed her early career challenges, Carla shared that her early experience was very positive. She noted, however, that the way that schools are expected to conduct their daily business has changed dramatically, which has significantly impacted her role as a principal.

I didn't have a lot of challenges. I was very blessed. It was a K-8 school, but I didn't have a large staff as I do today. I had nine teachers and extended care. We started a kindergarten. We started technology, but everything was a baby step. It was a small group of people. So you talked and collaborated easily. Today, I have a staff of 32 people. I have nine teachers and seven aides, part-time and full-time [employees]. [We have] class time, computer time, all those different areas. And, then, I have a larger extended care staff and I have a whole enrichment staff.

And it is very different to communicate with all those people because you don't have them all come to faculty meetings. So that to me is a huge difference from the past. Then, of course, again, it is going to depend on the school you are in, whether you can afford that large of staff. Your exempt employees have different expectations from your exempt people and legally what you can do for each group. There were not all the legal pieces when I first started in 1981. It was friendly; you took care of each other. You didn't have all the legal things that you have to know about in order to protect your employees and yourself. I drove kids in my car. I didn't have seat belts. I didn't worry about car seats. I was alone with the boys taking them to basketball practice. You just never worried about those kinds of things. Now, you have to think of those things all the time, as a principal or teacher!

I think that is a huge piece. Your job as a principal is to protect all your people. Your people could be your staff, your children, parents - your job is to

make sure that you have created the safest environment for them. There is not enough time for everything! (*Interviews*, 2008, pp. 37-38)

Emma shared that her greatest asset in overcoming any challenges were both her mentor and her understanding of research:

Let me say more on professional development: I like professional development in an academic setting. So I would go to classes, and the other aspect to professional development is research. My mentor trained us to read research. (p. 70)

Emergent Themes

Additional themes emerged from the interviews. These themes were not directly related to the research questions but in response to the questions, which broadened the scope of the study. In this section, participants discussed the importance for networking, mentorship of new principals, and the recruitment and retention of principals. The remarks of the participants indicated a desire for mutual support and collegiality as a way to assist beginning school principals.

Networking

The use of networking for the professional development of principals emerged in every interview with each of the participants. The experiences articulated by them encompassed their experiences in their early careers. For example, Carla conveyed,

[A] new principal desperately needs support, either from the school department, or some kind of support from a colleague, that has some experience. You [the new principal] have to have someone that you can turn to because it is the loneliest job in education." (*Interviews*, 2008, p. 40)

Daisy discussed her networking experience,

I didn't have a mentor, but I called my principal friends. We had a great network and we would discuss things and see if we could come to a solution. And we usually tried to work it out among one another and, if we couldn't, we would call downtown to get advice from them. (*Interviews*, 2008, p. 48)

Similarly, Florence revealed similar views: "New principals need to network to help them overcome their problems. They need to talk and find out who are the experts in the area they need to do" (p. 77). However, Emma contended that new principals are not always effective communicators in a networking setting, "sometimes, this [networking] is tough because new principals don't want to talk about what they can't do. And if they did, they could find strength in one another (p. 70)."

Anne described her positive experience about her administrator program, in which the cohort prioritized their networking time and recommended a similar experience for all new principals:

In my cohort, we talked about what was going on, and there was always time during our classes to talk about problems. For me, that was a powerful experience because we could talk about things like, "Oh my gosh, you are not going to believe what happened to me!" and then someone else would share a similar story, and others would say, "Oh, [my] parents aren't too bad." That kind of sharing and camaraderie and collegiality, and the story-telling was a totally important piece to it.... On the first year, you focus on networking. (*Interviews*, 2008, p. 3)

Bertha reflected on her own experience as a beginning principal. She explained the benefits that she and her newly-hired group of counterparts experienced through their networking efforts and how they obtained pertinent information to become effective leaders.

We got a lot of support from one another. All of us were new principals. We got a lot of support. We would share things like, "Oh... this is happening at my site", and then hear "Oh this is happening at my site too." It was so helpful.... New principals need to network to help them overcome their problems. They need to talk and find out who are the experts in the area they need to do... I knew who to call because I was connected to someone else at a personal level.... In essence, the new principals became your support group. (p. 28)

Mentorship

A second emergent theme among participants was the mentoring of new principals. Participants extensively discussed how a mentorship program would support new principals, provided that such a mentor program was structured, led by experienced or trained mentors, and included a specific criteria matching process. Such a program would support new principals in gaining confidence and a personal sense of competence related to their abilities to perform managerial duties before devoting time and energy toward instructional goals. However, these programs must not only provide cohesiveness, but must specify clear goals and learning outcomes that are clearly delineated to both the mentor and the mentee. With this in mind, all the participants expressed their views about the importance of establishing a mentor program that was both purposeful and supportive in the life of beginning principals. They stated:

Anne:

You would have to gather new principals once a week for cocktails from 5-7 p.m. and chit-chat. Sometimes the talk would be around professional development or faith development, or mentorship, or whatever may be important at that time. I think that you start to learn by sitting and doing it over time. I think that is how I learned those particular things. (*Interviews*, p. 6)

Bertha:

I think ... meeting once a month with a group of new people and I think that veteran principals should give the presentations or people that are knowledgeable. You would give the practical aspect of, say, budgeting and financing. I think there has to be strong mentoring.

Let's [take] the new principals who [currently] meet monthly, how do they form community? Do they just come and listen to somebody talk to them about A, B, or C? It will not be helpful if they do not have community. I think that if they are truly going to be support to one another, and be supported by the school department, there has to be a trusting community. I don't see how meeting once a month, or every third month, makes that happen. And when that meeting does come around, it is probably one more meeting, and a whole day out of the life of a principal. So, there has to be something in place at the school site that makes it

okay for him or her to leave the site. So, this brings us back to a strong vice-principal, who should not be a full-time teacher!

The other model would be [having] someone at the school department level who was the principals' mentor, whether you have been a principal for three months, three years or 13 years. One specific assigned mentor for all new principals, who would visit schools, at least once a week, or every other week, especially for new principals, even [if this mentor would place] a phone call to each of those people. Right now, we have someone who supports new principals, along with a thousand other things. If there was someone just in charge of principals, with the bulk of that effort and energy going to the new ones with one to five years experience. (pp. 29-30)

Carla:

I think of a mentoring program, one that has a team approach and those who have expertise in certain areas that a new principal can call. I also think that there should be someone [a mentor] who calls new or young principals and says, "Hey, how are you doing?" I think that somebody either assigned or somebody from the school departments, without any judgment or any preconceived ideas to just bounce ideas off of. Also, have year one and year two principals be part of a mentorship program. (p. 42)

Daisy:

I think a one-on-one mentor is best because there are things that a principal wants to share but may not want to share it in a group. You know, there is that confidentiality piece. (p. 51)

Emma:

... since I have been here, I had a vice principal the first year, who wanted to be a principal and decided to stay and be mentored by me. She is now a principal at one of our schools in the diocese. And I have a vice principal now, that is my 2nd year with him and he is going to be really good.... For me the best mentorship model has been the principal mentoring the vice principal. When it is off site, you only get that person's interpretation of what's happening, where on site, I see it and I hear it, and I am available. I can then be directive; I can be responsive; I can be challenging; and, I can be affirming. (pp. 61-62)

Florence:

I think a mentor is one of the most important things in the professional development of new principals, but a mentor who may not just be assigned to you, but somebody they will go to, a go-to person [with] whom you will check-in almost every day. (p. 73)

Anne, Bertha, and Carla contended that the training of mentors was key to the success of a mentorship program. They further stressed that the preparation of mentors

should be planned and emphasized. These participants characterized their thoughts through this manner:

Anne:

We were given a list of expectations of being a mentor. It was a volunteer thing... because I have a hard time saying "no" (laugh). But it was not like it was some kind of formalized or professional program, you know. Not like you would say, "Oh wow, a mentor program." I think that in terms when you have young people that are new and not really well-trained, probably they wouldn't say, "Gosh, I am really well prepared now". (*Interviews*, 2008, p. 19)

Bertha:

I have mentored. I hope it was a good experience but, not having been mentored, I didn't know what to do there, except that I anticipated some concerns and issues that she might have encountered. We didn't receive any mentorship training, just the title. Once a year, we went to a financial meeting with the diocesan accounting firm representatives, and the new principals went with their mentors. So, there were a couple of those kinds of sessions that the mentors came. I think the reason was for the mentors to hear what the new principals were hearing. There were a couple of sessions, but I don't remember the content. That just tells you how effective that was. (pp. 30-31)

Carla:

I think expectations need to be clear. I definitely think if you are a real mentor, there has to be some training before school starts to determine what is going to be covered. You have to think about: Do you expect them to meet regularly? Do you expect them to call once a week? One of the mentors' programs that I was involved in a number of years ago, you were expected to call once a week. The mentees get overwhelmed so quickly that they do not think to call you, or they do not have the time to call you, or they don't know when to call you, or they don't want to burden you. So there has to be a very clear understanding of what a mentor must do. The prospective mentor has to have a skill base that is worth sharing and a willingness to help out somebody. (p. 42)

All participants in this study found value in a mentoring program because it was an opportunity for new principals to work together, exchange ideas, and develop a common trust among each other.

Anne:

I think that there are principals who need that constant mentor, whether they are new principals or not. Everybody has somebody they call. We all have people for the kinds of answers we need. It is a matter of who is your choice. (*Interviews*, 2008, p. 19)

Bertha:

I think that if the new principals are going to have any chance at all, they need that connection with somebody. That is going to be the saving for whatever happens down the road. It is not realistic to expect you to walk in and know it all. You have to have some place to go.... if the connection is made, you know your mentor is somebody who believes you can do it, and that somebody has an answer for me, when I have a question. (p. 31)

Likewise, Carla, stated,

Sometimes you get information as a young principal on something, and you say, "I've got to do all that." And a mentor program will allow the new principal to choose what to do first. So, I think the team approach is good. (*Interviews*, 2008, p. 41)

Daisy appreciated a mentor and felt reassured in not having to alert the central office of her challenges: "I didn't have to call downtown because they might think that I made a dumb thing" (p. 57). Emma echoed a similar concern:

No beginner knows what to do; everyone knows what to do little bit by little bit! So, how to engage in a relationship and, by the way, I think our whole lives have to do with relationships anyway. So how do you engage in a relationship? Mentors are most helpful when they can direct the mentee to the right people to help them complete a task that the mentor may not be too familiar with either, but the mentor knows the experts and can help the mentee complete a task, such as a technology plan. (pp. 68-69)

Florence concluded,

I think a mentor is one of the most important things in the professional development of new principals - but a mentor who may not just be assigned to you, but somebody they will go to, a go-to person [with] whom you will check in almost every day. I have to say, I feel that the first two years, especially, I learned by making one blunder after another. (p. 73)

Another extensive discussion among participants was the matching of mentors with mentees. They highlighted the need to be vigilant in the matching process in an effort to ensure that factors, such as culture, race, gender, personalities, geographic

proximity and size of school, are taken into consideration when matching mentors with mentees. Daisy offered a suggestion on how to ensure a good fit among participants:

[B]ecause you are blending different personalities together, maybe getting to know each person a bit. Some people are very sensitive; some people are very strong and say, "I don't need your help" kind of thing...maybe [they should be matched] according to styles, abilities. (*Interviews*, 2008, p. 55)

Bertha expressed her concern about the geographical distance between mentor and mentee:

I was asked to mentor, one time, a new principal. Now, mind you, we were about 40 miles apart. I called my superintendent at the time and said, "I would be the most ineffective mentor because I am not going to run out there, except by telephone." The geography and distance was an issue. (p. 30)

Emma addressed the distance concern when she suggested, "I think that when people are not at the same site, somehow you have to get them at the same site, on some kind of regular basis, just so that you can hear how people talk to one another" (*Interviews*, 2008, p. 68). Further, Carla envisioned the future of a new principal without a well-suited mentor: "If the match isn't good, I can see it not working at all and that young principal will not know who to turn to" (p. 41). Florence discussed that a mentor should not attempt to clone her mentee:

My principal really tried to help me with it, but my style, my being, is so different from hers that the couple of times I did what she had suggested, oh god!, it backfired on me, because I am not the same personality. So, then, I ended up finding a personality that was more in keeping with mine. We need to think of proximity and geography and personality when we are matching a mentor and mentee. Like my former principal, she wanted to help me, but we were so different in personalities. (pp. 77-78)

Anne summarized the importance of intentional matching:

I think careful matching needs to be done. I think that sometimes you have to say to the new principal, "Who do you know and who would you be comfortable with?" And, then, you train that person they bring up. When I have mentored, I have not been the first person whom they have called and that's because I didn't

have a relationship with them...It is not that the people that have been picked have not been great mentors, but they are not people whom they have connected with. One time I had been matched with someone who was 1 1/2 hours away from me. So why would you match me with her, when there were others that were clearly better matches, who were closer, and who had the connections already? Instead, assign people who are near to each other.

My mentor was a great lady, but not somebody that I really knew well. Obviously, I had just met her. She was not the right personality for me. Her personality was just like mine - quiet and shy. So she was not a good match for us. But I think that everybody must have somebody when they become a principal. There must be somebody whom they feel really comfortable with from their association. There is that connectedness...I think it is a critical piece to know someone you are comfortable with. It cannot just be someone who is a great principal and the assumption that she is going to be a great mentor. I think we should assign mentors, but I think picking the right mentor is important. (*Interviews*, p. 18)

Recruitment and Retention of Principals

The last emergent theme was the participants' observations about the future of Catholic school leadership. Participants spoke adamantly about job demands, administrator shortages, role overload, fragmentation of their time, high stakes accountability, and financial concerns.

Anne shared her overall concern regarding the lack of principal candidates and suggested that it stemmed from job demands: "I think there are so many layers to being principal these days, and I think that is why so many of our teachers do not want to do it. It is a very complicated job" (*Interviews*, p. 5). Similarly, Daisy rhetorically expressed her concern about the design of the job and voiced her apprehension of bringing retired principals to replace other already retired principals. She reflected,

You know, I am going to all these principals meetings and all of us who retired are now back in the school sites! What is going on? Is the job too hard? Is it impossible? Does it not pay enough? Maybe it's all of the above! I worry about Catholic schools and what is going to happen to us in about five years. I don't know what we are going to have because you have eight of us who have been

called back [out of retirement]! Okay, I consider that a great compliment, but we are not going to be here forever. (*Interviews*, 2008, p. 55)

Emma attested to the amount of role overload: "If I were only the curriculum leader, I wouldn't be able to do the other things. I mean, there's a *lot* to do" (*Interviews*, p. 70). Likewise, Bertha shared the work overload that principals face:

I think that if I go to the *Administrative Handbook*, there are at least three pages of the responsibilities and duties of a principal. Just looking at that list would be overwhelming! No one would take the job if they saw that list to begin with! So the challenges are, first of all, the magnitude of the position. I don't think anyone realizes, until you are in it, how huge that job is! And how many different hats that person has to wear and that is not even all the various aspects of the job. (p. 25)

Carla identified similar frustrations when she spoke about her work day and high-stakes accountability:

There is not enough time for everything! You could work 12-15 hours per day, seven days a week. I [also] think that the legal piece, the development piece, and technology are the three biggest shifts in my 28 years that totally changed the face of the job. Because the principal has to be the face of the school, because when she goes out to ask for money or grants or cultivating a relationship with your alumni - that is time consuming! It is huge! (pp. 37-38)

Florence summarized the overall sentiments of the participants, as it pertained to the ever-expanding role of the principal:

Every year, they add more to our jobs. I am happy to be a principal; but sometimes, I ask, "How much more can I do"? I leave the house at 6:05 and if I leave at 10 after 6:00 a.m., I feel that I am late. I get in at 6:30 a.m. I don't have a long commute and my husband is so wonderful. Yesterday, I was there early and last night I left at 7:00 p.m. and I thought that was early. I could have been there until 8:30 p.m. This combination of very long hours and high expectations, and they continue to add more and more, I can see how it scares people away. I think today there is so much that is expected from a principal, as a faith leader, an academic leader, a disciplinarian, a carpool person, a safety person -- that is a lot! (*Interviews*, 2008, p. 75)

Summary of Findings

This study was designed to investigate the perceptions of Catholic elementary school principals, who have more than 10 years of administrative experience, in regard to their daily roles of faith, managerial, and instructional leaders, as well as the aspects of professional development in these areas that were helpful and those that were challenging.

This study investigated the perceptions and experiences of professional development of elementary Catholic school principals in the San Francisco Bay Area, to ascertain the essential characteristics necessary for facilitating effective professional and reflective leadership development. Though there is a large body of literature on professional development, mentorship, and reflective leadership for public school administrators, there is a void in Catholic education. Thus, information from this study can be used to identify the important aspects for professional development within a diocesan school system.

These findings can be used by the school departments in diocesan offices, superintendents, and other policy makers, to support their decisions in the implementation of cohesive professional development programs for school administrators. Moreover, the information in this study will support the design of new principal professional development programs that are based on best practices, including the preparation of veteran principals to serve as mentors, as well as the development of planned and formal mentor relationships. This study further adds to the growing body of literature on the professional development for beginning principals. Further, the findings

reinforce those from other research on the professional development of beginning school principals.

The predominant responses of the six participants in this study were very positive regarding their experiences as beginning principals. Essential to this positive quality of their experience were the patience, openness and support they received from their fellow cohort members, college professors, colleagues and mentors. Additionally, self-reflective development was used by all participants to connect cognitive experiences to the “reality of the job.”

Overall, these principals shared a perception that their leadership made a difference in the lives of their children, parents and faculty. During the interviews, the participants described that the success of their leadership was primarily credited to relationship building. The formation of these relationships enabled them to become effective managers, which ultimately led to student achievement. They voiced the importance of empowering all stakeholders so that new principals could surround themselves with individuals who would support them in overcoming their weaknesses or areas for growth.

Principals thought it was essential for beginning principals to be well prepared in the area of faith leadership. They conveyed an urgent need to ensure that new principals had both the catechetical information and the spiritual formation to ensure that they could not only serve as role models for their school communities but provide an array of opportunities for their constituents to live out the Gospel message. Participants conveyed a pressing need to ensure that new principals are well prepared in the area of managerial

leadership, not only as a tool for the recruitment and retention of principals, but equally important as an avenue to assist them to become effective instructional leaders.

The participants in this study viewed professional development as an opportunity to provide a cohesive and seamless program to beginning principals. Participants believed that through reflective practices, new principals would benefit in managing their respective school system. When reflecting on how each of the participants navigated their way to becoming successful, they viewed their growth as evolutionary in nature. They articulated that their perceptions of their role at the beginning of their careers, slowly evolved to a place of understanding, acknowledgment, and their ability to identify the needs of those in the organization, attributing their success to the networks they had created both inside and outside of their school sites.

In addition, participants in this study revealed that they valued supportive relationships as they implemented their job responsibilities. Their experiences supported research findings which indicate that mentoring transcends administrative experiences because it is a process that embraces change, collaboration in decision-making, and fosters creative leadership. However, a thoughtful mentoring program needs to be established that is based on best practices for professional development.

This study found that as participants became more experienced administrators, they realized that it was their role to identify the competencies and potential in all stakeholders, students, faculty and parents. Once they identified the needs and potential for growth, they embraced the responsibility to provide the support systems necessary to make the school a faith-centered learning environment conducive to students' faith

formation and academic achievement, while effectively managing their complex school system.

As a final note, now that the findings of this study have been elucidated, the following chapter will provide a summary and discussion of the findings. It will draw conclusions, explore implications and offer recommendations.

CHAPTER V

CONCLUSIONS, IMPLICATIONS AND RECOMMENDATIONS

Summary and Discussion of Findings

The purpose of this qualitative study was to investigate, from the perspectives of veteran Catholic school principals, in a diocese in the San Francisco Bay Area, the aspects of professional development of new principals in the areas of faith, managerial and instructional leadership. Six experienced principals, with more than 10 years of Catholic school experience, were interviewed.

Though there is a large body of literature on professional development, mentorship, and reflective leadership for public school administrators, there is a void in Catholic education. Nevertheless, the need for this study was based on the predicted attrition of veteran principals from the profession and the perceived need of new Catholic school principals to participate in a professional development program that would support the above mentioned areas of leadership. The study identified elements of a beginning principal mentoring program that would address the current demands of the job, such as finance, development, high-stakes accountability, long working hours, job dissatisfaction, and role overload. These same factors have accounted for the lack of interest, nationwide, for recruiting and retaining school principals.

During the interviews, the six participants in this study viewed professional development as an opportunity to provide a cohesive and seamless program to beginning principals. Participants believed that through reflective practices, new principals would benefit in managing their respective school systems. When reflecting on how each of the participants navigated their way to becoming successful, they viewed their growth as

evolutionary in nature. They articulated that their perceptions of their role at the beginning of their careers slowly evolved to a place of understanding and acknowledgment of the needs of those in the organization, primarily giving credit to the networks they created both inside and outside of their school sites.

More specifically, this study demonstrated that the preparation of faith leadership of principals is an essential component to the Catholic identity of the school community. These findings support Roman and American Church documents (Congregation for Catholic Education, 1977, 1983, 1988, 1998), which maintain that the role of the principal is to support a community of faith, and that lay educators should prepare themselves to assume leadership in these schools. In this study, participants revealed their understanding of their role as the faith leaders of their school communities to be a key component to the Catholicity of their schools. Hence, participants conveyed an urgent need to ensure that new principals had both the catechetical information and the spiritual formation to ensure that they could not only serve as role models for their school communities, but provide an array of opportunities for their constituents to live out the Gospel message.

The participants agreed with the assertion, found in the literature (Ciriello, 1996; Cook, 2001; Jacobs, 2005), that the most important aspect of the Catholic school principal's faith leadership role is the ability to create powerful learning communities, which integrate the intellectual, emotional, and spiritual dimensions into their daily decision-making. They recognized the importance of core values and that organizational performance is largely dependent on the beliefs people hold and how they work together. Like Nouwen (1991), Palmer (1998) and Whitehead and Whitehead (1991), participants

embraced the notion that Catholic school principals are “called.” Thus, their role is to be present to their community in a human and spiritual way, as companions in faith, during times of crisis and hope. Consequently, the principals’ ability to establish a climate that is distinctly Catholic (Ciriello, 1996; Davidson, 2006; Hunt, Oldeski & Wallace, 2002; Jacobs, 2005) and their ability to engage in contemplative moments (Gray, 2000; Hennessy, 1983; Schuttloffel, 1999) is dependent on the principals’ abilities to recognize faith development as central to the identity of a Catholic school (Carr, 2000; Cook, 2001; Muccigrosso, 1996).

Participants embraced the idea of Servant Leadership whereby they viewed their role as school leaders as an opportunity to fulfill and perform certain duties and obligations that would provide purpose for others (Greenleaf, 1970, 1977) and give certainty and direction to those who may have difficulty achieving it for themselves (Bolman & Deal, 1995; Grace, 1995). Additionally, participants reflected the conclusions of Starratt and Guare (1995) who stated that spiritually-centered leaders’ actions mirror their held spiritual beliefs. In this manner, participants reported that their spirituality was a way of living. It was immersed in everything they did and how they openly responded to people and situations. In this fashion, their response enabled the spiritual dimension of their leadership to become transformative as they reached out in support of others’ personal growth (Bennis, 1984; Bennis & Nanus, 1985).

As a result, the level of preparation given to principals will either impact the faith community positively or negatively, depending on the quality of the faith preparation of its leadership. In other words, if Catholic schools are to remain authentically Catholic, it is critical to provide an ongoing professional development program that supports the faith

leaders' spiritual journeys and moves them in a continuum of information to formation to ultimately experiencing a transformative process (Groome, 2002) that would not only have a personal impact on themselves as leaders, but on their constituents.

In the area of managerial leadership, participants expressed a pressing need to ensure that new principals are well prepared to meet the ever-changing role of the principal. Similar to Davies' (2007) work, participants suggested that managerial responsibilities must be learned strategically in order to fully master the deep learning necessary to ultimately support the vision and mission of the school. Participants were primarily concerned about the long working hours, role overload, financial concerns, high-stakes accountability, job dissatisfaction linked to a lack of managerial skills, and the inability of a new principal to delegate responsibilities. They suggested that training be done by breaking down, in small segments, the learning of long- and short-term tasks.

Additionally, the participants adamantly discussed the importance of providing a comprehensive hands-on approach to managerial skills, through a well-connected set of learning opportunities grounded in theory and practice, rather than offering an array of disparate and ever-changing one-shot workshops. Thereby, the participants called for best practices for professional development (Darling-Hammond, LaPointe, Meyerson, Orr & Cohen, 2007; Drake & Roe, 2003; Ehrich, Hansford & Tennent, 2004; Spiro, Mattis & Mitgang, 2007).

Participants further embraced the notion that leadership is not what leaders do, but rather, what leaders and followers do together for the collective good (Mellow, 1996; Rost, 1991). Thus, participants conveyed the importance for the principal as the managerial leader to embrace the activities related to structures and practices concerning

the fostering of constructive relationships with stakeholders and agencies that affect the working of the school (Sheehan, 1998).

Equally important, participants contended that effective leaders promote a culture in which all partners are not afraid to be self-critical (Yamasaki, 1999). Participants reported that effective managerial leaders observe, reflect, assess and respond to their changing organizational contexts continuously. They explained the importance of empowering staff members by delegating more of the managerial tasks to them, thus, building leadership capacity for the future of their schools. Moreover, participants agreed that effective leaders are those who are able to learn from their experiences and remain open to continuous learning (McCall, 1998).

Along these lines, participants discussed how societal changes have impacted their managerial roles. New court rulings have increased the requirement for principals to ensure that all constituents remain safe and that the schools are not financially impacted by law suits. These challenges have raised the demands to create safe and orderly environments (Marzano, McNulty & Waters, 2005) and effective public relations programs in schools (Konzen, 1998) as important elements to student recruitment and retention.

In the area of instructional leadership, the researcher found that as participants became more experienced administrators, they realized that it was their role to identify the competencies and potential in all stakeholders, including students, faculty and parents. Once they identified the needs and potential for growth, they embraced the responsibility to provide the support systems necessary to make the school a faith-

centered learning environment conducive to students' faith formation and academic achievement, while effectively managing a complex school system.

Participants articulated that instructional leadership is as much about developing self as it is about capacity-building in others (Starratt, 1993). They viewed themselves as "head learners" (Barth, 1990, 1996) in their schools, where their goal was to create a community of curriculum leaders, while maintaining high expectations for staff and students, and exercising authority through quality control (Robinson, Innes, Barton & Ciriello, 1993; Zepeda, 2007).

In addition, participants conveyed that before beginning principals can take on the responsibility of instructional leadership, they must master their duties as managerial leaders. Therefore, they pointed out that the professional development for new principals should be long-term, job-embedded, focused on student learning, supportive of reflective practice, and provide opportunities for peers to work, discuss, and problem solve together (Hale & Moorman, 2003; Institute for Educational Leadership (IEL), 2000; National Staff Development of Council (NSDC), 2000; Neel, 2007).

Moreover, they suggested that it was not realistic for principals to be experts in every area of their jobs, including curriculum; however, they should be expected to know enough to determine whether students are being taught the body of knowledge, the understandings and the skills that they are expected to learn in the core curriculum (Educational Research Service (ERS), 2007). With this in mind, participants conveyed an understanding that the well-being of the schools primarily rests on the effectiveness of the principal (Farahbakhsh, 2007). Therefore, participants recognized the importance of

rewarding achievement, as well as to acting incisively when performance was not acceptable (Estyn, 2001).

In lieu of the above findings, this study indicated that principals of Catholic schools believed that relationship building and managerial leadership were cornerstones to establishing a strong foundation for new principals, which would ultimately support new principals in their roles as faith and instructional leaders. Equally important, participants conveyed that career-staged and practical professional development programs that are aligned with the demands of the job would support new principals in their roles as faith, managerial and instructional leaders.

Three additional themes arose during the interviews. These themes emerged during the interviews with each of the six participants. The themes revolved around networking, mentorship, and the recruitment and retention of Catholic school principals. Interestingly, the use of networking as a professional development tool for new principals emerged in every interview with each of the participants. They viewed networking as the collegial support needed in order to be an effective school leader (Howley, Chadwick, & Howley, 2002; Lashway, 2002; Walker & Qian, 2006). The experiences articulated by them encompassed their positive learning experiences and supportive relationships in their early careers as Catholic school principals. They rationalized that networking with other colleagues was critical because the principalship was a fast-pace on-the-move management experience (Engleking, 2007), which contributes to stress, feelings of isolation and self-doubt. As a result, they argued that the relationships they built during their initial years supported their careers (Daresh, 1997).

The mentoring of new principals was a second emerging theme among participants. They extensively discussed how a structured mentorship program would provide cohesiveness, clear goals and learning objectives that would be clearly delineated to both the mentor and the mentee. With this in mind, all the participants expressed their views about the importance of establishing a mentor program that was both purposeful and supportive in the life of beginning principals. Such a program would be led by experienced or trained mentors and would include a specific criteria matching process. Their conclusions are clearly aligned to research studies (Daresh, 2001; Fenwick & Pierce, 2002; Gravois, Knotek, & Babinski, 2002; Roberts, 1993; Weingartner, 2001) that have recommended mentorship programs to support the increased awareness of the early concern patterns for beginning principals.

In addition, the development of structure programs would take advantage of professional linkages, which would include the need for new principals to focus on gaining confidence and a personal sense of competence related to their abilities to perform managerial duties before devoting time and energy toward instructional goals. Moreover, participants contended that the training of mentors was vital to the success of mentorship programs and that the preparation of mentors should be planned and emphasized (Coleman, Low, Bush & Chew, 1996; Crocker & Harris, 2002). Moreover, they agreed that training must be tied to identifying and addressing individual needs and setting standards that support training goals (Bush & Chew, 1999; Clark & Shields, 2006; Hall, 2008; Spiro, Mattis & Mitgang, 2007).

All participants, who had participated in a mentorship program during their early career days, spoke highly about the value in working together, exchanging ideas, and

developing a common trust among one another (Crow & Matthews, 1998; Daresh & Palyko, 1990, 1992; Dussault, 1995, 1995; Hale & Moorman, 2003; Howley, Chadwick & Howley, 2002; Malone, 2002; Roberts, 1993; Westhuizen & Erasmus, 1994).

Another extensive discussion among participants was the matching of mentors with mentees. Both the participants and the literature highlighted the need to be vigilant in this matching process in an effort to ensure that factors, such as culture, race, gender, personalities, geographic proximity and size of school, are taken into consideration when matching mentors and mentees (Chapman, 1999; Daresh, 2001; Dukes, 2001; Haberman & Dill; Parise & Forret, 2008). Therefore, the selection and matching process should be intentional (Crocker & Harris, 2002; Davis, Darling-Hammond, LaPointe, Meyerson, 2006; Hall, 2008).

The last emergent theme was the participants' observations and concern about the future of Catholic school leadership. They expressed alarm about the lack of principal candidates and suggested that it stemmed from job demands, financial concerns, high-stakes accountability, fragmentation of their time, and long working hours (Brock & Fraser, 2001; Cusick, 2003; Gronn & Rawlings-Sanaei, 2003; Lashway, 2003; NAESP, 2005; NASBE, 1999; Pounder, Galvin & Shepherd, 2003; Queen & Shumacher, 2006; Ryan, 2006; Thomas, Blackmore, Sachs & Tregenza, 2003; Whaley, 2002).

In summary, this study supports the research findings in which school principals are regarded as central to influencing and shaping the life within schools in ways that no other single role, personality, or office can (Jacobs, 2005; Peterson, 2002), including the cultivation of the schools' vision and climate (Williams, Kirst & Haertel, 2005). As the school leader, the principal has been found to be a major factor in facilitating, improving

and promoting change within the school setting (Daresh, 1997, Fullan, 2001; Institute for Educational Leadership, 2000; Walters, Marzano & McNulty, 2003).

In addition, the professional development for new Catholic school principals in the areas of faith, managerial and instructional leadership must be dictated by best practices, in which professional development programs are career-staged, with specialized training for beginning principals (Fenwick & Pierce, 2002) in each of these areas. Moreover, time for networking and socialization should be allowed (Zepeda, 1999) in an effort to establish norms of mutual support and collegiality (Owens, 2000). These norms result in greater leadership, longevity, and productivity. Thus, structured mentorship programs provide a vehicle for valued supportive relationships as new principals implement their job responsibilities in an environment which embraces change, encourages collaboration in decision-making, and fosters creative leadership. However, thoughtful mentoring programs, based on best practices for professional development (Appendix F), must be established in an effort to address the frustrations and challenges of the ever-expanding role of the principal and, in turn, support the recruitment and retention of beginning Catholic school principals.

Conclusions and Implications

The findings in this study clearly indicated that faith leadership preparation of lay Catholic school principals is crucial to retaining the Catholicity of the schools. However, the challenge presented by these findings is the same mentioned by Jacobs (1996, 2000) when he stated that those who will be Catholic school principals will need as much formative training as possible. Yet, unless the principal is somehow aware of the necessity for this formation, it will not happen. Thus, this lack of preparation will

negatively affect the faith community and Catholic identity at each of those schools. Consequently, it is critical that Catholic school principals are given the tools necessary to ensure that they are able to transmit the faith life to others and meet the spiritual needs of their constituents.

In the area of managerial leadership, the study indicated the need to ensure that professional development programs for beginning principals be career-staged, with specialized training that is connected to a set of learning opportunities that are developed by a coherent view of teaching and learning and are grounded in theory and practice (Darling-Hammond, LaPointe, Meyerson, Orr & Cohen, 2007; Dussault, 1995; Ehrich, Hansford & Tennent, 2004; Spiro, Mattis, & Mitgang, 2007). In other words, rather than offering an array of disparate and ever-changing one-shot workshops, systems with effective in-services must be organized around a continuous learning program aimed at the development and implementation of specific professional practices required of principals.

In the area of instructional leadership, the study pointed out that because principals set the direction of the school, they have the greatest impact, as the goals and sense of purpose they provide strengthens the entire staff. As a result, strong educational leaders attract, retain and get the most out of talented teachers (Leithwood, Louis, Anderson, & Wahlstrom, 2004). Consequently, the ISLLC (2008) policy standards (Appendix G) provide a framework for policy creation, training program performance, life-long career development, and system support. Given their broad nature, they can influence and support instructional leadership that positively impacts student achievement, thus, influencing and shaping the life of the school and cultivating the

school's vision and climate (Jacobs 2005; Peterson, 2002; Williams, Kirst, & Haertel, 2005).

The emergent themes focused on networking, mentorship programs, and the retention and recruitment of Catholic school principals. Interestingly, the literature pointed out that an effective tool for the recruitment and retention of principals, as well as their need to network with other colleagues, is through the establishment of a mentorship program (Hilcox, 2002; Holdaway, 1999; Moos, 1999; Mulford, 2003; Whitaker, 2003). Such a program would address the new leaders' feelings of isolation, technical and logistic problems, unfamiliarity with the school culture, lack of feedback, and the lack of time to cultivate relationships with colleagues from other schools (Daresh, 1987; Lashway, 2003; Yeatts, 2005).

Mentoring has been found to be a most valuable strategy for providing newly appointed school leaders with support (Bush & Chew, 1999; Crow, 2006; Daresh 2001, 2003). It should be seen as only one stage in a continuum of professional development of principals that is more likely to be effective when it is developed as an integral part of a seamless professional development program, rather than an isolated event or add-on program (Daresh & Palyko, 1992; Darling-Hammond, LaPointe, Meyerson, Orr & Cohen, 2007; Fenwick & Pierce, 2002; Hale & Moorman, 2003; Peterson, 2002; Spiro, Mattis, & Mitgang, 2007).

Hence, in looking at the broader conclusions and implications of this study, it indicates that transformational leadership is dependent on self-reflection. In Catholic education transformational leadership transcends beyond the ordinary tasks of managerial and instructional leadership to include spiritual leadership. Consequently, the principal, in

her role as a faith leader, infuses in her faculty and staff her spirituality and support for her constituents. Therefore, in all the daily interactions in a principal's life, she models to her faculty and staff how to protect, care, and serve their entire school community. As a result, this is the unique aspect of faith-based education. These spiritual attributes are embedded in people's thinking and intentions; thus for Catholic schools it is a way of life. For that reason, principal preparation is not solely about the professional or catechetical growth of the assigned Catholic school leader, but it must go beyond to include a transformative piece where the school leader feels empowered to make the leap between information to transformation. In an effort to accomplish such a daunting task, learning must be gradual, methodically and purposeful. Thus, allowing beginning principals to master their daily routines, while developing the foundation necessary to address more complex learning tasks through practical and on-the-job learning opportunities, in all three areas of leadership – faith, managerial and instructional.

Recommendations for Further Research

Based upon the results of this study, the following recommendations may be considered for further research:

1. A more in-depth research study of faith leadership requirements at the diocesan level should be conducted in order to expand current information (Galetto, 2000). This study should include how principals seek ways to assume some of the faith leadership responsibilities by creating opportunities that will enrich their faith lives, such as pursuing an additional graduate degree in Theology, Religious Studies or Spirituality, or participating in retreats, scripture readings, and principal study support groups.

2. A larger study of beginning principals' needs, maybe both qualitative and quantitative, is necessary.
3. More defined studies are needed to identify the sequential developmental needs of a beginning Catholic school principal in each of the areas of faith, managerial and instructional leadership. These studies should look at the best developmental processes that would facilitate the learning of skills from easy to complex in faith, managerial and instructional leadership, in each of the first three years and how such a program contributes, to the retention of principal candidates.
4. A similar study should be performed, in the Catholic school system, to investigate mentorships from the perceptions of both the mentor and mentee for professional and self-reflective development. Long-term research is needed to determine if there are distinguishable positive professional effects on principals who have been mentored and principals who have not received mentorship, including the study of careers of successful principals to determine if a mentoring relationship was a factor in that success.
5. Further studies in Catholic school education need to be investigated to better understand the essential elements necessary to support elementary and secondary school principals within this school system. Moreover, because the development of principal knowledge, skills and dispositions consists of self-reported candidate perceptions and experiences, and because there is a lack of a strong and coherent research base in this area (Murphy & Vriesenga, 2004), empirical studies are needed (Allen, Eby & Lentz, 2006; Baugh & Fagenson-Eland, 2007; Davis,

Darling-Hammond, LaPointe, & Meyerson, 2005; Wanberg, Welsh, & Hezlett, 2003).

6. Superintendents, school boards and policymakers should investigate how formalized mentorship programs for principals can facilitate a conceptualized understanding of how to best support the developmental needs of new and veteran principals.
7. While a large body of literature exists on mentoring new principals, there appears to be a lack of identification and isolation specific outcomes of the mentoring of principals from empirical research. Thus, strong and coherent research studies need to be conducted on how specific program components influence leadership behaviors, on-the-job performance, and student outcomes (Hale & Moorman, 2003; Institute for Educational Leadership (IEL), 2000; Mann, 1998; National Association of School Boards of Education (NASBE), 1999; National Staff Development of Council (NSDC), 2000; Neel, 2007).
8. A study needs to be conducted on how grace affects the journey of a school leader from information (catechesis) to formation (active faith life) to a transformative experience (Groome, 2002) and how the principal can facilitate a similar process among the school faculty and staff.
9. A study needs to be conducted on the mentoring of Catholic school principals specifically in their roles as faith, managerial, and instructional leaders and how reflective practices in professional development provide principals with opportunities to engage in contemplative moments, whether in mundane or faith-filled moments, in each of the three areas of leadership.

10. A study needs to be conducted on how higher education institutions could partner and support diocesan offices on the establishment of effective professional development practices, including a mentoring process for successful reflective development.

Recommendations for Future Practice

Based on this study and the review of the literature, it is recommended that:

1. Superintendents and other decision-makers assess what is needed in the principalship, generate a descriptive profile, and determine the extent of faith preparation required of an applicant prior to hiring an elementary or secondary school principal.
2. Diocesan offices and Catholic universities and colleges work together to establish a core of courses that will prepare and support the role of the Catholic school principal.
3. Catholic school systems continue to collaborate with other professional educational organizations and universities to design, establish and implement their own professional development. The professional development experience should provide standards-based evaluation, while supporting effective mentorship programs that will support new candidates to transition from either the classroom or the vice principal role to the principalship. Consequently, this process would ensure that the professional standards of the Interstate School Leaders Licensure Consortium (ISLLC) and the California Professional Standards for Educational Leaders (CaPSELs) policy standards provide a framework for policy creation, training program performance, goal-setting, life-long career development,

ongoing formative assessment, and system support. Given their broad nature, professional standards can influence and support instructional leadership that can positively impact student achievement.

4. Ongoing professional development be provided in the form of conferences and webinars; thus having access to on-line seminars and forum chats with educational experts.
5. Networking opportunities for principals are developed where new and veteran principals have the opportunity to share and discuss, in a social setting, their experiences and strategies used to overcome their work-related challenges, without the oversight of the Chancery Office.
6. New principal professional development and formal mentoring programs be developed.
7. Professional development programs be aligned with school deadlines and goals to facilitate the smooth transition between learning and the practical application of newly learned skills.
8. It is recommended that all principals use professional literature to acquire information on current educational issues, trends and practices. Equally important, all principals should continually update themselves in both catechesis and spiritual formation. Time to read professional materials, attend retreats, and other relevant professional and faith-based programs should be provided and encouraged by superintendents and other central office personnel.
9. Training and instruction in the mentoring process should be given to mentor candidates. Quality control will need to be established to ensure that both mentors

and mentees acquire knowledge, skills, behaviors and values in implementing the goals of the diocese. Both mentor and mentee should clearly understand their respective roles and the expectations at hand.

Researcher's Reflections

The motivation behind this study was guided by the projected vacancies in the Catholic school administrative profession over the next 10-year period. When I think back at my childhood, I marvel at both of my parents as principals, and the examples of good leadership they brought forth. I remember the principals that I served under during my early teaching career, and those wonderful central office administrators who took time out of their busy schedules to mentor me. These amazing individuals' knowledge, care, and integrity have carried me through periods in my career when, unfortunately, I had to witness first-hand ineffective administrators. In the end, the children are the ones who are mostly impacted from schools administered by unsuccessful principals.

With this in mind, the findings from this study support the research and the review of literature relevant to professional development, reflective practice, and mentoring relationships. This study investigated the perceptions of Catholic elementary school principals to ascertain the essential aspects necessary for facilitating effective professional and self-reflective development in the areas of faith, managerial and instructional leadership.

According to the findings of this study, beginning principals need support and nurturing to meet the challenges of today's schools. They must know how to manage and lead faculty, students, and staff and they must understand the administrative techniques

and practices that will assist them in leading school improvement initiatives that support the goals of the student and the school community.

The role of the principal is demanding and complex. Hence, it is these very complexities that point to the need for a well-designed professional development program that is grounded in practice and adult learning theory, and that is focused toward specific strategies that will developmentally support beginning principals during their first three years in their careers. Through this support, new principals will acquire the necessary qualities, proficiencies, and leadership skills to lead with confidence.

Professional and self-reflective development is not offered in this study as a panacea to meet all the challenges that Catholic school administrators face in the areas of faith, managerial and instructional leadership. However, this study has presented perceptions of principals and the experiences that they have had in their professional and self-reflective development. Essential characteristics of mentoring relationships for professional development have been identified to provide clarity and understanding of this complex process. These guideposts for effectiveness can assist diocesan superintendents, school board members, and policy decision-makers in their efforts to shape and lead a comprehensive program that can support the recruitment and retention of Catholic school principals, while enriching the professional growth of veteran principals.

As a final thought regarding policy-makers and boards, Graseck (2005) in *Where's the Ministry in Administration? Attending to the Souls of Our Schools* discussed the reasons why educators become administrators. For some, they leave the classroom prematurely thinking that they could do a better job than a current leader. Of course, if

the individual has the skill set to manage children, but not adults, leadership can be a daunting hill to climb. Others may leave the classroom to escape teaching and to elevate their status. However, Graseck argued that good administrators leave the classroom to educate children and to facilitate sustainable change. These individuals view education as a ministry, not a job. They are always seeking new knowledge and attempting to facilitate that knowledge at every level of their schools.

Moreover, Graseck explained that identifying administrators who know how to minister amidst their many responsibilities is a difficult task. He reiterated that the identification of school administrators who exhibit pastoral strengths will usually emerge from among seasoned and successful teachers because they are inquisitive, caring and conscientious. Thus, administrators become the connective tissue of the school culture, linking academic rigor and interpersonal compassion. As a result, he challenged search committees to avoid the mistake of hiring unseasoned educators and those who are escaping a teaching life for which they have little affection. According to Graseck, able teachers appreciate the complexity of the teaching life. It is they who will know, not merely theoretically but also experientially, what it means to be an effective school administrator. School boards should turn to that pool of educators to find managers who can minister before schools can fully meet the academic needs of their constituents.

With this in mind, it is critical that we recommit to the preparation of excellent school leaders in an effort to meet the challenges of running effective schools. Ultimately, the goal of teaching to the “whole child” will be reflected in a learning environment in which Catholic schools are deeply rooted in academic excellence and Gospel-centered values and future leaders are supported to lead their 21st century schools.

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APPENDIXES

APPENDIX A: IRBPHS APPROVAL

From: irbphs <irbphs@usfca.edu>
To: sjewett@XXX.com
Cc: shimabukurog@usfca.edu
Subject: IRB Application # 08-082 - Application Approved
Date: Fri, 31 Oct 2008 7:51 am

October 31, 2008

Dear Ms. Jewett-Ramirez:

The Institutional Review Board for the Protection of Human Subjects (IRBPHS) at the University of San Francisco (USF) has reviewed your request for human subjects approval regarding your study.

Your application has been approved by the committee (IRBPHS #08-082).
Please note the following:

1. Approval expires twelve (12) months from the dated noted above. At that time, if you are still in collecting data from human subjects, you must file a renewal application.
2. Any modifications to the research protocol or changes in instrumentation (including wording of items) must be communicated to the IRBPHS. Re-submission of an application may be required at that time.
3. Any adverse reactions or complications on the part of participants must be reported (in writing) to the IRBPHS within ten (10) working days.

If you have any questions, please contact the IRBPHS at (415) 422-6091.

On behalf of the IRBPHS committee, I wish you much success in your research.

Sincerely,

Terence Patterson, EdD, ABPP
Chair, Institutional Review Board for the Protection of Human Subjects

IRBPHS University of San Francisco
Counseling Psychology Department
Education Building - 017
2130 Fulton Street
San Francisco, CA 94117-1080
(415) 422-6091 (Message)
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irbphs@usfca.edu

<http://www.usfca.edu/humansubjects/>

APPENDIX B: LETTER FROM SUPERINTENDENT APPROVING STUDY SITE

September 22, 2008

Institutional Review Board for the Protection of Human Subjects
University of San Francisco
2130 Fulton Street
San Francisco, CA 94117

Dear Members of the Committee:

On behalf of the Diocese of _____, I am writing to formally indicate our awareness of the research proposed by Ms. Sandra Jewett-Ramirez, a student at USF. We are aware that Ms. Jewett-Ramirez intends to conduct her research by interviewing six of our K-8 Catholic school principals.

As school superintendent, I am responsible for employee relations and am an executive officer of the Diocese of _____. I give Ms. Jewett-Ramirez permission to conduct her research in our organization.

If you have any questions or concerns, please feel free to contact my office at (____) _____.

Sincerely,

Superintendent

APPENDIX C: CONSENT LETTERS TO POTENTIAL SUBJECTS

November 2008

Mrs. Joanne Doe
123 Sunny Circle
Anywhere, CA 90000

Dear Mrs. Doe:

My name is Sandra Jewett-Ramirez and I am a graduate student in the School of Education at the University of San Francisco. I am doing a study on professional development for beginning Catholic elementary school principals. I am interested in learning the impact of professional development in the areas of faith, managerial and instructional leadership. The _____ Diocese has given approval to me to conduct this research.

You are being asked to participate in this research study because you have been a Catholic school principal for at least 10 years. I obtained your name from Superintendent, _____. If you agree to be in this study, you will be part of a one-hour taped interview where I will ask you about your educational background and professional development experiences. The interviews will take place your convenience.

It is possible that some of the questions at the survey may make you feel uncomfortable, but you are free to decline to answer any questions you do not wish to answer, or to stop participation at any time. Although your name will not be disclosed in the study, participation in the research may mean a loss of confidentiality. Study records will be kept as confidential as is possible. No individual identities will be used in any reports or publications resulting from the study. Study information will be coded and kept in locked files at all times. Only study personnel will have access to the files. Individual results will not be shared with personnel of the diocese.

While there will be no direct benefit to you from participating in this study, the anticipated benefit of this study is a better understanding of the effect of professional development in the areas of faith and managerial leadership.

There will be no costs to you as a result of taking part in this study, nor will you be reimbursed for your participation in this study.

If you have questions about the research, you may contact me at (408) 410-0298. If you have further questions about the study, you may contact the IRBPHS at the University of San Francisco, which is concerned with protection of volunteers in research projects. You

may reach the IRBPHS office by calling (415) 422-6091 and leaving a voicemail message, by e-mailing IRBPHS@usfca.edu, or by writing to the IRBPHS, Department of Psychology, University of San Francisco, 2130 Fulton Street, San Francisco, CA 94117-1080.

PARTICIPATION IN RESEARCH IS VOLUNTARY. You are free to decline to be in this study, or to withdraw from it at any point. The Diocese of _____ is aware of this study but does not require that you participate in this research and your decision as to whether or not to participate will have no influence on your present or future status as an employee at the _____ Diocese.

Thank you for your attention. I will be contacting you in the next couple of days to confirm your participation and interest.

Sincerely,

Sandra Jewett-Ramirez
Graduate Student
University of San Francisco

APPENDIX D: RESEARCH SUBJECTS' BILL OF RIGHTS

Research Subjects' Bill of Rights

The rights below are the rights of every person who is asked to be in a research study. As a research subject, I have the following rights:

1. To be told what the study is trying to find out;
2. To be told what will happen to me and whether any of the procedures, drugs, or devices are different from what would be used in standard practice;
3. To be told about the frequent and/or important risks, side effects, or discomforts of the things that will happen to me for research purposes;
4. To be told if I can expect any benefit from participating, and, if so, what the benefit might be;
5. To be told of the other choices I have and how they may be better or worse than being in the study;
6. To be allowed to ask any questions concerning the study, both before agreeing to be involved and during the course of the study;
7. To be told what sort of medical or psychological treatment is available if any complications arise;
8. To refuse to participate at all or change my mind about participation after the study is started; if I were to make such a decision, it will not affect my right to receive the care or privileges I would receive if I were not in the study;
9. To receive a copy of the signed and dated consent form; and
10. To be free of pressure when considering whether I wish to agree to be in the study.

If I have other questions, I should ask the researcher. In addition, I may contact the Institutional Review Board for the Protection of Human Subjects (IRBPHS), which is concerned with protection of volunteers in research projects. I may reach the IRBPHS by calling (415) 422-6091, by electronic mail at IRBPHS@usfca.edu, or by writing to IRBPHS, School of Education, University of San Francisco, 2130 Fulton Street, San Francisco, CA 94117-1080.

APPENDIX E: QUESTIONS TO GUIDE THE INTERVIEW

The following questions were used as prompts for subject interviews.
The interviews were open-ended, with questions used as guides.

Background of Participants

Question	Prompt for	Source
How long did you teach before you became a principal?	Commitment	Interview
Why did you become a Catholic school principal?	Commitment	Interview
How long have you served as a principal?	Commitment	Interview
How long have you been a Catholic school principal?	Commitment	Interview
How long have you been at your present site?	Factual	Interview
What was your undergraduate degree?	Factual	Interview
What was your graduate degree?	Factual	Interview
What credentials do you hold?	Factual	Interview
How large is your school?	Factual	Interview

APPENDIX F: NATIONAL STAFF DEVELOPMENT COUNCIL'S (NSDC)
STANDARDS FOR STAFF DEVELOPMENT

National Staff Development Council's (NSDC) Standards for Staff Development (2001)

Context Standards

Staff development that improves the learning of all students:

- Organizes adults into learning communities whose goals are aligned with those of the school and district. (Learning Communities)
- Requires skillful school and district leaders who guide continuous instructional improvement. (Leadership)
- Requires resources to support adult learning and collaboration. (Resources)

Process Standards

Staff development that improves the learning of all students:

- Uses disaggregated student data to determine adult learning priorities, monitor progress, and help sustain continuous improvement. (Data-Driven)
- Uses multiple sources of information to guide improvement and demonstrate its impact. (Evaluation)
- Prepares educators to apply research to decision making. (Research-Based)
- Uses learning strategies appropriate to the intended goal. (Design)
- Applies knowledge about human learning and change. (Learning)
- Provides educators with the knowledge and skills to collaborate. (Collaboration)

Content Standards

Staff development that improves the learning of all students:

- Prepares educators to understand and appreciate all students, create safe, orderly and supportive learning environments, and hold high expectations for their academic achievement. (Equity)
- Deepens educators' content knowledge, provides them with research-based instructional strategies to assist students in meeting rigorous academic standards, and prepares them to use various types of classroom assessments appropriately. (Quality Teaching)
- Provides educators with knowledge and skills to involve families and other stakeholders appropriately. (Family Involvement)

APPENDIX G: EDUCATIONAL LEADERSHIP POLICY STANDARDS: ISLLC 2008

Educational Leadership Policy Standards: ISLLC 2008

Standard 1

An educational 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 educational 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 the use of the most effective and appropriate technologies to support teaching and learning
- h. Monitor and evaluate the impact of the instructional program

Standard 3

An educational leader promotes the success of every student by ensuring management of the organization, operation, and resources for a safe, efficient, and effective learning environment

Functions:

- 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 educational leader promotes the success of every student by collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community services

Functions:

- a. Collection 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 educational leader promotes the success of every student by acting with integrity, fairness, and in an ethical manner

Functions:

- 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

Standard 6

An educational leader promotes the success of every student by understanding, responding to, and influencing the political, social, economic, legal and cultural context

Functions:

- 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

Note: From: Educational Leadership Policy Standards: ISLLC 2008, by CCSSO (2008, pp. 14-15)